



East Ayrshire Adult Protection Committee



**Pan Ayrshire
Guidance for conducting a
Significant Case Review**

In Relation to Adult Support and Protection

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1. INTRODUCTION

1.1 Authority of the Adult Protection Committee (APC)

The Adult Support and Protection (Scotland) Act 2007, (ASP Act), required councils to establish Adult Protection Committees with the purpose of developing multi agency co-operation, training, practice and procedures to identify and address the needs of adults deemed to be at risk of, or subject to, harm as defined within the ASP Act.

1.1.1 Definition of an adult at risk

Section 3 of the Adult Support and Protection (Scotland) Act 2007 states:

- (i) "Adults at risk" are adults who:
 - (a) are unable to safeguard their own well-being, property, rights or other interests;
 - (b) are at risk of harm, **and**
 - (c) Because they are affected by disability, mental disorder, illness or physical or mental infirmity are more vulnerable to being harmed than adults who are not so affected.
- (ii) An adult is at risk of harm for the purposes of the subsection above if:
 - (a) another person's conduct is causing (or is likely to cause) the adult to be harmed, or
 - (b) the adult is engaging (or is likely to engage) in conduct which causes (or is likely to cause) self- harm.

1.1.2 Each Adult Protection Committee in Ayrshire is made up of senior representatives from Social Services, Police Scotland, NHS Ayrshire and Arran, and Scottish Fire and Rescue Service. Each Committee may have additional agencies represented. These agencies work with and support adults who may be at risk of harm and together are responsible for taking forward and overseeing the development of the adult support and protection agenda across Ayrshire and Arran.

While there is no legal duty for APC,S to become involved in individual case reviews the three committees of East, South and North Ayrshire believe that evaluating and learning from critical incidents is a crucial part of adult support and protection and the role of the APC. As such this guidance has been approved by each APC with the endorsement of Chief Officers and each agency has a responsibility for ensuring their current single agency procedures for dealing with significant incidents, large scale Investigations in care establishments or adverse events sign post managers to this guidance for consideration.

1.2 Purpose of the SCR Guidance

This current Guidance replaces the previous Pan Ayrshire Guidance for Conducting a Significant Case Review (SCR) Version 2 -17 April 2010 copies of which should be destroyed.

The purpose of this guidance and of an SCR is to provide a systematic and transparent approach to the review process. The overarching objectives of the review are not to “reinvestigate or to ...apportion blame” (ADASS 2006) but to:

- Establish whether there are lessons to be learnt about how better to protect adults at risk. Reviews should be understood as a process for learning and improving service delivery as well as a means of recognising good practice;
- If and when appropriate, make recommendations for changes in practice/policy/procedure where such changes will improve the service to adults at risk (if immediate action to improve service delivery is required this should be done);
- Consider how any recommended actions will be implemented;
- Ensure transparency and accountability in the review process;
- Increase public confidence in public services, providing a level of assurance about how those services acted in relation to a significant case about an adult at risk;
- Identify national issues where appropriate including good practice.

This guidance supports these objectives by helping those considering undertaking a review, or actually doing so, to:

- Undertake the review at the level that is necessary, reasonable and proportionate;
- Adopt a consistent, transparent and structured approach;
- Identify the skills, experience and knowledge that are needed in the review process and consider how these might be obtained;
- Address the needs of the many different people and agencies who may have a legitimate interest in the process and outcome; and
- Take account of the evidence bases.

1.3 Individual performance

A review may reveal staff actions or inactions that are of sufficient seriousness that they need to be brought to the attention of an individual employer. Adult Protection Committees in conducting a significant case review have a duty to do this. It is then solely a matter for that employer to decide what, if any, action it should take as a result.

1.4 The Status of an Initial Case Review/Significant Case Review Relative to other Linked Investigations

To establish what status a Significant Case Review (SCR) (including the Initial Case Review) should have relative to other active formal investigations i.e. adverse events, suicide review or fatal accident inquiries in to the case that may on occasions lead to the adjournment of an SCR, there should be ongoing dialogue with the lead agency e.g. Police Scotland, Crown Office Procurator Fiscal, Care Inspectorate and relevant others. There is a potentially complex set of activities that may be triggered by a significant case, some of which are driven by considerations wider than service failure or learning lessons across agencies. Clear communication systems are therefore extremely important as they will help to:

- Link processes and ensure appropriate coordination of the SCR;
- Avoid witness contamination;
- Avoid duplicate information being collected;
- Establish agreement in relation to the processes and timescales required under this Guidance;
- Secure co-operation from all agencies in relation to the release and sharing of information;
- Decide whether a parallel process should mean that an SCR should be adjourned.
- Ensure that, where applicable, a parallel investigative process (likely to be a criminal investigation) takes primacy.

2. DEFINITION AND CRITERIA FOR AN ICR/SCR

2.1 Any single agency can make a request for an Initial Case Review (ICR) by their APC by reporting any incident that they have agreed with their senior managers meets the SCR criteria. The referring agency should report this using the ICR report Form (Appendix 1).

An Initial Case Review (ICR) is intended to determine whether an SCR is merited. The detail and level of any review will depend on the individual case and circumstances. A review should not be escalated beyond what is proportionate having taken account of the severity and complexity of the case.

2.1.1 Requests in other circumstances

The Adult Protection Committee shall consider any agency request made to them for review, even if the case has been considered at the Initial Case Reviews to require no further action. Any concerns raised by families and similar interested parties shall be addressed in the normal complaints procedure for each agency involved.

2.2 Criteria for conducting a Significant Case Review

- An SCR should be considered when:
- An adult who is known or believed to meet the criteria of an adult at risk dies (including death by suicide), and abuse or neglect is known or suspected to be a factor in their death.
- An adult at risk has sustained any of the following:
 - A life threatening injury through abuse or neglect or lack of care
 - Serious sexual abuse
 - Serious or permanent impairment of development through abuse and/or neglect.

OR

- Where serious abuse occurred in an institutional setting.
- A culture of abuse was identified
- Multiple abusers were involved.

AND

The case(s) give rise to serious concerns about the way in which local professionals and services work together to safeguard adults at risk.

A 'Significant' Case need not comprise just one significant incident any of the serious circumstances above in 2.2 could suggest that an SCR may be required. The threshold for seriousness can be considered as the "impact on the victim, the intent of the perpetrator, whether the abuse constitutes a criminal offence and whether there is continued risk to the same person or other potential persons" (DOH 2000) therefore the severity of harm and the impact is the first screening process (Brown 2009).

An important point to consider as the aforementioned research highlights is that many situations involving adults who agencies know or believe may meet the criteria of an adult at risk of harm can be extremely complex however if the local support and protection practice has been able to deal with this there can be learning but it is not necessary to initiate an SCR

What is provided in this section is a guide for helping the Adult Protection Committee, professionals and all agencies make professional decisions about the way forward. The list should not be seen to exclude cases that may not precisely fit the criteria but which nevertheless clearly trigger significant professional concern. These cases should be left to professional judgement and the Adult Protection Committee decision on how to proceed.

2.3 **Link to single agency reporting arrangements and responsibilities**

It is anticipated that circumstances outlined in section 2.2 and 2.3 above could be identified in a number of ways including single agency significant incident reporting, complaints processes and when workers are undertaking routine business with individuals and families. The key priority is that once identified situations are reported immediately through line management arrangements following stage 1 of the SCR Guidance (Refer to Appendix 2 flowchart) as detailed in section 2.1.

It is the responsibility of each individual agency to ensure the wellbeing of persons affected by these situations and that they ensure appropriate advice, guidance and support which may include debriefing and/or counseling for those affected as part of their response to employees and the individual and /or their families.

2.4 **Notification and Link to Other Regulatory bodies**

2.4.1 The Mental Welfare Commission for Scotland (MWC) has particular statutory responsibilities in relation to the care and treatment of people with mental disorders both in monitoring practice and carrying out inspections and inquiries. Where an SCR relates to an adult at risk with a mental disorder, APCs will also want to consider that the MWC are notified and are able to offer any necessary guidance.

2.4.2 The Care Inspectorate regulate social work services and therefore have a similar role to that of the Mental Welfare Commission. Care Inspectorate attendance will be for them to decide on a case by case basis.

The Care Inspectorate will be advised of any Initial Case Review involving a registered care service and invited to attend meetings and share relevant information

3. **CONDUCTING AN INITIAL CASE REVIEW (ICR)**

An Initial Case Review (ICR) will be chaired by the APC Chair and is carried out by selected members of the Adult Protection Committee or other relevant stakeholder identified to facilitate an informed decision about the need for a full Significant Case Review. A flowchart with the overview of the process is contained in Appendix 2 of this Guidance and appendix 4 provides a checklist of issues to consider in determining whether an SCR may be required.

In some instances it may become quickly apparent that an SCR is not required...for instance if there has been no interagency involvement.

In other cases more detailed work will be required but if it becomes apparent at an early stage that an SCR will be required then it will be appropriate to move to this without delay.

In cases where it is not clear early on whether or not an SCR will be required then the a decision will be assisted through the following information.

- A brief description of the case and basis for referral and a co-ordinated chronology of events;
- a note of agency/professional involvement and lead contacts for each agency;
- A statement about the current position of the adult at risk and if they are alive;
- What actions have been or will be, taken on his/her behalf;
- any other formal proceedings underway;
- any elements of good practice, including specific details such as which agency it pertains to;
- any elements of poor practice including specific details such as which agency it pertains to;
- any particular sensitivities e.g. from the procurator fiscal or police about cases where there are likely to be disciplinary proceedings;
- The ICR panel's decision as to whether or not to proceed to an SCR with reasons.

3.1 ICR Stage 1 –Identifying and approving the request of an ICR

The senior manager of the agency identifying and requesting the need for an ICR will contact the Adult Protection Coordinator/ APC Council Lead Officer for their APC area (Appendix 5) and complete the ICR report form A (Appendix 1) **within 1 working day** of approval by their senior managers.

3.2 ICR Stage 2 – Notification Arrangements

The APC Council Lead Officer receiving the report must notify the Adult Protection Committee Chair of receiving the ICR request within 1 working day sending a copy of the report form. The Lead Officer will then ensure formal notification from the Chair to the Chief Officers Group is sent and contact is made with all other agencies known to be involved with the adult to notify them of the ICR request. At the same time the agency will be requested to send a summary of their involvement and their views on the need for an ICR and whether the criteria for an SCR are met or not.

The Council Lead Officer will complete the relevant section of the ICR Report Form A with the additional information **within 10 working days** and submit this to the Adult Protection Committee Chair who will confirm a date and ensure a meeting is convened of the ICR panel. The Council Lead Officer will ensure written notification of the ICR Panel to the Chair of the Chief Officers Group for information, advising they will be notified of the outcome.

If the Council Lead Officer or agencies cannot reasonably complete the ICR report within the suggested times, that should not detract agencies from taking whatever urgent action is required to protect the adult at risk.

In situations where the adult referred for an ICR is known to more than one APC the Adult Protection Committee Chair who receives the referral for consideration will contact the other Local Authority APC. Negotiation will be required to determine and agree the most appropriate Committee to progress.

3.3 ICR Stage 3 – ICR Panel Gathering Further Information, if required

The ICR panel will consider whether the information is sufficient to reach a decision on the need for an SCR or whether further information is required before a measured decision can be taken. A co-ordinated multi agency chronology will be compiled by the Council Lead Officer to inform the panel meeting and assist this decision.

If the ICR panel decides that more information is necessary, it will stipulate what this is, and will decide which agencies must provide it. This information should be provided **within 20 working days and the Chief Officers notified of the delay and reason for this.**

3.4 ICR Stage 4 - Taking a Decision on whether a not to proceed to a Significant Case Review (SCR)

If the ICR leads to the conclusion that the SCR criteria are satisfied and an SCR is warranted, the ICR panel must notify the relevant Chief Officers Group and initiate the SCR process as soon as possible. In cases where it is contested within the panel as to whether or not to progress to an SCR, consensus should be reached between members to come to the final decision.

In the case of the decision to proceed to an SCR the ICR Panel will become the SCR Panel and it is the responsibility of the SCR Panel Chair to advise the adult at risk or family/carers of the Adult Protection Committee's intentions. The SCR Panel will now require following the SCR Process detailed in Section 4 of this Guidance.

Where the decision is made to proceed to an SCR and the adult at risk has a mental disorder as defined by the Mental Health (Care & Treatment) (Scotland) Act 2003 the chair of the ICR Panel will ensure the MWC receive formal notification.

3.5 A Note on Timescales

The assumption throughout this guidance is that the Adult Protection Committee will proceed as speedily as feasible at all stages of an ICR and SCR, and that agencies should proceed likewise. For every case, the ICR panel should agree a deadline for when reports should be produced in the light of the circumstances and context of that particular case.

3.6 Record Keeping on ICRs

An ICR should lead to a written record of the items considered in sections 2 & 3 of this guidance. In every case, the Adult Protection Committee Chair should notify the Chief Officers' Group of the outcome, by means of a report incorporating information described

in section 3.1. Other relevant agencies/interested parties should also be advised of the outcome of the ICR.

Each APC is responsible for ensuring they have in place clearly documented administrative guidelines for the recording and storage of information and recorded decisions for both the ICR and SCR process and dissemination for the dissemination of reports.

3.7 The Adult Protection Committee ICR Panel decides not to proceed to a Significant Case Review (SCR)

Once the Adult Protection Committee has assessed the information it possesses and has decided against conducting an SCR, it may make one of the following decisions:

- No further review;
- No further review needed but follow-up action desirable;
- Initiation of local action to rectify an immediate issue;

This decision must be recorded and reported to the Chief Officers Group.

3.8 The Adult Protection Committee decides to proceed to a Significant Case Review (SCR)

The Adult Protection Committee must decide if they will undertake an internal SCR or whether it is necessary to commission an external SCR.

An external review may be necessary where identified issues may have national implications, local issues are likely to be multi agency, the case is high profile or the Adult Protection Committee is facing multiple reviews.

4. THE SIGNIFICANT CASE REVIEW (SCR) PROCESS

Essential steps in the SCR process

4.1 Developing the Remit

The SCR Panel needs to formally agree and record a clear and specified remit to ensure clarity of purpose and assist the SCR Team (Review Team) and those contributing to the review. The remit will need to be reviewed over time. The remit will relate directly to the purpose of the review and where possible the views of the adult and/or family/carers in relation to the remit should be identified and directly inform the remit of the review.

4.2 Identifying the Review Team

The SCR panel will identify the review team and the best person to lead the review. This will be a mixed team from the key agencies and will not involve anyone who was substantially involved with the adult directly. Key skills that will be held by the review team:

- Ability to gather relevant evidence from a wide variety of sources and be prepared to negotiate if information is not forthcoming; e.g. from single agency review reports.

- Have knowledge and skills in the use of root cause analysis approaches;
- Have skills of investigation;
- The ability to test the validity of the evidence and sift the evidence;
- Be able to interpret information from a wide variety of sources;
- Have the ability to make sound judgments on information collected;
- Be able to identify and analyze the root cause of/factors that contributed to the significant case;
- Be able to liaise with other bodies and establish a good working relationship;
- Be able to demonstrate sensitivity to national and local level issues; and
- Appreciate the need for clarity about the difference of remit and task of an SCR as opposed to other ongoing proceedings relating to that case such as a criminal investigation.

4.3 SCR Team Leadership and Accountability

Each agency that has an employee, or employees, on the review team shall ensure that the person has enough time to carry out the SCR tasks assigned to them. Each agency is responsible for ensuring that relevant staff is informed of the SCR review team having authority to undertake whatever tasks are necessary to fulfill the remit set by the SCR panel and to meet the objectives of the SCR as set out in paragraph 1.2 above. Any difficulty in relation to these matters shall be reported to the SCR panel by the SCR Team Leader.

4.4 Setting the Work Plan

Following identification of the SCR Review Team by the SCR Panel, the SCR Review Team Leader shall convene a meeting of the Review Team within 5 working days. The purpose of this is to establish a detailed plan using “The Six Steps to Root Cause Analysis” as set out below. Using the Six Steps to Root Cause Analysis (Dineen 2004), the Team will:

- | | |
|---------------|---|
| Step 1 | Gather all relevant reports produced for ICR from all agencies |
| Step 2 | Sort and map all available data using a timeline process |
| Step 3 | Identify issues to explore. This will include setting questions, identifying key witnesses and arranging interviews |
| Step 4 | Explore the critical problems identified to isolate fundamental causes using available tools |

Step 5 Review the findings; agree the recommendations and areas for improvement

Step 6 Complete a final written report and share the learning with Adult Protection Committee.

N.B. Any other format used to conduct the Review should be approved by the Adult Protection Committee. Should delays in the process begin to emerge, the SCR Review Team Leader must immediately report these to the Adult Protection Committee Chair.

4.5 Key Factors to be considered in conducting the review:

- The remit and time period of the review and timescales for receipt of the interim and the final report;
- The extent to which the review team has access to the commissioning Adult Protection Committee for ongoing discussion;
- Interim reporting arrangements - how often, in what format and to whom should interim updates be sent and received;
- Who on the Adult Protection Committee has delegated responsibility for handling FOI requests and who the contact should be if the findings of the SCR were to be used as evidence in civil proceedings that might arise out of a case;
- Who will make the links with relevant interests outside the main statutory agencies;
- Who are the key contacts for any review team across all the involved agencies? These could be designated SCR contacts who can also advise on, and broker access to, relevant practitioners and information, provide any agency information that may be relevant (protocols/guidance) and generally act as a liaison point;
- What protocols on confidentiality are specified to which the review team signs up for general confidentiality agreement refer to Appendix 3 to be signed by all agencies;
- Whether there are likely to be issues of access to case records and how that will be addressed;
- Whether the review team need to conduct interviews or whether it is sufficient for them to look at the files to establish the facts of the case;
- Which agencies and professionals should contribute to the review, and who else should be asked to submit a report or otherwise contribute? This will be based on the chronology of who has been in contact, that is relevant to the review process, with the adult at risk and family/carers ;
- Whether family members are to be invited to contribute to the review and who the liaison point for the adult at risk (if alive) will be, and/or for their family/carers;

- What briefing will be provided for contributors, and by whom? A briefing will normally be an oral discussion about the purpose of the Review. SCR panels will need to consider whether contributors should receive information about the areas to be covered in advance of the interview and whether the files should be available to them for reference;
- What arrangements are in place for feedback to the contributors, including the adult at risk and their family/carers, and what mechanism will be used to enable contributors to check the accuracy of what is recorded as it is drafted up for the interim and/or final reports; and
- Identification at the start of the process of access to a critical friend/expert advisor independent of the SCR Team and Panel appropriate to the circumstances of the SCR. Early confirmation of this is strongly recommended and the scope and nature of their involvement.

4.6 Preparing the Report

The SCR team chair is responsible for drafting both an interim report midway through the review process and the final report to be presented to the SCR panel. This shall be compiled from the records made by the SCR Team. The content of the review report, including the findings and any recommendations, should be agreed by all members of the SCR team. Should there be disagreement, this shall be noted in the report. Ultimate responsibility for the content of the report going to the SCR panel rests with the SCR team chair.

4.7 Structure of the Report

Every SCR report should contain the following:

- An introduction - summarizes the circumstances that led to the review, state the remit which should be outcomes focused and a list of contributors to the review suitably anonymised;
- Separate executive summary and list of recommendations (where recommendations apply to specific agencies this should be noted);
- A chronology of agency/professional involvement;
- The extent of family/carers' involvement;
- A list showing, on each occasion of contact with the adult at risk and/or family/carers or other significant adults, whether the views and wishes of the adult at risk were sought and if they were expressed;
- Analysis;
- Conclusions;
- Recommendations - these should be concise, specific, measurable, achievable, realistic and time scaled and capable of being implemented by the identified agency.

4.8 External SCR

When commissioning a review team the Adult Protection Committee must:

- Confirm that the remit is clear and deliverable;
- Establish clear reporting lines and timescales;
- Identify milestones and agree the various elements of the process;
- Consider whether indemnity cover is required;
- Provide for appropriate administrative support;
- Agree the method for obtaining additional resources if it becomes clear that these are necessary;
- Confirm that if issues arise that need urgent action, the Adult Protection Committee (and involved agencies) will be so advised;
- Require external reviewers to be registered with the Data Protection Office;
- Establish a named contact person within the team;
- Gain agreement that the contract will allow Adult Protection Committee to reserve the right to proof-read the final draft to correct factual errors or misunderstandings;
- Clarify arrangements between the Adult Protection Committee, as the commissioner and owner of the SCR report, and the review team in relation to speaking to the press regarding the review, and at what stage(s) of the SCR process;

5. FOLLOW UP

Following publication of the report there are a number of arrangements which the Adult Protection Committee must consider, these include:

- action and implementation plans including arrangements for monitoring and communicating progress;
- briefings for relevant parties;
- dissemination within and across agencies;
- Identifying lessons to be learned and sharing good practice (see Section 8 of this protocol).

6. DISSEMINATION OF THE REPORT

The circumstances of every case are different and the communication strategy for dissemination of the report and/or its findings and recommendations will differ. It is neither possible nor appropriate to adopt a 'one-size-fits-all' approach to dissemination. The matter is one for professional judgment on the part of the SCR panel members and, ultimately, the Chief Officers who are:

- Committed to serving the public and aware of their responsibilities to do so and,
- Committed to promoting the highest standards of practice.

For each particular Significant Case Review, the SRC panel, in formulating its proposal for dissemination, and the Chief Officers, in deciding upon it, shall select from the range of dissemination options available to them (including the option of publication aimed at the general public), the one that best serves the public interest and fulfils the purpose of improving service delivery.

The main reason for undertaking the SCR is to establish whether there are lessons to be learnt about how better to protect adults at risk, or subject to, harm and to decide how those lessons will be learnt and applied.

In the context of SCRs a letter of clarification, in relation to Child Protection SCRs, published by the Scottish Executive on 9th July 2007, states "There is an important distinction to be made between making information as widely available as possible to professionals, and others, to enable them to improve their practice, and actively publishing that information to inform the public about a matter of public concern."

In formulating its proposal for dissemination of the report, the SCR panel shall consider:

- that the group of professionals most closely linked to the case should, unless other proceedings or identifiable circumstances indicate otherwise, be provided with a full and detailed briefing on the report and its findings;
- what it is that the wider body professionals need to understand in order to improve their practice and what the best means is of achieving that;
- what information, if any, from the report should be made available to a wider audience;

7. THE ROLE OF THE CHIEF OFFICERS

The Adult Protection Committee works on behalf of the Chief Officers of the local authority, Police Scotland and NHS Ayrshire and Arran. It is the Chief Officers who will 'sign-off' the report. The report shall be presented to the Chief Officers by the Adult Protection Committee Chair. Having considered the report, the Chief Officers shall issue any direction or instruction pertaining to the report that they believe necessary and, in particular, indicate:

- their agreement, or not, with the proposals that relate to how any lessons to be learnt are to be incorporated and implemented within and across relevant agencies and their staff,
- Their wishes, having taken account of the proposals presented by the SCR panel, in relation to dissemination of the report.

8. REFERENCE SOURCES

Adult Support & Protection (Scotland) Act 2007
 Scottish Government Guidance for Adult Protection Committees Adult Support and Protection Act 2007 effective from October 2008

Association of Directors of Adult Social Services, 2006, Vulnerable Adult Serious Case Review Guidance –Developing a Local Protocol; London: Association of Directors of Adult Services. http://www.adss.org.uk/publications/guidance/vulnerable_adult.pdf.

Brown, Hilary (2009) The Process and Function of Serious Case Review; The Journal Of Adult Protection. Vol 11, issue1.February 2009.Pavilion Publishing Ltd.

Department of Health (2000) No Secrets; Guidance on developing and Implementing Multi Agency Policies and Procedures to Protect Vulnerable Adults from Abuse; London; The Stationery Office.

Manthorpe, Jill and Martineau, Stephen (2009) Serious Case Reviews in Adult Safeguarding. Social Care Workforce Unit; University of London.



East Ayrshire Adult Protection Committee



CONFIDENTIAL

Initial Case Review Report – Form A

The Manager identifying that an ICR Report is necessary to consider that the need for an SCR has been met, should notify the Adult Protection Committee Council Lead Officer with the approval of their Manager/Head of Service, using this template **within one working day** of identifying a potential significant case for review. The Council Lead Officer shall notify the APC Chair and contact all other agencies known to be involved who will be asked to provide a chronology of their involvement and view on the need for an ICR within **10 working days**.

This Form is available electronically and extra rows can be inserted in this Form as required: From Table menu 'Insert' Rows. Rows will expand to accommodate as much text as you wish to enter.

SECTION A – To be completed by Agency requesting ICR

Requester Details:	
Name:	
Designation:	
Contact Telephone Number:	
Agency:	
Address:	
Date Form submitted to Adult Protection Committee Council Lead Officer:	

Adult Details:	
Name:	
Address:	
Date of Birth:	

Adult Details:	
Telephone Number:	
Mobile Phone Number:	
Agency Identifier (CHI Etc...)	
Name of Spouse/Partner/Carer(s)/Next of Kin:	
Address of Spouse/Partner/Carer(s)/Next of Kin:	
Telephone Number of Spouse/Partner/Carer(s)/Next of Kin:	
Mobile Phone Number of Spouse/Partner/Carer(s)/Next of Kin:	
Name of Welfare/Financial Attorney:	
Address of Welfare/Financial Attorney:	
Telephone Number of Welfare/Financial Attorney:	
Mobile Number of Welfare/Financial Attorney:	
Others in the Household (name and relationship)	
Name	Relationship to Adult

Other agencies known to be involved (Please provide names & disciplines of various professionals within each agency, if known)

Agency	Name/Designation and Contact Address/Telephone Number/e-mail for Lead Contact
Example: East Ayrshire Council	Example: Donna Sinforiani Adult Protection Co-ordinator Adult Protection Team

Agency	Name/Designation and Contact Address/Telephone Number/e-mail for Lead Contact
	Civic Centre North John Dickie Street Kilmarnock KA1 1HW Tel: 01563 553559 E-Mail: maps@east-ayrshire.gov.uk

Ground(s) on which the criteria for an SCR may have been met (please see Section 2, Guidance for Conducting a Significant Case Review).

Has a Case Review been initiated within your agency? (Please Tick)					
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	Don't Know	<input type="checkbox"/>

Brief Description of the Circumstances of the Case:

--

Key Facts/Background to the Case:

Please give details of any statutory proceedings you know are underway in relation to the circumstances e.g. criminal investigation; Care Inspectorate investigation:

Date:	Summary of Views for Each Agency on need/or not for ICR:	Name of Agency:

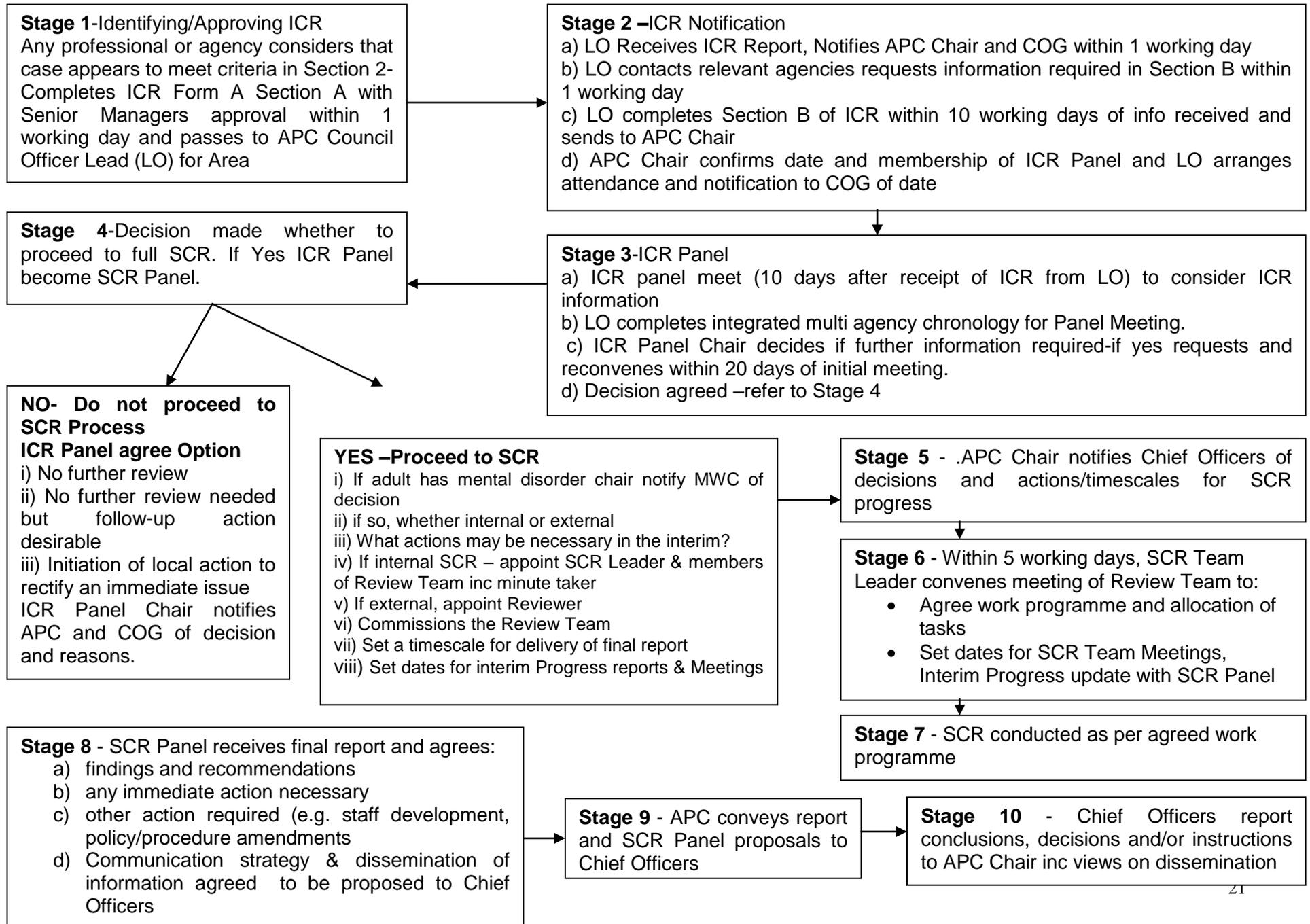
Name of Council Lead Officer:

Date Section B Completed:

Date Passed to APC Chair:

Date COG Notified:

Appendix 2 – ICR REPORT/SCR PROCESS-OPERATIONAL FLOWCHART



Appendix 3

MULTI AGENCY CONFIDENTIALITY AGREEMENT

Adult Protection – Confidentiality

Significant Incident Review arrangements are subject to strict confidentiality.

Members of the Significant Incident Review Group and the Significant Incident Case Review Team are expected to observe the following general guideline:

- a) Confidential matters in respect of the review should not be discussed with anyone including family members
- b) Review working papers are confidential in nature and should be held securely in a locked cupboard.
- c) Staff members should note that all information obtained from the department in connection with this review is held securely in a locked cupboard.
- d) Waste paper must be shredded to ensure that security and confidentiality are not breached.

I acknowledge that I have read and understood the above information.

Signature: _____

Date: _____

Appendix 4

A checklist approach

'The following checklist of questions may help in deciding whether or not a case should be the subject of a Significant Case Review in circumstances, other than when an adult dies. A 'yes' answer to several of these questions is likely to indicate that a review will yield useful lessons:-

- The abuse was not recognised by agencies or professionals in contact with the adult
- The abuse was disclosed or alleged to an agency or professionals and was not shared with others;
- Was not acted upon appropriately in line with multi agency/interagency Adult Support and Protection Guidelines, Policies and procedures
- The abuse happened in an institutional setting;
- Does one or more of the agencies or professional consider that its concerns were not taken sufficiently seriously or acted upon appropriately by another?
- Does the case indicate that there may be failing in one or more aspects of the local operation of Adult Support and Protection procedures which go beyond the handling of the case?
- Does the case appear to have implications for a range of agencies and/or professionals?
- Does the case suggest that the Adult Protection Committee may need to change its local protocols or procedures or that protocols or procedures are not effectively used or acted upon?'

*Adapted from the Checklist Approach Model by Leeds Safeguarding Board as cited by Manthorpe, Jill & Martineau, Stephen (March 2009)

Appendix 5

Ayrshire Lead Officers and Contacts for reporting initial case reviews

AGENCY	CONTACT DETAILS
East Ayrshire Council	<p>Donna Sinforiani Adult Protection Co-ordinator Adult Protection Unit Civic Centre North John Dickie Street Kilmarnock KA1 1HW</p> <p>Tel: 01563 553559 (direct) or Tel: 01563 576728 (admin) Fax: 01563 57(6966) E-Mail: <u>Maps@east-ayrshire.gov.uk</u></p>
North Ayrshire Council	<p>Brenda Walker Senior Officer (Adult Support and Protection) North Ayrshire Council Social Services & Health</p> <p>4th Floor, Cunninghame House, Irvine KA12 6EE</p> <p>Tel: 01294 317700 Fax: 01294 317778 E-Mail: adultprotection@north-ayrshire.gsx.gov.uk</p>
South Ayrshire Council	<p>Adult Support & Protection/Mental Health Coordinator Children and Community South Ayrshire Council Burns House Burns Statue Square Ayr KA7 1UT</p> <p>Tel: 01292 612055 E-Mail: ASP@south-ayrshire.gov.uk</p>