

A large, abstract graphic composed of numerous overlapping, diagonal lines and shapes in various shades of blue and purple, creating a sense of depth and movement across the page.

JOINT INSPECTION OF **ADULT SUPPORT** AND **PROTECTION**

Case File Sample Guidance Updated 23/02/2022

OFFICIAL

Case file sample guidance for local partnership areas on our criteria for inclusion in their dataset of adult support and protection (ASP) activity to be submitted to us

1. Records for where adult protection activity has reached different stages of the adult protection continuum

Stages of adult protection activity from investigation onward

- We will create stratified samples based on the different adult¹ client groups for adult support and protection (*OP (frail elderly), De, LD, PD, MH, SI, SM, Other*)²
- **For the last two years**, we request you identify all of the cases that have proceeded to the stage of ASP full investigations (or equivalent).
- **For the last two years, identify** all of the cases for which adult protection case conferences have been held.
- **For the last two years**, identify all of the cases whereby the adult at risk of harm is subject to post case conference ASP input (protection plan stage) to ensure they are safe and protected.
- **For the last two years, identify** all of the cases for which adult protection **review case conferences** (*include cases where there has been more than one review case conference*) have been held.
- NB In addition to the sample of **50** adults at risk of harm, whose records we will read, we will also require the local partnership area to give us access to **the records for 15 additional adults at risk of harm.**
- Adults at risk of harm should only be included once in the PIR, with only their latest stage in the ASP process recorded.
- **It is critically important for the partnership to record accurately, the stage reached in the adult protection process. Our file reading tool is specifically designed to scrutinise records that meet our defined criteria.**

NB you should **not** provide us with the names of individuals. You should use your client database reference number to identify them. We will provide you with an Excel spreadsheet with headed data columns for you to complete. Partnerships must include the following information in their submitted data:

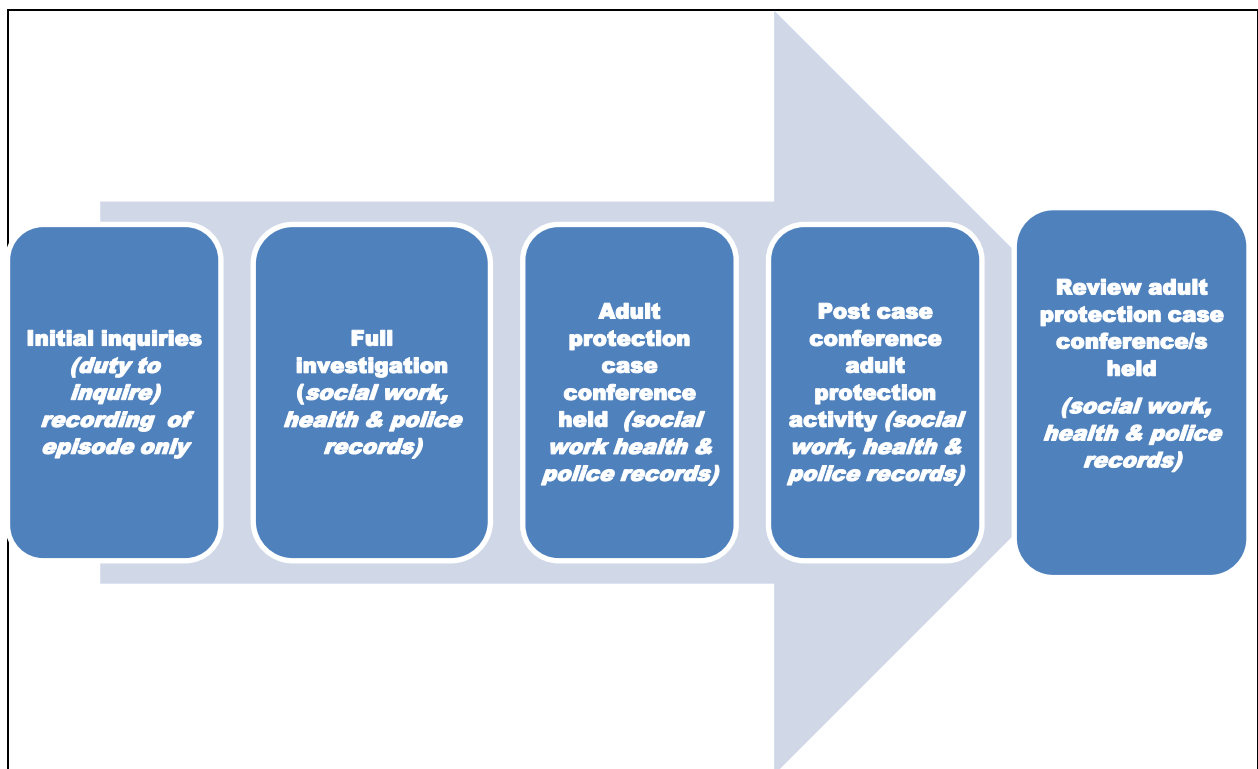
- Client group category - older people, dementia, learning disabilities...
- Age of individual.

¹ S (53) of ASP Act defines an adult for the purposes of the Act as, "**adult**" means an individual aged 16 or over,

² older people (frail elderly), dementia, learning disabilities, physical disabilities, mental health, sensory impairment, substance misuse, end-of-life care

- Type of harm to the adult – physical harm (abuse), sexual harm (abuse), neglect, self-neglect, emotional / psychological harm, financial harm, harm to self, other (state what the other harm is).
- If there is any of the following “protection orders” in place (state which) assessment order, banning order, temporary banning order, removal order.
- Stage of adult protection process to which the individual has progressed (see diagram). Partnerships may use a different terminology for the different stages set out below. Partnerships should discuss how they should submit this information with the inspection lead.
- NB partnerships must submit all the foregoing information, to enable us to create a properly stratified sample of adults at risk of harm, whose records we will scrutinise.

Key recording domains



2. Duty to inquire, initial inquiries (recording of episodes that have **not** proceeded beyond duty to inquire for analysis at our file reading phase).

- Partnerships should identify cases / episodes where an initial inquiry was carried out (Section 4 of the Adult Support and Protection (Scotland) Act 2007) into the circumstances of the adult at risk of harm, following the raising of an adult protection concern about the adult at risk of harm. And the initial inquiry decided to take **no further adult protection related action** for the adult in question. We

will create a sample of **40 cases / episodes** and ask the partnership to make available to us the recordings of each episode of an initial inquiry.

- We appreciate this is somewhat complex, and local coordinators should discuss how their partnership populates its data return with the inspection lead, if they are unsure.
- We will scrutinise a small number of initial inquiry episodes that occurred during the covid -19 restricted period. We will identify them by the date of the episode as stated by the partnership.

3. Sampling and file reading methodology

- We will select a representative, stratified sample of 50 adults at risk of harm whose **local authority social work, health, and police records** we will read in our remote file reading phase of our scrutiny of ASP. We will advise you of the records we propose to review by week commencing Click or tap to enter a date. From the case list provided we will prepare a stratified sample of 40 recordings of adult protection initial inquiries (duties to inquire activity) based on the different client groups for adult support and protection. We will scrutinise these recordings.
- Our analysis of adult support and protection recordings will use a bespoke SMART survey template.
- The partnership should submit details of all adult protection initial inquiry episodes for **the last two years (from the date of notification)**.
- Include all initial inquiry episodes whereby no further adult support and protection related action was taken after the duty to inquire stage (see section 2 above).

4. Making adult support and protection records available to us

Records of initial inquiries that have **NOT** proceeded beyond this stage.

- Once you receive confirmation of the final sample of recordings of initial inquiries we wish to analyse, you will require to liaise with the lead inspector. If the local partnership area chooses to offer a protected 'SharePoint' option for the inspection team, we will make the necessary access arrangements at this time.
- The appointed local co-ordinator should discuss how the partnership should submit recordings of initial inquiries with the inspection lead, **[insert name, email, and contact numbers]**
- The information submitted should include:
 - details of the adult protection concern intimated and by whom
 - details of the screening process applied in respect of the referral

- any reference to application of the principles of the Adult Support and Protection (S) Act 2007 – least restrictive etc.
- details of application of the three-point test/criteria and the outcome
- details of the decision-making process leading to the determination of no further action in respect of adult protection related actions

*Records of adult protection episodes **that have** proceeded to the stage of ASP investigation and beyond for analysis at our file reading phase*

- We would ask that the local authority coordinator provides a clear link between ourselves, health and HMICS colleagues who are identified to undertake leading or supporting roles. This means that they should consult with the various others to determine and coordinate all the other 'relevant police and health files' that the inspection team will be required to read while on site.