Joint inspection of adult support and protection phase 1 – frequently asked questions

Publication date: 4 February 2020
Publication code: ASP-0220-002
FAQ – Which scrutiny bodies are involved in the adult support and protection joint inspection?
The three scrutiny bodies responsible for social work, police and health involvement in ASP are fully involved in this multi-agency inspection programme. The Care Inspectorate is the lead agency for the overall joint inspection programme. Healthcare Improvement Scotland and Her Majesty’s Inspectorate of Constabulary in Scotland are key contributors with lead responsibility for health and police issues respectively within the overall inspection programme. The inspection teams will be made up of staff from each of the three scrutiny bodies.

FAQ – Why are we carrying out this inspection?
This current adult support and protection joint inspection programme (phase 1) follows on from the first joint inspection of adult support and protection in Scotland. The report from this first inspection of six partnership areas was published in 2018. Following the publication of this report, Scottish Ministers asked for assurance about adults at risk of harm in the remaining partnerships across Scotland. The purpose of this further multi-agency inspection is to seek assurance that adults at risk of harm in Scotland are supported and protected by existing local adult support and protection arrangements.

FAQ – Why is there a phased approach to the scrutiny and assurance programme for adult support and protection?
Scottish Ministers asked for timely assurance that adults at risk of harm in Scotland are supported and protected by local adult support and protection arrangements. A key ask was that we would inspect the 26 partnerships, not previously covered by the joint inspection, over a two-year period. The scrutiny and assurance of ASP has been designed to take place in two phases over five years. Phase 1, 26 local joint ASP inspections in the first two years, will focus on the assurance of local ASP practice and processes. Phase 2 of this programme will be informed by the findings of phase 1.

FAQ – How has this adult support and protection programme been planned?
Phase 1 of this programme builds on the experience and learning from the first joint inspection. We have also taken cognisance of all feedback provided by stakeholders following that inspection. As a result, Healthcare Improvement Scotland will take a full role in the joint inspection programme alongside the Care Inspectorate and Her Majesty’s Inspectorate of Constabulary in Scotland. Relevant health, social work and police files and records will be reviewed in phase 1. We are taking a risk-based and proportionate approach to this inspection so our focus and scrutiny activity will be specific and carried out within agreed parameters.

FAQ – What will be the focus of the adult support and protection joint inspections in phase 1?
The first phase of inspection will focus on assessing the delivery of key processes and leadership for ASP. This will include reviewing the partnership’s policies, procedures and practice. We will look at referral handling, screening, initial response, investigation and management of adult protection concerns. We will seek to understand how effective and collaborative the partnership’s actions have been in securing sustained safety, protection and support for adults at risk of harm. We will consider how good the leadership and governance of ASP is in the partnership area.
FAQ – What inspection activities will be conducted in phase 1?
Our inspection will include three key activities:

i. A staff survey relevant to health, Police Scotland, provider organisations, social work and social care staff.

ii. The reading of records (health, police and social work records)
   a. of a sample of adults considered at risk of harm who did not require any further adult support and protection intervention beyond the initial referral stage.
   b. of a sample of adults at risk of harm who have been the subject of adult support and protection procedures.

iii. Analysis of written evidence, including position statement and other evidence provided by the partnership.

FAQ – How has the inspection schedule for phase 1 been worked out?
The inspection schedule has been developed to deliver the required programme of 26 partnership inspections over a 24-month period. This is a very challenging timeframe for both the scrutiny bodies and for partnerships. The planning process has taken into account natural boundaries or crossover in local partnership arrangements for social work, police and health. The inspection programme has also considered other relevant scrutiny activity to reduce, as far as possible, the demands of inspection work upon local partnerships.

FAQ – How has the multi-agency inspection team prepared ahead of local inspections?
An inspection footprint and methodology have been developed as part of the planning and preparation for this inspection programme. This included details about timescales for notification to local partnerships, the development of tools to be used to support scrutiny, guidance about how the inspection team will sample and read records and how it will carry out and analyse staff surveys. The inspection team will provide comprehensive briefings to partnership management teams at the outset for each inspection.

FAQ – What level of support will local partnerships be expected to provide in phase 1?
The inspection team will work with partnerships to support the planning and execution of the required scrutiny activities in each partnership area. This will include working with partnerships to support the dissemination of the staff surveys, supporting the processes for sampling case records and ensuring access to appropriate social work, police and health records. The team will also be seeking support from local file readers for reading case records. The inspection team will provide training for local readers to ensure consistent analysis case file reading and supporting case file reading on-site.

FAQ – What records will the adult support and protection joint inspections scrutinise?
Health, social work and police files and records will be included in phase 1 case file reading. Records will need to be relevant, accessible and proportionate, with a reasonable expectation that such records would add value to the inspection. We will take a proportionate approach and look at information that can reasonably be
expected to provide value, based on past inspection experience and professional knowledge of systems and processes.

**FAQ – How will the adult support and protection inspection team access health records?**
The team has a tried and tested approach to identifying appropriate ASP records from police and social work services from the previous inspection of ASP. Once this list is generated for a partnership, the partnership will be asked to identify all health records relating to these social work and police records. From a full list of health records for the person, the partnership will identify key health records in line with guidance provided by the inspection team. These are the health records that the inspection team will read.

**FAQ – How many records will we read?**
The team will read social work, police and health records relating to 50 adults at risk of harm whose adult protection journey has proceeded to the investigation stage and beyond. The team will also read partnership’s recordings of the initial inquiry episodes relating to 40 adults where the partnership decided no after action. These numbers of records provide the opportunity to stratify records to be read for person characteristics and type of harm. This number of records will apply across all partnerships, with the exception of those areas where ASP activity has not been at a level to generate this number of initial inquiry or investigations records, where the team will take a bespoke approach.

**FAQ – What is the multi-agency inspection reference group?**
The role of the reference group is to support, inform and promote the joint inspection programme for ASP. The reference group includes representatives from multiple agencies involved in ASP including, but not restricted to, conveners of adult protection committees, lead officers, chief social work officers, Police Scotland, Office of the Public Guardian, Mental Welfare Commission, chief officers, NHS chief executives, Social Work Scotland, Scottish Care, Coalition of Care Providers Scotland and the inspection agencies. A piece of work is underway to support service users and carers to feed into the reference group.

**FAQ – What is the role of the local Care Inspectorate link inspectors in the adult support and protection multi-agency inspection?**
Link inspectors hold a range of information about local partnerships’ organisational structures, public protection processes, audit and/or self-evaluation activity. This information will be used to inform the local ASP joint inspections.

**FAQ – How will the findings of the multi-agency inspection be reported?**
Inspection reporting is a critical activity essential to the multi-agency inspection process. Following each local inspection local stakeholders will receive feedback on the inspection findings including the partnership’s strengths and areas for improvement in relation to ASP from the inspection. The approach to public reporting on these inspections, including the format, style, layout and contents of these reports is currently being developed by the inspection team. This work has been informed by advice and input from the reference group. Public reporting will be proportionate to the inspection activity and will provide summary information about the inspection findings.
FAQ – If the adults support and protection inspections identify poor practice within a partnership, how will this be addressed?
The inspection teams will prioritise the completion of inspections in all 26 partnerships within the required timeframe. The team will ask each partnership to develop an improvement plan based on the findings of the local inspection. The improvement plan documents submitted will be reviewed by the inspection team. It is important to note that in the event of the inspection team identifying evidence of poor practice that indicates that an individual may still be at risk in a partnership the inspection team would escalate this case immediately to the partnership for follow up and require reporting back on the outcome of this follow up to the team.

FAQ – What will phase 2 of the adult support and protection multi-agency scrutiny and assurance involve?
Phase 2 of the multi-agency scrutiny and assurance programme will be developed based on the findings and outcomes of phase 1. More detailed planning will take place during phase 1 in conjunction with local partnerships and the inspection reference group. At this stage, therefore, it is not possible to describe what will be involved and what the responsibility of partnerships will be.

FAQ – How will information about the adult support and protection multi-agency inspection be communicated?
The team will communicate directly with each partnership in relation to specific inspection activity within its own partnership area. This frequently asked questions (FAQs) has being prepared by the inspection team in collaboration with the inspection reference group. As lead agency, the Care Inspectorate will take a lead in publishing information about the ASP programme on its website. The reference group is also informing a communications plan and the approach to key communications about this programme.
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ये आश्रय विकसित करने पर देंगे और ग्राहकों इसे फ्रांसिस्की अभिकल्प है।

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