

Stockton on Tees Safeguarding Vulnerable Adults Update 2009-2010

Purpose of Report

This report will provide the Committee with some initial analysis of the activity of Stockton on Tees adult safeguarding during the past year (1st April 2009 to 31st March 2010) and comparisons with 2008/9 and 2007/8 to assist in plans for adult safeguarding in 2010/11. The Tees-wide Safeguarding Vulnerable Adults Board report for 2009-10 will provide further analysis of Stockton's data in relation to the other local authority areas across Tees.

During 2010/11 the Tees-wide Safeguarding Vulnerable Adults Board, which was formally formed late in 2009 (previously the Tees-wide adult safeguarding steering group), and which will be supported by the Tees-wide Adult Safeguarding Business Manager, will provide strategic direction for Local Safeguarding Vulnerable Adults Committees and support for operational processes. Stockton's Safeguarding Vulnerable Adults Committee will continue to contribute to the business of the Tees-wide Board and to the work of the Tees-wide Board sub-groups

The information contained in this update will be shared with the Tees-wide Board and statutory partners and will be used to contribute to the first joint Tees-wide Safeguarding Vulnerable Adults report covering 2009/10, which will provide strategic information from partner agencies and collate activity information across Tees.

Introduction

Nationally a review of Adult Safeguarding has been undertaken, as detailed in the following extract from the Department of Health Ministerial Statement issued in January 2010:

“No Secrets: Guidance on developing and implementing multi-agency policies and procedures to protect vulnerable adults from abuse” was government guidance on safeguarding, issued in 2000. In 2008 -09 a national consultation exercise was held, in which some twelve thousand people took part. Many sent us detailed response; others wrote us very personal letters about their own experiences. Safeguarding partnerships met and discussed many of the 100 questions we posed; they debated and analysed and explored the issues with commitment, with passion and with dedication. Rarely have so many different professionals – social workers, police officers, nurses, housing officers, lawyers and voluntary sector workers – all responded to the same consultation. We are grateful to all who responded and we have listened carefully to the views expressed. A summary of responses was published on 17 July 2009. This Written Ministerial Statement sets out the Government's programme of actions in response to the consultation.

There were a number of key messages from the consultation. These included that stronger national leadership was needed, that local arrangements should be

placed on a statutory basis; and that revision and updating is needed to the “No Secrets” guidance. Our plans respond to all these points.

Around 3000 people participated in the consultation as members of the public, as users of social care, health care, including some who had suffered abuse in some form. Of the wide-ranging views expressed, first and foremost was that the voice of vulnerable people needed to be heard much more than it currently is. Vulnerable people wanted to be heard in safeguarding policy and practice and in situations where they were victims of harm. We will reflect these views very carefully in developing our response.

First the Government will establish an Inter-Departmental Ministerial Group (IDMG) on Safeguarding Vulnerable Adults. We plan to have the first meeting in March. The IDMG will have three roles. It will:

- i) determine policy and work priorities for the forthcoming year*
- ii) provide a strategic and co-ordination role; and*
- iii) provide public and parliamentary advocacy for this policy area*

Second, the Government will introduce new legislation to strengthen the local governance of safeguarding by putting Safeguarding Adults Boards on a statutory footing.

We will produce in the autumn, new, comprehensive, multi-agency guidance to set out clearly the roles and responsibilities for all those involved in safeguarding vulnerable adults. This will be built on and bring together targeted guidance and support materials, which will be developed in the coming months, including:

- a guide to the law on safeguarding, to help professionals understand and effectively use the range of legal powers that can prevent and deal with harm – including the Criminal Justice Act 1988, the Fraud Act, the Domestic Violence, Crime and Victims Act 2004, and the Mental Capacity Act 2005;*
- targeted guidance and toolkits for specific professionals, including general practitioners, nurses, housing staff and police officers; and*
- the Association of Chief Police Officers has set up a working group under the umbrella of the economic crime portfolio to lead a programme of work to improve our response to financial crime against vulnerable adults. Work is currently underway to complete an intelligence assessment with additional work to follow to further aid those involved at the frontline.*

Development of Partnership Governance Arrangements

Multi-agency commitment to the Safeguarding Adults agenda has been strengthened significantly over the last 18 months:

- The establishment of a Tees wide Safeguarding Vulnerable Adults Board and the appointment of Senior Lead Officers for both NHS Tees and Cleveland Police have raised the profile of this agenda.
- A new Business Manager post, funded by the four local Councils, has been appointed in order to lead the strategic work undertaken by the Tees-wide Safeguarding Vulnerable Adults Board, with a focus on:
 - Improving policy, procedures and practice guidance
 - Increasing public awareness, access and involvement
 - Workforce development and training
 - Learning lessons from Serious Case Reviews
 - Development of improved performance management and quality assurance

Sub-groups established to manage these work streams involve key staff from Health and Police, as well as designated Safeguarding Adults staff from the four Local Authorities.

As part of these Tees-wide arrangements, Stockton has an established Safeguarding Vulnerable Adults Committee, chaired by the Head of Adult Strategy. Its membership includes the Corporate Director of Children, Education and Social Care, the Cabinet portfolio holder for Adults and Health, the Chair of Health Select Committee, who is also a Dignity Champion, officers from across the Council, statutory partners and community and voluntary sector partners. The Committee has a high corporate profile, reflected in the Corporate Director's commitment along with her membership of the Stockton Safeguarding Children Board, Safer Stockton Partnership and the Learning Disabilities Partnership Board. The Head of Service for Adult Operations is also a member of the Stockton Local Safeguarding Children Board. These linkages help to ensure that best practice, lessons learned and examples of excellence are embedded across adult and children's safeguarding, and inform the planning processes around young people's transitions. The membership of the Safeguarding Vulnerable Adults Committee has been reviewed and will be agreed formally at July's meeting.

Examples of how good practice in safeguarding children has been introduced into safeguarding vulnerable adults include:

- The development of a quality assurance audit framework, which is already embedded in children's services.
- The commissioning of bespoke mandatory adult safeguarding, risk management and record keeping training for all adult services practitioners and managers, including relevant heads of service and the Director of Adult Social Care. Comparable training has already been implemented

across children's services and the delivery programme is in progress in adult services.

- The personalisation validation panel is made up of children's and adult services representatives and chaired by the Personalisation manager.

Minutes of the Adult Safeguarding Committee are sent to the Safer Stockton Partnership (incorporating the Drug and Alcohol Action Team steering group) and relevant issues noted. The minutes of Safer Stockton Partnership/DAAT go to the full Council ensuring all elected Members are aware of information relating to Adult Safeguarding.

A work plan has been agreed for Stockton's Safeguarding Vulnerable Adults Committee for 2010-11, which will be reviewed when the Tees-wide Board work plan has been ratified. This is attached as Appendix 1.

The interface between Stockton Safeguarding Vulnerable Adults Committee and the Tees wide Board is strengthened through the Head of Adult Strategy and Head of Adult Operations being members of both. Issues championed by the local Committee that have had an impact on strategic planning and service development include:

- The need for Adult Safeguarding to be an integral part of social care transformation, incorporated into the local development of Personalisation and risk assessment and enabling work streams.
- Protection of the public from crime and distraction burglary through key safe programmes, doorstoppers campaign and no cold calling zones in the Borough.
- Close working between partners to protect adults, in particular with the NHS. An example of this is the development of the Clinical Quality Assessors, funded by NHS Tees. This team is developing robust clinical standards and related monitoring framework for services provided on behalf of the NHS of in partnership with the Local Authority, for example Care Home Services.

The terms of reference of the Tees-wide Safeguarding Vulnerable Adults Board and Local Safeguarding Vulnerable Adults Committees are attached as appendices 2 and 3 respectively.

Contributions from NHS partners

NHS Stockton

Strategic leadership for Adult Safeguarding across Tees for the four Primary Care Trusts has been reviewed and strengthened to support and ensure delivery of the adult safeguarding agenda. This includes providing support to and involvement in the Tees-wide Adult Safeguarding Board and locality Adult Protection Committees. The Director of Nursing and Clinical Quality, and the Policy Lead for Adult Safeguarding are recent Tees-wide Primary Care Trust appointments. These appointments demonstrate corporate recognition of the importance of the adult safeguarding agenda and its commitment to driving forward quality improvements as a Commissioner in health and social care services for local residents and their families.

At an operational level NHS Stockton on Tees as a Commissioner of local health services, has focused on specific areas of development to support operational implementation of the Tees-wide Adult Safeguarding Policy and Procedures. The Medicine's Management team (North of Tees) work closely with the Local Authority Contracts team in Stockton to undertake medicine audits/reviews through an agreed programme which supports and informs care home contract monitoring and performance management activity. It also enables the provision of advice and information to the care homes to encourage improvements in practice. The team's involvement is positively viewed by all stakeholders and is recognised as supportive of a whole systems approach locally. Work is in progress currently to ensure that a coordinated approach to driving clinical quality standards is embedded within and across the health and social care economy through collaborative approaches.

The Continuing Health Care team in Stockton continues to engage in adult safeguarding strategy meetings, and investigations. The team's involvement in adult safeguarding is currently being reviewed by NHS Stockton to ensure that all staff are clear about their contribution and the organisations expectations.

Staff within NHS Stockton who are considered to have direct contact with patients/residents, have undertaken adult safeguarding awareness training. This training is mandatory for all of these staff. A review of all posts within and cross the four Primary Care Trusts is being progressed currently to identify specific training needs in relation to all commissioning staff; competency requirements regarding adult safeguarding will be addressed as part of this programme of work.

During the next year it is intended to continue to progress actions that will demonstrate the Trusts commitment to improvements in the local response to adult safeguarding .

Tees, Esk and Wear Valley Foundation Trust

There is ongoing Senior Nurse Representation from Tees, Esk and Wear Valley NHS Foundation Trust at both the Tees-wide Safeguarding Board the Stockton Safeguarding Vulnerable Adults Committee and at the Learning Disabilities Partnership Board work stream meetings as the Trust is committed to partnership working to eradicate all forms of Abuse.

Tees, Esk and Wear Valley NHS Foundation Trust has acknowledged the impact that training of staff has in relation to the recognition of all forms of abuse and is committed to continuing to train and develop its workforce in the Safeguarding Adults agenda by placing Alerter training on a mandatory footing.

The excellent liaison and interface between the Stockton's safeguarding team and Tees, Esk and Wear Valley NHS Foundation Trusts safeguarding team ensures there is representation and involvement in Strategy meetings and any multi agency serious case reviews specific to Stockton

Tees, Esk and Wear Valley NHS Foundation Trust is committed to driving forward and working in partnership to implement Stockton's work plan for the coming year

Training

Training is commissioned on a Tees-wide basis utilising the skills and experience from Adult Safeguarding teams. A range of training options are available, based on 4 levels. Bespoke training is also commissioned and delivered ensuring that Stockton is responsive to the needs of its partners. Achievements in the past year include;

- Seminars for elected members in November 2009 which were attended by a total of 24 elected members (a further Safeguarding session relating to both Children and Adults has been arranged for September 2010).
- Seminars for Community Safety Partnership Committee members, including Community Police, Fire Service, housing, Women's Aid, Prison Service, Neighbourhood Watch, Public Health and drug and alcohol Strategic Commissioners.
- Awareness raising training programmes for Mental Capacity Act (MCA) / Deprivation of Liberty Safeguards (DoLS) has reached over 700 participants to date, including staff from care homes, the Mental Health Trust (TEWV), Acute, Community and Primary Care Staff. A positive example of uptake from harder to reach groups has been the participation of Junior Doctors at the Foundation Trust. While the focus of these sessions is MCA / DoLS, Adult Safeguarding issues are always also included.
- An accredited 5-day Skills for Care mandatory induction programme for care workers includes Adult Safeguarding Training and is the first of its kind in the country. It is provided by Tees Valley Alliance and is supported financially by the Council.
- We also provide a number of half-day awareness courses each year, free of charge, and open to local authority employees, employees of partnership

agencies, independent sector providers and personal assistants employed through direct payments. 150 people have accessed this course during 2009/10.

- More flexible training options are provided through e-learning programmes. 150 organisations/departments from the Council, all Health partners, private Hospitals, the Fire Service, Police, and Independent Sector providers have access and have used this facility in 2009/10.
- During 2009/10 we have pro-actively contacted organisations that were making little or no use of the e-learning (based on regular monitoring), to ascertain any barriers or what alternative training arrangements they have in place. To date we have had over 2100 hits on the safeguarding programme site.
- Bespoke MCA / DoLS training programmes have been developed within 3 care homes. Additional learners from other care homes will also access this training, sharing understanding and best practice.
- A Tees wide Basic Awareness Workbook approved by Skills for Care has been developed.
- The Tees Valley Alliance provides a two-day multi-agency training course, commissioned by Tees-wide Authorities and Durham. This is accredited at two levels by Teesside University and is part of the PQ Specialist Award in Social Work, but is also open to Registered Managers and other professional groups, for example District Nurses.
- The Tees-wide Safeguarding Board training sub-group has been working with Teesside University to develop the next stage of Safeguarding training for professional staff across the Tees Valley. The university is to provide a further accredited module, which covers risk assessment and management in safeguarding adults practice.

Information and awareness raising

There has been a strong campaign across Stockton to ensure that the general public and professionals are aware of what Adult Safeguarding means to them, where they can go for information and advice, and how to report concerns:

- Posters and leaflets have been distributed across a range of outlets where the general public would be able to access them easily.
- Leaflets are available for translation upon request reflecting the ethnic diversity within the Borough and the needs of those with sensory loss.
- The campaign has targeted all Council and key partner venues where the public has access and has been promoted through established fora for engagement with commissioned services, e.g. the Care home Stakeholders Groups, Registered Managers Group, Domiciliary Care Providers Group and Supporting People Forum.
- Copies of the MCA and DoLS codes of practice have been widely distributed across partner agencies. The Registered Managers Forum (Care Homes) has assisted with the distribution of the codes of practice. In addition to this a range of literature produced by the Office of the Public Guardian / Department of Health is distributed as and when required.

- Public information relating to safeguarding vulnerable adults is planned for *Stockton News* in May and July 2010.

Assuring quality of casework for vulnerable people

In 2008 an Independent audit of case files and local Adult Safeguarding processes was commissioned, and carried out in 2009 and additional resources have been commissioned by the Council to support the development of the Quality Assurance framework and to carry out an independent audit of safeguarding work across adult services. An interim report will be presented at July's Safeguarding Vulnerable Adults Committee.

Action has also been taken in the past year to improve arrangements for quality assurance of casework, taking account of learning from development of such work in Children's Services. This has involved:

- Redesigning the pathway for the management of safeguarding referrals to ensure a consistent approach.
- Piloting and agreeing a tool for auditing case files.
- Agreeing with Managers a framework for the number and frequency of audits that will be carried out at Team Manager, Service Manager, Head of Service and Director levels.
- A review of the first round of completed audits and the associated action plan, based on the report's recommendations, will be presented to the Safeguarding Vulnerable Adults Committee.

Links to Mental Capacity Act (MCA)

The MCA Lead and the Adult Safeguarding Co-ordinator work within the Adult Strategy Team, providing greater linkage between commissioning and safeguarding, which is particularly important in monitoring service provision in the independent sector. A separate reporting and monitoring framework is in place for MCA and Deprivation of Liberty Safeguards (DoLS) and the Local Implementation Network group is chaired by Stockton's Project Lead for MCA / DoLS. The Project Lead also links into the regional steering group. The Project lead post is a joint Council and PCT post supporting the commitment to partnership working and integrated delivery of services. It is acknowledged that people who lack the mental capacity to make particular decisions in particular circumstances are particularly vulnerable and may require the support of independent advocacy services. A separate report that details activity specific to the Local Authority and Primary Care Trust statutory duties under the Mental Capacity Act in 2009-10 will be presented to the safeguarding Vulnerable Adults Committee in September 2010. Information relating to Deprivation of Liberty Safeguards and advocacy will be included in this report.

Activity

The number of referrals to the Adult Safeguarding team have increased year on year. In order to address the demands of this increased workload, additional safeguarding co-ordinator and administrator resources have been employed since October 2009 and February 2010 respectively. A review of safeguarding

processes has also been carried out with distinct pathways developed for people living independently and another for people living in a care home setting. The pathway is also being developed to ensure that it supports user and carer involvement and appropriate advocacy support. Awareness raising and training appears to have had a positive impact in 2009/10, with a 40% increase in referrals overall reflecting, in part, people's awareness of what abuse could include and what to do if they are concerned about adult abuse or neglect in the community (this judgement is based on the fact that 30% of total referrals were subsequently found to be unsubstantiated and referred in following awareness of key triggers in relation to people's personal safety).

Of those that were found to be appropriate, the two most significant areas were medication errors in care home settings and financial abuse in a community setting. The former (which accounted for 30% of cases) reflects issues relating to practice and communication, rather than deliberate actions, and has been subject to a number of discussions through key groups including the joint PCT/ Council Care Home Stakeholders Group and a specific group set up to look at the issue of medication administration following the national care home use of medicines study (CHUMS) in 2010, for which we have a multi agency action plan already in place. In addition, the care Home Stakeholders group has monitored the trend of medication errors and Pharmacy Advisors, Commissioners and the Safeguarding Team have launched a medication error reporting system by registered care providers and CQC to run alongside their regulation 37 reporting system.

The cases of those suffering alleged financial abuse, were found to reflect wider issues of family relationships (for example issues relating to estranged family members and sibling tensions). The key issue identified for professionals was around assessing the mental capacity of the client in question, and maintaining effective support and communication with professionals through contracted services (which has been included in the *2010/11 Quality Improvement Plan for Health and Care*). Examining the neglect allegations, 102 in 2009/10, 30 were medication error allegations, 4 out of 102 were made against home care staff, 22 out of 102 were made against relatives or friends, 76 out of 102 were made against care staff in a care home or care home with nursing setting.

Analysis of the concerns where another vulnerable adult was the alleged perpetrator indicates that these were in situations where both were being supported in the same service due to their dementia or learning disability and demonstrating behaviour that challenges. A sample of the 42 cases in 2009/10, which showed a slight reduction compared to 2008/9, indicated a high level of support by close relatives acting as their family advocate in reviewing their care plans to prevent further harm.

The 40% rise in allegations of all types against paid workers in 2009/10 compared to 2008/9 is partly explained by a small number of investigations involving a number of service users in the same care setting, by the increase in medication errors now being reported to adult safeguarding rather than being dealt with solely through contract compliance and Care Quality Commission regulation, and by raised awareness of the expected standards for Vulnerable Adults of personal care services. A safeguarding incident in 2009/10 has shown how effective

current partnership arrangements are in responding to and addressing the root cause and impact of an incident to protect vulnerable adults. A case study has been developed to feed into a multi-agency seminar, led by Tees PCTs' Director of Clinical Quality, to look at this incident critically and identify the lessons to be learnt and how any related changes in practice will be implemented. The extent of inter-agency working and senior management involvement has also linked into regional fora in relation to safeguarding, commissioning and regulation.

The table below shows a summary of activity for the last three financial years. The detail of statistics submitted by Stockton to the Tees-wide Safeguarding Adults Steering Group/ Tees-wide safeguarding Vulnerable Adults Board for 2009/10 are attached as appendix 4 and include source of referral information. From 1st October 2009 to 31st March 2010 Stockton also participated in a national pilot that required data to be collected in a uniform way to aid analysis. Stockton's Abuse of Vulnerable Adults return is attached as appendix 5.

Safeguarding Alerts	2007/2008	2008/2009	2009/2010
TYPE OF ABUSE			
Physical Abuse	72	97	110
Financial Abuse	55	64	102
Sexual Abuse	14	23	22
Neglect	34	58	102
Psychological Abuse	29	40	46
Discriminatory	0	0	2
Institutional (not used in this context)			0
TOTAL safeguarding alerts	206	282	382
CLIENT GROUP			
Physical disabilities 65+	99	115	160
Physical disabilities 18-64	19	35	28
Mental Health support 65+	26	49	85
Mental Health support 18-64	21	25	37
Learning disabilities 65+	1	0	2
Learning disabilities 18-64	34	47	63
Sensory loss support	4	9	7
HIV/AIDS support	0	0	0
Substance misuse support	2	2	0
Carer	0	0	0
TOTAL	206	282	382
ALLEGED PERPETRATOR			
Other vulnerable adult	24	47	42
Paid care worker	79	89	146
Spouse, friend, family member	76	108	146
Other (rogue trader, door step criminal etc)	27	38	48
TOTAL	206	282	382

Financial information

Stockton on Tees Multi Agency Adult Safeguarding Service

Budget 2009/10

Employee Costs		£66,605
A – AP Coordinator	£44,560	
B – AP Administrator	£22,045	
Travel Costs		£1,600
A – AP Coordinator	£1,053	
B – AP Administrator	£547	
Meetings/Hospitality		£615
Training	(3 days per year with external speakers @ £1000 per day inc expenses)	£3,000
Admin/Stationary		£895
Printing (reports and procedures)		£2,316
Publicity Materials		£1,263
TOTAL		£76,311

Based on the Tees-wide protocols between the signatory agencies to the Inter Agency “No Secrets” policy the contributions to this budget would be expected to be:

50% by the Local Authority (Stockton on Tees Borough Council) £38,156

40% by the Health Service (Stockton on Tees PCT) £30,524

10% by Cleveland Police £7,631

Additional investment

In order to deal with the increased workload, additional administration resource and safeguarding co-ordinator resource have been arranged through agencies since October 2009 and February 2010 respectively. The costs of this have been funded through the Adult Strategy Team budget slippage related to vacancies.

Additional Safeguarding Co-ordinator costs £ 5,027

Additional Administrator costs £11,657

The additional safeguarding adults coordinator is an experienced social care practitioner who has worked as a social worker, senior practitioner, team manager

adult safeguarding manager and university lecturer and researcher. His professional and academic skills and experience have enabled him to make a very positive contribution to the work of the safeguarding team. This additional coordinator resource has enabled the substantive post holder to undertake file reviews and to support the introduction of new operational procedures, as well as providing extra capacity with respect to the coordinator role.

Plans for 2010-11

Although improvements in adult safeguarding systems and processes have been made in the last year, we need to continue to work to ensure that these changes are embedded in practice. This will involve continued commitment to the Quality Assurance work and to learning lessons from the outcomes of this work stream. The CQC Adult Services Inspection will provide us with an assessment of our current practice in relation to adult safeguarding and we are committed to working to achieve the outcomes identified and incorporated into our post-inspection action plan.

Adult safeguarding activity will continue to be monitored in line with the continued implementation of the revised operational procedures and the staffing requirements of the safeguarding team will be reviewed.

A review of the staffing resources needed to meet the demand of Adult Safeguarding will be undertaken and recommendations will be made to Adult Care Management Team and a subsequent Adult Safeguarding Board in the Autumn.

Liz Hanley
Chair of the Safeguarding Vulnerable Adults Committee

Paul Green
Adult safeguarding Coordinator

July 2010