



Angus Adult Protection Committee Initial and Significant Case Review Guidance

A Significant Case Review is a multi-agency process for establishing the facts of, and learning lessons from, a situation where an individual has died or has been significantly harmed. Significant Case Reviews should be seen in the context of a culture of continuous improvement and should focus on learning and reflection on day-to-day practices, and the systems within which these practices operate.

The functions of Adult Protection Committees are determined by the relevant sections (Sections 42-47) of the Adult Support and Protection (Scotland) Act 2007, developed in response to local circumstances and the requirements of Chief Officers.

Although there is no requirement in the legislation to undertake Significant Case Reviews, this guidance has been developed in order that serious incidents are learned from and that learning will influence the development of future policy, practice and service development.

The purpose of the Guidance is to provide a systematic and transparent approach to the process of SCR. The overarching objectives of a review are to:

- Establish whether there are lessons to be learnt about how better to protect adults at risk and help ensure adults get the help they need when they need it in the future - reviews should be understood as a process for learning and improving service as well as a means of recognising good practice;
- If and when appropriate, make recommendations for action (albeit that immediate action to improve service or professional shortcomings need not await the outcome of a formal review);
- Consider how any recommended actions will be implemented;
- Address the requirement to be accountable, both at the level of the agency/agencies and the occupational groups involved;
- 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; and
- Identify national issues where appropriate including good practice.

Criteria for establishing whether a case is significant

When an adult dies and:

- The adult meets the definition of an adult at risk as defined by the Adult Support and Protection (Scotland) Act 2007;
 - Harm or neglect is known or suspected to be a factor in the adult's death;
- and**, in addition to this, the incident or accumulation of incidents gives rise to serious concerns about professional and/or service involvement or lack of involvement.

When an adult has not died but:

- The adult meets the definition of an adult at risk as defined by the Adult Support and Protection (Scotland) Act 2007;
 - has sustained serious harm or risk of serious harm, under one or more of the categories of harm and neglect set out in the Adult Support and Protection (Scotland) Act 2007 and in Section 2.8 of this guidance;
- and**, in addition to this, the incident or accumulation of incidents gives rise to serious concerns about professional and/or service involvement or lack of involvement.

AAPC will consider any request for an Initial Case Review. Any concerns raised by families, carers and similar interested parties shall be addressed through the normal complaints procedures for each agency involved.

Definition of an adult at risk

For the purpose of this document an adult is a person over the age of 16.

An adult at risk meets the criteria set out in Section 3 of the Adult Support and Protection (Scotland) Act 2007, namely:

- They are unable to safeguard their own well-being, property, rights or other interests
- They are at risk of harm
- Because they are affected by disability, mental disorder, illness or physical or mental infirmity, they are more vulnerable to being harmed than adults who are not so affected.

Definition of harm

Under section 53 of the Adult Support and Protection (Scotland) Act 2007, harm is defined as all harmful conduct.

- Another person's conduct is causing or is likely to cause the adult to be harmed or
- The adult is engaging in conduct that is causing or is likely to cause harm

Categories of harm

Harm can be:

- Physical
- Sexual
- Emotional
- Neglect
- Financial
- Self harm

Initial Case Review

Angus Adult Protection Committee may not immediately appreciate that a case is significant. An Initial Case Review is, therefore an opportunity to consider relevant information, determine the course of action and recommend whether an SCR or other response is required.

An ICR should not be escalated beyond what is proportionate, taking account of the severity and complexity of the case and the process and its timescales. It should not detract from agencies taking whatever urgent action is required to protect any other adults who may be at risk.

Summary of the ICR process

Step 1: Potential significant case notified to APC as soon as practicable after the event or when a series of events suggests an SCR may be appropriate. Any practitioner within any agency can ask for a case to be reviewed.

The initial case review notification form should be used (**Appendix 1**): This includes:

- A statement about the current position of the Adult, and, if they are alive, what actions have been or will be taken on their behalf;
- A brief description of the case and the basis for referral;
- Any other formal proceedings underway;
- A summary of agency/professional involvement;
- Lead contacts for each agency.

When complete, the initial case review notification form should be emailed to aapc@angus.gov.uk and the Team Leader, Protecting People, or nominated person, who notifies the AAPC Independent Chair. At this point the AAPC member representing any agency involved with the Adult should also be informed and requested to complete the ICR Report Template (**Appendix 2, Part A**).

The Team Leader, Protecting People, Service Leader Child Protection and Review, and AAPC Chair agree will agree a Mandated Sub Group (MSG) of the AAPC who have no direct involvement with the case to consider the collated information from relevant agencies.

Step 2: AAPC representatives gather information from their respective agencies as requested and each submit a report(s) to aapc@angus.gov.uk as soon as possible but no longer than **14 calendar days** from initial notification using the ICR Report template (**Appendix 2, Part A**).

If agencies cannot reasonably complete the ICR Report within the agreed timescale, the reasons for this should be recorded. All reports returned will be acknowledged.

Step 3: The AAPC MSG will meet to consider the information as soon as possible.

Within **28 days of the ICR being requested**, the AAPC MSG convenes to consider agency/service information.

Having a multiagency chronology and a timeline for this stage can help with decision making and identifying information gaps.

The output of the meeting will be either:

- Further information required to enable a recommendation – set timescale for completion and supplementary meeting; or
- Sufficient information available to enable recommendation to progress to SCR or not (recording rationale and identifying areas of learning).

Step 4: AAPC MSG decide whether or not to proceed to a Significant Case Review (SCR):

An SCR should only be undertaken when the criteria are met; where there is potential for significant corporate learning; and where an SCR is in the public interest and in the best interests of the individual and their family. If there is no clear consensus within the AAPC MSG as to whether or not to progress to an SCR, the final decision rests with the AAPC Chair.

The AAPC MSG may decide that no SCR is needed but follow-up action by one or more agencies is required:

- This may be the case if, for example, there has been a misunderstanding of guidance, or if local protocols need to be reinforced. The APC may want to draw appropriate guidance to staff's attention or review training or protocols on a particular theme.
- They may also decide to initiate local action to rectify an immediate issue or to undertake single agency action. Follow-up action should be agreed and scheduled into the APC's future work programme.

Where the AAPC is satisfied there are no concerns and there is no scope for significant corporate/multi-agency learning or it is clear that appropriate action has already been taken they may decide to take no further action.

Step 5: Ratification of decision

The APC should report the outcome of an ICR to the Chief Officers Group (COG) for full ratification. COG will be notified when the APC MSG have convened and made a recommendation.

Step 6: Notification and recording of decisions

All decisions (including no further action) and the reasons for these decisions should be recorded by the APC in a report, using the headings in Appendix 2 and a record of decision making. This will be added to the register of potentially significant cases referred to AAPC.

A written record of the decision (**Appendix 2, part B**) will be sent to all agencies directly involved with the adult and recorded in the adult's case files.

If a decision is made to proceed to an SCR, the Chair of the ACPC will advise the adult and/or family/carers of the APC's intentions and ensure they are kept informed of the stages of the review and any outcomes. A single point of contact will be agreed for family members.

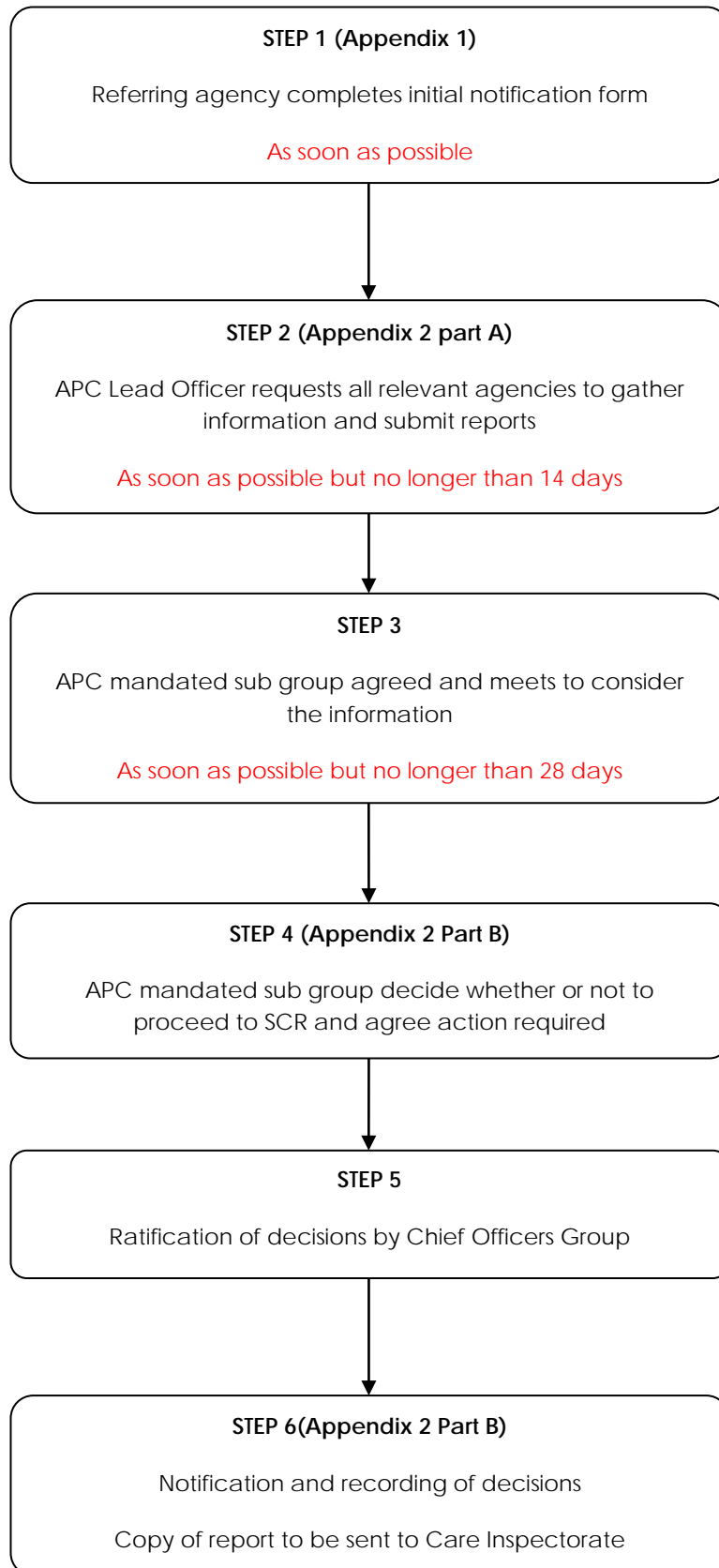
The Team Leader Protecting People will send the report to the Care Inspectorate, using Part B of the initial case review report (**Appendix 2, part B**) and if appropriate, for parallel processes to other relevant parties (for example, Crown Office and Procurator Fiscal Service - COPFS).

Individual agencies should record on the adult's file that an SCR has been agreed.

Any actions arising from the ICR/SCR will be developed into an Action Plan by the MSG and ratified by COG. The plan will be actioned by the APC Practice Sub Committee and Training Sub Committee where appropriate or referred to a single agency where there are single agency recommendations. Progress of the Action Plan will be monitored by the MSG.

Any actions requiring immediate attention or any evidence of criminal acts or civil negligence relating to the case will be proportionate and addressed by agencies through appropriate channels.

ICR process flowchart



AAPC Mandated Sub Group

Will comprise of representatives of key agencies who are members of AAPC and relevant to the ICR/SCR. This will include Police Scotland, NHS Tayside, Angus Council, Angus Health and Social Care Partnership and any other member of ACPC whose agency has had involvement with the individual.

Roles and Responsibilities

- Decide and seek to inform those who will input and have a legitimate interest in the Review
- To decide how much information will be offered to different parties
- To decide how information will be provided
- Be the key contact point for their agency
- Report any evidence of criminal acts or civil negligence to AAPC Chair
- Be a point of contact for staff within their agency, providing copies of national and local guidance, and provide appropriate access to support for staff involved in the process
- Consider the knowledge and skills of the AAPC Practice Sub Committee members and how these can best be used to support the process

Significant Case Reviews

Following the Initial Case Review and ratification by Chief Officers,

AAPC MSG will:

- Consider and agree the methodology to be used in undertaking the SCR.
- Identify who will undertake the review.
- Notify the Chief Officers Group and all agencies involved in the case that there will be an SCR and that fact should be recorded on the case record and the cases of relevant adults.
- Chair of AAPC will present a paper to COG. This will include seeking COG to consider and agree how funding costs will be met.
- Ensure that a multi-agency chronology of significant events, engagement and contacts is prepared.
- Complete and circulate the chronology to agencies and professionals to check for accuracy.
- Form part of the Review Team.
- Set the remit of the review which will include:
 - the timeframe the review will cover
 - clarity of roles and responsibilities across agencies
 - Timescales for production of reports and setting deadlines.

The remit must be ratified by COG.

Process for commissioning an external reviewer

- Angus Council will act on behalf of AAPC and Complete Contract/Specification of requirements with Procurement Team, unless there are exceptional circumstances.
- Conduct Data Protection Impact Assessment
- Agree budget then complete Exemption Request form
- Complete IR35 Self Employment Status form online
- Obtain copies of Insurance documentation
- Obtain access to secure storage of data through IT department

Dissemination and publication

For each individual SCR, AAPC – in conjunction with the Chief Officers – will agree a communication and dissemination strategy that best serves the public interest and the purpose of improving service delivery.

There may be a number of other processes underway alongside a SCR and each SCR will be considered on an individual basis as to the process, outcomes and method of dissemination and publication.

Appendix 1 – Initial Case Review notification



INITIAL CASE REVIEW NOTIFICATION

The criteria for establishing if a case is 'significant' is recorded in appendix A.

Designated person in an agency must complete this form when there is potential for an initial case review and/or significant case review. This notification must be submitted to Angus APC aapc@angus.gov.uk as soon as possible and within 7 calendar days of informing the agreed lead.

Name/identifier:	
Date of birth:	
Gender:	
Address:	
Current legal measures:	
Adult Protection Measures in place?	
Previous Adult Protection Measures in place?	
1. Brief summary of the person's circumstances leading to this notification	

2. Grounds on which the criteria for an SCR may have been met (refer to appendix A)

3. Are there any immediate concerns? If so, what are these and have they been passed to the relevant agency for consideration or action?

4. Service/agency/professionals involved with the person?
(Agencies will be asked to provide information on their involvement)

5. Any other proceedings underway?

Notification submitted by:

Name:

Designation:

Date:

Email to aapc@angus.gov.uk

All notifications will be acknowledged. If you do not receive a receipt by email orail or phone, please contact the Lead Officer for your APC.

Appendix A

Criteria for establishing whether a case is significant

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Appendix 2



INITIAL CASE REVIEW REPORT

Following receipt of a notification, agencies must complete this initial case review report and submit to aapc@angus.gov.uk.

PART A

Name/identifier:	
Date of birth:	
Gender:	
Address:	
Current legal measures:	
Adult Protection Measures in place?	
Previous Adult Protection Measures in place?	
1. Summary of involvement:	

2. Background (include relevant issues such as health, disability, cultural, religious, sexual orientation, LAC status and history, AP history, service involvement history)

3. Outline of key issues including:

- Were there strategies and actions to minimise harm?
- Was there evidence of information sharing?
- Was there recognition and assessment of risk?
- Was timely and effective action taken?
- Was there evidence of planning and review?
- How good was the record keeping?
- Were legal measures used appropriately?

4. Practice issues

Please identify practice that meets expected standards, practice that is above expected standards and practice that is below expected standards, as well as any known areas for improvement

Any particular sensitivities (for example, from the PF or Police about cases where there are likely to be disciplinary proceedings):

5. Recommendation

Please highlight any areas which may require further consideration

Submitted by:

Name:

Designation:

Date:

Email to aapc@angus.gov.uk

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PART B – FOR COMPLETION BY MANDATED SUB-GROUP

6. Decisions made and reasons:	
Case review number:	
Date of review report:	

7. Case review group	
Options to be considered:	
Decisions made:	
Reasons:	
Date:	

8. Adult Protection Committee

Date notified of above decision:

Note of discussion by Adult Protection Committee:

Decisions made:

Reasons:

Date:

9. Chief Officers	
Date notified of above decision:	
Note of any comments/discussion by Chief Officers:	
Decisions made:	
Date:	

Appendix A

Criteria for establishing whether a case is significant

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Version	Date updated	Date Approved by ACPC	Review
Version 1	30.10.18		October 2021