

Leicester  
City Council

## **MEETING OF THE ADULT SOCIAL CARE SCRUTINY COMMISSION**

**DATE: TUESDAY, 29 OCTOBER 2019**

**TIME: 5:30 pm**

**PLACE: Meeting Room G.01, Ground Floor, City Hall, 115 Charles Street, Leicester, LE1 1FZ**

### **Members of the Committee**

Councillor Joshi (Chair)

Councillor March (Vice-Chair)

Councillors Batool, Kaur Saini, Khote, Kitterick and Thalukdar

One unallocated non-group place

### **Standing Invitee (Non-voting)**

Representative of Healthwatch Leicester

Members of the Committee are invited to attend the above meeting to consider the items of business listed overleaf.

For Monitoring Officer

#### **Officer contacts:**

**Angie Smith (Democratic Support Officer),**

Tel: 0116 454 6354, e-mail: [angie.smith@leicester.gov.uk](mailto:angie.smith@leicester.gov.uk)

Leicester City Council, Granby Wing, 3 Floor, City Hall, 115 Charles Street, Leicester, LE1 1FZ

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If you have any queries about any of the above or the business to be discussed, please contact: **Angie Smith, Democratic Support Officer on 0116 454 6354**. Alternatively, email [angie.smith@leicester.gov.uk](mailto:angie.smith@leicester.gov.uk), or call in at City Hall.

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## **PUBLIC SESSION**

### **AGENDA**

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#### **1. APOLOGIES FOR ABSENCE**

#### **2. DECLARATIONS OF INTEREST**

Members are asked to declare any interests they may have in the business to be discussed.

#### **3. MINUTES OF THE PREVIOUS MEETING**

The minutes of the meeting of the Adult Social Care Scrutiny Commission held on 10<sup>th</sup> September 2019 have been circulated and the Commission is asked to confirm them as a correct record.

#### **4. PETITIONS**

The Monitoring Officer to report on any petitions received.

#### **5. QUESTIONS, REPRESENTATIONS AND STATEMENTS OF CASE**

The Monitoring Officer to report on any questions, representations or statements of case.

#### **6. LEICESTER SAFEGUARDING ADULTS BOARD - ANNUAL REPORT 2018/19**

**Appendix A**  
**(Pages 1 - 28)**

The Independent Chair, Leicester Safeguarding Adults Board (LSAB) submits the LSAB's Annual Report 2018/19. Members are asked to note and comment on the report as they see fit.

#### **7. LEARNING DISABILITY STRATEGY - CONSULTATION FINDINGS**

The Strategic Director for Social Care and Education will submit a presentation

to the meeting on consultation findings with regards to the Learning Disabilities Strategy. Members will be asked to note the presentation and pass any comments to the Strategic Director for Social Care and Education.

**8. CONTRACT & ASSURANCE 2018 ANNUAL QUALITY REPORT** **Appendix B**  
**(Pages 29 - 46)**

The Strategic Director for Social Care and Education submits a report to the Commission which provides an overview of the quality of care provided by the regulated contracted organisations providing support to adult social care service users during 2018/19. Members of the Commission are recommended to note the contents of the Annual Quality Report 2018 as detailed at Appendix 1, and provide any comments to the Strategic Director for Social Care and Education.

**9. ADULT AND SOCIAL CARE SCRUTINY COMMISSION WORK PROGRAMME** **Appendix C**  
**(Pages 47 - 50)**

The current work programme for the Commission is attached. The Commission is asked to consider this and make comments and/or amendments as it considers necessary.

**10. ANY OTHER URGENT BUSINESS**

Leicester  
**Safeguarding**  
Adults Board

WORKING IN PARTNERSHIP  
TO KEEP ADULTS SAFE

Partnership  
Empowerment  
Accountability  
Proportionality  
Prevention  
Protection

## ANNUAL REPORT 2018/2019



# **Leicester Safeguarding Adults Board**

## **Annual Report 2018/2019**

Report prepared and published pursuant to paragraph 4 of Schedule 2 of the Care Act 2014

Report Author: Lindsey Bampton, LSAB Manager

Report Date: May 2019

An easy read version of this document is in development and will be published on the Safeguarding Adults Board page of the Leicester City Council website

# CONTENTS

	<b>Page Number</b>
<b>Foreword</b>	<b>4</b>
<b>1. Executive Summary</b>	<b>6</b>
<b>2. The Board</b>	<b>8</b>
a. Leicester SAB Membership	8
b. Purpose	8
c. Board Structure	9
<b>3. What Does Leicester Look Like?</b>	<b>10</b>
a. Context: Leicester City	10
b. Leicester City Safeguarding Data	11
<b>4. Strategic Priority: Ensuring Statutory Compliance</b>	<b>13</b>
a. Safeguarding Adults Review 1	14
b. Safeguarding Adults Review 2	15
c. Safeguarding Adults Review 3	17
<b>5. Strategic Priority: Enhancing Everyday Business</b>	<b>18</b>
a. Policies and Procedures	18
b. Performance and Assurance	19
c. Multi-Agency Audits	19
d. Training	20
<b>6. Strategic Priority: Strengthening User and Carer Engagement</b>	<b>25</b>
<b>7. Strategic Priority: Raising Awareness in our Diverse Communities</b>	<b>25</b>
<b>8. Strategic Priority: Understanding How Well We Work Together</b>	<b>26</b>
a. Thematic Task and Finish Group: Thresholds	26
b. Thematic Task and Finish Group: Competency Framework	26
<b>9. Strategic Priority: Improving Safeguarding Transitions for Young People</b>	<b>26</b>
a. Safeguarding Transitions Task and Finish Group	26
<b>10. Looking to the Future</b>	<b>27</b>

## FOREWORD

Welcome to Leicester Safeguarding Adults Board's annual report for 2018/2019. I joined as Independent Chair in June 2019, shortly after this report had been drafted. Robert Lake chaired the Board between April 2018 and February 2019 and on behalf of the partnership, I would like to extend my thanks to Robert for his dedication and commitment to the Board during his time here. I would also like to thank Steven Forbes, Strategic Director Social Care and Education, Leicester City Council for stepping in as interim chair from February 2019 until my recent arrival.

Leicester's is a well-established Safeguarding Adults Board, its existence pre-dating the Care Act 2014, which put the partnership on a statutory footing. I can see from the detail in this annual report that there is a partnership approach to safeguarding in Leicester, with a focus on how the organisations work together to protect adults with needs for care and support who are at risk of abuse or neglect and unable to protect themselves because of those needs.

Of particular note is the involvement of strategic partners in chairing Leicester's Sub Groups. The Performance, Review and Training Sub Groups are chaired respectively by Ruth Lake, Director Adult Social Care and Safeguarding, Leicester City Council; Matt Ditcher, D/Supt Serious Crime, Head of Public Protection, Leicestershire Police; and Rachel Garton, Designated Nurse Safeguarding Adults and Children Leicester, Leicestershire and Rutland Clinical Commissioning Group (CCG) Hosted Safeguarding Team. This commitment to partnership working is impressive and can also be seen through the equal funding provided by statutory partners to facilitate the functioning of the Safeguarding Adults Board.

I read with interest the Safeguarding Adults Reviews that concluded in 2018/2019. I offer my condolences to the families of the individuals at the heart of these reviews and pledge to work with the partnership to ensure that learning from these reviews is embedded.

I believe my role as Chair is to support the partners in dealing with the complex issues that adult safeguarding necessarily raises, which this annual report gives examples of. My role is also to ask constructive questions about the wider safeguarding system and draw attention to issues that perhaps it is easier for someone unconnected with the partner agencies to ask about and want assurance on.



I look forward to finding out more about the work that is underway to engage service users. I know that improving outcomes for adults in the city who need safeguarding is what motivates all the board members.



**Fran Person**  
**LSAB Independent Chair**

## EXECUTIVE SUMMARY

- Leicester Safeguarding Adults Board (LSAB) is a partnership established by Leicester City Council under the Care Act 2014. Statutory members are Leicester City Council, Leicester City Clinical Commissioning Group, and Leicestershire Police. However, full membership is much wider than the statutory partners.
- Throughout 2018/2019 Leicester Safeguarding Adults Board worked to coordinate and ensure the effectiveness of each of its partners in order to meet its objective: to help and protect adults in Leicester with needs for care and support who are experiencing (or at risk of experiencing) abuse or neglect and as a result of those needs are unable to protect themselves.
- In Leicester city, during 2018/2019, 540 S42 Enquiries (action taken or instigated by a local authority, under Section 42 of the Care Act 2014) were concluded. Of these, the risk to the individual was reduced in 60% of cases, and removed entirely for a further 32%. In 8% of cases the risk remained.
- Leicester Safeguarding Adults Board concluded two Safeguarding Adults Reviews (SARs) and commissioned one. The partnership worked together to identify and implement learning.
- Working with Leicestershire and Rutland Safeguarding Adults Board, the partnership maintained up to date inter-agency adult safeguarding policies and procedures across Leicester, Leicestershire and Rutland.
- The Board's established quality assurance framework details domains of quality assurance that the Performance Sub Group used to test safeguarding effectiveness across the partnership.
- 2018/2019 saw the Joint Audit Sub Group building on its good work of previous years, undertaking multi-agency safeguarding adults audits across Leicester, Leicestershire and Rutland. Separate audits focused on Multi-agency Vulnerable Adult Risk Management (VARM) and Strategy Meetings, with audit findings directly influencing changes to local policies and procedures.
- A host of multi-agency safeguarding training was put on by Leicester Safeguarding Adults Board across the partnership, with over 440 delegates attending conferences and workshops covering topics including Mental Capacity Act, safeguarding transitions, fire safety in the homes of vulnerable adults, thresholds guidance, recognising coercive control, learning from reviews, and more.
- In addition, established Mental Capacity Act forums continued to be facilitated for providers in the city, and a regular Trainers' Network focusing on best safeguarding adults practice, was held on a quarterly basis across Leicester, Leicestershire and Rutland.
- The role of Ambassadors Network Coordinator – a paid role for someone with experience as a service user or parent/carer of a service user who has experienced adult safeguarding services – was created. The Ambassadors Network Coordinator, once in post, work with the LSAB Engagement Officer to progress the LSAB Engagement Strategy.

- A Task and Finish Group revised the local safeguarding adults thresholds guidance, which was subsequently launched at the November 2018 safeguarding conference.
- The Competency Framework Task and Finish Group was established to ensure a consistent approach across Leicester, Leicestershire and Rutland in relation to safeguarding adults competencies. The group reviewed the existing competency framework to enable a clearer understanding and easier application.
- Finally, a Task and Finish Group was set up to support a shared understanding of ‘safeguarding transitions’ where it applies in relation to young adults who have experienced abuse, transitioning from children’s safeguarding. This work will progress throughout 2019/2020.



Room set up for a Leicester Safeguarding Adults Board meeting, 2018

## THE BOARD

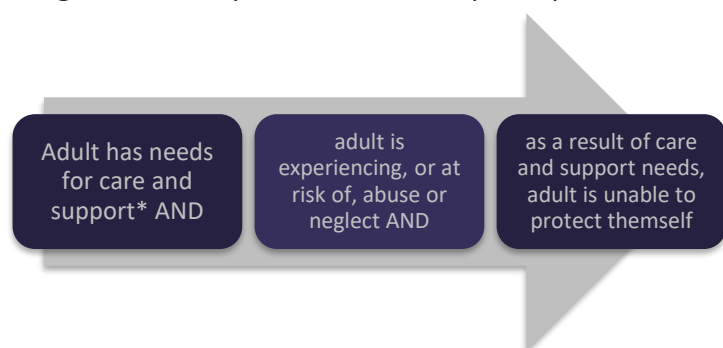
Under the Care Act 2014 each Local Authority must establish a Safeguarding Adults Board (SAB) for its area. Membership of the Safeguarding Adults Board must include the Local Authority which established it, the Clinical Commissioning Group in that area, and the local Police force. In addition to the partners who must be members under the Care Act 2014, membership of a Safeguarding Adults Board may also include such other persons as the local authority which established it, having consulted the other members, considers appropriate.

### Leicester SAB Membership

Criminal Justice	National Probation Service, Leicestershire	1
	Derbyshire, Leicestershire, Nottinghamshire and Rutland Community Rehabilitation Company	1
	HMP Leicester	1
Emergency Services	Leicestershire Police	1
	East Midlands Ambulance Service	1
	Leicestershire Fire and Rescue Service	1
Health	Leicester City Clinical Commissioning Group	1
	Leicestershire Partnership NHS Trust	1
	University Hospitals Leicester NHS Trust	1
	NHS England	1
Local Authority	Adult Social Care	1
	Children's Services	1
	Housing	1
	Community Safety	1
	Trading Standards	1
	Lead Member	1
Inspectorates	Care Quality Commission	1
Consumer Champions	Healthwatch	1
Care Home Associations	East Midlands Care Association	1

### Purpose

The main objective of a Safeguarding Adults Board is to assure itself that local safeguarding arrangements and partners act to help and protect adults in its area who meet the following criteria:



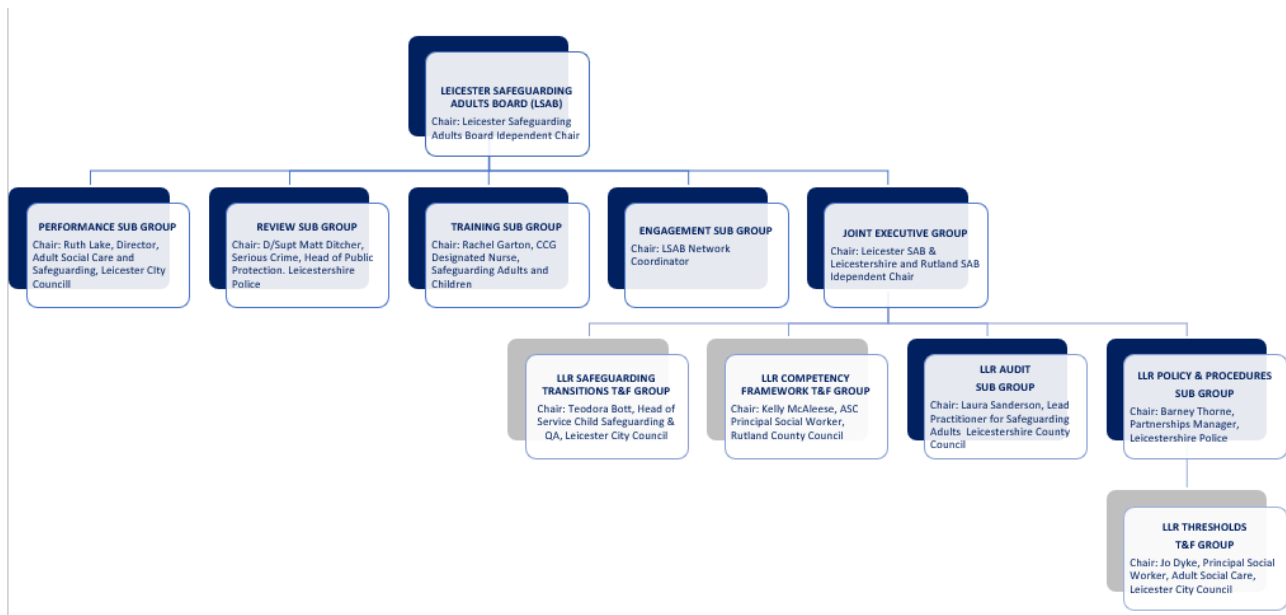
\*whether or not the Local Authority is meeting those needs

Leicester Safeguarding Adults Board must seek to achieve this objective by co-ordinating and ensuring the effectiveness of each of its members in relation to adult safeguarding. We have a strategic role that is greater than the sum of the operational duties of our partners; we oversee and lead adult

safeguarding across Leicester and are interested in a range of matters that contribute to the prevention of abuse and neglect. Types of abuse and neglect under the Care Act 2014 include: physical abuse, domestic violence, sexual abuse, psychological abuse, financial abuse, modern slavery, discriminatory abuse, organisational abuse, neglect, and self-neglect. Leicester Safeguarding Adults Board recognises that adult safeguarding is underpinned by the six principles set out in the Care Act: Empowerment; Prevention; Proportionality; Protection; Partnership; and Accountability.

## Board Structure

As a partnership, Leicester Safeguarding Adults Board appoints an Independent Chair to oversee the work of the Board, provide leadership, offer constructive challenge, and ensure independence. The day to day work of Leicester Safeguarding Adults Board is undertaken by the sub-groups. The board office supports the operational running of these arrangements and manages the Board on behalf of the multi-agency partnership. To facilitate joint working, ensure effective safeguarding work across the region, and provide consistency for our partners who work across Leicester, Leicestershire and Rutland, Leicestershire Safeguarding Adults Board shares both its Policy and Procedure Sub-Group and its Audit Sub-Group with Leicestershire and Rutland Safeguarding Adults Board. The governance for these two sub-groups is via a Joint Executive Group that feeds into both Boards.



During 2018/2019 the Review Sub-Group of Leicester Safeguarding Adults Board ceased overseeing Domestic Homicide Reviews on behalf of Safer Leicester Partnership. The Board continues to recognise the importance of close links with partnerships across the locality, as well as regionally and nationally.

## WHAT DOES ADULT SAFEGUARDING IN LEICESTER LOOK LIKE?

With a population of more than 330,000 Leicester is the 10th largest city in the UK. The mean age of Leicester's population is significantly lower at 34.8, than that of the East Midlands at 40 and England at 39.3 and it boasts the largest proportion of people aged 19 and under in the East Midlands. Information from the 2011 census celebrates Leicester as one of the most ethnically diverse cities in the UK with the population being made up of people from the following ethnic groups: White (50.5%), Asian, Asian British (37%), Black/African/Caribbean/Black British (6%), Mixed/Multiple Ethnic Groups (3.5%), Other Ethnic Groups (3%). The population of Leicester is made up of 49.4% males and 50.6% females.

### Leicester City: Safeguarding Data

The Care Act 2014 sets out our statutory duties and responsibilities for safeguarding, including the requirement to undertake Enquiries under section 42 of the Act to safeguard people. Below is a summary of safeguarding activity recorded during 2018/19 for both safeguarding Concerns raised, and Enquiries undertaken. A total of 2460 concerns were raised, a total of 1871 individuals were involved in a concern during the year.

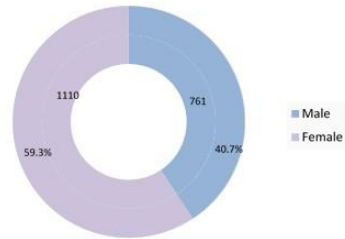
During 2018/19, 547 individuals were involved in a Section 42 Safeguarding Enquiry. At the conclusion of a Section 42 Enquiry, where a risk was identified during the Enquiry, an outcome concerning the status of this risk is recorded. In 2018/19, 540 Enquiries were concluded, of these the risk to the individual was reduced in 60% of cases, and removed entirely for a further 32%, in 8% of cases the risk remained.

Making Safeguarding Personal is an important aim of our safeguarding adults process. Where possible we aim to achieve during the enquiry process the outcomes the individual involved has identified for themselves. During 2018/19 we recorded these outcomes for 337 of enquiries undertaken. Where these outcomes were identified, they were fully achieved in 48% of cases and achieved in part in a further 45%.

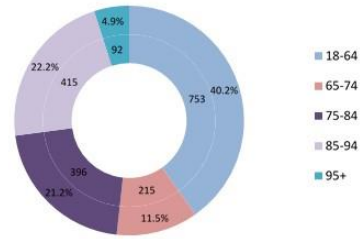
Leicester City

Safeguarding concerns raised during the year 2018/2019

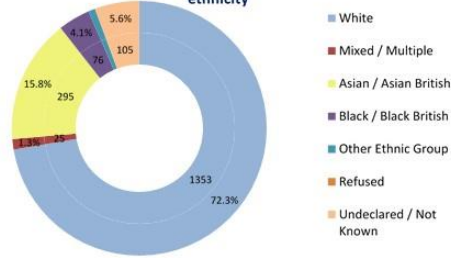
Individuals Involved in Safeguarding Concerns - by gender



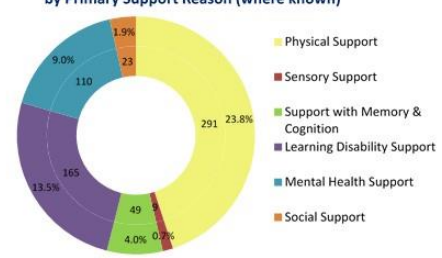
Individuals Involved in Safeguarding Concerns - by age band



Individuals Involved in Safeguarding Concerns - by ethnicity



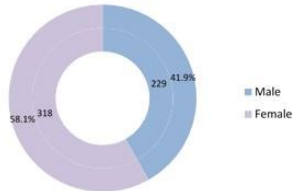
Individuals Involved in Safeguarding Concerns - by Primary Support Reason (where known)



Leicester City

Safeguarding enquiries commenced during the year 2018/2019

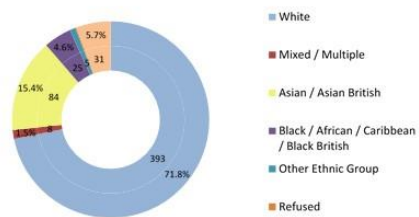
Individuals involved in Section 42 Safeguarding Enquiries - by gender



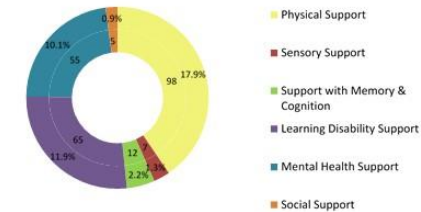
Individuals involved in Section 42 Enquiries by Age band



Individuals involved in Section 42 Enquiries by Ethnicity



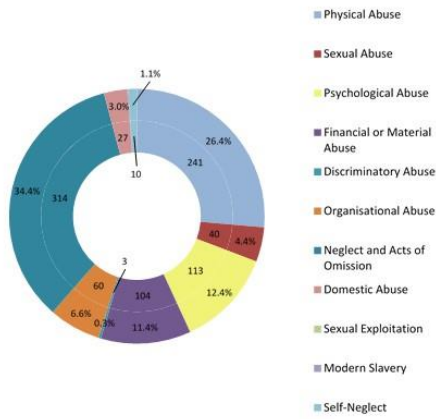
Individuals Involved In Section 42 Safeguarding Enquiries by Primary Support Reason (where known)



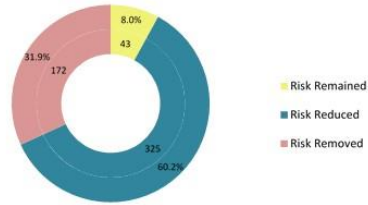
Leicester City

Safeguarding enquiries completed during the year 2018/2019

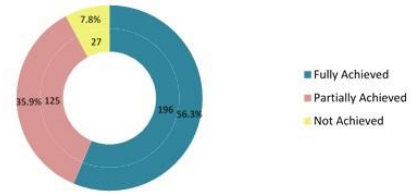
Concluded enquiries by type of abuse



Outcome at the conclusion of a safeguarding enquiry



MSP outcomes for concluded enquiries





## MEETING OUR STRATEGIC PRIORITIES

As a partnership, Leicester Safeguarding Adults Board outlined its strategic priorities in its three-year strategic plan published in 2017. Core priorities are ensuring statutory compliance and enhancing everyday business whilst developmental priorities are outlined as strengthening user and carer engagement, raising awareness within our diverse communities, understanding how well we work together, and improving safeguarding transitions for young people (including those who may have experienced child sexual exploitation).



### Ensuring Statutory Compliance

The Board has three core duties under the Care Act 2014:

1. Publish a Strategic Plan
2. Publish an Annual Report
3. Undertake Safeguarding Adults Reviews

In addition to our strategic plan published in 2017 which is referred to above, the partnership holds an annual development day where partners reflect on the work of the Board and determine priorities for the annual business plan which is published on the Leicester Safeguarding Adults Board page of the Leicester City Council website. Our 2017/2018 Annual Report was published alongside our 3-year Strategic Plan and 2018/2019 Business Plan.

Safeguarding Adults Boards have a statutory duty under S.44 of the Care Act 2014 to undertake safeguarding adults reviews in cases which meet the criteria. The purpose of a review is to identify lessons to be learnt and to apply those lessons for the future.

During 2018/2019 Leicester Safeguarding Adults Board concluded two Safeguarding Adults Reviews (SARs) and commissioned one. The following sections provide an overview of each of the reviews and their findings:



*“The value of engaging supportive family members in support planning and risk management processes should not be under-estimated. With the consent of the adult in question, consideration should always be given to inviting family members to attend review and planning meetings and generally to have an active input into these processes.”*

Leicester Safeguarding Adults Board, SAR  
Overview Report (2018)

**SAR1** This review explored multi-agency learning following the death of a partially sighted young man with a learning disability who was residing in supported living accommodation in Leicester. In addition

to single agency learning identified through Individual Management Reports (IMRs) the following recommendations were made, which were all accepted by the Board:

### SAR 1: Safeguarding Adults Review Overview Report Recommendations

**Overview Recommendation 1:** Children's and Adults' Services, including social care and health services, should jointly review transition pathway processes, in the light of learning from this review. This should include consideration of (i) the need for a stronger focus on positive risk taking as part of the process of preparation for independence and (ii) the need for better recognition of positive family relationships and the key role family members may play in support planning, risk assessment and risk management strategies, where appropriate.

**Overview Recommendation 2:** Leicester Safeguarding Adults Board should ensure that learning from this review is shared as widely as possible. Approaches could include multi-agency seminars / workshops / conferences arranged by Leicester Safeguarding Adults Board, and single agency training, led by the relevant safeguarding leads within those agencies. Key themes to be covered in these events would include: (i) Multi-agency communications, risk assessment and risk management approaches, focusing on the relevant learning points from this SAR (ii) Planning and implementing multi-agency safeguarding strategies within limited time constraints, (iii) Involvement of families and other informal networks in risk assessment and risk management approaches. (iv) Safeguarding in the context of adults who have mental capacity but make decisions which place them at high risk of significant harm.

**Overview Recommendation 3:** Leicester City Council Contracts, Assurance and Commissioning should undertake a 'fit for purpose' review of current processes used to manage and monitor assurance from providers that their staff are trained in, and understand, the Mental Capacity Act and associated terminology.

**Overview Recommendation 4:** Leicester City Council Contracts, Assurance and Commissioning should explore internal reporting and recording pathways for concerns about service providers to ensure that staff know the correct process to reach Contracts teams.

**Overview Recommendation 5:** Leicester Safeguarding Adults Board to ensure that this report is shared in full with Leicester Safeguarding Children Board.

Leicester Safeguarding Adults Board acted on the findings of this review and throughout 2018/2019 received regular updates from the City Transitions Board on their progress taking forward the work of transitions across the city. Recent updates indicate that the Joint Health, Social Care and Education Transitions Strategy was launched in March 2019 and that workstreams have since begun to meet and deliver the actions identified in the delivery plan.

In partnership with Leicestershire and Rutland Safeguarding Adults Board, Leicester Safeguarding Adults Board also set up a specific 'safeguarding transitions' task and finish group which will be progressed throughout 2019/2020. The group's purpose is to support a shared understanding across safeguarding partners about 'safeguarding transitions' where it applies in relation to young adults transitioning from children's safeguarding.

On behalf of Leicester Safeguarding Adults Board, the Training Sub Group sought assurance from partners that learning from this review had been shared across individual organisations. In some organisations this work remains ongoing, and the Training Sub Group will continue to seek this assurance into 2019/2020.

Leicester Safeguarding Adults Board also ensured that learning from this review was shared with relevant bodies both locally and nationally. The findings were presented at the local Safeguarding Children Board and shared with local and national networks.

During 2018/2019 Leicester Safeguarding Adults Board facilitated two multi-agency safeguarding conferences where learning from this review was shared with frontline staff from across the safeguarding partnership. A segment of the February 2019 Leicester, Leicestershire and Rutland children and adults safeguarding conference focused on legal safeguarding transitions in relation to individuals with learning disabilities.

In November 2018, additional one-day Mental Capacity Act training was commissioned for all senior domiciliary care managers across Leicester. During this event the importance of involving family in care planning where appropriate was included, as well as reference to our local Vulnerable Adult Risk Management (VARM) guidance.

In February 2019 the partnership collaborated across Leicester, Leicestershire and Rutland to commission additional one-day Mental Capacity Act and Deprivation of Liberty Safeguards training for all supported living providers across the city and counties.

Finally, during 2018/2019 Leicester Safeguarding Adults Board received confirmation from Leicester City Council Contracts, Assurance and Commissioning (within Adult Social Care) that there is a new standard contract in place which is more robust in terms of Mental Capacity Act and the requirements for providers. In addition, the Quality Assurance Framework within the department will audit uptake and application of Mental Capacity Act training on offer. The team has also taken steps to ensure that practitioner concerns that fall short of safeguarding alerts are reported to contracts teams for action.

**SAR2** This review considers the circumstances surrounding the death of 'Bert', a man in his mid-60s, who lived alone in Leicester. Bert was not known to social care, mental health services, or the police prior to the day he died. The full report, when published, can be found on the [Leicester Safeguarding Adults Board page](#) of the Leicester City Council website.

On the day he died, Bert was experiencing high levels of distress due to his delusional beliefs. All professionals were concerned about his well-being and were trying to secure the care and treatment he was in need of but there were barriers that prevented this.

**OVERVIEW**

The review concluded that there was a convergence of factors that resulted in Bert's admission to hospital being delayed. Had these delays not occurred, it is probable that Bert's death in a car crash would have been avoided.

**OVERVIEW**

The range of crisis care available post 12pm is very reduced. This caused significant delays in convening the MHA assessment. This resulted in a long delay for Bert to be assessed under the MHA, and had an adverse knock-on effect for police who were waiting with Bert.

**LEARNING**

There was substantial miscommunication surrounding the availability of a bed and then sourcing a bed. The review highlighted the importance of effective bed management to enable accurate information about bed availability and a robust process to source a bed at the earliest opportunity when an admission is likely.

**LEARNING**

**'BERT'**

Safeguarding Adults Review  
2018

**LEARNING**

The importance of understanding different professional roles and responsibilities and the legal parameters in which professionals work. This enables clear communication of risk assessments and agreement over each partner's contribution to the risk management plan.

**LEARNING**

The review identified that there is a pressing need for mental health services and social care to work together to agree interim care arrangements for people who have been assessed as requiring admission but for whom there is no bed available.

**LEARNING**

There is a need for a strategic, system wide partnership approach to mental health crisis care based on improved analysis and planning for inpatient bed provision as well as alternatives to admission.

**LEARNING**

There is a more immediate need to revisit crisis care provided out of hours. This relates to the capacity of services and the mechanisms that support professionals to work together to help people such as Bert who are in mental health crisis.

In addition to the learning identified on the previous page, the review also noted the following good practice: The review highlighted as good practice, the speed of the response by the police, attending

Bert's neighbour's house within thirteen minutes of the call. There was some notable good practice by those directly involved, for example the Mental Health Triage Car (MHTC) nurse who worked beyond their expected working hours to try and coordinate across the agencies.

Following Bert's death, local agencies made a number of changes that are relevant to the circumstances of this review, some as a direct consequence of the learning. This review made additional recommendations under the following headings: Learning Theme 1 – Using Learning in Strategic Planning. Learning from this review should be used to inform the strategic work of the agencies involved. Learning Theme 2 – Access to acute mental health inpatient beds. Learning Theme 3 – Training and guidance. All recommendations were accepted by Leicester Safeguarding Adults Board and we are monitoring the resulting action plan on a quarterly basis via our Review Sub Group. This work will continue throughout 2019/2020.

**SAR3** During 2018/2019 the partnership chose to undertake an additional review under Section 44 of the Care Act 2014. This review will explore multi-agency learning following the deaths of an elderly couple who resided in Leicester. Findings from this review will be published in our 2019/2020 annual report

**Leicester Safeguarding Adults Board would like to offer condolences to the families of the individuals at the heart of our reviews and sincerely thank them for their time and valuable contributions.**

## Enhancing Everyday Business

The work of the Performance Sub Group, Joint Audit Group, Training Sub Group and Joint Policy and Procedures Sub Group. A local Safeguarding Adults Board must seek to achieve its objective is by 'co-ordinating and ensuring the effectiveness of what each of its members does' (Care Act 2014). Leicester Safeguarding Adults Board works with Leicestershire and Rutland Safeguarding Adults Board to maintain up to date inter-agency adult safeguarding policies and procedures across Leicester, Leicestershire and Rutland. These policies and procedures are hosted on our [dedicated policy and procedures website](#) called the MAPP (Multi Agency Policies and Procedures).



This work is overseen by our joint Policy and Procedures Sub Group which is shared with Leicestershire and Rutland SAB. Throughout 2018/2019 the group oversaw a review and update of the policy and procedures on the MAPP (including changes in response to local multi-agency reviews and audits) and at the November 2018 safeguarding conference, re-launched the new-look website across the partnership.

## SAFEGUARDING PARTNERS

**Leicester City Clinical Commissioning Group:** Hosted by Leicester City CCG, LLR CCG Safeguarding Team prioritises and champions strong multi-agency working and a partnership approach to the development of safeguarding practice. The team, in partnership with Director of Nursing and Quality, supports the Safeguarding Board by attending and contributing to a number of partnership forums. A member of the CCG Hosted Safeguarding Team chairs the Training Sub Group, working with partner agencies to ensure a robust approach to training and learning. The group ensures a joined-up approach to learning and development across LLR.

To improve safeguarding practice of GPs the team has developed the Children's Safeguarding Quality Makers GP Self-assessment tool to reflect adult safeguarding – supporting GPs to ensure they have robust adult safeguarding arrangements in place.

With the support of IT colleagues we have developed a safeguarding adults template for the GP electronic records system which supports GPs in documenting information relating adults at risk and safeguarding concerns, but also acts as an aide memoire to ensure risks are managed and Making Safeguarding Personal principles are employed, to ensure a high quality of safeguarding referrals which have the service user at the centre.

Into 2019/20 the team will continue this work, prioritising improving partnership by developing an integrated health safeguarding meeting and ensuring a joined-up approach to the implementation of the Mental Capacity Act Amendment Bill. We will also focus on improving community health services involvement in safeguarding enquires and improving safeguarding training opportunities for CCG staff and GPs.

The Performance Sub Group is responsible for ensuring that Leicester Safeguarding Adults Board has a clear quality assurance framework. It delivers a range of business as usual matters, including management of the performance data and intelligence, a programme of assurance activity, and the production of an annual assurance statement (which includes the results of the annual local Safeguarding Adults Assurance Framework).

Leicester Safeguarding Adults Board's quality assurance framework details domains of quality assurance that the Performance Sub Group uses to test safeguarding effectiveness across the partnership. Throughout 2018/19 the Performance Sub Group requested, received, and scrutinised information in line with the quality assurance framework (including performance data, narratives, audits, training) and where exceptions were noted they were reported in to Leicester Safeguarding Adults Board. The group's annual assurance statement is well received as it enables the partnership to form a view on the level of assurance regarding adult safeguarding in Leicester.

2018/19 saw the Joint Audit Sub Group building on its good work of previous years and undertaking multi-agency safeguarding adults audits across Leicester, Leicestershire and Rutland. Separate audits focused on Multi-agency Vulnerable Adult Risk Management (VARM) and Strategy Meetings. Audit findings directly influenced changes to local policies and procedures, with the aim of improving practice across the partnerships. The impact of changes will be monitored in future audits.

## SAFEGUARDING PARTNERS

**Leicester City Council, Adult Social Care:** Our strategic priorities reflect that safeguarding is core to our function:

### **Strategic Priority 1**

**We will work with partners to protect adults who need care and support from harm and abuse.**

**Some of the key actions to support the delivery of our safeguarding priority are:**

- **We will ensure all staff have a clear understanding of the Mental Capacity Act** - MCA guidance has been refreshed and disseminated in service area via "practice experts". Procurement of MCA training for staff is being planned to start Sept 2019. Assurance on the effectiveness of changes to practice is being gathered via monthly case file audits and engagement of practitioners through regular forums.
- **We will review the pathway for safeguarding alerts from providers** - Following a phased project a new process for referring incidents in care homes has been finalised. This includes a clear pathway for providers to report alerts. Through the project there has been ongoing engagement with providers, CQC, performance and Commissioning in the delivery of the project. For 2019 the adult safeguarding leads across LLR will develop one provider referral form for safeguarding alerts.
- **Refresh the use of the Safeguarding Competence Framework to ensure it is embedded into supervision practice** - The PSW has worked jointly with partners across LLR to revise the current competency framework this will be finalised in July 2019. An LLR event is planned for Sept 19 to launch the competency framework and provide training for staff on how to use it in reflective supervision.

Section 14.139 of the Care Act Statutory Guidance notes “Each SAB should... promote multi-agency training and consider any specialist training that may be required. Consider any scope to jointly commission some training with other partnerships...”

In November 2018 Leicester Safeguarding Adults Board, in partnership with Leicestershire and Rutland Safeguarding Adults Board, facilitated a multi-agency safeguarding adults conference at City Hall. A total of 131 delegates from across the two partnerships attended the event. Feedback from the day revealed that people found the following particularly useful: Case studies; Multi-agency discussions / groupwork; Networking; Multi-Agency Policies and Procedures; Learning from Safeguarding Adults Reviews; Thresholds guidance; Turning Point presentation; UAVA presentation; Service User Film; How a Safeguarding Adults Board works.

As noted earlier in this report, during 2018/2019, in response to findings from a local Safeguarding Adults Review (SAR), Leicester Safeguarding Adults Board commissioned half a day Mental Capacity Act (MCA) training for all Senior Domiciliary Care Managers across the city. The training was well received with all delegates rating all aspects of the training as either 4/5 (good) or 5/5 (very good). Event feedback included: “very good and informative felt very at ease”, “thoroughly enjoyed!”, “very well presented and very informative”, “very informative and in a clear way”, “clear and easy to understand”.



## SAFEGUARDING PARTNERS

**Leicestershire Police:** The force has received a “Good” rating from HMIC in the most recent series of inspection, focusing on efficiency, effectiveness and legitimacy. Areas singled out for good practice were;

- Partnership working with local authorities and the National Health Service
- Understanding and identifying vulnerability

The force is continuing work on the development of the Adult Safeguarding Hub. The project is being led by the Safeguarding Adults Lead for the force, DCI Lucy Batchelor. Recently, the project team has begun to meet with partner agencies to discuss the vision of the project in order to ensure partners continue to work with the force in an effective manner, as recognised by HMIC.

The force is active within the LSAB, chairing the Adult Review group, the Trilogy of Risk T&F group and the Policy & Procedures Group.

The force has contributed to all the multi-agency audits identifying key areas of improvement. The force has worked effectively with partners recently in chairing a VARM where the subject required multi-agency management by key partners, collating and sharing this information in a meeting has led to a significant decline in the risk posed to the individual.



In February 2019 Leicester Safeguarding Adults Board, with Leicestershire and Rutland Safeguarding Adults Board, jointly commissioned a 1-day MCA and DoLS (Deprivation of Liberty Safeguards) conference for Supported Living Providers across Leicester, Leicestershire and Rutland. More than 30% of delegates evaluated all aspects of the training as 5/5 (very good). 85% delegates scored all aspects of the training as either 5/5 (very good) or 4/5 (good).

**LEICESTERSHIRE FIRE and RESCUE SERVICE** Under the leadership of our Leicestershire Fire and Rescue Service (LFRS) Board Member, who is also deputy-chair of our Training Sub Group, a 3-hour course entitled 'Fire Safety in the Homes of Vulnerable Adults' was facilitated across Leicester, Leicestershire and Rutland safeguarding adults partnerships. Course Objectives were:

- ✓ Understand the role of Leicestershire Fire and rescue Service and what they can, and cannot do
- ✓ Know how and when to refer clients to the fire service
- ✓ Have a better awareness of fire hazards and risks in clients' homes
- ✓ Know how to maintain a safe environment
- ✓ Be able to build more resilience for clients who may be a high risk of having a fire in their home

## SAFEGUARDING PARTNERS

**National Probation Service:** The National Probation Service places adult safeguarding at the heart of our practice, both in relation to preventing further victims and in our work with offenders. Adult safeguarding also remains a key consideration of the work of MAPPA and, as such, our work in partnership with both statutory and duty-to-cooperate partners continues to make a significant contribution to the management of those cases where safeguarding is an issue. In October 2018, Her Majesty's Inspectorate of Probation (HMIP) rated the NPS Midlands as being 'outstanding' in its assessment and planning, and 'good' in its implementation and delivery of services.

NPS gives consideration to the care and support needs of offenders in the community (including pre and post-custody) and work in partnership with offenders and local authorities where such needs exist. Every offender supervised by NPS has a full assessment completed, identifying risks posed by and to the offender. An ongoing dialogue takes place between the Offender Manager and the offender in relation to issues of known vulnerabilities. Action is then taken in response to this and recorded appropriately. Every offender is encouraged and supported to complete a self-assessment questionnaire which provides a further opportunity to identify adult safeguarding issues.

NPS remain committed to delivering a quality service, and learning from our practice and partnerships.

The first two sessions were facilitated in 2018/2019. In total 57 delegates attended from a variety of organisations including local authorities, police, medical centres, care homes, and the voluntary and community sector. Initial feedback has been positive and there are plans to rollout additional courses throughout 2019/2020. Outcomes: Across the safeguarding partnership, organisations have been adopting a standardised ‘clutter image rating’ when referring a hoarding property to LFRS for a Home Fire Safety Check. This shared language and understanding supports inter-agency working.

Finally, in February 2019 Leicester Safeguarding Adults Board, in partnership with Leicester Safeguarding Children Board, Leicestershire and Rutland Safeguarding Adults Board and Leicestershire and Rutland Safeguarding Children Board hosted a one day safeguarding conference for safeguarding partners across Leicester, Leicestershire and Rutland. The safeguarding partnerships welcomed local and national speakers to the event, including:

- Adverse Childhood Experiences – Research: Professor Karen Hughes, Bangor University and Public Health Wales
- Recognition of Coercive and Controlling Behaviour: Cheryl Henry Leech – Presentation and Case Study
- Mental Capacity Act legislation: Steven Richards, Edge Training and Consultancy
- Case study safeguarding transitions: Steven Richards, Edge Training and Consultancy

## SAFEGUARDING PARTNERS

**University Hospitals of Leicester:** University Hospitals of Leicester is one of the largest NHS Trusts in the country and is the main provider of Emergency and Acute services for the residents of Leicester and Leicestershire. We are fully committed to safeguarding the people we provide services for

Last year we saw a 40% increase in the number of adult safeguarding enquiries made to our safeguarding team from 1618 enquiries in 2017 to 2308 in 2018, the system whereby enquiries are initially dealt with internally helps to reduce pressure on partner agencies in particular adult social care

We trained over 8900 staff in Prevent, to help staff to recognise people who may be subject to radicalisation earlier

In December 2018 we concluded a governance review of our safeguarding committee structure and function to broaden its remit to have oversight of people with learning disability and dementia with a commitment to continually improve our services

We have also revised our Trust website to help members of the public access up to date information about our safeguarding services

Over 140 delegates from across the safeguarding partnership attended, including representation from all three local authorities (adult social care, children social care, housing, community safety), Leicestershire Police, National Probation Service, Community Rehabilitation Company, Prisons, Leicestershire Fire and Rescue Service, East Midlands Ambulance Service, University Hospitals Leicester, all three Clinical Commissioning Groups, Leicestershire Partnership Trust, and more. Initial feedback from the day was overwhelmingly positive, and a more detailed evaluation of the day is currently underway.



## SAFEGUARDING PARTNERS

**Leicestershire Partnership (NHS) Trust:** During the year, LPT have made significant changes within its safeguarding systems and structures. Both the Children’s Safeguarding and Adult Safeguarding Teams which formerly were 2 separate teams, merged to provide one safeguarding service across a whole family model.

Further successes have also included changes to the incident reporting forms which now better identify safeguarding risks and events and include the opportunity for analysis of trends in the reports to provide proactive responses to support frontline LPT services.

MSP and VOC have been incorporated as standard questions and responses for incidents to ensure that the person centred approaches are maintained and the wishes and feeling of the individuals are captured and responded to.

For serious incident (SI) investigations, safeguarding is now routinely considered as a part of every investigation through a standard term of reference. For SI’s that clearly are safeguarding events, the safeguarding team are included in the investigation process at an earlier stage and write specific terms of reference, provide safeguarding consultations and support to the investigator, and analysis and comment prior to the report sign off processes.

The safeguarding team has continued to contribute to all multi-agency reviews across LLR (both adults and children’s).

In addition to the training put on by Leicester Safeguarding Adults Board, the partnership also supports regular Mental Capacity Act forums for providers in the city. Furthermore, it works with Leicestershire and Rutland Safeguarding Adults Board to facilitate a Trainers Network across Leicester, Leicestershire and Rutland, and also contributes to the established newsletter Safeguarding Matters which is read widely across the partnerships.



Safeguarding Matters, 2018

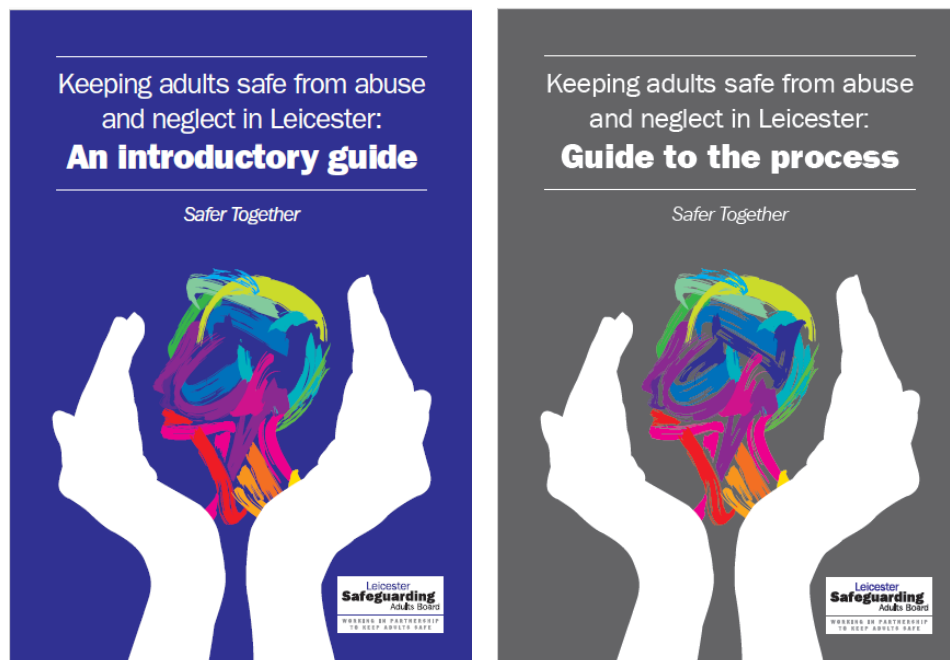
## Strengthening User and Carer Engagement

During 2017/2018 the Engagement Sub Group experienced some difficulties due to being without a Chair for the majority of the year. The result was a delay in the implementation of the LSAB Engagement Strategy; a strategy which aims to strengthen user and carer engagement.

Despite this, some significant steps were made, including approval to create and appoint to the role of Ambassadors Network Coordinator. This will be a paid role for someone with experience as a service user or parent/carer of a service user that has experienced adult safeguarding services. The vision is that the individual will Chair the Engagement Sub Group and take a position as board member for the Leicester Safeguarding Adults Board. The Ambassadors Network Coordinator, once in post, will be supported by the LSAB Engagement Officer to develop a network of safeguarding ambassadors across Leicester. It is envisaged that this work will progress throughout 2019/2020.

## Raising Awareness in our Diverse Communities

Supported by the LSAB Engagement Officer, the Engagement Sub Group developed an easy read 2017/2018 LSAB Annual Report, drafted the Ambassador Network Coordinator job role, developed local safeguarding guides, and continued to engage with communities and groups in Leicester (examples include representation at Chief Constable's Intercultural Evening in November 2018; attendance at an LLR Modern Slavery Action Group Event in October 2018; and linking in with local Universities). It is acknowledged that the Engagement Strategy will take time to implement but Leicester Safeguarding Adults Board remains committed to raising awareness in our diverse communities throughout 2019/2020.



Local Safeguarding Guides (2018). To order free copies, contact [LSAB@leicester.gov.uk](mailto:LSAB@leicester.gov.uk)

## **Understanding How Well We Work Together**

Thematic task and finish groups in our annual business plan. For 2018/2019 this involved two task and finish groups: 'Thresholds' and 'Competency Framework'. The Board also reflected on the impact of the previous year's 'Trilogy of Risk' work.

The Thresholds Task and Finish Group revised the local safeguarding adults thresholds guidance and launched it at the November 2018 safeguarding conference. Subsequently, the slides from the launch event, along with a briefing pack (now also contained in the MAPP) were made available to all safeguarding partners across Leicester, Leicestershire and Rutland). Consistent threshold decisions play a crucial role in ensuring that safeguarding enquiries are undertaken for adults at risk who may be unable to protect themselves. The guidance seeks to provide practitioners with support in making a decision about whether a referral regarding an adult who may be experiencing abuse or neglect, may require further safeguarding adults enquiry.

The Competency Framework Task and Finish Group was established to ensure a consistent approach across Leicester, Leicestershire and Rutland in relation to safeguarding adults competencies. The group reviewed the existing competency framework and to enable a clearer understanding and easier application. At the end of 2018/2019 the final draft was being consulted on, with a view to complete and launch the new framework in the first half of 2019/2020.

## **Improving Safeguarding Transitions**

During 2018/2019 Leicester Safeguarding Adults Board, in conjunction with Leicestershire and Rutland Safeguarding Adults Board, set up a Task and Finish Group focusing on safeguarding transitions. As our strategic plan states 'we recognise the differences that exist in safeguarding arrangements for young people and for adults. Risks may be unchanged as people turn 18 but the approaches to safeguarding for these young adults change significantly. Learning from reviews and audits would suggest that improvements could be made in the pathway for young people who are approaching adulthood with existing safeguarding concerns. This includes young people who have been subject to CSE [Child Sexual Exploitation] as a particularly vulnerable group'.

The purpose of the group is to support a shared understanding across Leicester, Leicestershire and Rutland (LLR) safeguarding partners about 'safeguarding transitions' where it applies in relation to young adults transitioning from children's safeguarding who have experienced abuse. It will be an opportunity for children and adults safeguarding to learn from each other to ensure an effective approach to safeguarding older teenagers and young adults.

# LOOKING TO THE FUTURE

## **2019/2020 Business Plan**

Leicester Safeguarding Adults Board [2019/2020 Business Plan](#) was agreed in April 2019 and published in May 2019. It outlines the work of the Sub Groups, as well as the two new Task and Finish groups: Safeguarding Transitions and the launch of the Competency Framework.

During 2019/2020, as well as 'business as usual', the Board will be: exploring options for a prevention strategy, overseeing a review of the local safeguarding Information Sharing Agreement, supporting and embedding Safeguarding Adults Review Quality Markers, reviewing and updating its 3-year Strategic Plan, and ensuring that the partnership is updated about (and seeking assurance that the partnership is prepared for) the new Liberty Protection Safeguards (LPS) system.

## **Working Together 2018**

The transition from Local Safeguarding Children Boards and serious case reviews (SCRs) to a new system of multi-agency arrangements and local and national child safeguarding practice reviews, has provided an opportunity for closer working between the current Leicester Safeguarding Children Board and the Leicester Safeguarding Adults Board. During 2019/2020 the Board Office support for both partnerships will be combined into one Business Office.





# Adult Social Care Scrutiny Commission Report

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Adult Social Care - Contracts & Assurance  
2018 Annual Quality Report

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Date: 29<sup>th</sup> October 2019  
Lead Member: Councillor Sarah Russell  
Lead Strategic Director: Steven Forbes



**City Mayor**

## Useful information

- Ward(s) affected: All
- Report author: Neil Lester Group Manager Contracts & Assurance
- Author contact details: 37 5844
- Report version number: 1

### 1. Purpose of report

- 1.1 The purpose of this report is to provide the Adult Social Care Scrutiny Commission with an overview of the quality of care provided by the regulated contracted organisations providing support to adult social care service users during 2018/19.
- 1.2 Regulated services are those registered with the Care Quality Commission (CQC), which is the regulatory body for the Department for Health & Social Care.
- 1.3 The report highlights that the overall quality of care and services has improved from 87.4% of providers being compliant at the end of 2017, compared to 95.2% being compliant at the end of 2018.
- 1.4 The Annual Quality Report 2018 is detailed at Appendix 1.

### 2 Summary

- 2.1 The Council's Contracts and Assurance Services (C&AS), which is part of the Social Care & Education department, oversees 250 contracts/grant agreements, at a value of over £101M per annum.
- 2.2 These contracts are divided into two types, i) Regulated and ii) Non-Regulated.
- 2.3 i) The Regulated services are those registered with the Care Quality Commission (CQC) because they provide personal care, such as bathing, toileting and feeding. These services are deemed to be high risk due to the vulnerability and complexity of the individuals using the service and are inspected by CQC using a risk-based approach. However, they are also subject to an annual Quality Assurance Framework (QAF) assessment, which is a tool developed and used by the C&AS to ensure that providers are compliant with the requirements as detailed in the contract.
- 2.4 The QAF compliments the CQC requirements and is undertaken on an annual basis, whereas the CQC inspections are risk based. The annual QAF assessment often highlights issues of concern/information and intelligence that is shared with CQC, and this has created positive working relationships.
- 2.5 ii) Non-Regulated Services are not subject to CQC inspections, due to the level of personal care delivered. However, they are still subject to the annual QAF assessment to ensure that providers are compliant with the requirements of the

contract or grant agreement.

- 2.6 Non-compliance will result in remedial actions being taken, this could include support from C&AS, the implementation of an improvement plan, a Notice to Remedy Breach or termination of the contract.

### **3. Recommendations**

3.1 The Adult Social Care Scrutiny Commission is recommended to:

- a) Note the contents of the Annual Quality Report 2018 as detailed at Appendix 1 (Quality of Care report).
- b) Provide comment / feedback.

### **4. Supporting information:**

4.1 Adult Social Care (ASC) supports in the region of 4,500 vulnerable individuals at any one time. This includes older people, people with a learning disability, those with mental health issues and individuals with a physical disability.

4.2 As the majority of ASC services are provided by the external market it is necessary to monitor the quality of care to ensure that vulnerable individuals receive the correct type of care and are protected from harm and abuse.

4.3 The monitoring is undertaken by the Social Care & Education's, Contracts and Assurance Service (C&AS), who ensure the quality of care is maintained and providers comply with the performance requirements as set out in the contract or grant aid agreement.

4.4 These contracts or grant aid agreements, include Regulated and Non-Regulated services. Regulated services are those registered with the Care Quality Commission (CQC) because they provide personal care, such as bathing, toileting and feeding. These include the following:

- 18 Nursing Care Homes
- 79 Residential care Homes
- 21 Domiciliary Care Providers
- 18 Supported Living Providers

4.5 Non-Regulated Services are not subject to CQC inspections, and tend to be provide preventative support, these include:

- Dementia support
- Mental health support
- Carers support
- Day services/Community Opportunities

4.6 All Regulated and Non-Regulated contracts and are also subject to the annual

Quality Assurance Framework (QAF) assessment, which is a tool developed by the C&AS. The QAF is complimentary to the CQC inspection standards and provides a transparent process to ensure that providers are compliant with the requirements of the contract.

- 4.7 In addition to the QAF, officers from C&AS undertake regular announced and unannounced visits to the providers, to observe the quality of care being delivered. These visits can be triggered via a number of reasons, including service user/family complaints, concerns raised by social work staff or other professionals, whistleblowing, CQC intelligence etc. Depending on the nature of concern the visits can take place at any time, for example if there was an issue about the quality of the food or assistance given to individuals to eat, then visits would be coordinated to coincide with meal times. If the concern related to the number of staff on duty in the night the visit would take place at 2am. Where serious concerns are raised, on occasion staff have provided 24/7 observations to ensure service users are safe.
- 4.8 In the first instance the C&AS generally takes a supportive role and works with providers to support them to become compliant with the requirements of the contract. This includes giving them advice on the improvements that are needed and how these can be achieved. This approach has contributed to the increased quality of care and ensures that the provider market is available and stable in the city.
- 4.9 The CQC made the following comment regarding the work of the C&AS: *'the City have the highest percentage of good, and improved Providers. This is down to the relationship that you (Leicester City Council) have with the CQC and joint working' (April 2019).*

#### **4.10 Summary of Performance**

- 4.11 At the end of 2018, 95.2% of the contracted providers were compliant at the end of the assessment period, compared to 87.4% at the end of 2017.
- 4.12 This improvement is positive and shows that the market is performing well overall. The service will continue to work with the remaining 4.8% of Providers that are non-compliant, via planned actions and visits to ensure they become compliant in a timely manner.

#### **4.13 Regulated contracts**

- a) 91% of the 79 Residential Care Home Providers contracted by the City Council and assessed by the CQC were rated as being Outstanding or Good.
- b) 73% of the 18 Nursing Care Home Providers contracted by the City Council and assessed by the CQC were rated as being Outstanding or Good.
- c) 88% of the 21 Domiciliary Care Providers contracted by the City Council and assessed by the CQC were rated as being Good.
- d) 100% of Supported Living providers contracted by the City Council and assessed by the CQC were rated as being Good.

e) Overall in Leicester, the Care Quality Commission rated the services we contract with for Nursing / Residential Care Homes, Domiciliary care and Supported Living as: 3.5% Outstanding, 85.6% Good, 10.4% as Requires Improvement and 0.5% of services rated as inadequate.

#### 4.14 Non-Regulated contracts

4.15 Although not subject of the Quality of Care report the C&AS monitor a number of non-regulated services and as such undertake both annual Contract Assurance Framework visits, contract management meetings aligned with regular monthly monitoring of performance.

### 5. Details of Scrutiny

5.1 This report seeks to contextualise the Leicester City Council SC&E Quality of Care report 2018/19

### 6. Financial, legal and other implications

#### 6.1 Financial implications

6.1.1 There are no direct financial implications arising from this report.

*Martin Judson, Head of Finance*

#### 6.2 Legal implications

6.2.1 There are no legal implications in this report. There is no personal/confidential information involved. Contract monitoring should continue in accordance with the terms of the contract.

Shireen Eliyas, Legal Officer

#### 6.3 Climate Change and Carbon Reduction implications

There are no climate change implications arising directly from this report.

#### 6.4 Equalities Implications

There are no direct equalities implications in this report

6.5 Other Implications (You will need to have considered other implications in preparing this report. Please indicate which ones apply?)

None

**7. Background information and other papers:**

7.1 None.

**8. Summary of appendices:**

8.1 Appendix 1 – Contracts and Assurance Quality of Care Report 2018/19

**9. Is this a private report (If so, please indicated the reasons and state why it is not in the public interest to be dealt with publicly)?**

No

**10. Is this a “key decision”?**

No

# Contracts and Assurance Service Quality of Care in Regulated Services Report 2018-2019

# Content

Contents and Introduction	Page 2
Care Quality Commission	Page 3
Care Quality Commission ratings comparisons	Page 4 – 7
Improving quality through partnership working	Page 8
Contracts and Assurance Service Framework 2018/19	Page 9 – 11
Service user voice	Page 12

## Introduction

The annual report informs you about how the Adult Social Care services we contract with, have performed in terms of quality of care during the period 2018/19.

☞ The Contracts and Assurance service oversees approximately 250 contracts / grant agreements at value over £101 million per annum. These contracts are divided into two types:

i) Regulated and ii) Non-regulated.

This report will focus primarily on those services identified as regulated, which are Residential and Nursing Care Homes, Domiciliary Care and Supported Living providers where housing and personal care / support is built around a persons' needs. A regulated service is one that is required to be registered with the Care Quality Commission and is subject of their oversight and inspection.

Personal care is a broad term used to refer to supporting people with personal hygiene and toileting, along with dressing and maintaining your personal appearance. It can cover, but is not limited to: bathing and showering, including bed-baths, applying lotions and creams as required, dressing and getting ready for bed.

All of these services are identified as high risk due to the nature of support delivered and the level of vulnerability of those people being supported. It is crucial that we ensure the delivery of care in these settings is of a high quality with the safety and wellbeing of those using the service at the forefront.



# Care Quality Commission

The Care Quality Commission monitor, inspect and regulate services to make sure they meet fundamental standards of quality and safety and publish what they find in a report including giving one of the below performance ratings:

- Outstanding
- Good
- Requires Improvement
- Inadequate

Overall in Leicester, the Care Quality Commission rated the services we contract with for Nursing / Residential Care Homes, Domiciliary care and Supported Living as 3.5% as Outstanding, 85.6% Good, 10.4% as Requires Improvement and 0.5% of services rated as inadequate.

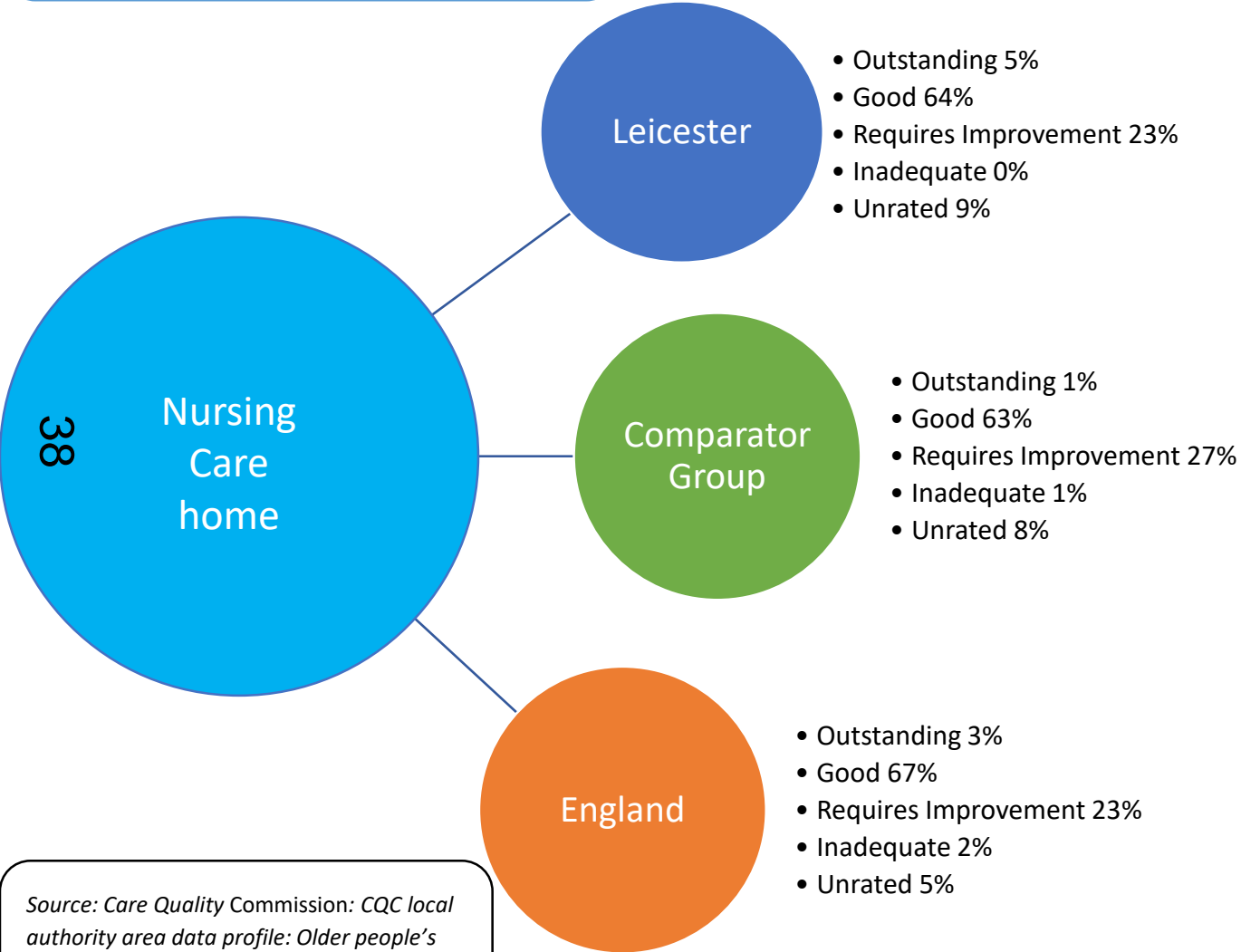
The 2018 ratings are a clear improvement on those of 2017.

**Good: 82.4%, Outstanding: 2.3%, Requires Improvement 15.3% and Inadequate: 0%.**

*(Source for 2018 figures only: Care Quality Commission: CQC local authority area data profile: Older people's pathway – Leicester Local Authority (Date produced: 18 March 2019)*

The following information (pages 4 – 7) details the ratings of our Providers and a comparison to other similar sized local authorities.

Care Quality Commission ratings for Nursing Care homes  
(All providers)



Source: Care Quality Commission: CQC local authority area data profile: Older people's pathway – Leicester Local Authority (Date produced: 18 March 2019)

Leicester City Council contracts with **18** Nursing Care Home Providers within Leicester City.

A total of **73%** of contracted providers achieved an Outstanding or Good Care Quality Commission rating overall.

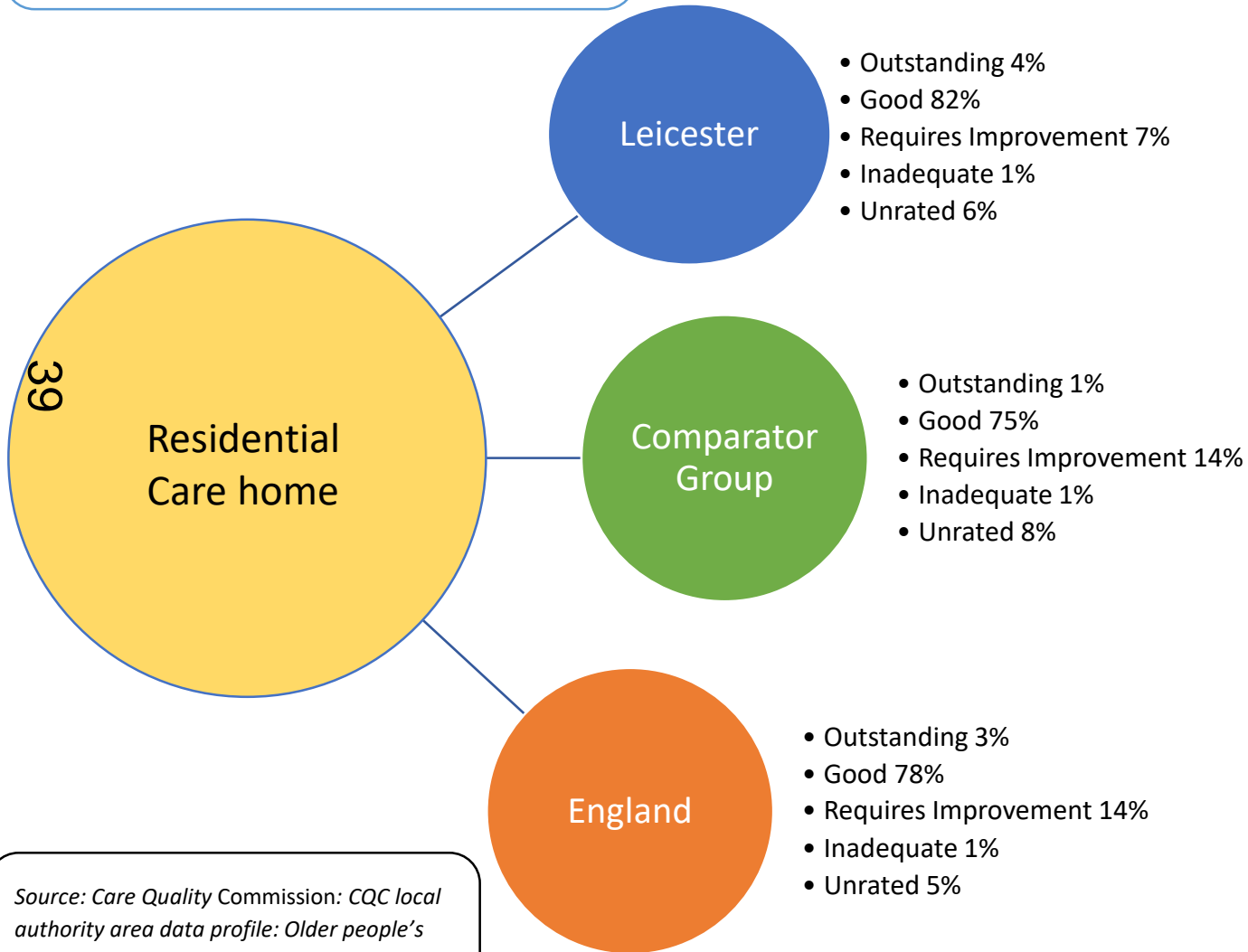
**57%** of contracted Providers re-assessed by Care Quality Commission in 2018/19, achieved a higher rating than previous.

No Nursing care Provider has been rated as inadequate.

Source:  
Care Quality Commission: Latest ratings April 2019  
Care Quality Commission: Latest ratings April 2018

Care Quality Commission ratings  
for Residential Care homes

(All providers)



Source: Care Quality Commission: CQC local authority area data profile: Older people's pathway – Leicester Local Authority (Date produced: 18 March 2019)

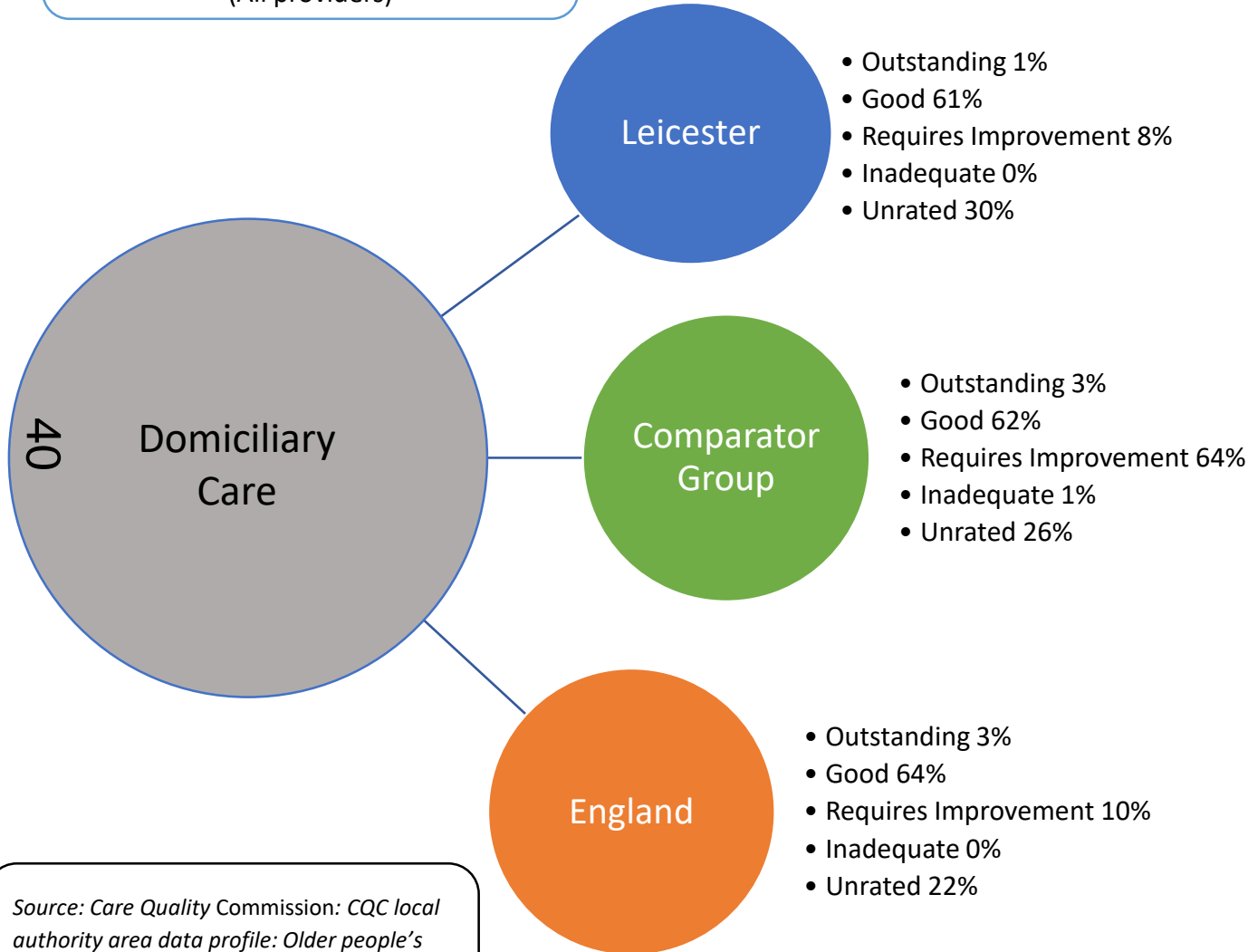
Leicester City Council contracts with **79** Residential Care Home Providers within Leicester City.

A total of **91%** of contracted providers assessed by Care Quality Commission achieved an Outstanding or Good rating overall.

**70%** of contracted Residential home care providers re-assessed by Care Quality Commission in 2018/19, achieved a higher rating than previous.

Source:  
Care Quality Commission: Latest ratings April 2019  
Care Quality Commission: Latest ratings April 2018

Care Quality Commission ratings for Domiciliary Care (All providers)



Source: Care Quality Commission: CQC local authority area data profile: Older people's pathway – Leicester Local Authority (Date produced: 18 March 2019)

Leicester City Council contracts with 21 Domiciliary Care Providers within Leicester City.

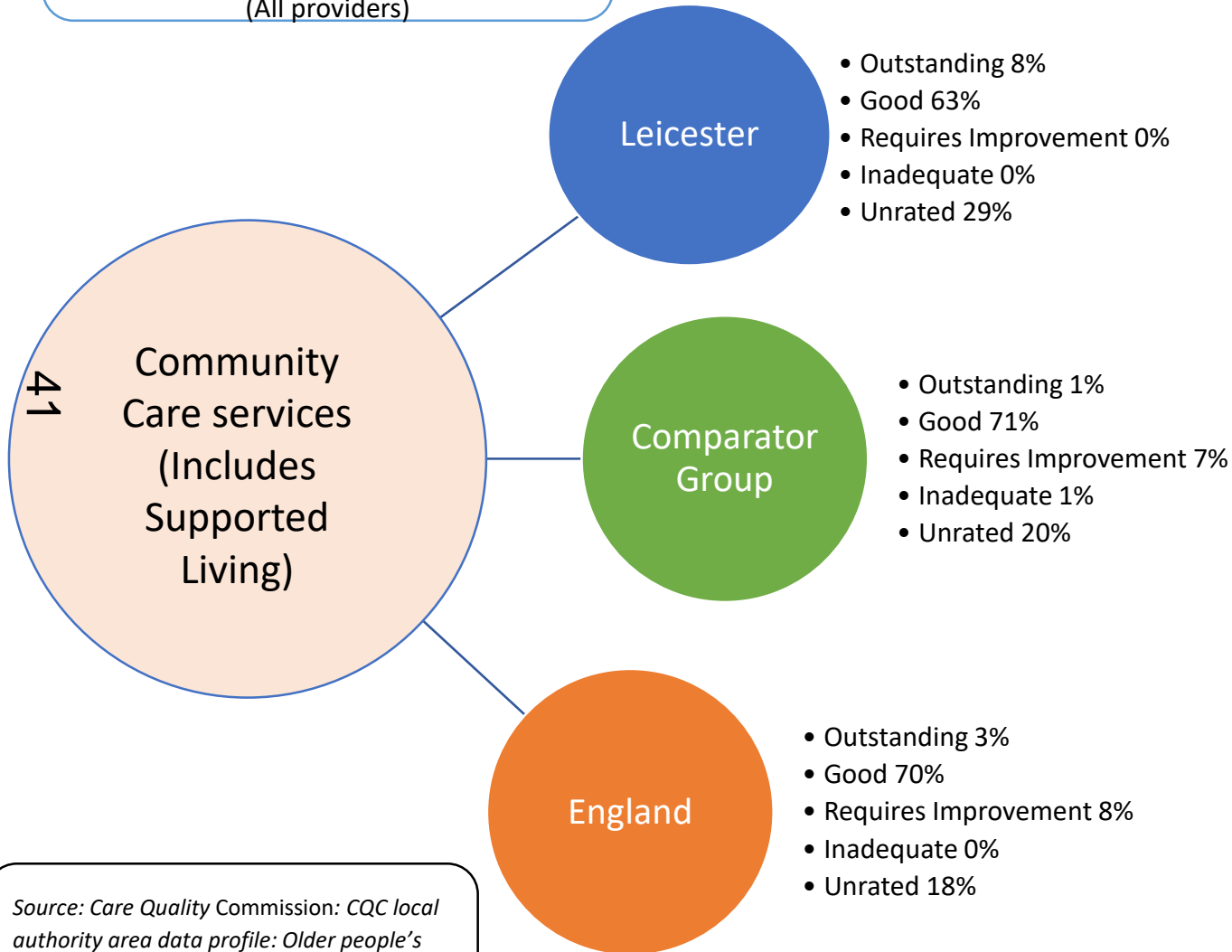
A total of 88% of contracted providers assessed by Care Quality Commission achieved a Good overall rating.

On average contracted Providers were commissioned to deliver 89,939 hours of Domiciliary care support per month during 2018 /19, which is monitored and audited by the service.

The demand for domiciliary care (commissioned) has increased 19% compared to 2017/18.

Source:  
Care Quality Commission: Latest ratings April 2019  
Care Quality Commission: Latest ratings April 2018

Care Quality Commission ratings for Community Care Services  
(All providers)



Source: Care Quality Commission: CQC local authority area data profile: Older people's pathway – Leicester Local Authority (Date produced: 18 March 2019)

Leicester City Council contracts with 15 Supported Living Providers within Leicester City.

All (100%) of contracted providers assessed by Care Quality Commission achieved an Outstanding / Good overall rating.

Contracted Supported Living Providers were commissioned to deliver 924,913 hours of support for 2018 /19.

Source:  
Care Quality Commission: Latest ratings April 2019  
Care Quality Commission: Latest ratings April 2018

# Improving quality through partnership working

The Contracts and Assurance service has a strong relationship with the Care Quality Commission, as our work underpins and complements their oversight by working with providers on a day to day basis supporting them to ensure standards are maintained.

Day to day work includes examining cases of alleged abuse or neglect in services, holding contract meetings with providers, managing risks to ensure we provide resources and support where needed and meeting with service users to make sure their voice is heard and taken into account

The Multi Agency Improvement Planning Team will provide specialist support to those Providers failing or identified as high risk across all contract types. They will work with the Provider and other agencies / Local Authorities to help improve the service via tailored support and planning.

**Care Quality Commission Comment: 'City have the highest percentage of good, and improved Providers. This is down to the relationship that you (Leicester City Council) have with the CQC and joint working' (Local CQC inspector. April 2019).**

Our service uses a Quality Assurance Framework tool that applies a set of standards to ensure that providers are compliant with our contract, which is undertaken on an annual basis and seeks to compliment the Care Quality Commission requirements.

Although the service aims to provide support and guidance to providers where significant areas concern are identified we will take enforcement action by issuing a formal Notice To Remedy Breach. Any such notice will detail both the actions required and timeline for the actions to be completed, failure to comply with the notice may lead to the removal of a Providers contract.

# Quality Assurance Framework 2018/19

Contract Officer engagement and strong relationship building with Providers is critical in ensuring that all services are monitored effectively and fairly, via a comprehensive and robust framework, to provide value for money and performs to specific service expected standards, whilst maintaining regulatory and contractual compliance.

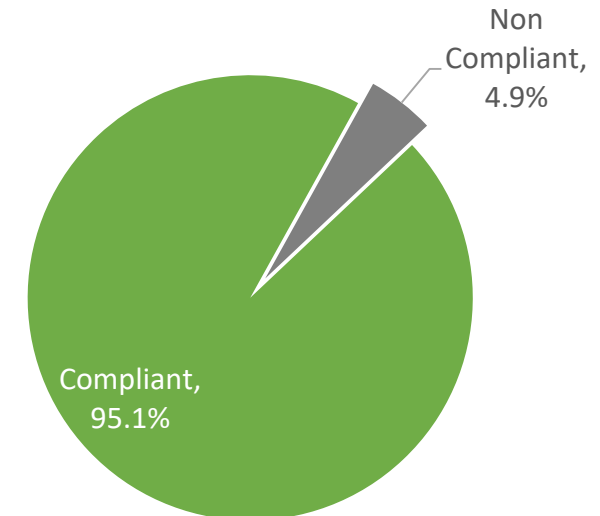
The team carry out an annual 'Quality Assurance Framework', which looks at the following key areas:

- Personalised Care
- Voice Choice and Control
- Safeguarding and Safety
- Staffing & Employment
- Business Management
- Quality Management

Below we can see how well contracted Providers have performed as part of this assessment:

All Contract types	Compliant	Non-Compliant	% Compliant	Assessment ongoing
Total	117	6	95.1%	13
Type of Service	Compliant	Non – Compliant	% Compliant	Assessment ongoing
Nursing Care Homes	18	0	100.0%	0
Residential Care Homes	75	4	92.6%	0
Domiciliary Care	13	2	86.7%	6
Supported Living	11	0	100.0%	4

Compliant at point of Quality Assurance Framework assessment



# Visits and actions

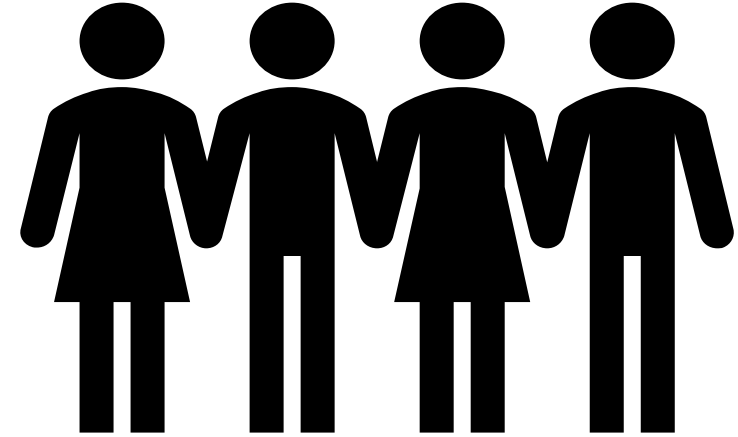
## Quality Assurance Framework assessment

To complete an assessment the Contracts and Assurance team will undertake an announced and unannounced visit, with additional visits if required.

**QAF assessments started in 2018/19 = 76 (covering all services)**

Announced + Unannounced visits = 152 + Additional required visits = 20

**Total Assessment visits = 172**



In addition to assessment visits, the Contracts and Assurance service also carry out safe and wellbeing and responsive visits as a result of intelligence received (from Care Quality Commission, other Local Authorities, whistle-blowing, internal communication) concerning a Provider.

Where intelligence indicated that this was necessary, responsive visits were carried out outside of usual working hours, e.g. night, weekend or during bank holidays.

In total the Contracts and Assurance service undertook **464** visits (average of 38.7 per month) in 2018/19 (QAF Visits = 172 + Safe and Wellbeing / Responsive Visits = 292)

Intelligence monitoring records are the Contracts and Assurance service method to log any quality / contractual concerns, safeguarding or any issues raised about a service Provider. Each one received is logged on our system, allocated and risk assessed to see if any action is required.

In total the Contracts and Assurance service logged, allocated and risk assessed **2161** records, of which **417** required action.



# Making a difference – case studies

45

A Provider received a responsive visit to assess their reaction to areas of improvement identified by Care Quality Commission. The Contracts and Assurance service worked with the Provider and a number of issues were identified during the visit.

Contracts and Assurance carried out a further visit, followed up later by starting a Quality Assurance Framework assessment, with a further two visits undertaken.

Because we work closely with both Care Quality Commission and the Provider, the Contracts and Assurance service were able to validate the progress the Provider completed and ensured evidence of improvement.

Following up from a whistleblowing concern, it was identified that the Providers Whistleblowing Policy was written in a way that would deter staff from contacting Leicester City Council or the Care Quality Commission. As a result the regional organisation's Whistleblowing Policy was amended.

After a responsive visit, following a whistleblowing concern, it was identified that there were not enough staff on the early morning shift. As a result, the home increased staffing in the morning.



A concern identified to the Contracts and Assurance service, that the relationship between the Provider Manager and Social Workers / Occupational Therapists had broken down, with the Manager not following professional recommendations. Following our involvement, the Manager agreed to work more co-operatively with professionals.

After being graded as non-compliant from a Quality Assurance Framework assessment an action plan of over 50 actions was put into place for the Provider to achieve compliance. The Contact and Assurance team carried out a further 8 visits to assess on-going progress and to provide relevant guidance and support.

# Service user voice

To further provide assurance in the experience of services users, families and carers we regularly obtain feedback via our contract management process, which informs our oversight of a service.

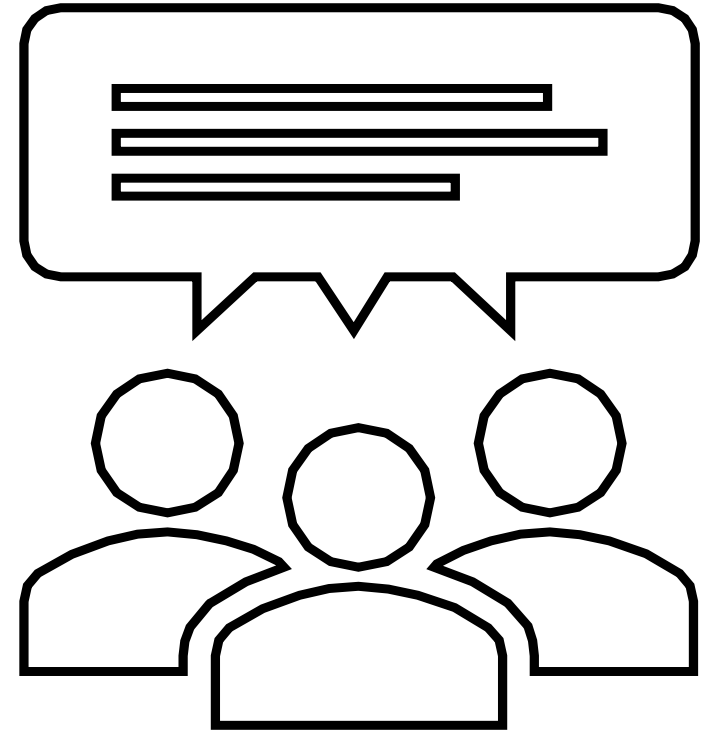
**“The service user is extremely well looked after both mentally and physically. All staff are professional, friendly and caring”**

**“It’s nice to see a smiling face every day and have a chat, to know that at least you will have someone call to see you, it’s the best part of my day.”**

**“Don’t think you can improve the service”**

**“The staff are lovely here and ask me often is there is anything to add to the handover. It’s nice that they include me.”**

**“Staff are very helpful and friendly”**



## Adult Social Care Scrutiny Commission

### Draft Work Programme 2019 – 2020

Meeting Date	Topic	Lead Officer	Actions Arising	Progress
16 July 2019	<p><i>An Overview of the Adult Social Care Services (to be held as a pre-meet session prior to the main meeting - for the benefit of new members).</i></p> <p>Dementia Strategy: Action Plans</p> <p>Extra Care Housing Update inc. planned schemes, detail on full wheelchair access</p> <p>Brokerage Team – Monitoring Report</p> <p>Adult Social Care Performance monitoring: Quarter 4 report</p>	<p>SF</p> <p>TR</p> <p>TR</p> <p>SF</p> <p>SF</p>	The additional information requested at this meeting by members has been circulated.	
10 Sept 2019	<p>Carers Strategy: Update following Amendment of the Strategy <i>(to invite CYPS Scrutiny Commission members for joint scrutiny of this item)</i></p> <p>Better Care Fund (BCF) Annual Report including work with NHS and Over 85s <i>(to invite Health &amp; Wellbeing Scrutiny Commission members for joint scrutiny of this item).</i></p> <p>Consultation on Revisions to the ASC Non-Residential Charging Policy</p> <p>Work Programme update (to include new review proposal 'ASC Workforce Planning: challenges and looking to the future – tbc)</p>	<p>TR</p> <p>RL</p> <p>RL</p> <p>AP/Vice Chair</p>		

Meeting Date	Topic	Lead Officer	Actions Arising	Progress
29 Oct 2019	<p>Leicester Safeguarding Adult Board (LSAB) Annual Report</p> <p>Refresh of the Learning Disability Strategy: Consultation findings</p> <p>Contracts and Assurance 2018 Annual Quality Report</p>	Chair of LSAB		
17 Dec 2019	<p>ASC Budget (to feed into councils budget process)</p> <p>VCS Review Phase 1 and 2: Progress Report, including information on Accommodation Based Support, DPSS/SUPS and relevant EIAs)</p> <p>Update on ASC Communications Co-ordination? Item tbc</p> <p>Social Value good practice re: 'Ageing Together' pilot? Item tbc</p>			
4 Feb 2020	<p>Carers Strategy: 6 month Progress Update (inc. information on KPIs)</p> <p>Learning and Development</p> <p>Charging Policy re: Attendance Allowance Consultation</p>	<p>TR</p> <p>SM</p>		

17/10/19

<b>Meeting Date</b>	<b>Topic</b>	<b>Lead Officer</b>	<b>Actions Arising</b>	<b>Progress</b>
31 March 2020	End of Life Case File/Records Audit (Review)  ICRS Review  Annual Operating Plan 2019/20 End of Year Report	SF  SF/Head of Service		

DRAFT

**Forward Plan/Suggested Items**

Topic	Detail	Proposed Date
FORWARD PLAN OF KEY DECISIONS	Commission members to be kept updated on items impacting on Adult Social Care service areas. Watching brief, as required	Watching brief, as required.
CONSULTATIONS	Commission to contribute to planned and live consultations impacting on Adult Social Care service areas. Watching brief, as required	Watching brief, as required
BUDGET REVIEWS AND ANNUAL BUDGET	Commission members to be kept updated on budget impacts on Adult Social Care service areas. Watching brief, as required.	Watching brief, as required
Green Paper Task Group Response: Sustainable Funding for Social Care		
Test of Assurance – Joint Service: Internal Review		
Managing our Workforce Report	Task group review established in October 2019	
Carers support		
Looked after children leaving care: a) support for housing e.g. council tax and rent b) living wage c) NEETs		
Housing adaptations programme (private and council) for people with disabilities		
Review of contracting out social care services		
Care homes - staffing		
Ethical Care Charter (unison)		
Tackling isolation		

50