



Local Operational Procedure for the Conduct of Adult Protection Initial Inquiries and Full Investigations

SUMMARY: This procedure provides instruction for 'Council Officers' and their managers in relation to conducting Adult Protection Initial Inquiries and Full Investigations

SCOPE: All staff undertaking the role/task of 'Council Officer' as defined within the Adult Support and Protection (Scotland) Act 2007 and their line management.

RELATED POLICIES: Grampian Interagency Policy and Procedure for the Support and Protection of Adults at Risk of Harm

POLICY: Local Operational Procedure for the Conduct of Adult Protection Initial Inquiries and Full Investigations

POLICY TYPE: Procedure

POLICY GROUP: All SCWB services

DRAFTED/APPROVED: Drafted February 2013 / Approved March 2013

NEXT REVIEW: February 2014

REF NO: SCWB 036

This Policy is believed to reflect current relevant statutory and regulatory requirements at the time of publication. It may not be copied for use by any other organisation or included within another organisation's policies without the express permission of Aberdeen City Council.

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Organisation/Department	Agreed on
Adult Protection Internal Development Group	24-10-2012 [All procedural elements]
Adult Protection Internal Development Group	20-02-2013 [Approval of new Initial Inquiry and Full Investigation templates]
Senior Management Team [Social Care and Wellbeing]	05-03-2013 [Final approval for implementation]

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Local Operational Guidance for the Conduct of Adult Protection Initial Inquiries and Full Investigations

1. INTRODUCTION

- 1.1 The Adult Support and Protection (Scotland) Act 2007 came into force in 2008.
- 1.2 The Act made new provisions intended to protect those adults who are unable to safeguard their own interests, such as those affected by disability, mental disorder, illness or physical or mental infirmity, and who are at risk of harm or self harm, including neglect.
- 1.3 In order to discharge their responsibilities under the legislation, all three Grampian local authorities (and their partners in NHS Grampian and Grampian Police) collaborated to create an Interagency Policy and Procedure for the Support and Protection of Adults at Risk of Harm.
- 1.4 This interagency policy and procedure gives overarching guidance for statutory bodies discharging their functions under the act and how adult protection work should be conducted in the Grampian area.
- 1.5 However, because of the need to cover three local authorities, the interagency policy and procedure does NOT cover organisation specific operational detail.
- 1.6 This procedure is therefore designed to give clear instruction to Aberdeen City Council staff on the SPECIFICS of conducting Adult protection initial inquiries and full investigations within our organisation.
- 1.7 This procedure must not be read in isolation and should be viewed as a companion to the Act's Code of Practice and the Grampian Interagency Policy and Procedure for the Support and Protection of Adults at Risk of Harm (see Appendix C for details).

2. ADULT PROTECTION INITIAL INQUIRIES

- 2.0.1 Adult Protection Initial Inquiries are as defined in the Grampian policy and procedure, i.e “The gathering of...information [that] will help the Council Officer to determine whether or not grounds exist to initiate a formal investigation or whether a criminal offence may have been committed.”
- 2.0.2 The conduct of an Initial Inquiry is a formal one, and must be fully documented and recorded as it is evidence that the Council has met its ‘duty to inquire’ under section 4 of the Adult Support and Protection (Scotland) Act 2007.
- 2.0.3 The decision to proceed to an Initial Inquiry will be taken by the Adult Protection Unit (APU) following receipt of an ASP Reporting Form where there is potential that the adult involved may meet the three point test and therefore be an ‘adult at risk’ under the terms of the legislation.
- 2.0.4 The APU will send the ASP Reporting Form to the Senior Care Manager/Senior Social Worker of the relevant social work team to conduct the Initial Inquiry.
- 2.0.5 The Grampian policy/procedure has a general expectation that the individual who conducts the Initial Inquiry should be a Council Officer, however it does allow some flexibility by stating “...some adults may be known to services and it may be helpful for them to have an informal discussion with a familiar person...rather than a Council Officer”. The Grampian policy/procedure is, however, absolutely clear that the use of a non Council Officer in an initial inquiry may only take place with the EXPLICIT agreement and oversight of the Senior Social Worker/Senior Care Manager responsible for the adult at risk of harm’s case.
- 2.0.6 For the purposes of clarity – at the stage of conducting an Initial Inquiry, the worker conducting the inquiry CAN be the allocated worker (if the case is already known to Social Care and Wellbeing and the allocated worker is a qualified Social Worker/Care Manager).

2.1.0 The Process of an Initial Inquiry

- 2.1.1 The Grampian policy/procedure states, “As allegations vary widely, it is impossible to detail all of the steps which should be undertaken in the investigation of an alleged incident of harm”.
- 2.1.2 However, there are some key points that apply to the conduct of all initial inquiries.
- 2.1.3 If the concern about the adult at risk of harm involves potential criminality then, before any work commences on the inquiry, clearance should be sought from Grampian Police. This is to ensure that there is no risk of the initial inquiry compromising a potential criminal investigation. It is the responsibility of the social work team conducting the initial inquiry to check with the police before beginning work on a case.
- 2.1.4 The intention of any initial inquiry is to be able to come to a decision as to whether an adult is likely to meet the ‘3 point test’ in terms of the ASP legislation, and therefore require a full, comprehensive investigation under ASP procedures.
- 2.1.5 The *process* of conducting the initial inquiry should primarily be recorded contemporaneously via the use of contact records on CareFirst. i.e. individual recording of phone calls made, liaison with other professionals etc. These should all be recorded under the contact record heading of “Adult Support and Protection” for easy identification (see Appendix B for details on Adult Protection CareFirst recording). The only exception to this will be if third party/restricted access material is being recorded in contact records – in these circumstance the heading of ‘Restricted Access’ should be used.
- 2.1.6 The *outcome* of the initial inquiry should be recorded on the Record of Initial Inquiry form (see Appendix A, blank template available on the adult protection pages on ‘the Zone’). This should include a summary of the inquiry work undertaken.
- 2.1.7 A recommendation should be made on the initial inquiry form as to whether there is a need to proceed to full investigation under adult protection procedures.
- 2.1.8 If it is decided that the case should ‘Proceed to Full Investigation’, then staff should follow the instructions contained within the Grampian policy/procedure and section three of this document.
- 2.1.9 If an option *other* than ‘Proceed to Full Investigation’ is selected this will normally be due to the adult not meeting the ‘3 point test’ as defined in the ASP legislation. This could be because the adult is found to be able to safeguard their own interests and/or is not found to be more at risk due to their illness/disability etc.

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- 2.1.10 There is also an option for staff to select 'no further action' as 'appropriate support/services are already in place'. This option would be selected where the adult *may* have met the three point test at the time the concerns were raised; however support/intervention has removed/reduced the risk of harm thereafter. For example: if harm has transpired due to an informal carer becoming aggressive to a vulnerable client due to carer stress, it would be entirely appropriate to offer additional respite services and other supports to assist the situation. These services may well reduce the carer stress and risk of harm sufficiently so that there is no need to progress to a full investigation and case conference.
- 2.1.11 It should be noted that choosing No Further Action as an adult protection matter in no way precludes further intervention outside of adult protection (i.e. standard social work intervention or support from third parties such as the NHS).
- 2.1.12 When coming to a decision in relation to the Initial Inquiry, it is good practice to ensure that the views of the adult at risk are recorded in the Initial Inquiry form as well.
- 2.1.13 Once completed, the initial inquiry form should be passed to the Senior Social Worker/Senior Care Manager of the team responsible for the inquiry. The Senior will review the findings, and if they are happy with what has been decided, will endorse and sign the initial inquiry form. If it is the Senior of the team who has lead the initial inquiry, the form should be passed to the relevant Service Manager for review and endorsement via signature.
- 2.1.14 Once signed, the initial inquiry form should be held in the client's CASER file and a copy sent to the APU for logging/recording.
- 2.1.15 During the initial inquiry if needs, risks and/or services provided have changed, staff are reminded that they must update the client's standard Social Care and Wellbeing paperwork to reflect these changes. i.e. if the decision of an initial inquiry is 'NFA – Appropriate Supports in place' due to the staff member providing additional services to the client to reduce risk – this must be reflected in the standard care plan and risk assessment for the client in question.
- 2.1.16 Staff are also reminded that if the concerns to which they have made inquiries into constitute a 'prejudice incident' (i.e. an incident motivated by malice towards a social group or any individual within a social group) they should consider completing a 'Prejudice Incident Reporting Form' – which is available via 'The Zone' (see Appendix C). For example, where verbal abuse specifically references an individuals disability – this could be construed as being a 'prejudice incident'.

2.2 Use of the ASP Professionals' Meeting When Conducting an Initial Inquiry

- 2.2.1 The ASP Meeting is for professionals' and is designed to allow those with an interest in the welfare of an adult at risk to discuss and share information relevant to any adult protection concerns.
- 2.2.2 The professionals' meeting is used in more difficult or complex initial inquiries to allow the Council Officer and Senior to gather information from various parties about the adult thought to be at risk.
- 2.2.3 It will also be used where the APU has received five separate ASP Reporting Forms as the Grampian policy requires a full meeting of professionals to be convened to examine the concerns raised.
- 2.2.4 The Grampian policy/procedure states, "It is important to note that an adult protection meeting is part of a process and is not a one off discussion". In this context, this means that the professionals' meeting feeds into and informs the outcome of the initial inquiry and should be held before the inquiry is concluded.
- 2.2.5 The decision to hold a professionals' meeting should be made by the staff member conducting the initial inquiry, in conjunction with their senior. The decision to call a professionals' meeting should be recorded in contact records under the heading of 'professional supervision'.
- 2.2.6 The responsibility for arranging and recording the professionals' meeting sits with the allocated social work team responsible for the care and support of the adult at risk.
- 2.2.7 Normally, the Chairperson of the professionals' meeting will be the Senior of the team conducting the Initial Inquiry. However, the chair can be another Senior/Manager if this is felt to be more appropriate.
- 2.2.8 There is a specific agenda for the professionals meeting (see Appendix A), and this should be followed in all cases.
- 2.2.9 The professionals' meeting will help conclude whether there is a need to progress further along adult protection procedures – and this will be reflected in the final initial inquiry form that is completed.
- 2.2.10 The professionals' meeting is a formal part of the adult protection process and should therefore always be formally recorded. A template for minuting a professionals meeting is available on 'the Zone' and is also included in Appendix A.
- 2.2.11 When minuting a professionals' meeting, staff should be mindful of the instruction within the Grampian interagency policy/procedure that

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“Third party restricted information should not be shared within the minutes”.

- 2.2.12 Once the professionals’ meeting minutes are drafted, they must be agreed and signed off by the chair of the meeting. They should then be circulated to all invited to the meeting alongside any other professional actively involved in the care and support of the adult in question.
- 2.2.13 A copy of the minutes should be sent to the APU for logging, and the original signed copy retained in the adult’s CASER file.

3. ADULT PROTECTION FULL INVESTIGATIONS

- 3.0.1 The Adult Protection Full Investigation is a formal process used in situations where there is felt to be an ongoing risk of harm to an 'adult at risk' as defined in the Adult Support and Protection (Scotland) Act 2007.
- 3.0.2 The purpose of the full investigation is to gather comprehensive information on the risks that are present for the adult, along with detailed information in relation to the adults communication, capacity and level of risk.
- 3.0.3 The full investigation will also document the Council Officer's recommendations/professional opinion as to whether the adult meets the '3 point test' as per the legislation AND whether a formal adult protection case conference is required for protection planning.
- 3.0.4 The seriousness of the full investigation process requires that it be comprehensively recorded on the 'Record of Full Investigation' form.
- 3.0.5 An Adult Protection full investigation will be initiated by one of two routes only:
- The Adult Protection Unit (APU) will receive an ASP reporting form which relates to circumstances that are either so significant, or so unambiguous, that no initial inquiries are needed and the case will proceed directly to an investigation. In these circumstances, the APU will send the ASP Reporting Form directly to the Senior Social Worker/Senior Care Manager of the relevant social work team to conduct the investigation.
 - Following the completion of an Adult Protection Initial Inquiry, it is the opinion of the social work team involved that the adult is likely to meet the 'three point test' and that the risk of harm is ongoing. Therefore, the team and its senior decide to progress further along the adult protection process by initiating a full investigation.
- 3.0.6 For the purposes of clarity, an Adult Protection Full Investigation can **ONLY** be carried out by an authorised Council Officer (as defined in the legislation).
- 3.0.7 In addition, to allow for independent scrutiny of the particulars of the case, the Council Officer responsible for conducting the full investigation should NOT be the allocated worker for the adult. **NOTE:** This restriction does not apply when the adult at risk's case is open to Social Care and Wellbeing only due to the adult protection concerns.

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- 3.0.8 If the Council Officer conducting the investigation is not part of the social work team responsible for the adult at risk of harm's care and support, overall responsibility for the conduct and completion of the investigation remains with the allocated social work team and their Senior. This is to avoid any confusion in respect of responsibility and decision making.

3.1 The Process of a Full Investigation

- 3.1.1 The Grampian policy/procedure states, “As allegations vary widely, it is impossible to detail all of the steps which must be undertaken in the investigation of an alleged incident of harm”.
- 3.1.2 However, there are some key points that will apply to the conduct of all full investigations.
- 3.1.3 If the concern about the adult at risk of harm relates to potential criminality then, if not already checked at an earlier stage, clearance should be sought from Grampian Police before commencing the investigation. This is to ensure that there is no risk of the full investigation compromising a potential criminal inquiry. It is the responsibility of the social work team conducting the full investigation to check with the police before commencing work on the case.
- 3.1.4 The Adult Protection Full Investigation is a far more comprehensive process than that of an Initial Inquiry – and therefore requires consideration and planning as to how it will be conducted.
- 3.1.5 The Grampian policy/procedure goes into some detail in respect of investigations, and that material will not, in general, be repeated in this procedure. However, there are some aspects of the investigatory process that require reinforcement and clarification.
- 3.1.6 When proceeding with an investigation Council Officers must consider whether the provision of independent advocacy services would be appropriate in relation to their work with the adult at risk of harm. This consideration should be recorded in contact records as it provides evidence that the council has satisfied its duty under the legislation to consider “the importance of providing advocacy and other services” (section 6 of the Act).
- 3.1.7 When other statutory bodies are involved or have an interest in the conduct of the investigation (for example, the Care Inspectorate, if the harm has occurred in a registered care setting), the Council Officer should liaise with the bodies in question and keep them briefed on developments. Any contact with these other bodies must always be recorded in contact records on CareFirst.
- 3.1.8 All interviews in relation to the adult protection concerns must be conducted by the Council Officer and another professional. In no circumstances should a formal investigatory interview be conducted by the Council Officer on their own. This is to ensure corroboration and clarity in relation to the content of the interview.
- 3.1.9 Council Officers are reminded that when interviewing an individual in relation to an adult protection investigation, the Council Officer **MUST**:

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- Inform them of the reason why they are being interviewed;
- Inform them that they do not have to answer any questions if they do not wish to; AND
- Ensure, as far as is practicable, that the individual understand the two points above.

3.1.10 The process of conducting the investigation should primarily be recorded via the use of contact records on CareFirst. i.e. individual recording of phone calls made, liaison with other professionals etc. These should all be recorded under the contact record heading of “Adult Support and Protection” for easy identification (see Appendix B for details on Adult Protection CareFirst recording). The only exception will be if the information being recorded is of a third party/restricted access nature – in these circumstances, the ‘Restricted Access’ heading should be used.

3.1.11 In addition, some specific aspects of the investigation process should be recorded in a more detailed fashion. For example, if the Council Officer makes a formal request to access financial or other records as part of their investigation, the correspondence should be held in the CASER file and the appropriate activity recorded in CareFirst (again, see Appendix B for details on Adult Protection CareFirst recording).

3.1.12 If the Council Officer wishes to request a medical examination of the adult at risk of harm to inform their investigation, they should complete the Medical Examination Request Form (see Appendix A). A copy of this should be retained in the CASER file and the appropriate activity recorded in CareFirst (again, see Appendix B for details on Adult Protection CareFirst recording). NOTE: As per the medical examination protocol, Council Officers will NOT be expected to request a medical examination in instances where there is potential criminality – responsibility in those instances lies with Grampian Police.

3.1.13 All sections of the Record of Full Investigation should be completed.

3.1.14 When completing the Record of Full Investigation, particular attention should be paid to the chronology section of the document, and this should be completed as fully as possible.

3.1.15 A recommendation **must** be made in the form as to whether the concerns investigated require an adult protection case conference to be called.

3.1.16 Council Officers are also reminded that it is good practice to discuss the content and outcome of the Record of Full Investigation with the adult at risk of harm. It would be hoped that the adult at risk would

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then be willing to sign the investigation form to show that they have been briefed and agree with the recommendation made.

- 3.1.17 However, it is recognised that there will be some occasions where the adult at risk cannot, or will not, sign the Record of Full Investigation. This may be due to the client lacking capacity to fully understand the content of the document, or the content of the document cannot be shared due to restricted/third party information contained within it. Regardless, it is still a requirement that the Council Officer try to explain as much about the investigation as is appropriate and record on the form the reason why the client has not signed the document.
- 3.1.18 Once completed, the Record of Full Investigation must be given to the Council Officer's line manager for review and endorsement of the content/decisions within. NOTE: All staff should be aware that if the Record of Full Investigation recommends that an Adult Protection Case Conference be held it is expected that the allocated social work team will then make the necessary arrangements to facilitate this.
- 3.1.19 Once the line manager of the Council Officer has signed and endorsed the decision of the Record of Full Investigation, it should be stored in the adult at risk's CASER file. A COPY of the signed document should be sent to the APU for logging.
- 3.1.20 If not already looked at during the Initial Inquiry stage of the process, staff are reminded that if any of the ASP concerns constitute a 'prejudice incident' (i.e. an incident motivated by malice towards a social group or any individual within a social group) they should consider completing a 'Prejudice Incident Reporting Form' – which is available via 'The Zone' (see Appendix C). For example, where verbal abuse specifically references an individual's disability – this could be construed as being a 'prejudice incident'.

3.2 Use of the ASP Professionals' Meeting When Conducting a Full Investigation

- 3.2.1 The Adult Protection professionals' meeting is for professionals, and is designed to allow those with an interest in the welfare of an adult at risk to discuss and share information relevant to any adult protection concerns.
- 3.2.2 However, unlike when conducted during an initial inquiry, the purpose of a professionals' meeting when conducting a full investigation is not to determine whether the investigation should occur, but rather, how it should be conducted.
- 3.2.3 To that end, the professionals' meeting would normally be held after the decision to conduct an investigation, but before the investigation is commenced.
- 3.2.4 It should be stressed that not all Adult Protection Investigations will require a professionals' meeting to plan how they will proceed. Normally, this will be required for complex investigations which require the participation of multiple parties (for example, the Care Inspectorate, Contracts and Commissioning staff, Grampian Police etc).
- 3.2.5 The decision to hold a professionals' meeting will be made by the Senior of the team responsible for conducting the investigation (in conjunction with the allocated Council Officer). The decision to call a professionals' meeting should be recorded in contact records under the heading of "Professional Supervision".
- 3.2.6 Normally, the chair of the professionals' meeting will be the Senior of the team conducting the investigation. However, the chair can be another Senior/Manager if this is felt to be more appropriate.
- 3.2.7 There is a specific agenda for the professionals' meeting (see Appendix A), which should be followed in all cases.
- 3.2.8 As the decision to proceed to a full investigation has already been made, the primary task of the professionals' meeting is to summarise for all participants what is currently known about the adult at risk and their situation. The meeting should then conclude by determining which professional/agency will be responsible for what in carrying out the investigation.
- 3.2.9 The professionals' meeting is a formal part of the adult protection process and should therefore always be formally recorded. A template for minuting a professionals' meeting is available on 'the Zone' and is also included in Appendix A.
- 3.2.10 When minuting a professionals' meeting, staff should be mindful of the instruction within the Grampian Interagency policy/procedure that

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"Third party restricted information should not be shared within the minutes".

- 3.2.11 Once the professionals' meeting minutes are drafted, they must be agreed and signed off by the chair of the meeting. They should then be circulated to all invited to the meeting alongside any other professional actively involved in the care and support of the adult in question.
- 3.2.12 A copy of the minutes should be sent to the APU for logging, and the original signed copy retained in the adults CASER file.

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**APPENDIX A: FORMS/TEMPLATES USED AS PART OF INITIAL INQUIRIES
AND INVESTIGATIONS**

NOTE: The forms/templates contained on the following pages are for reference only. The forms/templates are designed to be accessed online and are accessible from the Adult Protection Unit's pages on 'The Zone'. Go to the ASP pages by clicking [here](#).

Adult Protection Unit Social Care and Wellbeing Record Of Initial Inquiry



Name:		DOB:	
Address:		CareFirst ID:	
		Council Officer:	

Are there any known risks to the council officer and accompanying staff?

NO

If yes, what action is being taken to reduce risk to an acceptable level (detail below)?

If yes give evidence and plan of action (e.g. enlist help of trusted family member, application for warrant for entry)

NO

DATE OF INTERVIEW:

LOCATION OF INTERVIEW:

PRESENT AT INTERVIEW:

Name _____

Role

INFORMATION OBTAINED:

[When completing this section of the form, you should summarise: the nature of the concern that led to the initial inquiry being conducted; what you actually did in order to progress the inquiry; and the information that was actually obtained (from all sources) as a result of the inquiry.]

INITIAL INQUIRY OUTCOME : (PLEASE SELECT FROM OPTIONS GIVEN)

*[When selecting an outcome, you should take into account the entire circumstances of the adult's situation. If the adult at risk is likely to meet the **'3 point test'** and the risk of harm remains current you **must** select the option **'FULL INVESTIGATION REQUIRED'** unless the adult refuses consent to help/intervention.]*

FULL INVESTIGATION REQUIRED

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EVIDENCE IN SUPPORT OF RECOMMENDATIONS:

*[Use this section to give evidence which justifies the outcome which you have selected above. For example, if you have selected one of the 'NFA' options, you should show why either the 'three point test' does not apply, or how the risks have already been removed/managed. If you are selecting 'No Further Action' due to the adult's refusal, you must evidence that there are no concerns about **mental capacity** or '**undue pressure**' being applied.]*

IF THE CASE IS NOT PROCEEDING TO FULL INVESTIGATION

Would the adult be willing to be interviewed at a later date in regards to how they found the ASP process?
*[The APU will periodically interview a random sample of adults' who have been through an ASP initial inquiry to get feedback on how they have found the process. Answer '**Yes**' if the adult is happy to be contacted in regards to an interview. Answer '**No**' if the adult does not wish to be contacted. Answer '**Not Appropriate**' if the adult's physical or cognitive needs would preclude an interview being conducted.]*

<SELECT FROM DROP DOWN MENU>

REMINDERS FOR ALL STAFF:

- Once the Initial Inquiry form is completed and signed – it **MUST** be filed in the client CASER file and a **COPY** sent to the Adult Protection Unit for logging.
- All 'standard' case paperwork **MUST** be updated to reflect the outcome of the Initial Inquiry process. [i.e. generic risk assessments, care and support plans etc.]

Name of Senior Social Worker/Senior Care Manager	
Senior Signature in Agreement	
Alternative instruction if appropriate	
Date of Decision	

Adult Protection Unit Social Care and Wellbeing Record Of Full Investigation



PERSONAL DETAILS			
Name:		DOB:	
Address:		CareFirst ID:	
		CHI Number:	
Phone Number:		Housing Status:	
Date Investigation Started:		Date Investigation Concluded:	
Legal Status: (Power of Attorney, Guardian, CTO etc.)			

COUNCIL OFFICER DETAILS			
Name:		Designation:	
Work Address:		Email Address:	
Phone Number:		Team:	

SAFETY CONSIDERATIONS	
Are there any known safety risks to staff when conducting an investigation? <i>[Consider risks from the adult (e.g. aggressive behaviour); risks from others; and environmental risks (e.g. unsanitary environment, dangerous animals etc).]</i> If YES , what action is being taken to reduce risk to an acceptable level (detail below)?	NO

NATURE OF ADULT PROTECTION CONCERNS
What behaviour, allegation, complaint, circumstances or event has prompted this investigation? <i>[Detail the nature of the behaviour or incidents which put the person at risk, e.g. the nature and extent of sexual/physical/financial harm; the specific areas of self neglect (eating, medication, wandering etc)].</i>
Who is the source of the concerns/allegations? <i>[List clearly who has reported the concerns, when, and in what capacity]</i>
When have these concerns/allegations occurred – and how often? <i>[Clearly state whether the concerns/allegations raised pertain to an isolated incident or ongoing/repeating instances.]</i>

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If there is a known pattern to the concerns/allegation (i.e. every morning, every week, every pension day) – state this.]

Are there particular ‘triggers’ or circumstances that heighten the concerns?

[Indicate here if there are recognised circumstances and/or actions that lead to the concerns occurring, or exacerbate already present concerns.]

RELEVANT MEDICAL HISTORY

Please list all relevant medical assessments and/or clinical diagnoses of mental or physical illness that may be relevant to this investigation.

[The Council Officer should always do a full CareFirst record search and liaise with NHS multidisciplinary colleagues when completing this section].

COMMUNICATION

Does the adult at risk have any communication difficulties/needs?

[The Council Officer should consider if the adult may have difficulty with the English language; physical hearing difficulties; speech articulation problems etc.].

YES

IF YES –What has been put in place to facilitate communication during the investigation process?

[The Council Officer should consider (as appropriate) the use of an interpreter/translator; hearing loop technology; speech and language therapist support etc.]

CAPACITY

Are there any concerns about the adult’s capacity in regards to decision making?

[Consider difficulties in: acting; making decisions; communicating decisions; understanding decisions; and/or retaining memory of decisions]

YES

IF YES – Please give details below:

Has there been a recent formal assessment of capacity?

YES

IF YES – Please give details below (including who assessed, when, and the outcome of the assessment):

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CHRONOLOGY OF SIGNIFICANT EVENTS

Please list below a chronology of significant life events OR attach a separately completed chronology document.

[Council Officers should note that specific guidance is available on the conduct of ASP chronologies via the [Adult Protection pages on 'the Zone'](#). Council Officers are also reminded that a chronology captures **key life events**, rather than simply documenting the history of current concerns alone.]

[illegible]

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RECORD OF VISIT/INTERVIEW – INTERVIEW ONE

This section should record the conduct of, (and information gained during), an Adult Protection interview.

Council Officers are reminded that for all interviews:

1. *The individual being interviewed must be informed of their right not to have to answer any questions put to them.*
2. *The purpose of the interview must be explained clearly to the adult.*
3. *There must be TWO professionals in attendance for all interviews – the Council Officer and an additional person from a statutory agency.*

A separate record should be completed for each interview conducted.

INTERVIEW DETAILS

Person Interviewed:		Designation:	
Date of Interview:		Location of Interview:	
Time Started:		Time Ended:	
Present at Interview:	Name		
	Designation		

INFORMATION GATHERED

Record what was discussed during the interview. Remember to clearly differentiate between factual statements related to what was said and impressions/observations. Where possible, try to record using the adult's own words.

SIGNED AS TRUE RECORD OF THE VISIT/INTERVIEW

Council Officer Name [Block Caps]: _____

Council Officer Signature: _____

Date: _____

2nd Professional Name [Block Caps]: _____

2nd Professional Signature: _____

Date: _____

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RECORD OF VISIT/INTERVIEW – INTERVIEW TWO

This section should record the conduct of, (and information gained during), an adult support and protection interview.

Council Officers are reminded that for all interviews:

1. *The individual being interviewed must be informed of their right not to have to answer any questions put to them.*
2. *The purpose of the interview must be explained clearly to the adult.*
3. *There must be TWO professionals in attendance for all interviews – the Council Officer and an additional person from a statutory agency.*

A separate record should be completed for each interview conducted.

INTERVIEW DETAILS

Person Interviewed:		Designation:	
Date of Interview:		Location of Interview:	
Time Started:		Time Ended:	
Present at Interview:	Name		
	Designation		

INFORMATION GATHERED

Record what was discussed during the interview. Remember to clearly differentiate between factual statements related to what was said and impressions/observations. Where possible, try to record using the adult's own words.

SIGNED AS TRUE RECORD OF THE VISIT/INTERVIEW

Council Officer Name [Block Caps]: _____

Council Officer Signature: _____

Date: _____

2nd Professional Name [Block Caps]: _____

2nd Professional Signature: _____

Date: _____

**ABERDEEN CITY COUNCIL
SOCIAL WORK SERVICE**

RECORD OF VISIT/INTERVIEW – INTERVIEW THREE

This section should record the conduct of, (and information gained during), an adult support and protection interview.

Council Officers are reminded that for all interviews:

1. *The individual being interviewed must be informed of their right not to have to answer any questions put to them.*
2. *The purpose of the interview must be explained clearly to the adult.*
3. *There must be TWO professionals in attendance for all interviews – the Council Officer and an additional person from a statutory agency.*

A separate record should be completed for each interview conducted.

INTERVIEW DETAILS

Person Interviewed:		Designation:	
Date of Interview:		Location of Interview:	
Time Started:		Time Ended:	
Present at Interview:	Name		
	Designation		

INFORMATION GATHERED

Record what was discussed during the interview. Remember to clearly differentiate between factual statements related to what was said and impressions/observations. Where possible, try to record using the adult's own words.

SIGNED AS TRUE RECORD OF THE VISIT/INTERVIEW

Council Officer Name [Block Caps]: _____

Council Officer Signature: _____

Date: _____

2nd Professional Name [Block Caps]: _____

2nd Professional Signature: _____

Date: _____

**ABERDEEN CITY COUNCIL
SOCIAL WORK SERVICE**

RECORD OF VISIT/INTERVIEW – INTERVIEW FOUR

This section should record the conduct of, (and information gained during), an adult support and protection interview.

Council Officers are reminded that for all interviews:

1. *The individual being interviewed must be informed of their right not to have to answer any questions put to them.*
2. *The purpose of the interview must be explained clearly to the adult.*
3. *There must be TWO professionals in attendance for all interviews – the Council Officer and an additional person from a statutory agency.*

A separate record should be completed for each interview conducted.

INTERVIEW DETAILS

Person Interviewed:		Designation:	
Date of Interview:		Location of Interview:	
Time Started:		Time Ended:	
Present at Interview:	Name		
	Designation		

INFORMATION GATHERED

Record what was discussed during the interview. Remember to clearly differentiate between factual statements related to what was said and impressions/observations. Where possible, try to record using the adult's own words.

SIGNED AS TRUE RECORD OF THE VISIT/INTERVIEW

Council Officer Name [Block Caps]: _____

Council Officer Signature: _____

Date: _____

2nd Professional Name [Block Caps]: _____

2nd Professional Signature: _____

Date: _____

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SOCIAL WORK SERVICE**

ADDITIONAL INFORMATION GATHERED

Record all additional information obtained through means OTHER than a direct interview

[Record in this section information that has been obtained, for example, via a request for financial records, or police research].

PROTECTIVE FACTORS ALREADY IN PLACE

Document all protective factors that are currently in place

[Record in this section all services and/or supports that are in place already which protect and assist the adult in relation to the harm that is present. This can include formal service provision; support from the voluntary sector; informal/family support; and/or any other factor that reduces/mitigates the risk of harm and its subsequent consequences].

ADULT AT RISK OF HARM - THE THREE POINT TEST:

[On the basis of all of the information gathered as part of the investigation process, you must come to a decision as to whether or not you feel the adult meets the 'three point test' as set out in the Adult Support and Protection legislation].

Based on the investigation conducted, is the adult:

A) Unable to safeguard their own welfare/property/rights/interests: Yes

Please give reasoning below:

B) At risk of harm: Yes

Please give reasoning below:

C) More vulnerable to harm because of disability, mental disorder or physical/mental infirmity: Yes

Please give reasoning below:

Therefore, is this person a potential adult at risk

[All three criteria either a YES or UNSURE]: Yes

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INVESTIGATION OUTCOME : (PLEASE SELECT FROM OPTIONS GIVEN)

*[When selecting an outcome, you should take into account the entire circumstances of the adult's situation. If the adult at risk meets the '3 point test' and the risk of harm remains current you **must** select the option 'CASE CONFERENCE REQUIRED'. If following the conduct of the investigation, you remain unsure as to whether the adult meets the 'three point test', you **must** select the option 'CASE CONFERENCE REQUIRED' to allow for multi disciplinary and multi agency deliberation of the case details].*

NFA UNDER ADULT PROTECTION

REASON FOR RECOMMENDATION:

[Use this section to give evidence which justifies the outcome which you have selected above. For example, if you have selected the 'NFA' option, you should show why either the 'three point test' does not apply, or how the risks have already been removed/managed.]

IF THE CASE IS NOT PROCEEDING TO CASE CONFERENCE

Would the adult be willing to be interviewed at a later date in regards to how they found the ASP process?

[The APU will periodically interview a random sample of adults who have been through an ASP INVESTIGATION to get feedback on how they have found the process. Answer 'Yes' if the adult is happy to be contacted in regards to an interview. Answer 'No' if the adult does not wish to be contacted. Answer 'Not Appropriate' if the adult's physical or cognitive needs would preclude an interview being conducted.]

YES

SIGNATURE OF ADULT AT RISK

The adult at risk should be asked to sign the Record of Full Investigation to indicate their agreement with the statements within it. The Record of Full Investigation should be given to the adult to review and sign unless:

- 1. It contains third party, restricted, information which should not be disclosed to the adult; AND/OR*
- 2. The content may be viewed as being significantly harmful to the adult if it were to be disclosed.*

Adult Signature: _____ **Date:** _____

If Record of Full Investigation NOT signed, please state the reason for this below

SIGNATURE OF COUNCIL OFFICER AND LINE MANAGER

Council Officer Signature: _____ **Date:** _____

Line Manager Name [Block Caps]: _____

Line Manager Signature: _____ **Date:** _____

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REMINDERS FOR ALL STAFF:

- Once the Record of Full Investigation form is completed and signed – it should be held in the client CASER file and a COPY sent to the Adult Protection Unit for logging.
- All 'standard' case paperwork **must** be updated to reflect the outcome of the investigation process. [i.e. generic risk assessments, care and support plans etc.]
- If the outcome of the Investigation requires that an ASP Case Conference be called, the fieldwork team conducting the investigation is responsible for contacting the Adult Protection Unit to arrange this.

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MEDICAL EXAMINATION REQUEST FORM

Adult Support and Protection (Scotland) Act 2007 – Section 9 Medical Examination

Patient Details TO BE COMPLETED BY COUNCIL OFFICER REQUESTING MEDICAL EXAMINATION WHEN A CRIME IS NOT SUSPECTED

CHI Number		Carefirst No	
Title		First Name(s)	
		Surname	
DOB		Gender	M <input type="checkbox"/> F <input type="checkbox"/>
Patients Home Address			
Post Code			
Ethnicity		Language	
		Disability	Y <input type="checkbox"/> N <input type="checkbox"/>

Health Professional's details

Title		First Name(s)	
		Surname	
Work Address			
Post Code			
Employer (if applicable)			

Circumstances and concerns resulting in request for medical examination including key questions to be addressed at examination TO BE COMPLETED BY COUNCIL OFFICER REQUESTING MEDICAL EXAMINATION

Please give details to confirm consent has been obtained

Client	Guardian (name)	Attorney (name)
Council Officer's Name		Designation
Local Authority Area		
Address		

Findings on Examination including response to key questions (please attach a further sheet if necessary)

Are there any further steps required following this examination, if so what e.g. referral to specialist service or police for forensic medical examination (please state)?

- If no consent received state reason why

- Signed _____ Date _____

Adult Protection Meeting

Agenda

1. Introductions and apologies.
2. Recording arrangements.
3. Information from each agency and reports received.
4. Any capacity or communication issues.
5. Summary of concerns and current situation.
6. Decision if service user is an adult at risk of harm.

The Act defines an 'adult at risk' as a person aged 16 years or over who:

- *is unable to safeguard her / his own well-being, property, rights or other interests; and*
- *is at risk of harm; and*
- *because they are affected by disability, mental disorder, illness or physical or mental infirmity are more vulnerable to being harmed than adults who are not so affected.*

7. Consideration of use of other legislation.
8. Is a full investigation required?
9. Action Plan
 - Immediate action to protect the adult; who will take responsibility for actions; timescales
 - Risk Assessment
 - Investigation Plan (if required)
 - Case conference arrangements (if required).
10. Summary of outcome of the meeting.

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Adult Protection Meeting: *Insert Carefirst Number*

**Grampian Interagency Policy and Procedure
for the Support and Protection of Adults at Risk of Harm**

Adult Protection Professionals Meeting Minute

Adult at Risk: Name Carefirst no: ****

Date of birth: **/**/**** Address: *****

Date of Meeting: **/**/**** Location: *****

Time:

Present:	Name	Designation

Apologies:	Name	Designation

Not Present:	Name	Designation

1 Introductions and apologies

If apologies/ non-attendance, has information been provided to allow full decision making?

YES/ NO

2 Recording arrangements

3 Information from each agency

4 Any capacity or communication issues

5 Summary of concerns and current situation

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6 Decision if service user is an adult at risk of harm.

The Act defines an 'adult at risk' as a person aged 16 years or over who:

- *is unable to safeguard her / his own well-being, property, rights or other interests; and*
- *is at risk of harm; and*
- *because they are affected by disability, mental disorder, illness or physical or mental infirmity are more vulnerable to being harmed than adults who are not so affected.*

7 Consideration of use of other legislation

8 Is a full investigation required?

9 Action Plan

- Immediate action to protect the adult; who will take responsibility for actions; timescales
- Risk Assessment
- Investigation Plan (if required)
- Case conference arrangements (if required)

10 Summary of outcome of the meeting

11 Minute Approval

I confirm this minute is a true and accurate record of the meeting held.

Signed _____

Designation _____

Date _____

**ABERDEEN CITY COUNCIL
SOCIAL WORK SERVICE**

Our Ref. APU/
Your Ref.
Contact
Email
Direct Dial 01224
Direct Fax
DATE

Name & Address

Adult Protection Unit
Social Care & Wellbeing
Aberdeen City Council
First Floor North
Marischal College
Broad Street
Aberdeen AB10 1AB

Tel 01224 522 222
Minicom 01224 522381
DX 529451, Aberdeen 9
www.aberdeencity.gov.uk

Dear

Re: **Adult Protection Meeting/Case Conference** (*delete as applicable*) regarding:

Name:	
Date of Birth:	
Address:	
Carers Name and Address (if relevant/delete)	
Venue:	
Venue Date:	
Venue Time:	

Under the Grampian Interagency Policy and Procedure for the Support and Protection of Adults at Risk of Harm, you are invited to the above Adult Protection Meeting/Case Conference (*delete as applicable*), as it is believed that you have knowledge which may contribute to the discussion/outcome. Please confirm your attendance by telephone or email (*add details*). If you are unable to attend, please provide a brief report of your knowledge and/or involvement with the above adult, outlining any concerns you may have regarding their wellbeing (a proforma is attached for your convenience).

Please note that, under the Grampian Information Sharing Policy, this information will be shared with other professionals at the Adult Protection Meeting/Case Conference (*delete as applicable*) unless clear reasons exist which dictate otherwise for example disclosure would place others at risk of harm.

Yours sincerely

Chair

Enclosure: Report Proforma

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Adult Protection Meeting

Please note, this report has been prepared in accordance with the Grampian Interagency Policy and Procedure for the Support and Protection of Adults at Risk of Harm. This report contains confidential information and has been prepared specifically for the purposes of Adult Protection. It must not be copied or quoted without the consent of the author or relevant manager.

Regarding:	
Name:	
Date of Birth:	
Address:	

Brief description of involvement with above adult.

--

Outline any concerns – historical or current.

--

Summary of measures currently being provided by you/your agency to support and/or protect the adult.

--

Additional relevant information.

--

Signature:

Name:

Designation:

Agency:

Date:

APPENDIX B: CAREFIRST RECORDING GUIDANCE

Activities

- Medical Examination
- Visit / Interview
- Examination of Records (Medical)
- Examination of Records (Other)

The screenshot shows the 'Edit Activity' window in the CAREFIRST system. The window title bar includes 'Desktop : Worker : Find Activity : Activity Details :'. The session time remaining is 01:04. The left sidebar shows a 'Desktop' view with a list of activities, including 'P46468'. The main form area contains the following fields:

- Subject:** ☒ Person ☐ Organisation. Name: Mr New Cf6 Test. Address: 3 Robertson Close, BROXBORNE, EN10 6.
- Class:** Adult Support and Protection (dropdown).
- Type:** Visit / Interview (dropdown).
- Details of Activity:** Visit to gather information for inquiry (text area).
- Assigned To:** ☒ Worker ☐ Team. Worker: P46468. Name: David Waite.
- Requested Date:** 31/01/2012.
- Required Date:** 12/02/2012.
- Status:** Newly generated (dropdown).
- Status Date:** 31/01/2012.
- Priority:** (dropdown).
- Progress Notes:** (text area).
- Significant in Chronology?** (checkbox, unchecked).

At the bottom right, there are 'Save' and 'Cancel' buttons.

The **requested date** is the date that you decided the activity should take place. “In Progress / Newly Generated” should be selected whilst the activity is incomplete.

The **required date** is the date that the activity will take place (i.e. date of visit / examination etc)

“Completed” should be selected when the activity has been completed and the **status date** should be the date that it the activity actually took place.

“Abandoned” should be selected if the activity did not proceed or will not be proceeding. If the activity was cancelled prior to it taking place then the date it was cancelled should be used for the status date.

Further information (in summary form) can be recorded in the details of activity field or, if regarding the outcome, the progress notes field.

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APPENDIX C: USEFUL CONTACTS / INFORMATION

Adult Protection Unit: (01224) 264 085 [Administrator]
 (01224) 264 266 [Co-ordinator]
 adultprotectionunit@aberdeencity.gov.uk

Further guidance for Council Officers and their managers can be found in:

- [The core legislation itself](#)
- [The Code of Practice for the Act](#)
- [The Grampian Interagency Policy and Procedure for the Support and Protection of Adults at Risk of Harm](#)
- [The Adult Protection Intranet pages on “the Zone”](#)

For information on reporting a ‘Prejudice Incident’:

- [Prejudice Incident Reporting page on “the Zone”](#)