

**Open Report on behalf of Glen Garrod,
Executive Director Adult Care and Community WellBeing**

Report to:	Adults and Community Wellbeing Scrutiny Committee
Date:	10 April 2019
Subject:	Safeguarding 'Sources of Risk' and Replacement Business Plan Indicator

Summary:

The purpose of this Report is to provide an information briefing regarding the proposed changes to the Council Business Plan measure M114 '% Enquiries Where Service Provider is the Source of Risk'.

Actions Required:

That the Committee note and consider changes to the Council Business Plan measure.

1. Background

The Council Business Plan (CBP) measures are the measures by which the Council will assess its performance in key functions. There are currently three Key Performance Indicators (KPIs) to assess how effectively we are safeguarding Adults whose circumstances make them more vulnerable, protecting them from avoidable harm and acting in their best interests where they lack capacity in relation to specific decisions:

- *Safeguarding is supported by an advocate*
This measure identifies the proportion of concluded safeguarding enquiries, where the person at risk lacks capacity and support was provided by an advocate, family or friend.
- *Concluded enquiries where the desired outcomes were achieved*
This measure records the proportion of concluded enquiries ('Section 42' under the Care Act 2014 and other), where the desired outcomes were fully or partially achieved.
- *% safeguarding enquiries where the 'Source of Risk' is a service provider*
This measure records the proportion of safeguarding enquiries concluded where a risk was identified and the 'source of risk' was a 'service provider'. The purpose is to provide a good gauge of the quality of care provision and

the extent to which vulnerable people and professionals feel they are able to raise concerns when necessary, and work to resolve them.

Proposal

- To replace Measure 114 – '% of S42 Safeguarding Enquiries where the Source of Risk is a service provider'.
- The proposed measure will identify the proportion of Adult safeguarding concerns received in the year that lead to a S.42 (Care Act 2014) Safeguarding enquiry.

Rationale

Removal of Current Indicator

The effectiveness of this indicator in gauging the quality of care provision in Lincolnshire is limited. This measure relates to cases where risk was identified. However, the presence of risk in itself, is not an indicator of poor quality care and consideration should be given as to whether that risk is being managed appropriately and in keeping with the views and wishes of the service user, as per the principles of 'making safeguarding personal'. As a result, this indicator may create an unbalanced view of the quality of care provision which reflects poorly on our care providers and impacts on the story that we tell to the people of Lincolnshire and in turn, their confidence in these services.

In 2017/2018, the number of enquiries where risk was identified and the 'source of risk' was a service provider was 337, the number of these enquiries which were upheld because abuse or neglect was likely to have occurred, on the balance of probabilities, was 132. This represents approximately 39% of enquiries which relate to service providers.

The indicator also states that its purpose is to gauge the extent to which vulnerable people and professionals feel they are able to raise concerns when necessary, and work to resolve them. The data collected to date has identified that the proportion of enquiries related to service providers has increased proportionately to the overall increase in safeguarding referrals and would, therefore, suggest confidence in making referrals. However, the proposed new indicator will provide a better gauge of appropriateness of these referrals and therefore, a better indicator of levels of understanding of safeguarding responsibilities.

Proposed Indicator

The LCC Safeguarding Service want to encourage providers, partners and professionals to submit concerns to the Local Authority only where appropriate, to ensure these concerns have already been managed and considered within the remit of their organisations and only escalated to the Authority as necessary. The Safeguarding Service would, therefore, expect a higher proportion of concerns progressing to an enquiry, with a corresponding reduction in concerns that do not warrant a full enquiry. This would demonstrate that providers, partners and

professionals have a good understanding of their responsibilities to safeguard individuals. In monitoring this data we will be able to identify patterns and themes and scrutinise those providers, partners and professionals who send high numbers of referrals which are not progressed to enquiry. This may indicate a lack of appropriate knowledge and skill in safeguarding individuals. Identifying these areas will enable resources to be targeted in order to offer support and thereby improve the safety and well-being of individuals.

The Safeguarding Adults Board is responsible for leading Adult safeguarding arrangements across Lincolnshire and for overseeing and coordinating the effectiveness of the safeguarding work of its member and partner agencies, Therefore, the Board will be made aware of any concerns identified and, in line with its duties, will hold partners to account for addressing those issues.

2. Conclusion

There are currently three Key Performance Indicators used to assess how effectively we are safeguarding vulnerable Adults. The current indicator is based on where risk is identified, but does not consider the context to risk or provide an accurate measure of abuse or neglect where the service provider is indicated as the source of risk. As a result, this indicator may create an unbalanced view of the quality of care provision which reflects poorly on our care providers.

An alternative KPI is recommended which would measure the % of concerns which progress to an enquiry. This would provide a good indicator of understanding of safeguarding roles and responsibilities across Lincolnshire. A target of 50% with a target tolerance of +/- 5 percentage points is proposed. An increment of 5% for each subsequent year is proposed. However, due to the limited data at this stage, this will need to be reviewed once further data is available to determine whether this is realistic.

3. Consultation

- a) **Have Risks and Impact Analysis been carried out? No**
- b) **Risks and Impact Analysis**

4. Appendices

These are listed below and attached at the back of the report	
Appendix A	CBPM M114 Proposal Summary

5. Background Papers - None

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Proposed Safeguarding Strategy Council Business Plan Measure

The proposed measure will replace Measure 114 - % of S42 Safeguarding Enquiries where the Source of Risk is a service provider

Description (Long) The proportion of adult safeguarding concerns received in the year that lead to a Safeguarding enquiry

Description (Short) The % of Adult Safeguarding concerns that lead to an enquiry

Rationale: The Lincolnshire County Council Safeguarding Service want to encourage providers, partners and professionals to submit concerns to the Local Authority only where appropriate, to ensure these concerns have already been managed and considered within the remit of their organisations and only escalated to the authority as necessary. The Safeguarding Service would therefore expect a higher proportion of concerns progressing to an enquiry, with a corresponding reduction in concerns that don't warrant a full enquiry. This would demonstrate that providers, partners and professionals have a good understanding of their responsibilities to safeguard individuals. In monitoring this data we will be able to identify patterns and themes and scrutinise areas which send high numbers of referrals which are not progressed to enquiry, which would indicate a lack of appropriate knowledge and skill in safeguarding individuals. This will enable resources to be targeted in order to offer support and thereby improve outcomes for service users. The Safeguarding Adults Board is responsible for leading adult safeguarding arrangements across Lincolnshire and for overseeing and coordinating the effectiveness of the safeguarding work of its member and partner agencies, Therefore, the Board will be made aware of any concerns identified and, in line with its duties, will seek assurance from partners that remedial action has been taken.

Numerator The total number of adult safeguarding enquiries (S42 or other) raised or commenced in the reporting period. Note: This is a count of distinct enquiries, and not the number of individuals to which they relate.

Source: *Safeguarding Adults Collection, Table SG1f, Row 2+ Row 3*

Denominator The total number of adult safeguarding concerns raised or commenced in the reporting period

Source: *Safeguarding Adults Collection, Table SG1f, Row 1*

Calculation basis Numerator / Denominator x 100%

Polarity Bigger is better

Target tolerance +/- 5 percentage points (as for all Adult Care Strategy measures)

Proposed Target	2018/19	2019/20	2020/21
	50%	55%	60%

See below for trend data and basis of target

Lincolnshire Trend Data

		2015/16	2016/17	2017/18	2018/19 YTD		
					Q1	Q2	Q3
Numerator	Enquiries	970	1695	1100	449	842	1199
Denominator	Concerns	2915	3485	3120	798	1690	2508
% value		33%	49%	35%	56%	50%	48%

CIPFA Benchmarking 2017/18

To be treated with caution as councils operate and interpret the statutory reporting guidance very differently. As a consequence there is a review of the SAC return and the guidance to ensure the submissions from all LA's is robust and comparable.

Benchmarking for the associated SAC Table SG1f shows significant variability with the reported numbers by LAs.

The % of Adult Safeguarding concerns that lead to an enquiry varies from 11% to 100% with volumes of concerns and enquiries varying significantly, from 1,600 to 11,000 concerns, and 300 to 4,300 enquiries respectively, and 7 of 16 authorities didn't return any 'other' enquiries

The benchmarking is therefore unreliable as a means of comparing councils and will not be used for target setting.

Target setting 2018-20

The target is based on Lincolnshire trend data only, specifically 2018/19 performance year to date.

Improved screening/triage was implemented in Q1 of this year which has seen a marked improvement in the conversion rate of concerns to enquiries. If the service is operating efficiently, we would expect a high conversation rate, implying that only appropriate safeguarding concerns are being raised; one's that warrant an enquiry.

In the first 3 quarters of 2018/19, the conversation rate was at it's highest in Q1 at 56% for the entire quarter. For the rest of the year this proportion has stabilised at around 50%. With this being the baseline year, a target of 50% seems reasonable with 2 months until the end of the reporting year.

Therefore, with a target of 50%, with +/- 5 percentage point tolerance, performance alerts would be determined as follows:

Less than 45%	Not achieved
Between 45% and 55%	Achieved
Greater than 55%	Exceeds

An increment of 5 percentage points for each subsequent year has been proposed.

However, there is limited data available at this point and therefore, this will need to be reviewed once further data is obtained and following a period of monitoring, to determine whether this is realistic.