

<u>CONTENTS</u>	<u>PAGE</u>
❖ Content section	i-vii
❖ Acknowledgement	viii
❖ Foreword	viii-x
1. INTRODUCTION	1
2. JOINT POLICY STATEMENTS	4
❖ Policy – Guiding Principles	5
3. VALUES AND PRINCIPLES	6
❖ Core Values	6
❖ Core Principles	6
4. POSITIVE SERVICE CULTURES	8
❖ Pre-employment Processes (including POVA Scheme)	8
❖ Maintaining High Standards of Care	9
❖ Other Preventative Measures	10
❖ Other Related Policy and Procedures	12
5. SHARED DEFINITIONS, CATEGORIES AND INDICATORS OF ABUSE	14
❖ Shared Definitions – Defining who is at risk	14
❖ Inappropriate Care – Placed into context	14
• Which Adults are vulnerable? (Definition of Vulnerable Adult)	15
• What actions or omissions constitute abuse?	15
• What are the categories and indicators of abuse?	16
➤ Physical abuse	16
➤ Sexual abuse	17
➤ Psychological abuse	17
➤ Financial abuse	18
➤ Neglect and/or omissions	19
➤ Racial/Homophobic motivated abuse	19
➤ Domestic abuse	20
➤ Self neglect/self harm	21
➤ Criminal offences	21
➤ Multiple forms of abuse	22
• Who may be the abuser?	22
➤ Stranger abuse	23
• In what circumstances may abuse occur?	23
➤ Institutional abuse	23
➤ Recognition of institutional abuse	25
➤ Settings where Institutional abuse may occur	26
➤ Making decisions – Vulnerable Adults	26

<ul style="list-style-type: none"> • What factors make abuse more likely to occur? • What degree of abuse justifies intervention? 	<p>26</p> <p>27</p>
6. ROLES AND RESPONSIBILITIES OF KEY AGENCIES	29
❖ Local Authorities	29
❖ Social Service Authorities	29
❖ Local Health Boards	29
❖ Health Providers	29
❖ General Practitioners & Primary Health Care Staff	30
❖ NHS Trusts & Secondary Health Care Providers	30
❖ Private Health Care Providers	30
❖ National Public Health Service	31
❖ Care Standards Inspectorate for Wales	31
❖ Independent and Voluntary Sector	32
❖ Police Service	32
❖ National Probation Service	33
❖ Crown Prosecution Service	33
❖ Housing Support Organisations	34
❖ Victim Support	34
❖ Wales Ambulance Services NHS Trust	35
❖ Department of Works & Pensions	35
7. INTER-AGENCY PROTOCOLS – SHARING OF INFORMATION	37
❖ Key Principles for Managing Information	38
❖ Confidentiality	39
❖ Patient-Identifiable Information	40
❖ Caldicott Principles	40
❖ Obtaining Personal Information from the Department of Works & Pensions	42
❖ Security of Information	42
8. CAPACITY AND CONSENT	44
❖ Capacity – The Basic Principles	45
❖ Consent – The Basic Principles	47
❖ In the ‘Best Interests’ of the Vulnerable Adult	47
❖ Consent and the Sharing of Information	48
➤ Consent	48
➤ Where an overriding Public Interest exists	49
9. RESPONDING TO ABUSE – ‘THE INTER-AGENCY REFERRAL AND DECISION MAKING PROCESS’	50
❖ Reporting Alleged abuse or Inappropriate care	50
➤ Completion of VA Inter-Agency documentation	50

❖ Guiding Principles of the ‘Referral and Decision Making Process’	52
• Where abuse allegedly occurs in a regulated setting	52
• Where abuse allegedly occurs in a health managed setting – relative to:	53
➤ Non-Registered Setting and/or with Primary Health Care Services in place within a domestic setting	53
➤ Secondary health care setting	53
❖ Investigative Stages – ‘Inter-Agency Referral and Decision-Making Process’	54
• Stage 1	55
➤ Initial disclosure or discovery	55
➤ Immediate action to be considered	56
➤ Alleged abuse by one Vulnerable adult on another Vulnerable adult	58
• Stage 2	61
➤ Notifying your line manager	61
➤ The role of the immediate line manager	62
• Stage 3	65
➤ Notifying your designated lead manager	65
➤ The role of the designated lead manager(s) other than those who are Social Services based	66
➤ The role of the Social Services designated lead manager	66
➤ Action to be taken by all designated lead Managers	67
➤ Unilateral Decision making by designated lead managers	68
➤ Other factors to be considered by designated lead officers	68
• Stage 4	69
➤ The Strategic Process	69
➤ Holding a Strategy Discussion	69
➤ Holding a Strategy Meeting	70
- Purpose of holding strategy meeting	71
- What the strategy meeting should decide	71
➤ Strategy Meeting – Specific considerations to be made in Criminal Investigations	73
➤ Support & therapy for Vulnerable Adults – alleged victims of abuse	74
➤ Who should be present at Strategy Meetings?	76

<ul style="list-style-type: none"> ● Stage 5 ➤ Strategy Meeting – Possible Outcomes ➤ In what circumstances should strategy meeting defer to an Adult Protection Case Conference? ➤ Holding an Adult Protection Case Conference ➤ Purpose of an Adult Protection Case Conference ➤ Main reasons for holding a Case Conference ➤ Membership ➤ Roles and Responsibilities of Agency Personnel at an Adult Protection Case Conference ➤ Review of Adult Protection Plans ● Stage 6 ➤ Monitoring and Evaluation of Inter-Agency procedures ➤ Other general considerations relating to the ‘Inter-Agency Referral and Decision Making process’ <ul style="list-style-type: none"> - Time-scales - Defensible Decisions ➤ Use of Standardised Inter-Agency VA Documentation ● Inter-Agency Flow Chart (Fig. 1) 	<p>77</p> <p>77</p> <p>79</p> <p>80</p> <p>80</p> <p>81</p> <p>81</p> <p>82</p> <p>84</p> <p>85</p> <p>85</p> <p>86</p> <p>88</p> <p>89</p>
<p>10. POLICE INVESTIGATIONS INTO CRIMINAL ALLEGATIONS OF ABUSE</p> <ul style="list-style-type: none"> ● South Wales Police ● Public Protection Units ● Reporting and Consulting the Police ● When should you contact the Police? ● Interviewing the victim and other Vulnerable adults ● Action to be considered when preserving evidence ● Methods of Preserving Evidence ● Interview of Vulnerable Adults suspected of a criminal offence ● Planning Large Scale Criminal Investigations <ul style="list-style-type: none"> ➤ Management issues to be considered ➤ Professional issues to be considered ➤ Operational issues to be considered ➤ Post Investigative action to be considered 	<p>90</p> <p>90</p> <p>91</p> <p>92</p> <p>93</p> <p>93</p> <p>95</p> <p>95</p> <p>96</p> <p>97</p> <p>97</p> <p>98</p> <p>98</p>
<p>11. STAFF DISCIPLINE AND CRIMINAL PROCEEDINGS</p> <ul style="list-style-type: none"> ● Allegations of abuse against individuals who are either professional, a staff member or volunteer – in contact with vulnerable adults ● Management action (disciplinary procedures) ● Suspension from duty and POVA Scheme - Considerations 	<p>99</p> <p>100</p> <p>100</p> <p>101</p>

12. MONITORING AND EVALUATION	102
❖ Monitoring and evaluating performance	102
❖ Role of South Wales Adult Protection Forum	103
➤ The main objectives of the SWAP Forum	103
➤ Other responsibilities of the SWAP Forum	103
❖ AAPC - Role and Responsibilities	104
➤ AAPC's main objectives	104
➤ Serious Case Reviews	105
➤ Other responsibilities of the AAPC	105
❖ Role of the All Wales Advisory Group for POVA	106
13. IMPROVEMENT AND TRAINING	107
❖ Improvement	107
❖ Training of Staff and Volunteers	107
➤ Five levels of training	108
14. LEGAL CONTEXT	110
❖ Law relating to the abuse of Vulnerable Adults	110
➤ The Criminal Law	111
➤ The Common Law	112
➤ The Civil Law	112
➤ Some terms commonly used in Civil litigation	113
❖ Criminal Law Offences	113
➤ Offences against the person	113
➤ Sexual Offences Act 2003	114
- Offences against the person where mental disorder impedes choice	115
- Offences involving inducement to person with mental disorder	115
- Offences committed by Care workers with persons with mental disorder	115
- Offences involving sex with an adult relative	115
➤ Domestic Violence – HOC 19/2000	116
➤ Racist Incidents	117
➤ Homophobic Incidents	117
➤ Criminal Justice & Public Order Act	117
➤ Family Law Act	117
➤ Protection from Harassment Act	118
➤ Crime and Disorder Act	118
❖ Financial or Material Abuse	118
❖ Police Powers of intervention, arrest, search and interview	119
➤ Common Law powers	119
➤ The Police and Criminal Evidence Act	119
➤ The Criminal Procedure and Investigation Act	120

➤ Managing Sex and Violent offenders	121
➤ The Youth Justice and Criminal Evidence Act	121
• 'Special Measures' that allow vulnerable witnesses to give their best evidence	122
❖ Care Standards Act 2000	124
➤ POVA Scheme provisions	124
➤ CSIW powers	126
➤ CSIW legal power to enter, inspect and seize	126
➤ CSIW - enforcement	127
❖ Other relevant statutes relating to the rights of individuals and the sharing of personal and confidential data	127
➤ The Disability Discrimination Act	127
➤ Human Rights Act	128
➤ Data Protection Act	131
➤ Public Interest Disclosure Act (Whistle Blowing)	132
➤ Criminal Injuries Compensation	132
➤ National Assistance Acts	132
➤ Public Health Acts	132
➤ Mental Health Act	133
➤ Outline of proposed Mental Capacity Act	134
❖ Civil remedies for the protection of money and/or property belonging to vulnerable adults	135
➤ Declaratory Relief	135
➤ Court of Protection (Receivership)	136
➤ Power of Attorney	137
➤ Enduring Power of Attorney	137
➤ Appointee	137
➤ Agent	137
➤ The Official Solicitor of the Supreme Court	137
15. GLOSSARY OF TERMS	140
16. CONTACT LIST OF INDIVIDUAL PARTNER AGENCIES	148
➤ Social Service Authorities	149
➤ Local Health Boards	153
➤ National Health Trusts	155
➤ National Public Health Service	158
➤ Care Standards Inspectorate for Wales	158
➤ Criminal Justice Agencies	159
- Police	
- Probation	
- Crown Prosecution Service	
➤ Victim Support Organisation	160
➤ Department of Works & Pension	160
➤ Other Organisations affiliated to Vulnerable Adults	161

APPENDICES:	169
❖ Appendix ‘A’ – Practical Guidance for Practitioners & Managers - Completion of VA documentation	170
❖ Appendix ‘B’ - Supplementary guidance - Public Interest Disclosure (whistle blowing)	194
❖ Appendix ‘C’ – Memorandum of Understanding - Cross border liaison between local authorities re: placement of Vulnerable adults outside area	198
❖ Appendix ‘D’ – Reciprocal reporting arrangements between Child & Adult Protection agencies – potential abuse by professionals, staff and volunteers in contact with children and vulnerable adults	201
❖ Appendix ‘E’ - Terms of reference relating to the SWAP Forum	204
❖ Appendix ‘F’ - Terms of reference relating to the SWAP Forum Policy & Review sub-group	207
❖ Appendix ‘G’ - Terms of reference relating to the Practice Evaluation sub-group	209
❖ Appendix ‘H’ - Area Adult Protection Committees – Specimen Constitution	211
❖ Appendix ‘I’ - SSIW Standards for Inspection	213
❖ Appendix ‘J’ - Terms of reference – SWAP Forum Training sub-group	223