

## Adults at Risk - Interagency Risk Management Protocol V2

**Purpose:** To provide locally agreed principles for shared responsibility and intervention

**Approved by:** MK Together Assurance Board 23<sup>rd</sup> September 2021

**Effective from:** 1<sup>st</sup> October 2021

**Next Review Date:** October 2024

**Document Owner:** MK Together Assurance Board

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**For use by:** All staff

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### Document Management and Distribution:

- This guidance will be made generally available via the [MK Together Website](#) and linked to the [Milton Keynes Council website Safeguarding pages](#)
- MK Together Management Board Members are responsible for ensuring that information regarding this document is circulated within their agency.
- This guidance will also be added to the Adult Social Care Policy database and be linked to the Council's Intranet site for access and use by Council staff. *N.B. Printed copies of this document may not be the current approved version - please refer to the intranet for current policy versions*

### Change History / Cancellations

1) Documents withdrawn and replaced by this version

- Milton Keynes Vulnerable Adult Risk Management (VARM) Process V1 2019

2) Changes/additions of particular note in this version

- Amended to reflect its context with:
  - MK Together Interagency Safeguarding Adults Policy (V4 \_Jan 2021 and subsequent versions)
  - Milton Keynes Multi Agency Decision Making Tool (V4 \_Jan 2021 and subsequent versions)
  - MK Together Escalation Process – June 2021
- Aligns terminology across interrelated documents - N.B. the term “Vulnerable Adult” is no longer appropriate and is replaced by “Adult at Risk”
- Includes best practice guidance for interagency discussions
- Introduces 3 Levels of Risk Management
- Introduces an Assurance Process

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## Section 1. Introduction

1.1 The MK Together Management Board has recognised that there is a need to identify, manage and support effective working where more than one service or agency is involved with an adult, this includes where there is a need for

- formal discussions, action planning and review
- action regarding adults who are at risk through; self-neglect, risk-taking behaviour/chaotic lifestyles, refusal of services or due to the impact of the behaviour of others, **WHICH CANNOT BE ADEQUATELY OR APPROPRIATELY MANAGED** through other agreed and/or statutory interagency processes specifically;
  - Adult Safeguarding interagency procedures (section 42 enquiries under the Care Act 2014)
  - Channel (interagency discussion within the Prevent Program)
  - Multi-agency agency Risk Assessment Conference (MARAC)
  - Multi-agency Public Protection Arrangements (MAPPA)
  - Mental Health Act requirements (e.g., Section 117 meetings)

1.2 To respond to this need it has been agreed that there should be an endorsed interagency protocol to:

- Involve the adult and/or their advocate/representative and make them central to the process
- Involve other people who can offer (specialist) insight, guidance, support and/or intervention(s)
- Ensure a holistic approach to risk assessment which aims to manage the risks and share responsibility
- Ensure all agencies have offered the appropriate support/options to the person
- Agree necessary ongoing actions; roles, responsibilities and timescales, proportionate to the assessed risk
- Record, monitor and review progress against an agreed action plan
- Agree when the risks have been managed
- Evaluate the outcome and ensure that 'lessons learned' are used to inform and improve services
- Identify, collate and respond to common and emerging themes

1.3 In all situations it is vital to understand the legal framework which is being considered or used

- if there are any doubts about the person's ability to keep themselves and/or others safe, understand their options (and the implications of these), carry out actions, make 'unwise decisions' or refuse support, a Mental Capacity Assessment must be undertaken. This includes situations where an adult appears to understand risks, however their actions repeatedly place themselves or others at risk.
- legal interventions must be adult specific
- where necessary legal advice should be sought to support professional decision making which will include all other involved agencies.

1.4 If any individual or agency is concerned about a decision or practice carried out under this protocol, they should escalate their concerns via their line management or, if appropriate, the MK Together Escalation process.

## Section 2. Involving the Adult

2.1 It is essential that every effort is made to engage and involve the adult deemed to need support or at risk, and identify their views and wishes, either directly or via an agreed advocate or representative.

2.2 When discussions are planned all reasonable efforts should be made to inform the adult as to why these are taking place and find out what the adult wants as an outcome to help mitigate and manage the risk they are experiencing.

2.3 It is important to make reasonable adjustments to enable the adult to be able to be part of any support and intervention processes and encourage positive engagement with them. Where possible additional time should be allowed to facilitate this, and fluctuations in progress should be responded to.

### Section 3. Risk Management Process

3.1 Risk management is a shared responsibility across all agencies aware of, involved or consulted regarding a concern. It is not restricted only to the agency(ies) with direct involvement in a situation.

3.2 Any agency which has a concern or considers there is an unmanaged risk, should:

- Instigate interagency discussions and the risk management protocol process, it should not wait for others to do so
- Request a review or escalate a situation if they are unsatisfied with practice or progress in a particular situation.

3.3 Agencies must not make inappropriate safeguarding referrals as a response to difficult unmanaged risk situations, they should take responsibility and initiate this protocol and risk process. *N.B. They should always refer to the MK Together Safeguarding Decision Making Tool.*

3.4 The **Risk Matrix** within this protocol aims to establish a common understanding and approach to risk management within Milton Keynes. Agencies must use the Risk Matrix within this protocol to determine the Risk Score.

3.4.1 The Risk Score is calculated by cross referencing the likelihood of the risk with the severity of its impact

3.4.2 Where there is more than one risk identified the higher score takes precedent.

3.5 The **Risk Score** determines the Risk Level. There are 3 Levels reflecting the MK Together Safeguarding Decision Making Tool and the Resolve, Consult and Report model.

3.6 The **Risk Level** will then determine the agreed required risk process as set out in this protocol.

3.6.1 For every risk process instigated there must be a clearly identified 'Lead Agency' this will usually be the agency that instigates the interagency discussion or Milton Keynes Council but will be determined on a case-to-case basis and may change at different phases of discussion and intervention.

3.6.2 For Risk Level 2 or 3 - there should be a clearly identified 'Lead Professional' decided by the Lead Agency, this may be a worker from any of the involved agencies.

3.7 The **Lead Professional** is the conduit for the gathering and cascading of information to all parties and must also for situations agreed to be Risk Level 2 or 3:

- notify the MKC Adult Safeguarding Team (via the online Safeguarding Alert form) that the Risk Management Process has been initiated. As set out in Section 3.7 the notification is for coordination of the information and advice ONLY and does not negate the need for interagency discussions or transfer responsibility for the Risk Management Process.
- If a Social Worker is not already involved, consult MKC Adult Safeguarding Team. If it is agreed that this is necessary, it should then be requested via the MKC Adult Social Care ACCESS Team

*N.B. Although the Lead Professional holds the responsibility for co-ordination all agencies share responsibility for managing the risk, even if they are not the lead agency.*

3.8 The **MKC Adult Safeguarding Team** will receive and manage notifications of LEVEL 2 and Level 3 Risk Management and:

- Confirm receipt of the notification
- As necessary, advise on:
  - the appropriate intervention
  - risk level
  - lead agency/lead professional
  - required Social Work involvement
- Collate information as required for quality and assurance purposes

3.9 The **MKC Adult Services Quality and Performance Team** will

- evaluate Level 2 and 3 Risks notified to Milton Keynes Council to identify common and emerging themes
- carry out 'dip samples and other quality monitoring
- initiate actions to improve processes and practice

3.10 The **Designated Adult Safeguarding Manager (DASM) /Group Head Adult Services** will:

- Work with and through the MKC Adult Services Quality and Performance Team as necessary
- Intervene in any Risk Management Process should it be considered necessary and liaise with the Safeguarding Lead within the respective organisation(s) to resolve situations such as:
  - Where there is any disagreement about practice or the process and/or proposed ending of current intervention(s)
  - If an adult refuses support and, despite all efforts, the risks cannot be mitigated

| <b>RISK MATRIX - The Risk Score is calculated by cross referencing Likelihood x Severity</b> |  |                                  |                                |
|--|--|----------------------------------|--------------------------------|
| <b>LIKELIHOOD (Probability)</b>  | <b>SEVERITY OF IMPACT on a person's independence, health, and wellbeing or public safety</b> |                                  |                                |
|  | <b>Low Severity or Impact</b>  | <b>Medium Severity or Impact</b> | <b>High Severity or Impact</b> |
| <b>Certain (Will almost definitely happen)</b>   | <b>4</b>   | <b>8</b>                         | <b>12</b>                      |
| <b>Likely (Will probably happen)</b>   | <b>3</b>   | <b>6</b>                         | <b>9</b>                       |
| <b>Probable (Might happen)</b>   | <b>2</b>   | <b>4</b>                         | <b>6</b>                       |
| <b>Possible (May not happen)</b>   | <b>1</b>   | <b>2</b>                         | <b>3</b>                       |

| <b>RISK</b>                                     | <b>LEVEL 1 - (Score 1 - 2) RESOLVE</b>   | <b>LEVEL 2 (Score 3 – 6) CONSULT</b>  | <b>LEVEL 3 (Score 8+) REPORT</b>  |
|---|--|---|---|
| <b>Parameter (risk indicators)</b>              | - The risk may occur with consequences of concern which are tolerable<br>- It is possible steps can be taken to prevent these risks from occurring   | - The risk is likely to occur and have significant consequences.<br>- There may be additional complexities for the individual which impacts their ability to manage the risks unsupported   | - The risk is highly likely to occur with severe consequences<br>- Immediate action is required to reduce the risk<br>-The individual may require support from multiple agencies  |
| <b>Participants (the process must involve)</b>  | - Adult and/or advocate or representative<br>- Adult's community and social contacts<br>- Current workers / agencies   | - Adult and/or advocate or representative<br>- Adult's community and social contacts<br>- Current workers /agencies<br>- Representatives from relevant agencies who <u>MAY NEED</u> to be involved or offer support<br>- The need for MKC Social work input should be discussed with MKC Safeguarding Team                          | - Adult and/or advocate or representative<br>- Adult's community and social contacts<br>- Current workers /agencies<br>- Representatives from relevant agencies who <u>MUST</u> be required to intervene<br>- MKC Social work input required<br>- This is likely to require legal guidance                                |
| <b>Discussion (the discussion must include)</b> | - Informal discussion with actions / active care planning review agreed and share with all agencies and agreed review dates<br>- "Interagency Working and Adults at Risk Discussion Record" template CAN be used | - More formally agreed care plan with very clear actions and dates for task completion.<br>- May consider referral to other agencies<br>- Regular review (at least monthly) by lead professional with all agencies involved<br>- Complete "Interagency Working and Adults at Risk Discussion Record" <a href="#">Ref Appendix 1</a> | - Formally agreed action plan with very clear actions and dates for task completion.<br>- Referral to other agencies likely<br>- Regular review (at least weekly) by lead professional with all agencies involved<br>- Complete "Interagency Working and Adults at Risk Discussion Record" <a href="#">Ref Appendix 1</a> |

## Section 4. Information Sharing and Formal Discussions

4.1 Each agency and their staff must be aware of the principles of sharing information and be aware of the threshold of sharing pertinent and relevant information on a 'need to know' basis or when legally required to do so.

4.1.2 They should refer to relevant interagency information sharing protocols.

4.1.2 Where necessary they should seek advice from Data Protection Leads within their agency.

4.1.4 NHS organisations and Milton Keynes Council Social Care staff can also seek advice from their Caldicott Guardian. This will be a senior person within their organisation responsible for protecting the confidentiality of people's health and care information and making sure it is used properly.

4.2. For all discussions there should be a clearly identified Lead Agency Ref 3.6.1, to:

- Identify who should be included in discussions
- Consider whether there are agencies not currently involved with the adult that should be involved

- Consider if full/partial participation by some parties is appropriate due to confidentiality and data protection issues.
- Consider factors which may impede candid discussion and how this might be managed
- Ensure appropriate decision specific Mental Capacity Assessments are completed
- Ensure appropriate Risk Assessments are completed and, if required, a robust Risk Management Plan is devised
- Ensure that actions are allocated and completed within the agreed timeline
- Ensure that any actions tasked to an individual/agency not already involved are appropriately notified to them
- Agree a review timescale, however any agency can request a review at any point, they MUST not wait for others to call a review if they think one is needed sooner or are unable to carry out agreed actions.

4.4 Agencies receiving an invitation to be involved in a discussion will:

- Identify the appropriate person to take part who has the authority to make decisions on behalf of the agency
- Gather information held within their organisation about the adult
- Confirm attendance or submit a report including knowledge of the adult and their circumstances and an opinion on any possible action.

4.4 Records must be kept of all formal discussions and be proportionate to the complexity and level of risk of each situation. The "Interagency Adults at Risk Discussion Record" sets out best practice and must be used for situations agreed to be Risk Level 2 or 3 [Ref Appendix 1](#).

## **Section 5. Review of Action Plan and Ending Interagency Working**

5.1 Where actions are agreed it is the responsibility of each person/adult agency to carry out the action(s) identified as their responsibility or a shared responsibility, within the timescale identified.

5.2 Where actions are agreed these must also be followed up via a review discussion which must be recorded as set out in this Protocol.

- Participants should give an account of major changes to the situation previously identified and discussed
- Each agency will provide an update on their actions with details of any outstanding actions
- If any agency is unable or decides not to follow agreed actions this must be discussed at the review and alternative actions considered

5.3 The adult should be involved in any review process and discussion(s).

5.4 The review should decide if:

- The Action Plan should be updated and/or include 'new' actions not specified in previous discussions.
- A further review discussion is required and when
- If risks have been reduced or removed to a level where no further involvement is needed at this time

5.5 Ending interagency working does not prohibit future discussion(s) and intervention(s) which must take account of the context of any previous discussions and interventions.

**Appendix 1. Interagency Adults at Risk Discussion Record**



**This Proforma MUST be used for situations agreed to be Risk Level 2 or 3 as set out in the MK Together Adults at Risk - Interagency Risk Management Protocol.** This record is distributed on the understanding that the content is confidential to members of the discussion and the agencies they represent, it must only be shared in the best interests of the adult at risk, and with their consent where appropriate to obtain it.

|                         |  |  |  |                             |  |
|-------------------------|--|--|--|-----------------------------|--|
| <b>Discussion Date:</b> |  | <b>Discussion Type – Initial/Review:</b> |  | <b>Level – 1, 2 or 3/na</b> |  |
|-------------------------|--|--|--|-----------------------------|--|

**Adult at Risk:**

|   |                |                       |  |                             |  |
|---|----------------|-----------------------|--|-----------------------------|--|
| <b>Name:</b>                              |                | <b>Date of Birth:</b> |  | <b>LAS/Other Reference:</b> |  |
| <b>Mental Capacity Formally Evidenced</b> | Y/N – details: |                       |  |                             |  |
| <b>Present at Discussion</b>              | Y/N – details: |                       |  |                             |  |

**Discussion invitees:**

| <b>Name</b> | <b>Role / Organisation /relationship to adult</b> | <b>Attended /apology</b> | <b>Report submitted</b> |
|-------------|---|--------------------------|-------------------------|
|             | <b>Chair</b>                                      |                          |                         |
|             | <b>Minute taker</b>                               |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |
|             |   |                          |                         |

**Discussion content:**

**What are we worried about?**

|   |                 |                |
|---|-----------------|----------------|
| <b>What is working well?</b>  |                 |                |
| <b>What needs to happen</b>   |                 |                |
| <b>Options (Legal context/powers and duties) and if there are any conflicting views</b> |                 |                |
| <b>Adult's view (if not otherwise adequately recorded)</b>                              |                 |                |
| <b>Actions:</b>   | <b>By whom:</b> | <b>By when</b> |
|   |                 |                |
|   |                 |                |
|   |                 |                |
|   |                 |                |
|   |                 |                |
|   |                 |                |

|                          |  |   |  |
|--------------------------|--|---|--|
| <b>Next Review Date:</b> |  | <b>Interagency discussion /risk management end date</b> |  |
|--------------------------|--|---|--|