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Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	03 February 2022	Agenda Item	3.1
Report Title	Update position on Mental Capacity Act (MCA) and Deprivation of Liberty Safeguards (DoLS), for Quarter 3, October to December 2021		
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Report Sponsor	Gareth Howells, Executive Director of Nursing		
Presented by	Tanya Spriggs, Nurse Director Primary Community & Therapy Service Group		
Freedom of Information	Open		
Purpose of the Report	To provide an update and assurance around the management of Deprivation of Liberty Safeguards (DoLS), MCA update and Court of Protection Information.		
Key Issues	<ul style="list-style-type: none"> DoLS performance in Quarter 3 Update on COVID19 and ward visiting restrictions in relation to DoLS 		
Specific Action Required <i>(please choose one only)</i>	Information	Discussion	Assurance
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recommendations	<p>Members are asked to:</p> <ol style="list-style-type: none"> Note the performance data for Quarter 3 – October to December 2021 together with cumulative information for year to-date (Appendix 1) Note that further Liberty Protection Safeguards(LPS) guidance has been delayed. Welsh Government have advised that the implementation date of April 2022 will not take place. No new date has been suggested. Code of Practice and guidance is to be disseminated for consultation spring 2022. 		

	<p>3. Note that additional funding to address the DoLS backlog and to meet training needs for mental capacity and Best Interest Assessor training has been agreed by Welsh Government (appendix 2).</p> <p>4. Note the introduction of Team Leader for DoLS to help address the backlog of assessments, manage the DoLS Team and assist in the implementation of LPS, effective from 11th October 2021.</p>
<p>Appendices</p>	<p>Appendix 1 - Qtr. 3 - Oct to Dec 2021 together with Cumulative Totals - April to Dec 2021. Appendix 2 Appendix 3</p>

Update position on Deprivation of Liberty Safeguards and MCA

1. INTRODUCTION

The purpose of this report is to provide an update on Quarter 3 in relation to Deprivation of Liberty Safeguards (Appendix 1).

2. BACKGROUND

The Mental Capacity Act, Deprivation of Liberty Safeguards provides a legal framework to protect vulnerable adults, who may become, or are being deprived of their liberty in a care home or hospital setting. These safeguards are for people who lack capacity to decide where they need to reside to receive treatment and/or care and need to be deprived of their liberty, in their best interests, other than under the Mental Health Act 1983 (MCA Code of Practice). The safeguards came into force in Wales and England on the 1st April 2009.

The Mental Capacity Act 2005 (MCA) came into force in October 2007, SBU HB supports a significant number of patients with impaired decision-making, therefore this report aims to provide assurance of awareness and the use of MCA throughout the Health Board, via training and the use of the Independent Mental Capacity Advocacy Service (IMCAs).

3. PERFORMANCE, GOVERNANCE AND RISK ISSUES

Referrals

In Q3 there were 224 referrals received, of those a total of 12 were assessed by the only dedicated Best Interest Assessor (BIA), one Internal staff member who

has completed BIA assessments (not primary role) completed 5 assessments. Total number granted 4.

The external BIA's assessed 27 patients, of which 24 were from the previous quarter. 19 were granted, with 2 awaiting completion for the period October to December 2021, of the 28 assessed 6 were not granted as patients were either discharged/not a deprivation or deceased. (**Appendix 1**)

Breaches are recorded in accordance with Welsh government guidance – the legislative time frame for assessors to complete the assessments does not start until 2nd assessor has been allocated - breach occurs if the urgent is not completed in 5 days of allocation; standard 21 days – we do not include 'breaches' between lapse of an urgent to point when standard is authorised.

It is important to note that figures for activity in each quarter will not equate as some assessments would have been received in the previous quarter, while some assessments whilst allocated will not be authorised until following quarter.

If the Health Board is unable to undertake timely completion of DoLS authorisations the Health Board will be in breach of legislation and claims may be pursued as a result. This is noted both on the Corporate Risk Register and the PCT Group Risk Register with a score of 12.

The cumulative number of discharges from 1st April to 31st December 2021 equates to 719, (this figure includes discharges, death, further assessments required, reviews of conditions those subject to a DoLS which may result in a breach of time scales, patients not meeting DoLS criteria therefore DoLS applications not applicable.

Although the number of breaches have risen again (106 in Q1, 109 in Q2 and 125 in Q3), most breaches are due to a continuing lack of BIA Assessors – both internal and external. From mid April the 2 internal BIA assessors have been accessing the acute sites, after appropriate risk assessments were undertaken prior to visiting the wards. From August 2021 one of the internal BIA assessors left SBU HB, following a lengthy recruitment process a further BIA was identified and commenced employment with SBU HB on 1st January 2022.

The existing plan was to reduce the reliance on the externally contracted BIA roles and use internal Health Board BIA's who are currently employed in substantive roles within Service Groups. The internal staff should have been providing the Supervisory Body with 2 days a month. This model however, has proved challenging from the outset but significantly more so during COVID as patient care has had to be prioritised. This has resulted in the Supervisory Body having to fund more external BIA's, however, the numbers of those have dropped during the pandemic and is insufficient to deliver all assessments within the required time scales.

Welsh Government funding was made available in Q4 2021, to enable additional BIA assessments to be undertaken out of hours, however identifying BIA's has been challenging.

Discussions have taken place across the Health Board, around the need to develop a business case around DoLS and MCA, but the imminent move to LPS has superceded this and a paper outlining the requirements has been drafted and is currently being reviewed.

An opportunity to bid for funding from Welsh Government to address the current backlog and keep pace with the new applications, and to prepare for the implementation of LPS in April 2022 was successful and has secured £327,730 which will be used to address the following: -

- Resources to address DoLS backlog - £232,917
- Assessing mental capacity and best interest training - £94,813

Following the additional funding agreement from Welsh Government Best Interest Assessor training has been sourced from Swansea University and to train nine nurses to address the backlog of DoLS assessments. This is to take place in November 2021. Local Authority colleagues are to join this training which will offset some funding costs.

To help address the backlog of assessments, manage the DoLS Team and assist in the implementation of LPS, the current substantive BIA (band 6) has been re-banded as DoLS Team Leader (band 7) effective from 11th October 2021. To address the back log of DoLS assessments and the current demand, a number of options are being explored utilising the funding from Welsh Government.

- Overtime payment agreed for newly trained Best Interest Assessors
- Commission a private company to undertake DoLS assessments

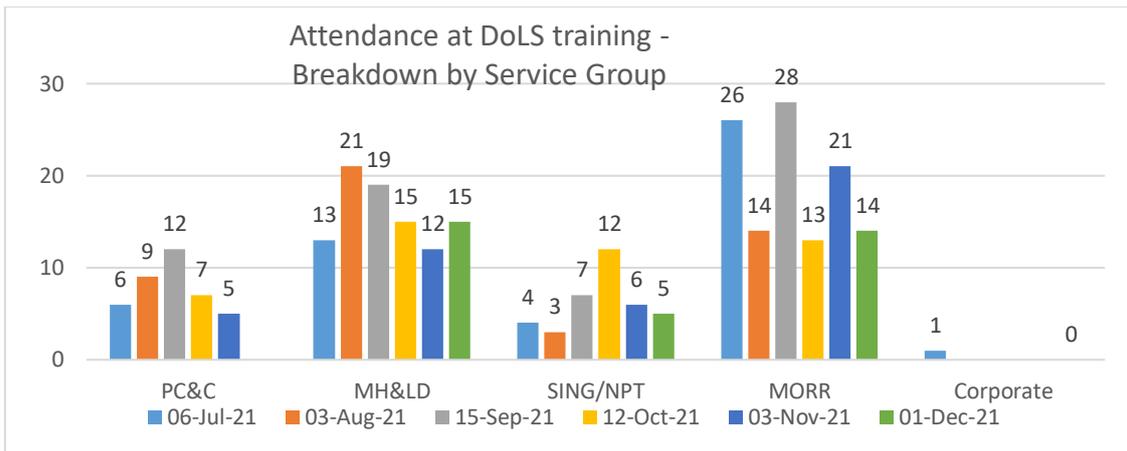
At time of reporting, overtime is being utilised within the Long Term Care and DoLS Team which is evidencing to be effective in meeting the current demand. Ongoing meetings with Procurement and company Liquid Personnel taking place to meet the backlog of DoLS assessments. It is predicted that utilising both these options will help reduce the breaches in Q4.

DoLS Training

DoLS training delivery continues via virtual platforms, and incorporates links between theory and practice in an aim to increase staff confidence and improve standards in practice.

Swansea University Health Law Department has developed and recorded a webinar to provide training on the application of DoLS in 16 and 17 year olds. This webinar can be accessed at any time and provides an additional resource for staff who may be involved with young people as part of their role. This training has been promoted via the Health Board intranet and can be accessed either through the Corporate Safeguarding SharePoint or the DoLS/MCA page.

Staff attendance at DoLS Training is demonstrated in the Table below.

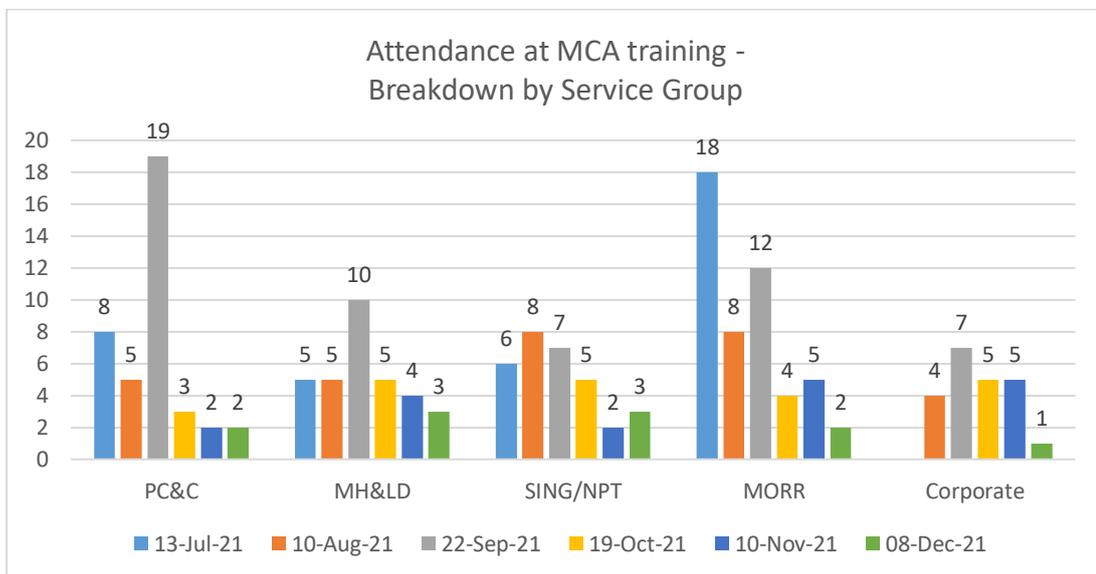


MCA Training

MCA Level 1 & 2 training is delivered as an e-learning package for all SBUHB staff. MCA Level 3 training is directed at ward managers, senior nurses and senior clinicians.

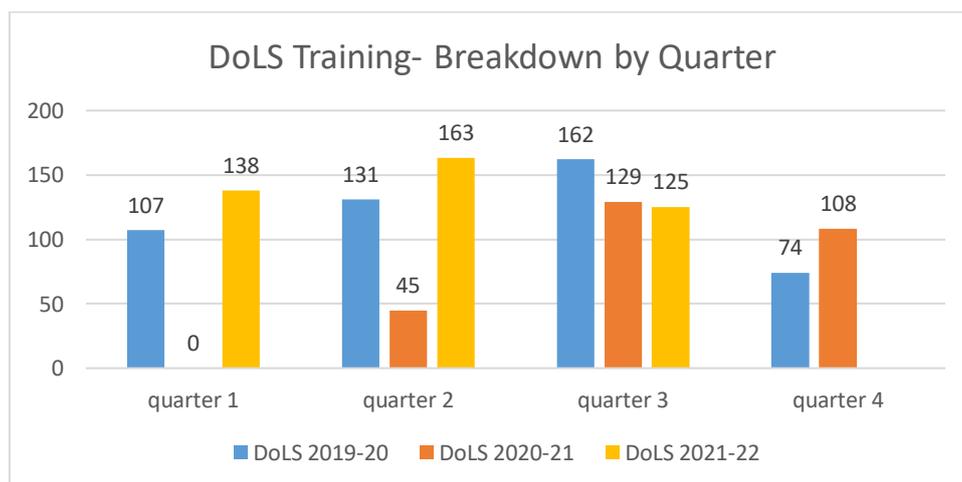
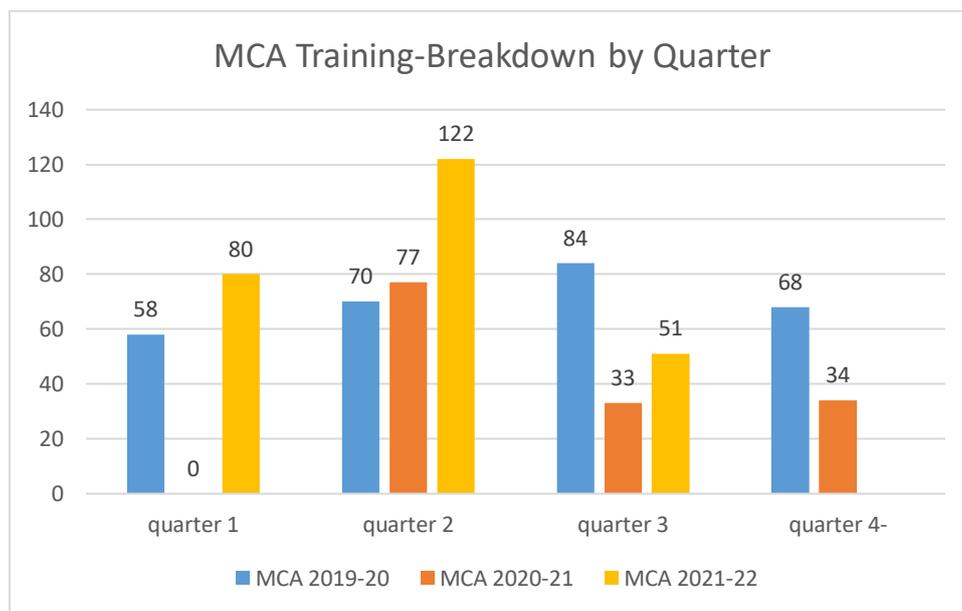
In addition to formal training, learning from Safeguarding cases, including MCA/DoLS, is disseminated widely across the Health Board. As with DoLS, MCA support continues to be provided by the BIAs within the Service Groups.

MCA Level 3 training continues to be delivered remotely via Microsoft Teams. The table below indicates training attendances during the reporting period.



The below tables show a comparison of training data for 2019/20, 2020/21 and 2021/22 across each Quarter. MCA Training compliance has been identified as an area that requires prioritising across all Service Groups and Health Boards in Wales, and it has been recommended nationally that MCA training is given priority. MCA is

imperative to underpinning the preparation for the transition to Liberty Protection Safeguards (LPS). A paper relating to LPS was presented to the Safeguarding Committee in May 2021 highlighted this issue amongst others, to ensure LPS implementation remains a priority for the Health Board. In addition, the Corporate Safeguarding Team continue to raise Safeguarding training during the completion of Ward/Department Safeguarding Assurance Audits across all Service Groups. These Audits include all staff Safeguarding training compliance. Safeguarding Training compliance is also reported by the Service Groups in their Performance Reports to Safeguarding Committee. There has been an increase in staff attendance at MCA and DoLS training.

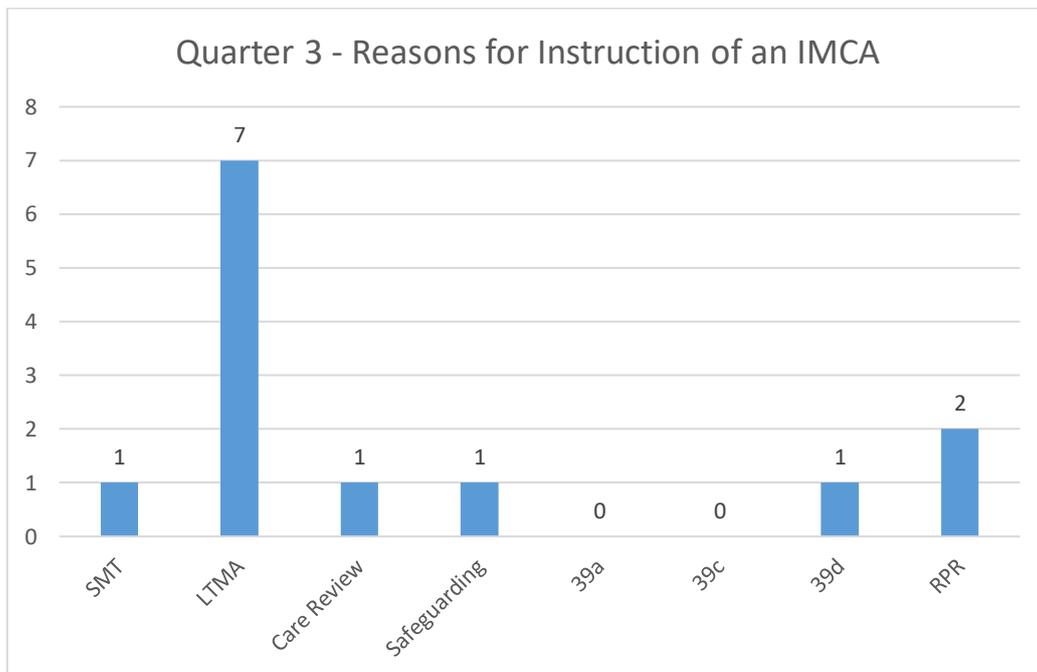


INDEPENDENT MENTAL CAPACITY ADVOCATES (IMCAs)

The Independent Mental Capacity Advocate (IMCA) service is a statutory service implemented in Wales 1st October 2007. IMCAs are independent advocates who represent people who lack capacity, in order to support them in making important

decisions, which must comply with the MCA 2005. An IMCA must be appointed for anyone aged 16 or over who has been deemed as lacking capacity and are unfringed; they can also be appointed for Care Reviews or Adult Protection cases.

Mental Health Matters Wales provides the IMCA service for the Health Board and quarterly monitoring reports are provided. The below table indicates the number of new IMCA instructions from the Health Board during Quarter 3 together with the reasons for instruction.



Key
 SMT = Serious Medical Treatment
 LTMA = Long Term Move of Accommodation
 39A = Where a request has been made for a Standard Authorisation, the 39A IMCA's role is to represent the person in the assessments to be carried out.
 39C = Role can be understood as covering gaps in the appointments of relevant person's representatives. The role ends when another relevant person's representative is appointed.
 39D = Only available when a standard authorisation is in place and the person has an unpaid relevant person's representative. Both the person who is deprived of liberty under a standard authorisation and their unpaid representative (RPR) have a statutory right of access to an IMCA.
 RPR = Paid Relevant Person Representative where the assessors have not identified someone to represent the person.

The advocates are continuing to carry out their role using technology, in combination with meeting patients face-to-face where able whilst following government COVID-19 guidelines and local arrangements.

The IMCA quarterly monitoring reports continue to be shared via the Safeguarding Committee and include case scenarios.

COURT OF PROTECTION (CoP)

The Court of Protection (CoP) is a key decision making component of the Mental Capacity Act and has jurisdiction over property, financial affairs and the welfare of people who lack capacity. It has the same powers, rights, privileges and authority as the High Court. It was identified in late 2019 that links between the Corporate Safeguarding Team and the Legal Team have not been sufficiently robust to enable a regular oversight and assurance regarding Cop cases.

In January 2020 a Datix Change request was submitted to the Datix User Group meeting by the Mental Health & Learning Disabilities Delivery Unit to request an addition to the Complaints Module of Datix to enable capture of the Cop cases. This change has now been made and all Delivery Units have been notified. A new code 'type' has been added to the Complaints Module- 'Court of Protection'. This allows secure storage of documents and maintenance with a central oversight of Cop cases.

These records will be available and managed by the Service Delivery Groups with the ability to report on all cases on a Health Board wide basis.

CoP updates are now reported separately on the Mental Health Legislation In-Committee agenda due to the sensitivity of the information.

Ongoing Identified Risks

COVID-19

There have been no adjustments to Mental Capacity Act and Deprivation of Liberty Safeguards Legislative responsibilities during COVID pandemic, any deprivation of liberty needs to be authorised. There are ongoing risks to the Health Board in relation to compliance with legislation:

- Lack of availability of assessors to undertake the assessments, particularly BIAs largely relying upon one dedicated BIA to undertake all assessments.
- Restrictions on visiting patients to carry out assessments.
- Limited ability to undertake remote assessments (lack of equipment and time for front line staff to support the patient with the assessment).
- There is a back log of cases awaiting assessment with 125 outstanding assessments, this is mainly as a result of the COVID restrictions, reduced footfall on the ward areas and BIA's not being released due to hospital pressures.

In view of COVID restrictions agreed processes are in place: -

- BIAs have been undertaking both remote and face-to-face assessments on the acute sites.
- A telephone triage and support service is available Monday to Friday 8am to 5pm.
- BIAs will work with staff in the acute settings to ensure robust care plans are in place to manage DoLS

- For patients with existing DoLS the review will be undertaken remotely where possible and the previous Section 12 Doctors report will be used.
- Admin support is still available.
- BIAs have been supporting acute staff with complex cases and to ensure patients are not delayed in hospital for concerns related to best interest decisions.

In addition:

- As part of triage BIAs have put in place ‘traffic light’ prioritisation for transparency and consistency.
- All guidance has been updated in line with government’s updated guidance and widely circulated to relevant staff.

High Risk

- 1 of the 2 in-house BIAs, left the organisation with effect from 3rd August 2021. There has been an impact on the day to day delivery of the current DoLS service and the introduction of the LPS service. A full time band 6 BIA fixed term contract (end March 2022) has been secured and is to commence 3rd January 2022.

Mental Capacity Act

MA compliance: Evidence of inconsistent understanding and implementation of MCA/DoLS across the service areas, our observations are that compliance and application is significantly better where ward leads have an interest in MCA/DoLS and have attended training or are BIA trained. In other areas there is a clear deficit where frontline staff are not confident or are lacking the skills and knowledge in undertaking mental capacity assessments and completing best interest meetings. This is a concern particularly for the future in relation to LPS as there is likely to be greater responsibilities on MA’s when LPS is implemented.

Breaches – The actions taken to reduce breaches include encouraging MAs to submit a Form 1a (providing a further 7-day extension). COVID-19 has had an impact on the number of breaches, 61 breaches during Quarter 3, in addition to the lack of BIA resource.

Theme: There is a common misunderstanding that a patient has to have a DoLS authorisation in order for MAs to access additional support (1:1) or access support from onsite security services. This triggers inappropriate referrals and evidences the lack of knowledge and application of the use of the MCA without the need for DoLS. This issue has been addressed by providing staff and security services with additional training.

Liberty Protection Standards (LPS)

The date for the implementation of legislative changes moving from Deprivation of Liberty Safeguards to Liberty Protection Safeguards was planned for April 2022. The Health Board is awaiting further legislative guidance in order to support the transition from DoLS to LPS. Latest advice is that the LPS ‘Code of Practice’ is due for release

for publication imminently (was due June 2021 but at time of writing has not yet been released with no definitive date given). In the interim MCA and DoLS will remain core business, there has been no change to SBU HB's statutory obligations during the pandemic. Representatives from the DoLS Team and Corporate Safeguarding Team attend the NHS Wales Review of DoLS/MCA/LPS Network Task & Finish Groups and dedicated workstreams that feed into to the Welsh Government National Steering Implementation Group.

FINANCIAL IMPLICATIONS

A review of SBUHB's service model compared to other Health Boards has shown a difference in how services are funded. Considering the similar level of referrals the comparison has highlighted that the level of funding and resource available for the SBUHB Supervisory Body is significantly lower than that of other HBs. This should remain under review in light of the implementation of LPS. In order for the Health Board to meet the new LPS legislative requirements a workforce review will need to be undertaken. In view of the preparations required and lead in time to LPS a new 8b lead role will be explored to ensure the Health Board can meet the new LPS and MCA legislative requirements. Funding for this post has been secured by WG along with 4 band 7 BIA/AMCP and band 4 administrator (appendix 3).

1. RECOMMENDATIONS

Members are requested to:

Note the performance data for Qtr. 3 – October to December 2021 (Appendix 1).

1. Note the performance data for Quarter 3 – October to December 2021 together with cumulative information for year to-date (Appendix 1)
2. Note that further LPS guidance has been delayed. Welsh Government have advised that the implementation date of April 2022 will not take place. No new date has been suggested. Code of Practice and guidance is to be disseminated for consultation spring 2022.
3. Note that additional funding to address the DoLS backlog and to meet training needs for mental capacity and Best Interest Assessor training has been agreed by Welsh Government (appendix 2).
4. Note the introduction of Team Leader for DoLS to help address the backlog of assessments, manage the DoLS Team and assist in the implementation of LPS, effective from 11th October 2021.

Governance and Assurance		
Link to Enabling Objectives <i>(please choose)</i>	Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities	
	Partnerships for Improving Health and Wellbeing	<input type="checkbox"/>
	Co-Production and Health Literacy	<input type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	Deliver better care through excellent health and care services achieving the outcomes that matter most to people	
	Best Value Outcomes and High Quality Care	<input type="checkbox"/>
	Partnerships for Care	<input type="checkbox"/>
	Excellent Staff	<input type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input type="checkbox"/>
Health and Care Standards		
<i>(please choose)</i>	Staying Healthy	<input type="checkbox"/>
	Safe Care	<input checked="" type="checkbox"/>
	Effective Care	<input type="checkbox"/>
	Dignified Care	<input type="checkbox"/>
	Timely Care	<input type="checkbox"/>
	Individual Care	<input checked="" type="checkbox"/>
	Staff and Resources	<input type="checkbox"/>
Quality, Safety and Patient Experience		
Report highlights the importance of safe and timely assessment		
Financial Implications		
Report identifies the current financial challenges and lack of funding for Supervisory Body Function.		
Legal Implications (including equality and diversity assessment)		
Report reference the legal framework which is current and the future LPS implementation		
Staffing Implications		
Report outlines the current staffing capacity issues and identifies the potential for future staffing model to become compliant.		
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)		
Report makes reference to future legislation.		
Report History	Presented to MHA&MCA Compliance Committee in November 2021	
Appendices	Appendix 1 provides performance information for Q3, together with cumulative totals for period 01.04.2021 to 31.12.2021. Appendix 2 Appendix 3	

