ADULT SOCIAL CARE
SAFEGUARDING ADULTS
REFERRAL PATHWAYS
Criteria for use when a concern around an adult at risk is raised

Any referral into Adult Social Care will trigger a brief initial assessment to identify the appropriate level – for further details please see level descriptors from page 6

LEVEL 1
Concern raised for an adult at risk that may not meet the criteria for a full enquiry

LEVEL 2
Concern detail indicates need for further action including progression to a full section 42 enquiry

LEVEL 3
Safeguarding Adults Review Process (SAR) as per section 44 criteria

CONTACT NUMBERS – ALL CONCERNS SHOULD BE RAISED WITH SEFTON COUNCIL

Sefton Call Centre 0345 140 0845 – Normal office hours
Emergency Duty Team 0151 934 3555 – Outside of normal office hours when immediate action is required by Local Authority to make an adult at risk safe

If you need to contact the police: EMERGENCY 999 or Merseyside Police 101
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PURPOSE OF DOCUMENT

This document will assist individuals in the decision making process when concerns are raised around an adult at risk.

Safeguarding concerns must always be taken seriously and the correct information/advice provided. This document aims to assist with ensuring all referrals are routed to the appropriate pathway and should provide a consistent approach to dealing with safeguarding concerns raised.

The pathways described in this document are intended to provide:

- clearer understanding about what constitutes safeguarding and where concerns should be directed
- proportionate and timely response to concerns raised within the borough of Sefton about the safety or welfare of an adult at risk

AIM OF THE PATHWAYS

- To ensure that anyone who has care and support needs and may be experiencing, or at risk of, receives timely advice and guidance
- To ensure people are correctly signposted on contact with adult social care
LEGAL FRAMEWORK

CARE ACT 2014

Safeguarding duties apply where a local authority has reasonable cause to suspect that an adult in its area (whether or not ordinarily resident there)—

(a) has needs for care and support (whether or not the authority is meeting any of those needs), and
(b) is experiencing, or is at risk of, abuse or neglect, and
(c) as a result of those needs is unable to protect themselves from either the risk of, or the experience of, abuse or neglect.

The adult’s care and support needs should arise from, or be related to a physical or mental impairment or illness. However, they do not need to meet the minimum eligibility criteria.


ABUSE

Although the population served is comparatively small, the definition of abuse is wide:

Abuse is a violation of an individual’s human and civil rights by any other person or persons. It can be a singular or repeated act, or a lack of action.

Abuse or neglect can be unintentional; however the primary focus must still be how to safeguard an adult at risk. What is important is the harm done and whether the abuse may be repeated.

The Care Act Guidance states that local authorities should not limit their view of what constitutes abuse or neglect, as they say that it takes many forms and the circumstances of the individual must always be considered.

If a raised concern meets the criteria: ‘is this person an adult with care and support needs (adult at risk) and ‘is abuse/ neglect alleged’ then the concern is actioned. In order to assess whether the concern meets the safeguarding enquiry criteria the decision needs to be made as to whether the concern has had, or is likely to have substantial impact on the adult. It is important that the person is spoken to about how they perceive the impact of the incident or risk.
SELF NEGLECT

The Care Act introduced self-neglect as a category of abuse; this covers a wide range of behaviours including neglecting to attend to personal care, health or environment. Where there is a concern that self-neglect may have a substantial impact on a person and interventions have been offered without success, a safeguarding concern should be raised.

MAKING SAFEGUARDING PERSONAL

Care Act Guidance includes the principle of Making Safeguarding Personal which involves asking the person who is at risk of harm what they would like to happen. Safeguarding is everyone’s business. We have a statutory duty to co-operate, work together and share information to ensure that risk is fully understood and managed appropriately. Everyone has a part to play in this.

Helping people to make their own decisions about the way they live is fundamental good practice. It gives people better outcomes and an improved sense of wellbeing. The approach to safeguarding should be the same. It should be a process in which people are fully consulted and engaged as to their desired outcomes. “No decision about me without me.” Relationships and involving people from the beginning is more important than following a process; previously adult safeguarding has been driven by policy and practice rather than by what the person wants.

LIMITATIONS

The examples within the levels highlight the relevant actions required depending on the nature of the concern. This guidance does not replace local safeguarding policy and procedure but is designed to be used in conjunction with it.

Note: It is impossible to cover every scenario and guidance should be sought as considered necessary

PROVIDER ENQUIRY REPORT

The provider enquiry report is to be used where providers are asked to undertake an enquiry into a safeguarding concern. In the event of it becoming evident that a criminal offence may have been committed during provider enquiry any actions must cease and the provider take immediate advice from a member of the ASC Safeguarding Adults Team.
When a person is NOT deemed to be an Adult at Risk

The Care Act and Guidance determines that safeguarding duties apply where a local authority has reasonable cause to suspect that an adult in its area (whether or not ordinarily resident there)

(a) has needs for care and support (whether or not the authority is meeting any of those needs), and

(b) is experiencing, or is at risk of, abuse or neglect, and

(c) as a result of those needs is unable to protect themselves from either the risk of, or the experience of, abuse or neglect.

If all three criteria are NOT met then an adult is NOT deemed to be an adult at risk and a safeguarding referral is not required.

Forced marriage where the victim is not an adult with care and support needs related to a physical or mental impairment.

Refer to the police (if someone’s life is in danger or a crime in progress phone 999. Otherwise call the main switchboard on 101. Refer to the Forced Marriage Unit 0207 008 0151 (www.fco.gov.uk))

Domestic abuse/violence where the adult does NOT have care and support needs related to a physical or mental impairment.

Follow internal domestic abuse process. Consider child referral if present

Some form of abuse against staff or volunteer is committed

Report to Police if you suspect a crime has been committed. Work within organisational policy

The person who has allegedly been abused is under 18 years of age at the time

Refer to Child Protection procedures

General concerns about a person’s living arrangements or circumstances relating to issues such as hygiene, cleanliness, nutrition where adult does NOT have care and support needs related to a physical or mental impairment

Refer person to appropriate services, Sefton online Directory

Any incident where the victim is not an adult with care and support needs related to a physical or mental impairment but where a crime appears to have been committed

Refer to the Police (if someone’s life is in danger or a crime appears to be in progress dial 999. Otherwise call the main switchboard on 101)
<table>
<thead>
<tr>
<th>CONCERN</th>
<th>LEVEL 1</th>
<th>LEVEL 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acts of Non-Intentional Abuse or Neglect</td>
<td>Indications may be:</td>
<td>N/A</td>
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<td></td>
<td>• Informal carer struggling to provide adequate care</td>
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<td>• Signs of stress to the point of increased risk of harm to the adult at risk</td>
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<td>• One-off incident of neglect of formal care provision where no harm has occurred</td>
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<td></td>
<td>• Care plan not available or not up to date</td>
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<td><strong>May require consideration of:</strong></td>
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<td>• signposting/information and advice</td>
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<td></td>
<td>• referral for assessment or re-assessment</td>
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<td></td>
<td>General or non-specific one off cases of neglect or an omission where there is no effect on any individual</td>
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<td></td>
<td><strong>POSSIBLE ACTION</strong></td>
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<tr>
<td></td>
<td>Review staff procedures in relation to dispensing medication. Guidance support and additional training for staff members.</td>
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<tr>
<td>Acts of wilful neglect, abuse, ill treatment or acts of omission</td>
<td><strong>See Level 2</strong></td>
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<td></td>
<td><strong>May include:</strong></td>
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<td></td>
<td>• ignoring medical, emotional or physical care needs</td>
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<td>• failure to provide access to appropriate health care and support or educational services</td>
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<td></td>
<td>• withholding of the necessities of life, such as medication, adequate nutrition, heating and essential equipment</td>
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<td>CONCERN</td>
<td>LEVEL 1</td>
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<tr>
<td><strong>Discriminatory Abuse</strong></td>
<td>Isolated or one-off incident of teasing by a service user towards another, motivated by prejudicial attitude towards an adult’s individual differences.</td>
<td>May include:</td>
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<td></td>
<td>Work with perpetrator in relation to diversity</td>
<td>• adult being ridiculed or threatened because of their race, gender, disability, sexuality, religion or age</td>
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<tr>
<td></td>
<td>Review care and / or support plan</td>
<td>• failure to meet care plan/support needs associated with an adult at risk’s specific diversity needs</td>
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<tr>
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<td></td>
<td>• being refused access to essential services motivated by prejudicial attitude towards an adult’s at risk individual differences</td>
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<td></td>
<td>• harassment</td>
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<td></td>
<td></td>
<td>• slurs or similar treatment because of race, gender and gender identity, age, disability, sexual orientation, religion</td>
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<td></td>
<td></td>
<td>• hate crime</td>
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<td></td>
<td>• Consider:</td>
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<td></td>
<td></td>
<td>• Notification to police</td>
</tr>
<tr>
<td><strong>Domestic Abuse</strong></td>
<td><strong>No indication of care and support needs</strong></td>
<td><strong>Indication</strong> of care and support needs:</td>
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<td></td>
<td><strong>Consider:</strong></td>
<td>May include:</td>
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<tr>
<td></td>
<td>• Notification to police</td>
<td>• Controlling behaviour</td>
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<tr>
<td></td>
<td>• Referral to relevant agencies -SWACA, RASA etc.</td>
<td>• psychological</td>
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<td></td>
<td>• Referral to Children’s Services</td>
<td>• physical</td>
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<td>• sexual</td>
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<td>• financial</td>
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<td>• emotional</td>
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<td>• ‘honour’ based violence</td>
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<td>• Forced marriage</td>
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<td>• Coercive behaviour</td>
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<td></td>
<td>• Abuse by someone who is or has been an intimate partner or family member regardless of sexuality or gender</td>
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<tr>
<td>CONCERN</td>
<td>LEVEL 1</td>
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<tr>
<td>Falls</td>
<td>May include:</td>
<td>Suggesting neglectful cause or acts of omission?</td>
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<tr>
<td></td>
<td>• Witnessed/unwitnessed – no suggestion of neglect (although injury may have occurred)</td>
<td>• Risk assessment not in place</td>
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<td></td>
<td>• Accidental falls – no suggestion of neglect (although injury may have occurred)</td>
<td>• Risk assessment not followed</td>
</tr>
<tr>
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<td>• Unwitnessed falls reported by a provider – advise provider to notify commissioning support team:</td>
<td>• Injury sustained or other negative impact on health or well being</td>
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<tr>
<td></td>
<td><a href="mailto:Commissioningandcontracts@sefton.gov.uk">Commissioningandcontracts@sefton.gov.uk</a></td>
<td>• Minor injury sustained yet no medical advice sought</td>
</tr>
<tr>
<td>Theft, Fraud or Financial Abuse or Financial Exploitation</td>
<td>Single one off incident of missing money and/or belongings where the quality of life for the adult at risk has not been affected and there is little or no distress</td>
<td>May include:</td>
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<tr>
<td></td>
<td>Refer to Police where appropriate. Disciplinary action for staff. Work with adult at risk and/or perpetrator to help manage money and/or possessions</td>
<td>• Occasional or ongoing incidents of missing money and/or belongings</td>
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<tr>
<td></td>
<td>May include:</td>
<td>• theft</td>
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<tr>
<td></td>
<td>• theft</td>
<td>• fraud</td>
</tr>
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<td></td>
<td>• scams including internet scams</td>
<td>• coercion in relation to an adult's financial affairs or arrangements, including in connection with wills, property, inheritance or financial transactions</td>
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<tr>
<td></td>
<td>• bogus callers</td>
<td>• misuse or misappropriation of property, possessions or benefits</td>
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<td></td>
<td>Police and/or Trading Standards already engaged and/or family have safeguarded the risk</td>
<td>• misappropriation of direct payments</td>
</tr>
<tr>
<td>Appointee implicated? i.e. non-payment of client contributions/care home fees</td>
<td>Consider:</td>
<td>• occasional or ongoing incident of staff personally benefiting from support they offer service users</td>
</tr>
<tr>
<td></td>
<td>• Notification to Department of Works and Pensions (DWP)</td>
<td>• denying an adult at risk access to their own funds / bank account/ assets</td>
</tr>
<tr>
<td></td>
<td>• Notification to Sefton Area Finance team if funded by Sefton</td>
<td>• failing to routinely involve the adult at risk in decisions about how their money is spent or kept safe</td>
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<tr>
<td>Indication of misuse of Power of Attorney or reckless behaviour by the Attorney with the potential for exploitation, deprivation or loss?</td>
<td>Consider:</td>
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<tr>
<td></td>
<td>• Report to the Office of the Public Guardian (OPG)</td>
<td>•</td>
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<tr>
<td></td>
<td>• Contact police</td>
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POSSIBLE ACTION
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<tr>
<th>CONCERN</th>
<th>LEVEL 1</th>
<th>LEVEL 2</th>
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| **Incidents between service users** | May be that:  
   - Minimal harm has occurred  
   - Single incident  
   - Provider managing risk appropriately via up-dated risk assessment/ care plan and risk management plan.  
   Family and relevant professional(s) informed | **May include:**  
   - repeat low –impact incidents towards adults at risk of abuse  
   - provider failing to protect service users  
   - Individual dissatisfied with the manner in which previous incident(s) have been managed  
   **Consider:**  
   - Notification to police if the incident is criminal in nature |
| **Medication Error**     | Minor medication error:  
   One or two occasions  
   **AND**  
   - No harm occurred  
   - GP/Medical advice sought at the time if necessary  
   - Family/advocate informed as necessary  
   - Provider managing risk appropriately via up-dated risk assessment/ care plan and risk management plan. | **May be:**  
   - Deliberate withholding of medication with no medical reason  
   - Recurring event  
   - One-off event of a serious nature  
   - Missed deliberately or recklessly  
   - Over-medicated  
   - Incorrect use of medication for reasons other than the benefit of the person  
   - Deliberate attempt to harm through use of a medicine  
   - Unintentional harm due to incorrect dose of medication being administered  
   - Unintentional harm due to failure to administer prescribed medication  
   - Resulting in harm or had the potential to have resulted in harm |
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<tr>
<th>CONCERN</th>
<th>LEVEL 1</th>
<th>LEVEL 2</th>
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</table>
| Modern Slavery        | Adult at risk is in debt to a regulated loan provider or has fallen behind with payments Adult at risk in support living accommodation or at home with family is asked to contribute to the running of the household                                                                                                                                                                                                                                                                                                                                                      | May include:  
  - Debt bondage – forced to work to pay off debt that realistically they never will be able to  
  - human trafficking  
  - forced labour and domestic servitude  
  - sexual exploitation – escort work, prostitution  
  - criminal exploitation – forced into crime such as cannabis cultivation or pick pocketing against their will  
 Consider:  
  - notification to police                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|                       | Refer to Citizen’s Advice Bureau at www.citizensadvice.org.uk                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|                       | Work with adult in relation to independent living, relationships                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| Nutrition and Hydration| Failure to give food or drink or to provide support to eat or drink on one occasion with reasonable explanation provided  
  - Service provider to address concern  
 Person loses weight or is dehydrated and the care plan has been followed, fluid/food charts completed and specialist advice sought  
  - Service provider to address concern                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | May include:  
  - failure to give food or drink or to provide support to eat or drink on more than one occasion  
  - failure to provide nutrition and hydration on more than one occasion  
  - lack of evidence in monitoring or action taken in relation to weight loss                                                                                                                                                                                                                                                                                                                                 |
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<tr>
<th>CONCERN</th>
<th>LEVEL 1</th>
<th>LEVEL 2</th>
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<tbody>
<tr>
<td>Physical Abuse</td>
<td>Unexplainable marks and/or bruising</td>
<td>May include:</td>
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<tr>
<td></td>
<td>• found on one occasion</td>
<td>• assault such as hitting, slapping, pushing which results in injury or distress</td>
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<td></td>
<td>• no harm or distress caused</td>
<td>• restraint</td>
</tr>
<tr>
<td></td>
<td>• Service provider to address concern</td>
<td>• inappropriate physical sanctions</td>
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<td></td>
<td>• Staff error causing little/no harm</td>
<td>• Ongoing unexplained marking or lesions, cuts or grip marks</td>
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<td></td>
<td>Action may include:</td>
<td>• Murder or death where neglect by services or carer is alleged</td>
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<td></td>
<td>Possible work with perpetrator to explore reasons for incident</td>
<td>• Assisted suicide</td>
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<td></td>
<td>Work with adult at risk to keep safe</td>
<td>• Adult unlawfully deprived of liberty</td>
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<td></td>
<td>Consider staff competency</td>
<td>Consider:</td>
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<td></td>
<td>Review care plans and internal process</td>
<td>• Notification to police</td>
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<tr>
<td>Pressure Ulcers</td>
<td>Grade 1 or 2 – seek medical advice</td>
<td>Grade 3 or 4 – <strong>Suggestion of neglectful cause</strong>, for example</td>
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<td></td>
<td>Grade 3 or 4 – <strong>No immediate suggestion of neglectful cause</strong></td>
<td>• Care Plan not in place or adhered to, nor clear up-to-date and concise</td>
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<td></td>
<td>• Ensure that the opinion of Tissue Viability Nurse is sought</td>
<td>• Appropriate equipment not provided in a timely way</td>
</tr>
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<td></td>
<td>• Service provider is to address concern and monitor</td>
<td>• Staff not trained to use equipment / manual handling</td>
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<td></td>
<td></td>
<td>• Repositioning charts not used or not completed</td>
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<td>• Specialist advice not sought</td>
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<td></td>
<td></td>
<td>• Ensure that the opinion of Tissue Viability Nurse is sought</td>
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<tr>
<td>CONCERN</td>
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<tr>
<td><strong>Psychological Abuse</strong></td>
<td><strong>Isolated</strong> incident with little or <strong>no distress</strong> reported and <strong>situation resolved</strong></td>
<td><strong>Repeat or isolated</strong> incident where <strong>distress</strong> is reported</td>
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<td>May include:</td>
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<td>May include:</td>
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<tr>
<td>- Verbal Insults</td>
<td></td>
<td>• bullying</td>
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<td>- Undermining of Respect</td>
<td></td>
<td>• failure or denial to recognise choice or opinion</td>
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<tr>
<td>- Humiliation</td>
<td></td>
<td>• verbal outbursts</td>
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<tr>
<td>- Other verbal abuse</td>
<td></td>
<td>• denial of basic human rights / civil liberties</td>
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<tr>
<td>- Blaming</td>
<td></td>
<td>• withholding of information in attempt to disempower</td>
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<tr>
<td>Service provider to address concern and monitor</td>
<td></td>
<td>• hate crime</td>
</tr>
<tr>
<td>General and non-specific Anti-Social Behaviour (ASB) or single incidents of ASB – Refer to Police</td>
<td></td>
<td>• emotional abuse</td>
</tr>
<tr>
<td>Banter between adult at risk and member of staff where this is reciprocated and the adult at risk does not feel undermined, intimidated or distressed</td>
<td></td>
<td>• threats of self-harm from carer</td>
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<td>• threats of abandonment</td>
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<td>• deprivation of contact</td>
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<td></td>
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<td>• humiliation</td>
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<td></td>
<td></td>
<td>• blaming</td>
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<td></td>
<td></td>
<td>• isolation</td>
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<td></td>
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<td>• unreasonable/unjustified withdrawal of services and supportive networks</td>
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<td></td>
<td>• controlling</td>
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<td></td>
<td></td>
<td>• intimidation</td>
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<td></td>
<td></td>
<td>• coercion</td>
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<td>• harassment</td>
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<td></td>
<td>• verbal abuse</td>
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<tr>
<td></td>
<td></td>
<td>• cyber bullying</td>
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<td></td>
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<td>• phone texting, social media</td>
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<td></td>
<td></td>
<td>• regular or on-going radicalisation (Consider PREVENT)</td>
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<td>• forced marriage</td>
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Ensure staff and adult at risk understand relationship boundaries and appropriate behaviour
<table>
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<tr>
<th>CONCERN</th>
<th>LEVEL 1</th>
<th>LEVEL 2</th>
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</thead>
<tbody>
<tr>
<td>Self-Neglect/</td>
<td>Covers a wide range of behaviours including:</td>
<td>Serious risk associated with self-neglect / hoarding behaviours?</td>
</tr>
<tr>
<td>Hoarding</td>
<td>• neglecting personal hygiene</td>
<td>• Triaged as appropriate for Level 2</td>
</tr>
<tr>
<td></td>
<td>• neglecting health</td>
<td>• Refer to Self-Neglect &amp; Hoarding policy</td>
</tr>
<tr>
<td></td>
<td>• excessive hoarding</td>
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<tr>
<td></td>
<td>• neglecting surroundings</td>
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<tr>
<td></td>
<td>Indication of negative impact on health and wellbeing?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• All concerns to be discussed with triage social worker or line manager</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Concerns from open cases to be discussed with line manager</td>
<td></td>
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<tr>
<td></td>
<td>Follow Guidelines set out by nice.org.uk</td>
<td></td>
</tr>
</tbody>
</table>

Sefton Hoarding and
Self-Neglect Protocol
<table>
<thead>
<tr>
<th>CONCERN</th>
<th>LEVEL 1</th>
<th>LEVEL 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sexual Abuse</td>
<td>Isolated incident of teasing or unwanted attention, either verbal or touching (but excluding genitalia) which has NOT been committed by a person in a position of trust, where it is not of a serious nature and the effect on the adult at risk is low. Example --- rubbing back of neck or stroking arm by another resident in a care home. When they are told to stop they do immediately. Work with the adult at risk and perpetrator relating to boundaries and relationships.</td>
<td>May include: • rape • indecent exposure • sexual harassment • grooming • inappropriate touching or looking • sexual teasing or innuendo • sexual photography • subject to pornography or witnessing sexual acts • indecent exposure • sexual assault • sexual acts to which the adult has not or was pressurised into consenting • Female Genital Mutilation (FGM) • Voyeurism by anyone • Sexualised touching by a staff member • Sexualised touching by anyone without valid consent or where valid consent cannot be given (whether or not this occurs within a relationship) • Attempted penetration by any means by a staff member • Sexual relationship characterised by authority, inequality or exploitation (for example member of staff with an adult at risk) ALL CONCERNS MUST BE REPORTED TO THE POLICE</td>
</tr>
</tbody>
</table>
Level 3 – Safeguarding Adults Review (SAR) Process

Safeguarding Adults Review (SAR) Process section 44 Care Act 2014

- Complete the referral form - SAR 1 – (embedded below) with details of your concern

- Contact Sefton Safeguarding Adults Strategic Lead on 0151 934 3748 or joan.coupe@sefton.gov.uk if you have any queries or to agree a secure method of submission of the referral which will contain sensitive and confidential information

- The SAR Group Chair will scrutinise the detail of the concern and the referrer will be advised of the outcome. The SAR Group Chair will organise for a SAR Group meeting to be convened in order to discuss the concern and reach agreement on progression

SAR_1_Safeguarding  Final Sefton  Adult_Review_Referral_Form June 2016.docx

SAR_1_Safeguarding  Final Sefton  Adult_Review_Referral_Form June 2016.pdf