

Northamptonshire Safeguarding Adults Board

Inter-Agency Safeguarding Adults Policy & Procedures

May 2025

Version 1.4	July 2016
Modified	November 2016
Version 2.3.4 - Ratified by NSAB Strategic Board	13 th May 2020
Version 3.4 - Approved by Quality & Performance Subgroup	27 th February 2025
Version 3.4 - Ratified by NSAB Strategic Board	9 th May 2025

Key contributors:	NSAB Quality & Performance Subgroup Task & Finish (June – February 2020 and July 2024), Northamptonshire Safeguarding Adults Board (NSAB), West Northamptonshire Council, North Northamptonshire Council, and Northamptonshire Police.
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Acknowledgements

Northamptonshire Safeguarding Adults Board (NSAB) would like to thank Brighton & Hove, East Sussex and West Sussex Safeguarding Adults Boards for the permission given to utilise the Sussex Safeguarding Adults Policy & Procedures Edition 4 – January 2019

The Board would also like to give thanks to colleagues from the Quality & Performance Subgroup, and other partners who have contributed their time and knowledge and for reviewing the Northamptonshire Inter-Agency Policy & Procedures.

1. Safeguarding Adults in Northamptonshire Policy

The Care Act 2014 was a major step forward in safeguarding adults who experience, or are at risk of abuse or neglect, and are unable to protect themselves. Sections 42 to 47 of the Care Act sets out the legal duties and responsibilities in relation to adult safeguarding.

The legal framework for the Care Act 2014 is supported by Care and Support Statutory Guidance¹ which provides information and guidance about how the Care Act should operate in practice. The guidance has statutory status which means that there is a legal duty to have regard to it when working with adults with care and support needs and carers.

Safeguarding means protecting an adult's right to live in safety, free from abuse and neglect. It is about working together to support people to make decisions about the risks they face in their own lives and protecting those who lack the mental capacity to make those decisions.

These policy and procedures provide an overarching framework to ensure a proportionate, timely and professional approach is taken, and that adult safeguarding is co-ordinated across all relevant agencies and organisations. This is essential for the prevention of harm and abuse. The aims of adult safeguarding are to:

- Prevent harm and reduce the risk of abuse or neglect to adults with care and support needs.
- Stop abuse or neglect wherever possible.
- Safeguard adults in a way that supports them in making choices and having control about how they want to live.
- Promote an approach that concentrates on improving life for the adults concerned.
- Raise public awareness so that communities and professionals, play their part in preventing, identifying, and responding to abuse and neglect.
- Provide information and support in accessible ways to help people understand the different types of abuse, how to stay safe and what to do to raise a concern about the safety or wellbeing of an adult.

In order to achieve these aims, it is essential that everyone, both individuals and organisations, are clear about their roles and responsibilities regarding safeguarding policy and procedures. Individual services and organisations should ensure their own internal adult safeguarding policy and procedures reflect the Northamptonshire Safeguarding Adults Policy and Procedures. This includes an expectation to report any concerns or suspicions that an adult is at risk of being abused, or is being abused, in a timely way. Where abuse or neglect takes place, it needs to be dealt with promptly and effectively, and in ways which are proportionate to the concern, ensuring that the adult stays in as much control of the decision-making as possible.

1.1 Statutory safeguarding principles

The Care Act safeguarding duties apply to an adult who:

- Has needs for care and support (whether or not the local authority is meeting any of those needs).
- Is experiencing, or at risk of, abuse or neglect.
- As a result of those care and support needs is unable to protect themselves from either the risk of, or the experience of abuse or neglect.

The framework for statutory adult safeguarding set out within the Care Act states that local authorities are required to:

- Lead a multi-agency local adult safeguarding system that seeks to prevent abuse and neglect, and stop it quickly when it happens.
- Make enquiries, or ensure others do so, when they believe that an adult is subject to, or is at risk of, abuse or neglect. An enquiry should establish whether any action needs to be taken to stop or prevent abuse or neglect, and if so, by whom.
- Establish a Safeguarding Adults Board (SAB) with core membership from the local authority, the police, and the NHS (specifically the local Integrated Care Board (ICB)) with the power to include other relevant bodies.

¹ HM Government Care and Support Guidance supports the Care Act 2014

- Arrange, where appropriate, for an independent advocate to represent and support an adult who is the subject of a safeguarding enquiry or Safeguarding Adult Review (SAR) where the adult has 'substantial difficulty' in being involved in the process and where there is no other appropriate adult to help them.
- Cooperate with each of its relevant partners in order to protect adults who are experiencing, or at risk of, abuse or neglect.

1.2 Key principles informing this policy

Six key principles underpin all adult safeguarding work. They apply to all sectors and settings including care and support services, further education colleges, commissioning, regulation and provision of health and care services, social work, healthcare, welfare benefits, housing, wider local authority functions and the criminal justice system.

	Key Principle	Description	What this means to people in Northamptonshire
1.	Empowerment	People being supported and encouraged to make their own decisions and informed consent.	"I am asked what I want as the outcomes from the safeguarding process and these directly inform what happens."
2.	Prevention	It is better to take action before harm occurs	"I receive clear and simple information about what abuse is, how to recognise the signs and what I can do to seek help."
3.	Proportionality	The least intrusive response appropriate to the risk presented.	"I am sure that the professionals will work in my best interests, as I see them and they will only get involved as much as needed."
4.	Protection	Support and representation for those in greatest need	"I get help and support to report abuse and neglect. I get help so that I am able to take part in the safeguarding process to the extent to which I want."
5.	Partnership	Local solutions through services working with their communities. Communities have a part to play in preventing, detecting, and reporting neglect and abuse	"I know that staff treat any personal and sensitive information in confidence, only sharing what is helpful and necessary. I am confident that professionals will work together and with me to get the best result for me."
6.	Accountability	Accountability and transparency in delivering safeguarding.	"I understand the role of everyone involved in my life and so do they."

1.3 Making Safeguarding Personal

Making Safeguarding Personal (MSP)² is a national approach to promote responses to safeguarding situations in a way that enhances involvement, choice and control as well as improving quality of life, wellbeing, and safety. It is about seeing people as experts in their own lives and working alongside them to identify the outcomes they want, with the aim of enabling them to resolve their circumstances and support their recovery. MSP is also about collecting information about the extent to which this shift has a positive impact on people's lives.

Northamptonshire supports this approach to putting the adult at the heart of all safeguarding processes. It is acknowledged that the voice of the individual should be prominent throughout and that all activities seek to ensure inclusion and personalisation.

People are individuals with a variety of different preferences, histories, circumstances, and lifestyles. Safeguarding arrangements must not prescribe a process to be followed whenever a concern is raised, but rather MSP emphasises the importance of a person-centred approach, adopting the principle of 'no decision about me without me'. Personalised care and support is for everyone, but some people will need more support than others to make choices and manage risks. A person led approach is supported by personalised information and advice and, where needed, access to advocacy support.

² Making Safeguarding Personal (MSP) guidance from the Local Government Association and the Association of Directors of Social Care. NSAB Inter-Agency Policy & Procedures – v3.4 – May 2025 - FINAL

1.4 The role of Northamptonshire Safeguarding Adults Board (NSAB)

Northamptonshire Safeguarding Adults Board (NSAB) is a statutory multi-agency partnership to ensure effective safeguarding arrangements are in place in the county. It oversees how agencies co-ordinate their services and work together to keep residents safe from abuse and neglect.

Sections 43 and 44 of the Care Act 2014 sets out the duties of Safeguarding Adult Boards as follows:

- (1) Each local authority must establish a Safeguarding Adults Board (an “SAB”) for its area.
- (2) The objective of an SAB is to help and protect adults in its area in cases of the kind described in section 42(1).
- (3) The way in which an SAB must seek to achieve its objective is by co-ordinating and ensuring the effectiveness of what each of its members does.
- (4) An SAB may do anything which appears to it to be necessary or desirable for the purpose of achieving its objective.
- (5) Schedule 2 (which includes provision about the membership, funding and other resources, strategy, and annual report of an SAB) has effect. Care Act 2014 (c. 23) Part 1 — Care and support 39
- (6) Where two or more local authorities exercise their respective duties under subsection (1) by establishing an SAB for their combined area—
 - (a) a reference in this section, section 44 or Schedule 2 to the authority establishing the SAB is to be read as a reference to the authorities establishing it, and
 - (b) a reference in this section, that section or that Schedule to the SAB’s area is to be read as a reference to the combined area.

Section 14.136 of the [Care and Support Statutory Guidance](#), states that Safeguarding Adult Boards have three core duties:

1. It must publish a strategic plan for each financial year that sets out how it will meet its main objective and what members will do to achieve this. The plan should be developed with local community involvement, and the SAB must consult the local Healthwatch organisation. The plan should be evidence based and make use of all available evidence and intelligence from partners to form and develop its plan.
2. It must publish an annual report detailing what the SAB has done during the year to achieve its main objectives to implement its strategic plan, and what each member has done to implement the strategy, as well as detailing the findings of any safeguarding adults reviews and subsequent action. It must conduct any Safeguarding Adults Reviews (SARs) in accordance with Section 44 of the Act.
3. It must conduct any Safeguarding Adults Review in accordance with Section 44 of the Act.

The Northamptonshire Safeguarding Adults Board (NSAB) structure is made up of a strategic board, an operational delivery board, and a number of Subgroups to support the delivery of the priorities and objectives detailed in the [NSAB Strategic Plan](#), which can be found here on the [NSAB website](#). NSAB commissions the services of an independent scrutineer to ensure the partnership has appropriate challenge and scrutiny in place to evidence countywide multi-agency safeguarding arrangements.

1.5 Safeguarding Adult Reviews (SAR)

[Safeguarding Adults Reviews \(SARs\)](#) are a statutory duty under section 44 of the Care Act. Safeguarding Adults Boards must undertake SARs when the appropriate criteria is met:

- An adult dies as a result of abuse or neglect, whether known or suspected, and there is concern that partner agencies could have worked more effectively to protect the adult.
- An adult is still alive but has experienced serious neglect or abuse and there is concern that partner agencies could have worked more effectively to protect the adult.

The purpose of a Safeguarding Adults Review is **not to reinvestigate or to apportion blame**, but is to:

- Establish whether there are any lessons to be learnt from the circumstances of the case, about the way in which local professionals and agencies work together to safeguard adults.
- Review the effectiveness of procedures.
- Inform and improve local inter-agency practice.
- Improve practice by acting on learning.
- Highlight good practice.

The Northamptonshire Safeguarding Adults Review Protocol outlines the procedure for making a referral – [the protocol can be found via this link on the NSAB website.](#)

Any professional can make a SAR referral via secure email or by password protecting the document. It is recommended that staff should discuss their concerns with their manager or agency safeguarding lead prior to making a referral to Northamptonshire Safeguarding Adults Board to ensure there are concerns about agencies working together effectively.

[The SAR referral form can be found via this link 'referring a case for consideration' on the NSAB website.](#)

1.6 NSAB website

The NSAB website is a 'one stop shop' for safeguarding information including [useful contacts, legislation, national guidance and toolkits, local multi-agency policies & procedures, and resources](#). The NSAB website is continuously updated when new resources become available and when legislation changes. [Please visit the NSAB website via this link.](#)

1.7 NSAB Equality and diversity statement

Equality means making sure that everyone is treated fairly and with dignity and respect. It means challenging discrimination and removing barriers, so that everyone has opportunities to achieve their desired outcomes. Diversity is about recognising the benefits of different values, abilities, and perspectives, and celebrating people's differences. This means promoting an environment that welcomes and values diverse backgrounds, thinking, skills and experience.

Inclusion is providing a space where everyone has equal access to opportunities and resources, and where everyone feels valued and accepted. Everyone should be able to contribute and have a voice. This may mean making reasonable adjustments to facilitate participation.

The principles of equality, diversity and inclusion are central to NSAB's work as an effective Safeguarding Adults Board. Our vision is that the people of Northamptonshire irrespective of age, race, gender, culture, religion, disability, or sexual orientation are able to live with their rights protected, in safety, free from abuse and the fear of abuse.

NSAB recognises that people from different backgrounds and with different experiences can provide us with fresh ideas, broader perspectives, and insights into the needs and challenges of our service users. We believe that working in a diverse environment broadens everyone's horizons, making for more innovative and stimulating thinking. The more diverse we are, the greater the talent we have and the better we can be.

NSAB is committed to creating an inclusive culture, in which people from all backgrounds and abilities can reach their full potential and bring their whole selves to making Northamptonshire a safer place, so that we all work together to keep people safe.

2. Northamptonshire Safeguarding Adults Procedures

2.1 Prevention in safeguarding

The most effective way to safeguard adults from abuse is to enable them to safeguard themselves. For some people this may involve their own support networks, or support or care services, depending on their individual circumstances.

Effective prevention in safeguarding is not about over-protective or risk averse practice. The prevention of abuse should occur in the context of person-centred support and personalisation, with individuals empowered to make choices and be supported to manage risks. Prevention of abuse includes multi-agency working (including information sharing), community safety, community participation and public awareness, as well as awareness raising and skills development with adults at risk.

There are many ways in which people can reduce the risks they may face, such as:

- Recognising potential risks to themselves, and considering how they wish to reduce the risks of being harmed or exploited.
- Identifying what strengths, skills, support, and networks they could use to avoid potentially abusive situations.
- Being aware of what to do if an abusive situation arises i.e. how to get help, how to report concerns.

All processes and checks for those who work with adults must include measures to avoid abuse occurring, including:

- Staff recruitment and vetting.
- Policies and procedures staff work to, including confidential reporting (whistleblowing) and complaints procedures.
- Staff induction and training, including safeguarding adults' policy and procedures and awareness of abuse and how to raise safeguarding concerns.
- Staff supervision and support.

Professional codes of conduct or practice and relevant service standards e.g. compliance with standards as detailed by the Care Quality Commission.

Employers should ensure that they:

- Meet their responsibilities for obtaining Disclosure & Barring Service (DBS) checks and referring to the DBS and relevant professional bodies.
- Meet their professional responsibilities under employment and other legislation.
- Have robust management systems in place for training and support.

Agencies and organisations must have a local policy and procedure in place detailing how these processes will be implemented to safeguard adults. If managers are not upholding their responsibilities this could leave adults at risk of abuse.

2.2 Promoting wellbeing

All organisations working with adults who are, or may be at risk of, abuse and neglect, must aim to ensure that adults in their care remain safeguarded from harm. This should underpin every activity through effective safeguarding adults work. People have many aspects to their lives and being safe may be only one of the things which are important to them. Professionals should work with each adult to establish what being safe means to them and how that can best be achieved.

The Care Act states that local authorities must promote wellbeing when carrying out any of their care and support functions in respect of a person. This may sometimes be referred to as 'the wellbeing principle' because it is a guiding principle that puts wellbeing at the heart of care and support. The wellbeing principles should apply to all agencies involved in safeguarding adults.

Diagram 1: Wellbeing Principles



2.3 Recognising abuse and neglect

This section sets out the signs of abuse and neglect, the context in which it takes place, and details the process for raising safeguarding concerns. Adult safeguarding refers to work aimed at preventing or stopping abuse and neglect of adults who need care and support, and who are more at risk of harm because of those needs.

Safeguarding adults is everyone's business, and we all have a responsibility to report, including those who are being abused (or suspect they are being abused). No-one should have to live with abuse or neglect. It is always wrong, whatever the circumstances. ***Don't ever assume that someone else is doing something about the situation.***

Consistent threshold decisions play a crucial role in ensuring that safeguarding enquiries are undertaken for adults at risk who meet the safeguarding criteria as defined in the Care Act. In this regard, the **Decision Making Framework** provides guidance as to what might constitute a reportable safeguarding concern to support professional judgement.

Abuse and neglect could be prevented if concerns are identified and raised as early as possible. It is important that everyone knows what to look for, and who they can go to for advice and support, and that they understand their role in safeguarding once abuse is suspected or identified.

Changes in someone's physical or emotional state, or injuries that cannot be explained, may be a sign of abuse.

2.4 Abuse Types

Below is a list of types of abuse from Social Care Institute for Excellence (SCIE). *This list is not exhaustive.*

Abuse type	Behaviour includes
Physical	Being pushed, shaken, pinched, hit, held down, locked in a room, restrained inappropriately, or knowingly giving an adult too much or not enough medication.
Sexual	An adult being made to take part in sexual activity when they do not/cannot, consent to this. It includes rape, indecent exposure, inappropriate looking or touching, or sexual activity where the other person is in a position of power or authority.
Financial	Misusing/stealing an adult's money or belongings, fraud, postal or internet scams tricking adults out of money, or pressuring an adult into making decisions about their financial affairs, including decisions involving wills and property.
Neglect	Not meeting an adult's physical/medical/emotional needs, either deliberately, or by failing to understand these. It includes ignoring an adult's needs, or not providing them with essential things to meet their needs, such as medication, food, water, shelter, and warmth.
Self-neglect	Being unable, or unwilling, to care for their own essential needs, including their health or surroundings e.g., their home may be infested by rats or very unclean and pose a risk to others as well as to them, or there may be a fire risk due to hoarding.
Psychological or emotional	Being shouted at, ridiculed, or bullied, threatened, humiliated, blamed for something they haven't done, or controlled by intimidation or fear. It includes harassment, verbal abuse, cyber-bullying (bullying which takes place online or through a mobile phone) and isolation.
Discriminatory	Forms of harassment, ill-treatment, threats or insults because of an adult's race, age, culture, gender, gender identity, religion, sexuality, physical or learning disability, or mental-health needs. Discriminatory abuse can also be called 'hate crime'.
Modern Slavery	Modern Slavery is where an adult is forced to work for little/no pay (including in the sex trade), being held against their will, tortured, abused, or treated badly by others.
Domestic Abuse	Domestic Abuse is defined as any incident of controlling, coercive or threatening behaviour, violence, or abuse between those aged 16 or over who are/have been intimate partners or family members, regardless of their gender or sexuality. This may be a one-off incident or a pattern of incidents/threats/violence/controlling or coercive behaviour. Also includes 'honour' based violence.
Organisational	Neglect and providing poor care in a care setting such as a hospital/care home, or in an adult's own home. This may be a one-off incident/repeated incidents/on-going ill-treatment and could be due to neglect or poor care because of the arrangements, processes, and practices in an organisation.

2.5 Who may be at risk of abuse or neglect?

As documented in the statutory safeguarding principles above, local authorities have safeguarding responsibilities for carers and a general duty to promote the wellbeing of the wider population in the communities they serve.

Safeguarding duties apply regardless of whether an adult's care and support needs are being met, whether by the local authority or anyone else. They also apply to people who pay for their own care and support services.

An adult with care and support needs may be:

- An individual with a physical disability, a learning disability, or a sensory impairment.
- Someone with mental health needs, including dementia or a personality disorder.
- An individual with a long-term health condition.

This is not an exhaustive list.

In its definition of who should receive a safeguarding response, the legislation could also include people who are victims of sexual exploitation, domestic abuse, and modern slavery. These are all largely criminal matters, and safeguarding duties would not be an alternative to police involvement, and would only be applicable where an adult is not able to protect themselves due to their care and support needs.

Adult safeguarding duties apply in whatever setting people live, with the exception of prisons and approved premises such as bail hostels. They apply regardless of whether or not someone has the ability to make specific decisions for themselves at specific times. There may be times when an adult has care and support needs and is unable to protect themselves for a short, temporary period – for example, if they were significantly unwell due to an infection.

The wellbeing of people who live and sleep on the street may need to be considered under a safeguarding response. Homelessness may be a consequence of physical and mental health problems and substance misuse, and is very commonly a cause of worsening health. Amongst the population of people who sleep rough there are significantly higher prevalence rates of mental illness, substance use, acquired brain injury, autistic spectrum conditions and learning difficulties, and some communicable diseases. Any of these conditions can contribute to behaviours which result in self-neglect.

People with care and support needs are not inherently vulnerable, but they may come to be at risk of abuse or neglect at any point due to:

- Physical or mental ill-health
- Disability
- Frailty
- Not having support networks
- Inappropriate accommodation
- Financial circumstances
- Being socially isolated

Abuse can happen anywhere, for example:

- At home
- In a care home, hospital, or day service
- At work or college
- In a public place or in the community

Abuse can be caused by anyone, for example:

- A partner, carer, relative, child, neighbour, or friend
- A health, social-care, or other worker, whether they are paid or a volunteer
- A stranger
- An adult with care and support needs.

2.6 Scenarios where abuse might take place

Example abuse scenarios	
<u>Adult and Elder Abuse</u>	Adult and elder abuse can take many different forms particularly when the person is not in a position to protect themselves. The abuse can include physical, sexual, psychological, financial and neglect. For older adults, abuse can include coercive control, neglect or acts of omission, discrimination, modern slavery, domestic abuse, and cuckooing.
<u>Child on Parent Abuse</u>	If a child/children is/are causing harm to an adult, this should be dealt with under the safeguarding adults' policy and procedures, and will also need to involve the local authority Children's Services.
<u>Controlling or coercive behaviour</u>	Coercion and control is a range of acts designed to make an individual subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour. Section 76 of the Serious Crime Act 2015 has created an offence in relation to coercive control within domestic abuse, and sets out the importance of recognising the harm and cumulative impact on the victim caused by these patterns of behaviour.

<u>Cuckooing</u>	Cuckooing is a form of crime in which drug dealers take over the home of a vulnerable person in order to use it as a base for criminal activity. Organised criminal groups are increasingly targeting adults with care and support needs in this way, and the level of coercion and control involved with cuckooing often leaves the victims with little choice but to cooperate with the perpetrators.
<u>County Lines</u>	County lines is the police term for groups who are supplying drugs to suburban areas and market and coastal towns using dedicated mobile phone lines or “deal lines”. It can involve child criminal exploitation and using adults who are vulnerable to move drugs and money, by taking over the homes of adults by force/coercion in a practice referred to as ‘cuckooing’. The Home Office County Lines guidance describes ‘County Lines’ as a major, cross-cutting issue involving drugs, violence, safeguarding, criminal and sexual exploitation, modern slavery, and missing persons.
<u>Disability hate crime</u>	If someone commits a crime against another person because they are disabled or think they are disabled, it is a disability hate crime. Hate crime can take many forms such as a physical attack, damage to property or arson, attacks on assistance animals, threat or attach including offensive letters, abusive/obscene telephone calls/texts or intimidation, financial abuse. View the Tricky Friends animation on the NSAB website here.
<u>Extremism by Radicalisation: The Counter-Terrorism and Security Act 2015</u>	<p>The Counter-Terrorism and Security Act places a duty on agencies listed below to have due regard to the need to prevent people from being drawn into terrorism. The agencies specified include: Local Authorities, schools, early years, and registered childcare providers, further and higher education bodies, health sector, Criminal justice organisations including HM Prison Service, young offenders institutions, and probation services, and the Police and Crime Commissioner.</p> <p>Prevent Duty is about everyone playing their part to minimise risk, protect their community and keep their local area a safe place to live and work. By agencies working together and focusing on prevention and early intervention, it is possible to identify and support individuals who are vulnerable to being drawn into terrorism or extremist views and actions.</p> <p>Advice and guidance can be sought from Northamptonshire Police by emailing prevent@northants.pnn.police.uk or phone 101 extension 341166. You can also share your concerns with specially trained officers at the national Police Prevent advice line in confidence by calling 0800 011 3764.</p> <p>You can make a referral online to Northamptonshire Police here.</p> <p>You can report suspected illegal or harmful information, pictures, or videos you've found on the internet anonymously by referring concerns to the Home Office website here.</p> <p>Act Early is an initiative designed to provide practical help and guidance to the public to prevent radicalisation and extremism by reporting concerns at the earliest opportunity.</p> <p>If you feel that there is an immediate risk of danger or threat to life, call 999.</p>
<u>Female Genital Mutilation (FGM)</u>	FGM involves procedures that include the partial/total removal of the external female genital organs for cultural/other non-therapeutic reasons. The practice is medically unnecessary, extremely painful and has serious health consequences, both at the time when the mutilation is carried out and in later life. The procedure may be carried out when the girl is first born/during childhood/adolescence/just before marriage/during the first pregnancy. FGM constitutes a form of abuse and violence against women and girls. In England and Wales the practice is illegal under the Female Genital Mutilation Act 2003. See further information on the Northamptonshire Police website here.
<u>Forced marriage</u>	Forced marriage is a term used to describe a marriage in which one or both of the parties are married without their consent or against their will. A forced marriage differs from an arranged marriage, in which both parties consent to the assistance of their parents or a third party in identifying a spouse. Forced marriage can be a particular risk for people with learning disabilities and people lacking capacity to consent. If a person does not consent or lacks capacity to consent to marriage, that marriage must be viewed as a forced marriage whatever the reason for the marriage taking place. Capacity to consent can be assessed and tested, but is time and decision-specific. See further information on the Gov.uk website here.

<u>Hate Crime</u>	Hate crime is defined as any crime that is perceived by the victim, or any other person, to be racist/homophobic/transphobic or due to a person's religion/belief/gender identity/disability. This definition is based on the perception of the victim or anyone else and is not reliant on evidence. Such incidents may constitute a criminal offence.
<u>Homelessness and Duty to refer homelessness</u>	The <u>Homelessness Reduction Act 2017</u> places a duty on local housing authorities to intervene at earlier stages to prevent homelessness in their areas, and to provide homelessness services to all those who are eligible. The Act introduced <u>the Homeless code of guidance for local authorities to refer people</u> who they think may be homeless or threatened with homelessness to local authority homelessness/housing options. This duty applies to public authorities who have <u>a duty to refer</u> , and applies to specified public authorities in England where individuals can only be referred to a local housing authority in England.
<u>Honour-based abuse</u>	Honour-based abuse is a crime/incident which may have been committed to protect or defend the perceived 'honour' of the family and/or community. Women are predominantly (but not exclusively) the victims and the violence is often committed with a degree of collusion from family members and/or the community. Many victims are so isolated and controlled that they are unable to contact the police or other organisations. View the CPS honour based abuse and forced marriage protocol here.
<u>Sexual Exploitation</u>	Sexual exploitation involves exploitative situations/contexts/relationships where adults at risk (or a third person or persons) receive 'something' (e.g. food, accommodation, drugs, alcohol, cigarettes, affection, gifts, money) as a result of them performing, and/or others performing on them, sexual activities. It affects men and women. People who are sexually exploited do not always perceive that they are being exploited. Those exploiting the adult have power over them by virtue of their age, gender, physical strength, and economic or other resources. There is a distinct inequality in the relationship.
<u>Sexual and Violent Offenders</u>	Multi-Agency Public Protection Arrangements known as <u>MAPPA</u> is a framework to reduce the risks posed by sexual and violent offenders in order to protect the public, including previous victims, from serious harm.
<u>Stalking and Harassment</u>	Stalking refers to unwanted, persistent, or obsessive attention by an individual or group towards another person causing fear, anxiety, emotional or psychological distress to the victim. Harassment can include repeated attempts to impose unwanted communications and contact upon a victim in a manner which causes fear or distress to the victim. Stalking and harassment behaviours may include nuisance telephone calls, sending excessive emails, regularly sending gifts, following the person, or spying on them and making death threats. The Protection from Harassment Act 1997 makes stalking a specific offence.

2.7 Who might be supporting the adult?

a. Young Carers

A young carer is aged between 5yrs-17yrs, and a young adult carer is between 18yrs-25yrs. They take on responsibility for helping to look after someone (usually a family member) who has a long-term illness or disability. This could include a physical disability, learning disability, a mental health problem, or substance misuse issue.

Northamptonshire Young Carers Service³ will assess a family on an individual basis considering that the impact of the young person's role may differ depending on age and other family circumstances. The Young Carers Service provides 1-1 support, social activities, groups, advocacy, and family support (such as signposting to relevant agencies).

b. Family and friends as carers

Family and friends as carers may be involved in situations which require a safeguarding response. For example, a carer may:

- Witness or speak up about abuse or neglect.
- Experience intentional or unintentional harm from the adult they are trying to support, or from professionals and organisations they are in contact with.

³ Information on Northamptonshire Young Carers Service can be found here.

- Intentionally, or unintentionally, harm or neglect the adult they support on their own or with others.

Assessment of both the carer and the adult they care for must include consideration of the wellbeing of both of them. In these situations the aim of any safeguarding response will be to support the carer to provide support and help to make changes in order to decrease the risk of further harm to the individual they are caring for.

Family and friends as carers are often the mainstay of ensuring that people are protected from abuse and as such they should be supported and aided in this task. Carers could be at risk of abuse themselves due to their caring role. Carers are entitled to an assessment of their needs in their own right, and Northamptonshire Carers⁴ can support with this.

It is important to ensure that family and friends as carers are aware of how to get advice and help when needed, to support them and avoid potential risk of abuse to them or the adult. All carers should have access to information regarding the Northamptonshire Safeguarding Adults Policy and Procedures, so they can recognise and prevent abuse, raise concerns, and seek advice or support where needed.

c. Learning Disability Teams

In North and West Northamptonshire Councils, there are specialist learning disability teams. The teams undertake assessments of people's social care and support needs under the Care Act 2014, to help people living in the community and those living in residential care settings. The teams respond to a wide range of enquiries including safeguarding concerns, offering advice and information, and supporting people to access and navigate other appropriate services, both community and statutory services. The wellbeing principles of the Care Act 2014 underpins the support provided. The teams also provide support to carers and refer for Carers Assessments to be undertaken via Northants Carers.

The type and level of care and support provided will vary and is determined by presenting needs, the outcome of the Care Act assessment based on Care Act eligible needs, and the individual's circumstances. The local authorities are focused on promoting and maximising independence, control, and inclusion for all people with a learning disability, and supporting people to live their best life possible. Access to the following provisions can be supported:

- Work placement
- Supported/paid employment
- Volunteering opportunities
- Access to leisure activities
- New things to learn at college or through adult learning courses
- Access to travel training
- Access to assistive technology as appropriate

3. Information Sharing

The section focuses on the sharing of sensitive or personal information between the local authority and its safeguarding partners (including General Practitioners and health, the police, service providers, housing, regulators, and the Office of the Public Guardian) for safeguarding purposes. This may include information about adults who are at risk, service providers or those who may pose a risk to others. It aims to enable partners to share information appropriately and lawfully in order to improve the speed and quality of safeguarding responses.

Section 45 of The Care Act 'supply of information' duty covers the responsibilities of others to comply with requests for information from Safeguarding Adult Boards.

Sharing information between organisations as part of day-to-day safeguarding practice is already covered in the common law duty of confidentiality, the General Data Protection Regulation (GDPR), the Human Rights Act and the Crime and Disorder Act. The Mental Capacity Act is also relevant as all those coming into contact with adults with care and support needs should be able to assess whether someone has the mental capacity to make a decision concerning risk, safety or sharing information. The Social Care Institute for Excellence (SCIE) has

⁴ Information on Northamptonshire Carers can be found [here](#).

produced an sharing information guide⁵ which summarises key parts of these laws to help increase understanding of the basic principles in relation to safeguarding practice and, in particular, the sharing of safeguarding information.

3.1 Why do we need to share safeguarding information?

Organisations need to share safeguarding information with the right people at the right time to:

- Prevent abuse and harm that may increase the need for care and support, and also prevent death or serious harm.
- Coordinate effective and efficient responses and enable early interventions to prevent the escalation of risk.
- Maintain and improve good practice in safeguarding adults.
- Reveal patterns of abuse that were previously undetected that could identify others at risk of abuse.
- Identify low-level concerns that may reveal people at risk of abuse.
- Help people to access the right kind of support to reduce risk and promote wellbeing.
- Help identify people who may pose a risk to others and, where possible, work to reduce offending behaviour.
- Reduce organisational risk and protect reputation.

3.2 Principles of information sharing

- Adults have a general right to independence, choice and self-determination including control over information about themselves. In the context of adult safeguarding these rights can be overridden in certain circumstances.
- It is always good practice to try to gain the adult's consent to share information.
- Emergency or life-threatening situations may warrant the sharing of relevant information with the relevant emergency services without consent.
- The law does not prevent the sharing of sensitive, personal information within organisations. If the information is confidential, but there is a safeguarding concern, sharing it may be justified.
- The law does not prevent the sharing of sensitive, personal information between organisations where the public interest served outweighs the public interest served by protecting confidentiality – e.g., where a serious crime may be prevented.
- There should be a local agreement or protocol in place setting out the processes and principles for sharing information between organisations. Refer to the NSAB Information Sharing Protocol.
- An individual employee cannot give a personal assurance of confidentiality.
- Frontline staff and volunteers should always report safeguarding concerns in line with their organisation's policy – this is usually to their line manager in the first instance, except in emergency situations.
- As long as it does not increase risk, practitioners should inform the adult if they need to share their information without consent.
- Organisational policies should have clear routes for escalation where a member of staff feels a manager has not responded appropriately to a safeguarding concern.
- All organisations must have a whistleblowing policy.
- The management interests' of an organisation should not override the need to share information to safeguard adults at risk of abuse and neglect.
- All staff, in all partner agencies, should understand the importance of sharing safeguarding information and the potential risks of not sharing it, and when to raise a concern with the local authority.
- The six safeguarding principles should underpin all safeguarding practice, including information-sharing.

⁵ [SCIE Sharing Information Guidance](#)

3.3 Seven Golden Rules to sharing information

Seven Golden Rules to sharing information	
1.	Remember that the General Data Protection Regulation (GDPR), Data Protection Act 2018 and human rights law are not barriers to justified information sharing, but provide a framework to ensure that personal information about living individuals is shared appropriately.
2.	Be open and honest with the individual (and/or their family where appropriate) from the outset about why, what, how and with whom information will, or could be shared, and seek their agreement, unless it is unsafe or inappropriate to do so.
3.	Seek advice from other practitioners, or your information governance lead, if you are in any doubt about sharing the information concerned, without disclosing the identity of the individual where possible.
4.	Where possible, share information with consent, and where possible, respect the wishes of those who do not consent to having their information shared. Under the GDPR and Data Protection Act 2018 you may share information without consent if, in your judgement, there is a lawful basis to do so, such as where safety may be at risk. You will need to base your judgement on the facts of the case. When you are sharing or requesting personal information from someone, be clear of the basis upon which you are doing so. Where you do not have consent, be mindful that an individual might not expect information to be shared.
5.	Consider safety and well-being: base your information sharing decisions on considerations of the safety and well-being of the individual and others who may be affected by their actions.
6.	Necessary, proportionate, relevant, adequate, accurate, timely and secure: ensure that the information you share is necessary for the purpose for which you are sharing it, is shared only with those individuals who need to have it, is accurate and up-to-date, is shared in a timely fashion, and is shared securely (see principles).
7.	Keep a record of your decision and the reasons for it – whether it is to share information or not. If you decide to share, then record what you have shared, with whom and for what purpose.

3.4 Information on the General Data Protection Regulation (GDPR)

The General Data Protection Regulation enables the lawful sharing of information. The Guide to the General Data Protection Regulation (GDPR) explains the provisions of the GDPR to help organisations comply with its requirements. It is for those who have day-to-day responsibility for data protection. The Information Commissioner's Office⁶ provides further information on relevant sections of the GDPR itself, along with other ICO resources and guidance as produced by the EU's Article 29 Working Party.

3.5 Communicating with the adult

Wherever possible, there should be a conversation with the adult at the earliest opportunity to establish their views including whether they see the issue as a cause for concern or not, and what they want to happen, if anything, including any actions they may or may not want to take themselves.

Things to consider:

- Always speak to the adult in a private place where they are likely to feel safe, and inform them about the concerns and accept what the adult is saying without judgement.
- Use open questions e.g. 'tell, explain, describe' to gain an understanding of the situation, the adult's wishes, what actions may need to be taken, including raising a safeguarding concern. Do not ask leading questions or begin to make enquiries inappropriately.
- Don't 'interview' the adult - just gather information to establish the basic facts. This will help when you raise the safeguarding concern or contact the police. Always ask the adult what they would like to happen and if they do not have capacity to consent to a safeguarding concern being made then follow the Best Interest Principles of The Mental Capacity Act⁷.

⁶ The [Information Commissioner's Office \(ICO\)](#) website provides information on GDPR

⁷ [HM Government guidance on the Mental Capacity Act](#).

- Give the adult information about advice, support and different options that may be available to them in an accessible format, and about the safeguarding adults' procedures and how these could help to make them safer, and about responsibilities of people working with adults to share information where there may be concerns of abuse or neglect.
- Consider any advocacy support needs.
- Support the adult to ask questions about issues of confidentiality.
- Never promise the adult that you'll keep what they tell you confidential; explain who you will tell and why.
- If there are grounds to override an adult's consent to share information, explain what these are.
- Explain to the adult how they will be involved and kept informed.
- Provide information and advice on keeping safe and the safeguarding process.
- Explain what will happen next, and how they will be kept informed and supported.
- Keep an accurate record of your conversations, and actions or decisions taken by you and others.

3.6 Balancing individual choice and risk

An adult's right to make choices about their own safety has to be balanced with the rights of others to be safe. Information must only be shared on a 'need to know basis' when it is in the interests of the adult. If it is not possible to have obtained informed consent and other adults are at risk of abuse or neglect, it may be necessary to override the requirement to share information.

The individual/practitioner will have to assess whether providing the information will be necessary and consider the risk of not sharing the information. In these situations the adult must always be:

- Advised about what information will be shared, with whom and the reasons for this.
- Advised that their views and wishes will be respected as far as possible by the local authority or other agencies in relation to any response they may have a duty to make.
- Provided with relevant information regarding what happens when a local authority is advised of a safeguarding concern.

It is not possible, nor arguably desirable, to eliminate risk. Empowerment in safeguarding involves management that is based on understanding the autonomy of the adult and how they view the risks they face. There may be risks the adult welcomes because they enhance their quality of life, risks the adult is prepared to tolerate and risks they want to eliminate.

If the adult has capacity to make an informed decision that they do not want the information to be shared risk, and there is no indication that they may be experiencing undue influence, then the adult's wishes would be respected even if this means that they remain in an abusive situation. The adult should always be given information about how to access services if they change their minds. However, there are circumstances in which an adult's consent may be overridden, and include:

- If the adult is at significant risk of serious harm.
- If there is a risk to others.
- If a criminal offence has taken place.
- Where action is needed in the public interest, such as where a member of staff is in a position of trust.

3.7 Improving communication with colleagues and joint working

Safeguarding Adults Reviews (SARs) frequently highlight failures between safeguarding partners (local authorities, General Practitioners and health, the police, housing, care providers) to communicate and work jointly to support and safeguard adults. Such failures can lead to serious abuse and harm and in some cases, even death. The following steps would help to improve working practice:

- Improved links between public protection forums: Safeguarding Adult Boards, Safeguarding Children Partnerships, multi-agency risk assessment conferences (MARAC), multi-agency public protection arrangements (MAPPA), health and wellbeing boards, and community safety partnerships etc.
- Develop joint approaches to resolve concerns where the individual may not be eligible for social care support, for people who refuse support and those who self-neglect.

- Where appropriate, include partner agencies in enquiries, safeguarding meetings, and investigations.
- Keep the referring agencies informed of progress and outcomes.
- Monitor information-sharing practice.

4. Considering an individual's mental capacity

The Mental Capacity Act 2005 was designed to protect and empower vulnerable people who lack capacity.

- (1) The following principles apply for the purposes of this Act.
- (2) A person must be assumed to have capacity unless it is established that they lack capacity.
- (3) A person is not to be treated as unable to make a decision unless all practicable steps to help him to do so have been taken without success.
- (4) A person is not to be treated as unable to make a decision merely because he makes an unwise decision.
- (5) An act done, or decision made, under this Act for or on behalf of a person who lacks capacity must be done, or made, in his best interests.
- (6) Before the act is done, or the decision is made, regard must be had to whether the purpose for which it is needed can be as effectively achieved in a way that is less restrictive of the person's rights and freedom of action.

Where an adult is unable to make a specific decision for themselves, the Act sets out a clear process that must be followed before a decision can be made on the adult's behalf, and where an adult is found to lack capacity to make a specific decision and maintain their safety, any action taken must be taken in their best interests.

Professionals and other colleagues therefore need to understand and work in-line with the Mental Capacity Act 2005. The local authority should also ensure that all information and advice is accessible and in different formats where necessary.

If the adult lacks capacity to make decisions about the incident and their ability to maintain their safety, and they do not want a safeguarding concern to be raised, and/or other action to be taken, professionals have a duty to act in their best interests in accordance with the Mental Capacity Act 2005.

Adults who are thought to lack capacity to make a specific decision should be provided with all practicable support to enable them to make their own decision before it can be concluded that they lack capacity regarding the decision and a best interests process is entered into. This may be achieved in a variety of ways such as the help of a family member or friend (as long as they are not the individual thought to be the cause of risk), an independent advocate, an interpreter, or other communication assistance or aids.

If there is doubt around the adult's capacity, a formal Mental Capacity Act Assessment should be completed to consider the adult's understanding of the safeguarding concern and their ability to consent to a safeguarding enquiry. Mental Capacity should not be assumed. Where there is evidence that the adult lacks capacity, the Mental Capacity Act Code of Practice should be followed, and an Independent Mental Capacity Act Advocate appointed if the adult has no one else suitable to support them.

In addition, section 68 of the Care Act, Safeguarding Enquiries and Reviews, states:

- (1) This section applies where there is to be—
 - (a) an enquiry under section 42(2),
 - (b) a review under section 44(1) of a case in which condition 2 in section 44(3) is met or a review under section 44(4).
- (2) The relevant local authority must, if the condition in subsection (3) is met, arrange for a person who is independent of the authority (an "independent advocate") to be available to represent and support the adult to whose case the enquiry or review relates for the purpose of facilitating his or her involvement in the enquiry or review; see also subsections (4) and (6).

- (3) The condition is that the local authority considers that, were an independent advocate not to be available, the individual would experience substantial difficulty in doing one or more of the following—
 - (a) understanding relevant information.
 - (b) retaining that information.
 - (c) using or weighing that information as part of the process of being involved.
 - (d) communicating the individual's views, wishes or feelings (whether by talking, using sign language or any other means).
- (4) The duty under subsection (2) does not apply if the local authority is satisfied that there is a person—
 - (a) who would be an appropriate person to represent and support the adult for the purpose of facilitating the adult's involvement, and
 - (b) who is not engaged in providing care or treatment for the adult in a professional capacity or for remuneration.
- (5) For the purposes of subsection (4), a person is not to be regarded as an appropriate person unless –
 - (a) where the adult has capacity to consent to being represented and supported by that person, the adult does so consent, or
 - (b) where the adult lacks capacity so to consent, the local authority is satisfied that being represented and supported by that person would be in the adult's best interests.
- (6) If the enquiry or review needs to begin as a matter of urgency, it may do so even if the authority has not yet been able to comply with the duty under subsection (2) (and the authority continues to be subject to the duty).

5. Raising a Safeguarding Concern

A safeguarding concern is when a person has a reasonable cause to believe that:

- An adult has needs for care and support.
- May be experiencing, or is at risk of abuse or neglect.
- Is unable to protect themselves from that abuse or neglect because of their care and support needs.

If, on the basis of the presenting information available, it appears that these stages are met then a safeguarding concern should always be raised with the local authority. In an emergency, the emergency services should be contacted.

Remember - Whenever there is information which indicates that an adult may be, or is at risk of experiencing abuse, neglect, or exploitation, this should be shared with the local authority even when it is also shared with other agencies that may need to be advised, such as the Care Quality Commission or the Police.

Where possible and safe to do so, the person contacting the local authority with a safeguarding concern should/must have a conversation with the adult regarding their consent, views and wishes.

The exception to this could be if the person contacting the local authority was unable to have a conversation because of concerns that it would have increased the risk for the adult.

Anybody can raise a safeguarding concern for themselves or for another person with their consent. However, adults have a general right to independence and choice, including control over information about themselves. In the context of adult safeguarding these rights can be overridden in certain circumstances, including:

- The adult lacks the mental capacity to make that decision – this must be properly explored and recorded in line with the Mental Capacity Act
- Other people are, or may be, at risk, including children.
- Sharing the information could prevent a crime.
- The alleged abuser has care and support needs and may also be at risk.
- A serious crime has been committed.
- Staff are implicated.
- The adult has the mental capacity to make that decision, but they may be under duress or being coerced.
- The risk is unreasonably high and meets the criteria for a multi-agency Adult Risk Management discussion.
- A court order or other legal authority has requested the information.

5.1 The Decision Making Framework

The Decision Making Framework guidance seeks to provide practitioners with consistent decision making about whether a referral regarding an adult who may be experiencing abuse or neglect may require a safeguarding adults enquiry. The guidance must be read in conjunction with the relevant Northamptonshire Safeguarding Adults Board policies and procedures. The guidance is publicly available to assist provider services, professionals, and other agencies in making appropriate referrals into the Local Authority. You should note the following:

- You may not be the only person who has noticed or experienced the abuse or neglect.
- There could be lots of people who have 'low-level' concerns about the same thing but if you do not pass the information on it cannot be addressed.
- Even if it has not affected you, or someone you know directly, it could be affecting someone else who may not be able, or in a position, to say something about it.
- Abuse and neglect does not just appear from nowhere. Sharing information before something becomes abuse or neglect is really important.

5.2 What if a crime has been committed?

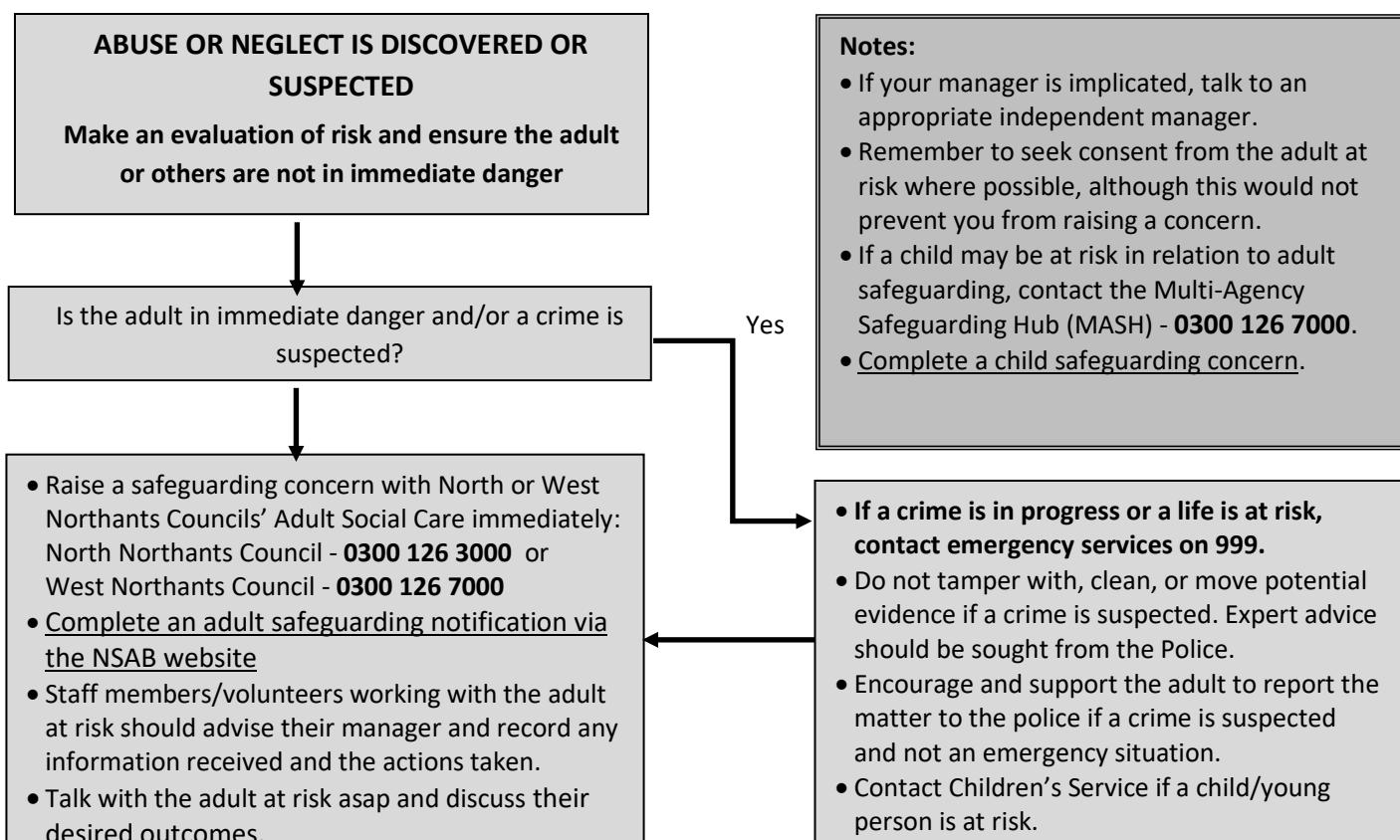
If it is suspected that a crime may have been committed, there should always be a conversation with the adult regarding whether they wish the police to be involved.

If the adult does not want the police to be involved, this does not override a practitioner's responsibility to share information regarding a potential or actual offence with them. Such situations should always be approached sensitively. The adult should be advised that the police will be contacted, and assured that the police will be informed that the adult does not wish to pursue this matter or speak to the police. It is for the police to determine if they feel it is necessary for them to speak to the adult, or if there is further action they may need to take.

5.3 Raising a safeguarding concern – evaluating risk

Having referred to the Decision Making Framework, and you believe an adult may be/or is at risk of experiencing abuse/neglect or exploitation, you should make an evaluation of risk and ensure the adult or others are not in immediate danger. See Diagram 2 below when considering whether or not to submit a safeguarding concern.

Diagram 2: Raising a Safeguarding Concern



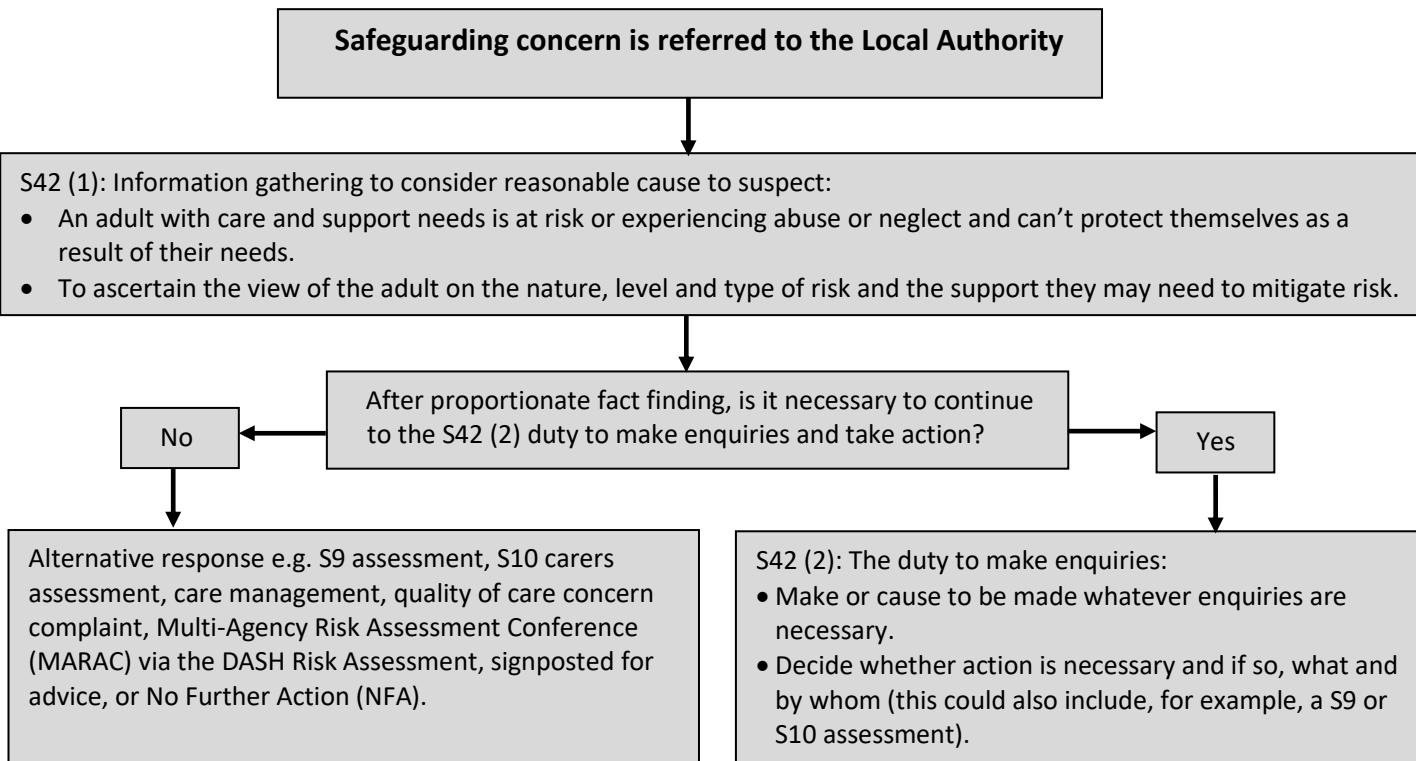
5.4 Reporting an adult safeguarding concern to the local authority

North Northamptonshire Council	Telephone 0300 126 3000, Monday to Thursday between 9:00am to 5:30pm, or Fridays between 9:00am and 5pm. The duty function number is 01604 363200. General enquiries email: SafeguardingNorth@Northnorthants.gov.uk
West Northamptonshire Council	Telephone 0300 126 7000, Monday to Friday between 9:00am to 5:30pm. The duty function contact number is 01604 362900. General enquiries email: SafeguardingWest.NCC@westnorthants.gov.uk
Out of hours Emergency Duty Team for North and West Northants Councils	Telephone 01604 626938
In an emergency, contact the emergency services directly by calling 999	
<u>You can also submit an online safeguarding concern to North and West Northamptonshire Councils by reporting a concern via the NSAB website</u>	

6. Receiving Safeguarding Concerns and Undertaking Enquiries

This section outlines the framework which should be followed when responding to safeguarding concerns and undertaking enquiries. It sets out the expectations, roles and responsibilities of agencies and organisations and practice of staff and managers involved in safeguarding work. See the Safeguarding Concern Pathway below:

Diagram 3 – Safeguarding Concern Referred to the Local Authority – S42 (1) and S42 (2)



6.1 Responding to safeguarding concerns

When the local authority receives a safeguarding concern it will initially check if any action is required to address immediate risks, for example, by contacting emergency services if there is an imminent serious or life threatening risk to the adult or others.

a. Care and support needs

The decision to carry out a safeguarding enquiry does not depend on the adult's eligibility to receive local authority services, and the duty extends to someone who is self-funding their care. There is no legal definition of care and support needs, each case needs to be dealt with and considered on its own set of facts. Care and support could be the mixture of practical, financial, and emotional support for adults who need extra help to manage their lives and be independent, for example accommodation in a care home, care and support in the community, health, or social care professional support.

Where the adult does not meet the criteria as outlined in Section 42 (s42) of the Care Act, the local authority is not required by law to carry out a safeguarding enquiry. However, the local authority may do so at its own discretion if they believe it is proportionate to do so, and it will promote the adult's wellbeing and support a preventative agenda. Situations in which the local authority may decide to use its discretionary power to undertake a safeguarding enquiry could include:

- Where a concern is raised which does not trigger a response under Section 42, but the significant level of risk warrants a response under safeguarding procedures.
- When an adult dies and there is suspicion, or it is known, that they suffered from recent abuse or neglect or that it was a contributory factor in their death the agencies with immediate primary responsibility are the police and coroner. Coroners are independent judicial officers who are responsible for investigating violent, unnatural, or unexplained deaths. The police response will depend on whether criminal offences are suspected and on other factors such as whether anyone else is at immediate risk of harm.
- Where an adult is already subject to s42 enquiries and subsequently dies, no new enquiries should be opened, and the usual processes to complete and close the open enquiry should be followed. Where the death appears to be related to the original s42 enquiry, outcomes may include:
 - Referral for an internal audit
 - Referral for an external partner Serious Incident process
 - Escalation to Service Manager for consideration of SAR

If the local authority considers that the duty is not triggered to undertake an enquiry, the person making this decision must record their decision making as to why there was not reasonable cause to suspect that the statutory criteria for decision-making i.e. the duty to make enquiries is not met. The local authority will consider any other appropriate actions to support the adult, for example the provision of preventative services, providing advice and support or carrying out an assessment of need.

b. Safeguarding enquiries

A section 42 safeguarding enquiry⁸ is any action taken or instigated by the local authority in response to a concern that abuse or neglect may be taking place.

The purpose of the safeguarding enquiry is to establish with the adult and/or their representative(s) what action, if any, is required in relation to the concern and who should take such action. The first priority should always be to ensure the safety and well-being of the adult. However this should be carefully balanced with the adult's views and wishes and any risks to others. The adult should experience the safeguarding process as empowering and supportive.

⁸ Section 42 Care Act

The specific objectives of an enquiry into abuse or neglect are to, where possible:

- Establish facts.
- Ascertain the adult's views, wishes and desired outcomes.
- Protect the adult from abuse or neglect, in accordance with their wishes.
- Assess the needs of the adult for protection, support, and redress, and how these might be met.
- Make decisions as to what action should be taken with regard to the individual or organisation thought to be the cause of risk.
- Enable the adult to achieve resolution and recovery.

It may transpire it was reasonably suspected the concern regarding the adult met the statutory criteria for decision-making, but after closer examination as part of the enquiry, they do not. In these instances, the enquiry can be concluded.

c. Enquiry timescales

Where there is risk of abuse or neglect, prompt action must be taken to ensure an effective response to the concern(s). The principle of 'no delay' emphasises that enquiries must be conducted in a timely way, and one which is proportionate to the presenting level of risk.

The safeguarding s42 enquiry seeks to work to the identified timescales above, however, in practice, the timescales may not be adhered to due to the personal circumstance of the adult. For example, they may have been admitted to hospital or further safeguarding concerns may have been identified, which may extended the timescale but offer a more comprehensive and person centred approach.

At the outset, the person coordinating the enquiry should determine what timescales are necessary to respond to the concern(s) taking into account the adult's personal circumstances and the findings which may result in a more protracted timescale.

The following must always be in place:

- Clear systems for monitoring and reviewing the progress of enquiry actions to avoid undue delays. This is including where enquires are made by other organisations.
- Clear recording of the reasons for decisions regarding the timescales for enquiry and, if they need to be reviewed, the reasons for this, the adult's views and agreements regarding this, and the measures in place to ensure the timescales will be achieved.
- Availability of resources is not seen as an acceptable reason for delay where an adult is, or may be, experiencing abuse or neglect. There must also be clear and agreed local multi-agency escalation processes in place to address any delays should these occur.

d. Roles and responsibilities

The local authority has the lead co-ordinating role for safeguarding enquiries.

The local authority is responsible for:

- Ensuring that the enquiry is undertaken.
- Ensuring the enquiry meets required standards.
- Ensuring that any actions arising from the enquiry are completed.

At the point where a safeguarding enquiry is started, the local authority will appoint an appropriate safeguarding officer whose overall role is to have responsibility for coordinating responses and decision making, and to ensure that enquiry actions are undertaken in accordance with Care Act duties and statutory guidance.

In order to address the safeguarding concern(s) and ongoing risks, an enquiry may require actions to be undertaken by a number of different individuals, practitioners, and organisations. It is important that this is co-ordinated as effectively as possible, whilst maintaining a focus on the adult and the outcomes they want to achieve.

e. Enquiry Supervision

Skilled and knowledgeable supervision focused on outcomes for adults is critical in adult safeguarding. Managers have a central role in ensuring high standards of practice and that practitioners are properly equipped and supported. Local authorities will ensure arrangements are in place to ensure effective and regular practice supervision of the safeguarding officer, and to ensure that the enquiry meets legal duties and practice standards.

f. Responsibilities of other organisations and agencies

The Care Act recognises that safeguarding adults requires multi-agency responsibility and emphasises the need for co-operation and partnership work. If there is a suspected crime then the police lead on all criminal investigations. Health related concerns should involve organisations such as the relevant Integrated Care and/or Health Trust. Organisations and agencies are required to respond to safeguarding concerns, and undertake enquiries when these are requested by the local authority.

g. Inter-authority safeguarding arrangements

When a safeguarding concern is raised for an adult who is temporarily in a local authority area where they are not ordinarily resident or for an adult who has been placed in residential or nursing care in another local authority area, the host authority (i.e. the area where the abuse or neglect occurred) will take the lead in terms of responding to the safeguarding concern, using their local safeguarding adult procedures. The placing authority/Integrated Care Board should be involved in, and contribute to, any enquiry undertaken. In certain situations, discussions will need to take place between the host and placing authorities as to who is best placed to take the lead in responding to the concern and coordinate any enquiry. Refer to the [Local Government Association – Local government out of area placements guidance](#).

Where a safeguarding enquiry is being undertaken by a local authority and the adult moves to reside in another local authority then the local authority who is undertaking the enquiry will ensure contact is made with the new local authority to pass on any information as required, and agree roles and responsibilities in concluding the enquiry.

6.2 Six stages to a safeguarding enquiry

There are six stages to a safeguarding enquiry and each stage involves a number of actions and activities:

Stage one	Initial concern
Stage two	Notification
Stage three	Decision making
Stage four	S42 Enquiry
Stage five	Ongoing protection planning and review
Stage six	Ending a safeguarding enquiry

During these stages, there are a number of key considerations:

- Supporting and enabling the adult where possible, to achieve outcomes that they see as the best for them.
- The need for the adult at risk to be represented and supported by an appropriate individual, including a family member, friend, advocate, or Independent Mental Capacity Act (IMCA).
- Assessing and addressing risk.
- Taking action to protect and support the adult.
- Deciding whether a mental capacity assessment is needed to clarify issues of consent and/or decision-making.
- Taking appropriate action for the individual causing harm.

- Taking appropriate action with a service and/or its management if they have been culpable, ineffective, or negligent.
- Identifying any lessons to be learnt for the future, including recommendations for any changes to the organisation and service delivery.

At each stage, consideration should be given to whether the Safeguarding Adults Enquiry continues to be appropriate. This is a multi-agency decision (coordinated by a local authority Safeguarding Adults Manager). And is primarily based on whether it is felt that risks are being managed as far as they possibly can be and whether the adult's desired outcomes have been met as far as is possible.

The local authority Safeguarding Adults Manager/Officer referred to throughout this process can be any Adult Social Care Team Manager, Principal Social Worker or Care Manager, or Safeguarding Adults Manager from the Safeguarding Adults Team.

Stage 1 Initial Concern	Activity	Responsibility	Suggested Timescale	Documentation
Consider if a safeguarding notification needs to be made to the local authority.	<ul style="list-style-type: none"> Act to protect the adult. Deal with immediate needs. Consider reporting to police if a crime. Notify line manager or your agency's safeguarding adults lead. Record concern/incident and action taken. 	• Everyone	• Within one working day	• Written record made of concern.
Where concerns are not shared on a multi-agency basis under safeguarding adult arrangements the initial enquiry suggests no harm or abuse occurred, OR There is no consent from the adult or grounds to override this. The concern/incident and any actions taken to reduce risk are recorded by the agency.	<ul style="list-style-type: none"> Take any further action to identify and address risk. Speak to the adult or their representative about their desired outcomes. Seek consent/override consent to share concerns on a multi-agency basis. Consider the adults mental capacity in relation to making decisions about their safety. Consider other reporting duties e.g. Serious Incident in NHS; CQC, Quality, Commissioners. Decide if the concern needs to be shared with the local authority. Complete online safeguarding adult notification Form. Safeguarding concerns are reported to the local authority area in which the abuse occurred. For concerns that have happened in another local authority area please contact that local authority for advice. 	<ul style="list-style-type: none"> Line Manager. Referring agency's Safeguarding Adults lead. Other professional/ member of staff if appropriate. Member of the public including family member, friend etc. 	Within one working day	<ul style="list-style-type: none"> Individual agency recording form (if decision is made not to refer to local authority (LA)). Local safeguarding adults notification form if decision is made to refer to local multi-agency safeguarding arrangements. Other reporting forms such as CQC, Serious Incident (SI) etc. as required.

Stage 2 Notification	Activity	Responsibility	Suggested Timescale	Documentation
Safeguarding Notification is received by the local authority under Section 42 (1).	<ul style="list-style-type: none"> Information is gathered from relevant agencies to formally identify risks and actions in place to manage these under Section 42 (1). Assess the robustness of any risk management plan currently in place. Consider if there is a need for a formal Section 42 (2) enquiry. Consider if there is a need for a police referral. Continued liaison with adult and/or their representative. 	• Safeguarding Adults Team or the Duty Hubs	• Decision is made to continue to safeguarding enquiry within same day.	<ul style="list-style-type: none"> Safeguarding notification commenced on local authority's (LA's) case recording system and reassigned to relevant team if decision is made that a notification is required. A letter/email confirming the outcome will be sent to the referrer.
<p>Section 42 (1) ends if the initial enquiry provides assurance that risks are being managed and the adult's desired outcomes have been met as far as possible.</p> <p>Safeguarding Adults Plan and outcomes completed. Go to Stage 5 of the process.</p>				

Stage 3 Decision Making	Activity	Responsibility	Suggested Timescales	Documentation
Safeguarding Notification is sent to relevant team if Section 42 (2) is met.	<ul style="list-style-type: none"> More detailed information gathering from relevant parties to formally identify risks and actions taken to reduce these. Assess the robustness of the risk plan if one is in place. Decide whether there is a formal investigative role/need. Continued liaison with adult and/or their representative. Is there a need for advocacy referral for any parties? Are police involved? If so, agree parameters of safeguarding involvement with the police. 	<ul style="list-style-type: none"> Local authority assigned safeguarding officer. Relevant agencies involved with the adult -this could include the police, advocacy services, providers of care and support, and health colleagues. 	• Within 1 working days of receipt of notification.	<ul style="list-style-type: none"> Safeguarding adult notification form is completed on the LA's case recording system with decision.
<p>The safeguarding enquiry ends if after further enquiries the risk has been reduced and the adult's wishes have been met as far as possible or the adult withdraws their support (only when no other adult may be at risk of harm). Go to Stage 6 of the process.</p>				

Stage 4 S42 Enquiry	Action	Responsibility	Suggested Timescales	Documentation
<p>Section 42 enquiry commences.</p> <p>If criteria are met then the enquiry and decision regarding what action to take (including taking no action) will follow under the Section 42 (2) duty to make enquiries described in the Care Act 2014.</p> <p>The objectives of an enquiry into abuse or neglect are to:</p> <ul style="list-style-type: none"> • Establish facts. • Ascertain the adult's views and wishes. • Assess the needs of the adult for protection, support, and redress, and how these might be met. • Protection from abuse and neglect. • In accordance with the adult's wishes, make decisions as to what follow-up action should be taken with regards the adult/ organisation responsible for the abuse or neglect. • Enable the adult to achieve resolution and recovery. 	<ul style="list-style-type: none"> • Strategy discussion or formal strategy meeting. • Capacity and consent considered - carry out capacity assessment if required; identify the wishes of the adult and/or their representative • Best interest decision making if necessary. • Re-evaluate risk. • Safeguarding Plan agreed and implemented. Safeguarding planning should occur as an intrinsic part of the safeguarding enquiry and should be included in the enquiry report. If risks remain then consider holding a Case Conference. • Liaise with adult and/or their representative. • Collate evidence to enable decision making on the balance of probabilities. • Review safeguarding plan to ensure it manages all the risks. • Local authority safeguarding officer - discuss the outcome of the enquiry with the relevant parties including the provider organisation subject to the enquiry and the adult and/or their representative. • Enquiry report completed and sent to local authority (if provider led enquiry) for authorisation. • Enquiry report completed and sent to line manager (if local authority led enquiry) for authorisation. 	<ul style="list-style-type: none"> • Allocated safeguarding officer within local authority. • Allocated safeguarding officer within the provider organisation if they have been tasked with carrying out Section 42 enquiry. 	<ul style="list-style-type: none"> • For provider organisations, within 28 days of the Section 42 being requested. Extensions to the timeframe may be requested from the LA's Safeguarding Adults Team. • For LA led safeguarding enquiries, the aim is to complete at the earliest opportunity and can be extended up to 60 days if the enquiry is complex and involves multiple agencies. • The LAs have up to 60 days to review all enquiries to ensure they meet the outcomes of the enquiry. • Where the provider has not requested an extension and there are professional disputes, the NSAB escalation policy will be invoked. 	<ul style="list-style-type: none"> • Safeguarding meeting minutes where one has been held. • Safeguarding Adult Internal Report on LA's case recording system. • Referral outcome form on LA's case recording system. • Safeguarding forms: <ul style="list-style-type: none"> ○ SA2 to be completed by provider organisation tasked with carrying out Section 42 enquiry and sent to Safeguarding Adults Team. • Upon receipt of the Safeguarding Adult reports from Provider Led Enquiries, the following actions should be taken by the Safeguarding Adults Team: <ul style="list-style-type: none"> ○ Provider Enquiry Form - completed on LA's case recording system by authorising manager and original forms saved on client's record. ○ Safeguarding Plan if required, completed on LA's case recording system. If the Provider Enquiry requires a plan this should be documented for review.

Stage 5 Ongoing Protection Planning and Review	Action	Responsibility	Timeframe	Documentation
If, following completion of the Section 42 enquiry, there are risks that remain then consideration should be given to how these can be managed	<ul style="list-style-type: none"> Case conference held to discuss the safeguarding enquiry and ongoing risks and agrees how risks are to be managed and reviewed e.g. setting up of a core group of agencies and individuals responsible. Safeguarding plan evaluated and reviewed. Continued liaison with adult and/or their representative. 	<ul style="list-style-type: none"> Coordinated by Local Authority Allocated Safeguarding Officer and their manager. Relevant partner agency including Care Quality Commission, Quality Team, ICB etc. 	<ul style="list-style-type: none"> Within 1 month of completion of safeguarding enquiry. 	<ul style="list-style-type: none"> Case conference meeting minutes. Safeguarding Plan.
Safeguarding Enquiry ends here if there is assurance that risks are managed and the adult's desired outcomes are met as far as possible. Safeguarding Adults Plan and Outcomes are recorded. If there are on-going risks then a decision will need to be made as to how these will be managed and reviewed. If the safeguarding officer and others involved in the enquiry a core group are managing risk please note that they cannot end the safeguarding process but must convene a formal case conference and produce evidence that all risks are removed/reduced.				

Stage 6 Ending a Safeguarding Enquiry	Action	Responsibility	Timescale	Documentation
Ending a safeguarding enquiry	<ul style="list-style-type: none"> Ensure the agreed safeguarding plan is known to and agreed by all relevant agencies including the adult and/or their representative. Discuss outcomes and closure of safeguarding involvement with the adult and/or their representative. Consider any lessons learnt and disseminate the learning through discussion with line manager and subsequent actions. Complete all safeguarding documentation and ensure sign off/authorisation. 	<ul style="list-style-type: none"> Local authority Safeguarding Adults Officer/manager. Relevant partner organisations. 	<ul style="list-style-type: none"> At any point in the safeguarding adults process 	<ul style="list-style-type: none"> Each stage of the process must have the necessary documentation completed as previously described. A letter/email confirming the outcome will be shared with the relevant parties.

6.3 Undertaking a safeguarding enquiry

When the local authority undertakes a safeguarding enquiry, it is important that the next steps are effectively planned and coordinated.

The purpose of planning the enquiry is to agree upon an action plan which clarifies the main focus of the enquiry, who should carry out specific actions, and within what timescales. Consideration must be given to the most proportionate and least intrusive response informed by the wishes of the adult and professional judgements about risks.

Planning should always consider a range of options. Action may be primarily supportive or therapeutic, or it may involve the application of civil orders, sanctions, regulatory activity, criminal prosecution, disciplinary action, or de-registration from a professional body. Planning can include consideration of any modifications that may be required to services the adult is receiving, for example, making amendments to existing home care arrangements, such as a change of care worker or agency. Planning should also take into account any contingency arrangements required to respond effectively should the situation change or risks escalate.

A decision will need to be made as to whether a formal planning meeting is required or whether a discussion, for example by telephone, will suffice. Planning should be seen as an ongoing process rather than a single event, and can be undertaken as a series of conversations or meetings with relevant people and agencies. In some cases the complexity of the situation will require a formal multi-agency meeting to be held.

6.4 Interface with other investigations and reviews

It may be necessary to consider whether the safeguarding enquiry meets the criteria for other investigations and reviews. Investigations that may need to be co-ordinated with a safeguarding enquiry could include:

Child Safeguarding Practice Reviews	Chapter 5 of the Working Together 2023 outlines the purpose of Child Safeguarding Practice Reviews (CSPR). CSPRs review serious child safeguarding cases, at local and national level, to identify improvements to be made to safeguard and promote the welfare of children. Learning is relevant locally, and has wider importance for all practitioners working with children and families, and for the government and policy-makers. Understanding whether there are systemic issues, and whether policy and practice need to change is critical to the system being dynamic and self-improving. CSPRs should seek to prevent/reduce the risk of recurrence of similar incidents. Like SARs, they do not hold individuals, organisations, or agencies to account, as there are other processes for that purpose, including employment law and disciplinary procedures, professional regulation and, in exceptional cases, criminal proceedings. These processes may be carried out alongside CSPRs or at a later stage. Working Together 2023 can be found via this link.
Coroner Investigations	Coroners investigate deaths that have been reported to them if it appears that: the death was violent/unnatural; the cause of death is unknown, or the adult died in prison, police custody, or another type of state detention. In these cases coroners must investigate, for the benefit of bereaved people and for official records, who has died, how, when, and where they died. If it's not been possible to find out the cause of death from a post-mortem examination, or the death is found to be unnatural, the coroner has to hold an inquest. An inquest is a public court hearing held by the coroner to establish the circumstances of the death. The coroner also makes findings to allow the cause of death to be registered, such as accident/misadventure/ natural causes/unlawful killing/suicide/or an open verdict. The coroner/jury may make a brief narrative conclusion setting out the facts surrounding the death explaining the reasons for the decision. Further information can be found here in the Coroner Investigations – A short guide.

Criminal Investigations	Criminal investigations may run concurrently with the safeguarding enquiries, SARs, CSPRs etc.
Domestic Homicide Reviews	<p>Section 9 (3) of the Domestic Violence, Crime and Victims Act 2004 (the 2004 Act) 1 states: (1) In this section “domestic homicide review” means a review of the circumstances in which the death of a person aged 16 or over has, or appears to have, resulted from violence, abuse or neglect by - (a) a person to whom he was related or with whom he was or had been in an intimate personal relationship, or (b) a member of the same household as himself, held with a view to identifying the lessons to be learnt from the death.</p> <p>In Northamptonshire, the Community Safety Partnerships (CSPs) are responsible for managing Domestic Homicide Reviews (DHRs). Further information for local Domestic Homicide Reviews can be found for the two local authorities below:</p> <p>For North Northants Council please access information here.</p> <p>For a list of the published DHRs in West Northants Council access the information here.</p> <p>For further information on DHRs, see the Multi-Agency Statutory Guidance for the Conduct of Domestic Homicide Reviews.</p>
Learning Disabilities Mortality Review (LeDeR) Programme	<p>The LeDeR programme was established to support local areas to review the deaths of people with learning disabilities, and to use the lessons learned to make improvements to service provision. All deaths for those aged 4 years and over may have an initial review, regardless of whether the death was expected or not. The NHS England LeDeR - Learning from Lives and Deaths provides further information here.</p> <p>For more about the Northamptonshire Integrated Care Partnership LeDeR commissioning and strategy here.</p>
Independent Investigation Reports	<p>NHS England is responsible for commissioning independent investigations into mental health homicides) that are committed by patients being treated for mental illness. Independent Investigation Reports are undertaken under the NHS England Serious Incident Framework.</p>
Multi-agency Public Protection Arrangements (MAPPA) Serious Case Reviews	<p>Under the Criminal Justice Act 2003, Multi-Agency Public Protection Arrangements (MAPPA) are established in England and Wales. MAPPA is the process through which agencies such as the Police, the Prison Service and Probation work together to protect the public by managing the risks posed by violent and sexual offenders living in the community. If an offender subject to MAPPA commits a Serious Further Offence, a MAPPA Serious Case Review should be undertaken to examine whether the MAPPA arrangements were effectively applied and whether agencies worked together to do all they reasonably could to effectively manage the risk of further offending in the community. Further information can be found here in the MAPPA Guidance 2021.</p>
Safeguarding Adults Reviews	<p>Safeguarding Adult Boards have a duty to undertake Safeguarding Adults Reviews under section 44 of the Care Act. A Safeguarding Adults Review (SAR) is considered when an adult dies as a result of abuse or neglect, whether known or suspected, and there is concern that partner agencies could have worked more effectively to protect the adult, or if an adult is still alive but has experienced serious neglect or abuse and there is concern that partner agencies could have worked more effectively to protect the adult.</p> <p>For further information please refer to the Northamptonshire Safeguarding Adults Review Protocol here.</p>

<p>Patient Safety Incident Response Framework</p>	<p>As outlined in the NHS patient safety strategy, in August 2022, the NHS published the new Patient Safety Incident Response Framework (PSIRF) to replace the Serious Incident Framework. The PSIRF represents a significant shift in the way the NHS responds to patient safety incidents and is a key part of the NHS patient safety strategy. The PSIRF supports the development and maintenance of an effective patient safety incident response system that integrates four key aims:</p> <ol style="list-style-type: none"> 1. Compassionate engagement and involvement of those affected by patient safety incidents 2. Application of a range of system-based approaches to learning from patient safety incidents 3. Considered and proportionate responses to patient safety incidents 4. Supportive oversight focused on strengthening response system functioning and improvement <p>For further details please refer to the NHS Patient Safety Incident Response Framework via the NHS England website here.</p>
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6.5 Assessing and managing risks

The assessment and management of risk is an integral part of adult safeguarding. It should be dynamic and ongoing throughout the safeguarding enquiry and reviewed so that adjustments can be made in response to changes in the level and nature of risk. Practitioners from all agencies should adopt a flexible and solution-focussed approach to mitigating risk.

Risk is often thought of in terms of danger, loss, threat, damage, or injury. However, in addition to the potentially negative characteristics, risk taking can have positive benefits for individual and their communities. As well as considering the potential harms associated with risk, the potential benefits of risk should also be identified.

Some people will need more support than others to make choices in relation to managing risks. It's important that the individual is made aware of the risks and that they are clearly understood. This is crucial to empowering and safeguarding adults and in recognising people as 'experts in their own lives'. Where an adult lacks capacity to make decisions about managing risks themselves, then the range of options identified should be discussed with the adult's representative or advocate to enable the adult to stay in control of their life, as far as possible.

Risk assessments should encourage and support people in positive risk taking, and consider the following points:

- What steps are necessary to address immediate risks to the adult and others.
- The outcomes desired by the adult, or if the adult lacks capacity outcomes that reflect the best interests of the adult.
- Working in partnership with adults and their support networks, and recognising different perspectives and views on risk.
- Making decisions based on all the choices available and accurate information.
- Understanding an adult's strengths and finding creative ways for people to be able to do things rather than ruling them out.
- Learning from what has or has not worked in the past. Ensuring that services promote independence, not dependence.

Cases involving a high level of significant risk often require a multi-agency approach to sharing the responsibility for assessing and managing risk. Effective risk management is underpinned by clear and timely information sharing within and across organisations. Multi-agency risk management plans should be proportionate and focussed on preventing, reducing, or eliminating the future risk of harm to the adult and/or others.

6.6 Safeguarding and other meetings

Safeguarding meetings may be the best way to ensure effective co-ordination of different aspects of an enquiry that relate directly to the adult or decisions that affect them.

There are circumstances when a meeting should be considered such as:

- Responding to self-neglect and conducting the Adult Risk Management (ARM) process.
- Risk sharing and safety planning. Co-ordinating the response to safeguarding and other concerns and the quality of care provision.
- Co-ordinating criminal investigations and safeguarding enquiries.
- Reviewing outcomes and agreeing a safeguarding plan. Managing multiple safeguarding enquiries such as for organisational abuse.

6.7 Recording safeguarding meetings

The notes of meetings are a reflection of key points, decisions, and actions rather than a verbatim account. Notes of the meeting will be provided to all attendees with the opportunity to provide comments following the meeting. Once the minutes have been distributed and agreed by all parties. Safeguarding Adult meetings may be recorded when hosted on Microsoft Teams.

6.8 The local authority causing others to make enquiries

The local authority has the lead co-ordinating role for all safeguarding enquiries but can cause enquiries to be made by another organisation or agency. Causing an enquiry to be made is distinct from requesting actions from another organisation as part of an enquiry being carried out by the local authority.

The specific circumstances will determine the most appropriate person to undertake the enquiry. This may be a professional who has already built up a relationship with the adult. In other situations the circumstances of the concern may require a professional with particular skills and knowledge, for example a health professional may be best placed to carry out an enquiry which needs to consider health elements, such as treatment plans relating to medication management or pressure damage.

The Safeguarding Adults Team will instruct the provider undertaking the Section 42 enquiry usually in writing and may include:

- The nature, scope, and purpose of the enquiry that the agency or organisation is being asked to undertake.
- The adult's outcomes should be identified, if not already known by the Provider instructed to carry out the enquiry.
- How the adult will be advised of progress of the enquiry and who will be lead in communicating with the adult.
- The timescale for the enquiry.

The local authority could request a number of different organisations to make enquiries depending on the nature of the safeguarding concerns and if there is more than one adult affected by these.

The local authority retains accountability and oversight of the enquiry and outcomes – it cannot delegate its lead co-ordinating duty of enquiry to another organisation or agency.

Organisations and agencies asked to make enquiries by the local authority have a responsibility to:

- Take actions forward in a timely way.
- Feedback updates regarding progress.
- Feedback the outcome of their actions and enquiries to the adult. For allegations where the alleged PiPoT works for a partner organisation and after the agency's internal investigation you believe the PiPoT poses a wider risk to others, then you should notify the relevant Safeguarding Adults Team accordingly.

Once the enquiry is completed, the agency or organisation must return the required enquiry documentation to the Safeguarding Adults Team, within the agreed timescales. The Safeguarding Adults Team should then:

- Confirm that the agreed plan for the enquiry has been completed.
- Decide and record if they are satisfied that the information provided by the organisation who has undertaken the enquiry is sufficient to conclude the enquiry and all risks are addressed and if not what actions are required.
- Record the reasons for deciding that the enquiry can be concluded.
- Send a letter to confirm the enquiry has been completed.

If the Safeguarding Adults Team considers that the process and/or outcome of the enquiry undertaken by another agency or organisation is unsatisfactory, they may ask for additional actions to be carried out or allocate the Section 42 enquiry to be completed by a safeguarding officer from the local authority.

Diagram 4: Causing Others to Undertake Section 42 Safeguarding Enquiries



6.9 Safeguarding where there is a health/clinical concern

Where concerns about clinical/medical/nursing care have been raised, the local authority must discuss with the Integrated Care Board's Safeguarding team to decide who is best placed with the right clinical expertise and knowledge to make enquiries, and where advice can be sought.

When a safeguarding concern is raised to the local authority which involves a health care setting or a health care professional, the local authority co-ordinating the safeguarding enquiry **must** share the information about the concern, professional involved and enquiry to the Integrated Care Board. Integrated Care Board are the commissioners of NHS services including NHS Trusts.

Other circumstances in which the Integrated Care Board should be informed by the local authority of the concern as soon as possible, include:

- Concerns raised regarding an NHS provider which involves more than one adult.
- Concerns regarding any provider of health care services where organisational abuse is suspected.
- Concerns involving a member of the Integrated Care Board or Primary Care staff.
- Concerns regarding a healthcare provider or health care professional where there is police involvement.

In the case of concerns about care home, nursing homes and home care providers the Integrated Care Board **must** be notified and advice sought on the clinical aspects of concerns. The Integrated Care Board will offer clinical advice and scrutiny throughout the process, including at the initial stages of decision making.

See locally agreed pathways for accessing advice and expertise into safeguarding enquiries regarding healthcare settings or health care professionals.

6.10 Involving an adult in a safeguarding enquiry

The adult should always be involved from the beginning of the enquiry, unless there are exceptional circumstances that would increase the risk of abuse or harm. The right to safety has to be balanced with other rights: such as rights to liberty and autonomy, and the right to family life.

The local authority must ensure that any restriction on the adult's freedom or rights under the Human Rights Act 1998 is kept to the minimum necessary and is proportionate to the risk of harm. Any restrictions should be carefully considered and frequently reviewed.

b. Duty to arrange Independent Advocacy

Local authorities must involve people in decisions made about them and their care and support. No matter how complex the adult's needs, local authorities are required to help them express their wishes and feelings, support them in weighing up their options and assist them in making their own decisions.

Section 68 of the Care Act 2014 requires that a local authority must arrange, where appropriate, for an independent advocate to represent and support an adult who is the subject of a safeguarding enquiry or Safeguarding Adult Review (SAR). This should take place where any adult has 'substantial difficulty' in being involved in the safeguarding enquiry and where there is no other appropriate individual to support them. This should be kept under review throughout the enquiry.

The Care Act defines four areas where people may experience substantial difficulty. These are:

- Understanding relevant information.
- Retaining information.
- Using or weighing up information.
- Communicating views, wishes and feelings.

A family member or friend can advocate on behalf of the adult, if appropriate, but they cannot be:

- Already providing care or treatment to the adult in a professional capacity or on a paid basis.
- Someone the adult does not want to support them.
- Unavailable to adequately support the adult.
- Someone implicated in an enquiry into abuse or neglect, or who has been found by a Safeguarding Adults Review (SAR) to have failed to prevent abuse or neglect.

The role of an 'appropriate individual' under the Care Act is different from that of an individual with whom it is 'appropriate to consult' under the Mental Capacity Act. Under the Care Act, the appropriate individual's role is to facilitate the adult's involvement, not solely to consult them and make decisions on their behalf.

You can find further information on advocacy and the current provider on [West Northants Council's website](#) and [North Northants Council's website](#).

6.11 Identifying outcomes

Conversations should happen with the person at the earliest opportunity, enabling and supporting them to identify achievable outcomes so that their views, wishes, feelings and beliefs are central in decisions about how to proceed. Making Safeguarding Personal (MSP) is about talking about the adult's options and what they want to do about their situation. Asking questions such as "What do you want to happen?" "What is important to you?" "Is there anything that you do not want to happen?", is a helpful starting point, and is likely to result in more in-depth engagement at an early stage.

People cannot make decisions about their lives unless they know what the options are and what the implications of those options might be. MSP needs to be applied throughout every stage of an enquiry, and practitioners need to ensure that:

- Advice about advocacy is provided at the very start of an enquiry and arrangements made for independent representation and support, if required, as soon as possible.
- The adult and/or their advocate are fully involved from the outset.
- The pace and location of meetings are guided by the adult's needs and circumstances.
- Accessible information and advice is readily available.
- The adult and their advocate are made aware of a range of possible options/outcomes from an enquiry.
- Support is provided to help the adult make decisions where appropriate.

Engaging with adults in this way can give them a sense of control and raise their self-esteem so that they are able to rebuild their personal resilience and safeguard themselves in future.

Whilst most people do want to be safer, other outcomes may be as, or more important, such as maintaining relationships. An adult's right to safety has to be balanced with other rights such as the right to liberty and autonomy, and rights to family life. Any intervention in family or personal relationships needs to be carefully considered, since the dynamics of these relationships can be complex e.g., an adult may choose to be in a relationship that causes them harm and emotional distress, which outweighs for them the unhappiness of not maintaining the relationship.

An adult experiencing abuse or neglect may have difficult decisions to make and as such may need time to consider the risks involved and outcomes they want. Making risks and options clear and understandable is crucial to empowering and safeguarding adults and in recognising people as 'experts in their own lives'.

Some people may be unclear as to what they would like to happen, and timely and skilled intervention may be required to help them express their views and wishes.

Other people may want outcomes which are not possible to achieve. Open and honest discussions about why certain actions may not be achievable can help the adult to re-evaluate their views and consider other options.

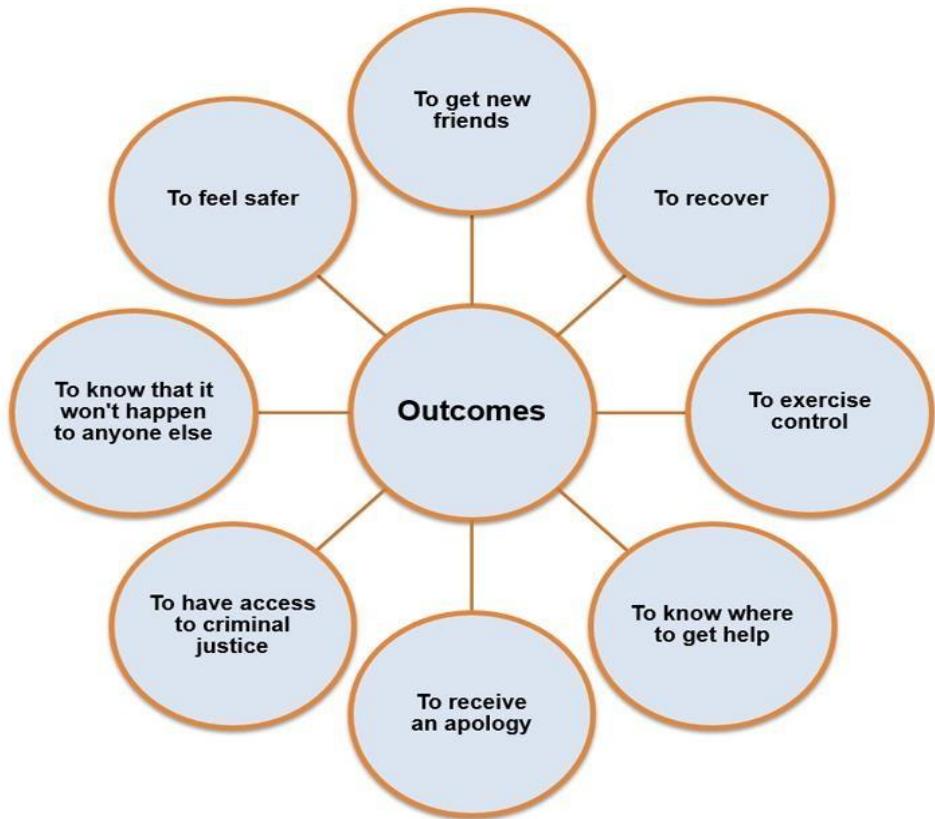
Safeguarding interventions should be creative and flexible to take account of these differences. What an adult identifies at the outset may change as the enquiry progresses – perhaps because they become more aware of their options and feel more empowered to take control of their situation.

It is better to capture the adult's outcomes in their own words or other means of communication, for example "I want to feel safe in my own home again".

Personalised outcomes are not conclusions to processes or service responses such as "The adult is receiving increased monitoring or care".

The key focus is on developing a real understanding of what people wish to achieve, agreeing, negotiating, and recording their desired outcomes, working out with them (and their representatives or advocates if they lack capacity) how best these outcomes may be realised.

Diagram 5: Types of Outcomes People May Want



6.12 Reviewing outcomes

As with safeguarding planning, the review and evaluation of the adult's outcomes should be completed with the full participation of the adult and/or their representative, as well as any other relevant professionals and agencies.

When evaluating the adult's needs for care and support, if a needs assessment under section 9 of the Care Act has not already taken place, it will be necessary to consider whether this should be offered.

In some cases, evaluating the outcomes of an enquiry and deciding on any further necessary action will be straightforward, and can be carried out through an informal discussion with the adult. However for other more complex cases that require careful consideration and negotiation with the adult and involved stakeholders, a formal multi-agency meeting may be necessary).

If it is identified during the outcomes review that the adult remains at risk of abuse and/or neglect, then the duty to enquire may continue and the outcomes review will need to consider any further enquiry actions.

In situations in which the adult remains at risk of abuse or neglect through their own choice, where possible, the local authority should agree with the adult how they are going to support them. Where this is not possible, the local authority and other agencies must agree any ongoing actions, underpinned by MSP.

a. Were the adult's desired outcomes achieved?

At the conclusion of each enquiry the local authority should obtain direct feedback from the adult or their representative regarding their experience of the enquiry, in order to evaluate the impact of the safeguarding intervention, and to ascertain the difference this has made to the person's life, in line with MSP.

6.13 Working with the person thought to be the cause of risk

When undertaking the enquiry, there needs to be consideration of how best to involve a person thought to be the cause of risk taking into account any risks to the adult. If there is a criminal investigation the plan for this will be led by the Police.

If the cause of risk is a person in a position of trust, you should refer to the Managing Allegations against People in Positions of Trust on the NSAB website here.

When a complaint or allegation has been made against a member of staff, including people employed by the adult, they should be made aware of their rights under employment legislation and any internal disciplinary procedures by their employer.

Any enquiry needs to be undertaken in an accountable and impartial manner. It should be considered how the person thought to be the cause of risk has an opportunity to give their views and respond to the concern, and how these views could be included and evaluated within the enquiry findings.

If the person thought to be the cause of risk is an adult with care and support needs of their own, consideration should be given to how their involvement in the enquiry process can be approached in the most person-centred and empowering way, taking account of their individual needs and situation. Particular consideration should be given regarding any support they may need to participate in the enquiry process.

Where the person who is alleged to have carried out the abuse has care and support needs themselves and is unable to understand the significance of questions put to them or their replies, they should be informed of their right to the support of an 'appropriate' adult if they are questioned in relation to a suspected crime by the police under the Police and Criminal Evidence Act 1984 (PACE).

Suitable advocacy should be considered for people who lack capacity and who are alleged to be responsible for abuse, to support and represent them in the enquiries that are taking place.

Consideration should also be given to seeking advice from legal services regarding how appropriate it is to share information with the person or service thought to be the cause of risk, and/or other agencies that are responsible for safeguarding other adults who may be affected or at risk.

6.14 Concluding a S42 safeguarding enquiry

The local authority can conclude the safeguarding enquiry whilst other related proceedings are ongoing, for example in relation to a police investigation or other disciplinary processes. In these situations the local authority should consider what monitoring arrangements are necessary and the required mechanisms for feeding back outcomes.

a. Safeguarding Adult Reviews

Where a section 42 safeguarding enquiry identifies concerns regarding partner agencies not working together to effectively safeguard an individual, then a referral for consideration of a Safeguarding Adults Review (SAR) under section 44 of the Care Act 2014, should be made. Refer to the NSAB website for information on how to refer.

b. Feedback to adult and relevant colleagues

At the end of an enquiry the local authority is responsible for ensuring the feedback regarding the outcomes of the enquiry is passed to all those who should receive it including the adult, the person or service thought to be the cause of risk, and any other relevant agencies or organisations involved. Where the local authority has requested that another organisation complete the enquiry it is the responsibility of that organisation to ensure that outcomes are shared with all relevant parties. This may include the referrer where relevant.

6.15 Checklist for completed safeguarding enquiries

The checklist should be used as a guide by any organisation the local authority has asked to undertake a section 42 safeguarding enquiry to consider if it has concluded its enquiry appropriately, and has covered all the areas required in order to discharge its duty.

A Section 42 Enquiry can be concluded when the local authority is satisfied that the following steps have taken place	
1.	The enquiry has included the views, wishes and best interests of the adult, and has been centred on their desired outcomes. Where this is not demonstrated in the enquiry, the local authority will make a decision not to close the enquiry until that information is provided or to close the enquiry if it is deemed that there would be no value in delaying.
2.	The enquiry has met the identified desired outcomes of the adult and has been reviewed with the adult before the enquiry is closed.
3.	Consideration was given to reflecting the views of the person or organisation thought to be the cause of risk within the enquiry if appropriate.
4.	Relevant information was gathered and evaluated so that the cause/s of risk can be identified to prevent future abuse where possible.
5.	The enquiry was thoroughly completed and accurately recorded.
6.	Where the service provider is the focus of the concern, information has been passed to the relevant commissioner, Quality Monitoring Teams, and the Care Quality Commission.
7.	Information has been shared, where appropriate and as necessary, with any other relevant parties.
8.	Where there has been serious injury to or the death of an adult, a Safeguarding Adults Review (SAR) referral was considered. Where appropriate, a referral for SAR was submitted to the SAR Subgroup for onward consideration.
9.	Any recommended further actions, including referrals to professional bodies and/or the Disclosure and Barring Service have been addressed.
10.	Where the risk cannot be reduced or removed there is consideration as to the ongoing arrangements (such as through a Support Plan or Safeguarding Plan). The plan should include arrangements for monitoring and review, including ongoing risk management.

7. Child protection and safeguarding procedures

There are many situations where practitioners working with vulnerable adults may also have concerns about children living the household, extended family, or neighbourhood. In the same regard, children's practitioners may also have concerns about vulnerable adults who may be susceptible to abuse from other adults, children, and young people. In order to safeguard both children and vulnerable adults in such situations, it is essential that children and adult services including those commissioned, work together effectively to recognise, and promote the importance of a whole family approach.

The Northamptonshire Protocol for Raising Concerns about Vulnerable Children & Adults provides a 'Think Family' approach to help practitioners understand risk and vulnerability factors and to promote effective communication, timely referrals between adult and children's services, including transition between children's and adults' services, and promote good practice in multi-agency working.

The Protocol is collaborative guidance between Northamptonshire Safeguarding Adults Board and Northamptonshire Children's Partnership (NSCP) and seeks to assist practitioners with how to raise concerns about a vulnerable adult or child. The protocol should be read in conjunction with the specific inter-agency procedures relevant to the circumstances. [The joint protocol can be found here on the NSAB website.](#)

If there are concerns about a child as well as an adult safeguarding concern or enquiry, the safeguarding officer should link with children's services to agree co-ordinated actions in line with the [Northamptonshire Safeguarding Children Partnership \(NSCP\) Child Protection Enquiries Procedure](#) and the NSAB Inter-Agency Procedures.

7.1 Reporting a safeguarding concern about a child to the Multi-agency Safeguarding Hub (MASH)

Multi-agency Safeguarding Hub (MASH)	Telephone 0300 126 1000 – option 1
Outside normal office hours, contact the Emergency Duty Team	Telephone 01604 626938
<u>You can submit an online concern about a child, by visiting Northamptonshire Children's Trust website here.</u>	
In an emergency, contact the emergency services directly by calling 999	

The MASH team are able to identify risks to children at the earliest possible point and respond with the most effective, joined up actions. The aim of the MASH is to make the right decisions for families at the right time. Children and young people may come to the attention of the MASH team because:

- A parent or carer may have requested support directly.
- A professional may feel that a family need help or support.
- A child or their family come into contact with the police.
- A child tells someone about abuse, either physical, sexual, or emotional or neglect.

When a child is referred, the case is assigned to a professional group within the MASH who will gather information about the child/family as quickly as possible. A senior and experienced Social Work Practitioner will use the Northamptonshire Safeguarding Children Partnership (NSCP) Thresholds and Pathways to decide if the child's circumstances mean that the case should be dealt with by the MASH or if the Early Help Team should find a solution instead.

7.2 Who might be supporting the child or young person?

a. Young people moving into adulthood and care leavers

Where a concern of abuse relates to an individual under 18 years, child protection procedures will apply. If the individual is 17 years of age and about to become 18, discussion should be held between child protection and adult services regarding which service and procedures would be most appropriate to take forward the enquiry if one is required.

Robust joint working arrangements between Children's Services and Adult Social Care need to be put in place to ensure that the medical, psychosocial, and vocational needs of children leaving care are addressed as they move to adulthood.

The care needs of the young person should be at the forefront of any support planning and require a co-ordinated multi-agency approach. Assessments of care needs at this stage should include issues of safeguarding and risk. Care planning needs to ensure that the young adult's safety is not put at risk through delays in providing the services they need to maintain their independence, well-being, and choice.

b. Local Offer

Every local authority must publish a 'Local Offer'. The Local Offer tells you what support is available for children and young people with special educational needs (SEN) and/or disabilities, and their families. For further information on the Local Offer in Northamptonshire, please refer to North Northamptonshire Council's website here, or West Northamptonshire Council's website here.

c. Moving into Adulthood

Moving into adulthood is an important stage of life, and young adults with additional needs may need to make plans for future care and support, to live as independently as possible.

The local authorities may provide help to support independence. For people over the age of 16, and they are unable to make specific decisions about what care and support should look like, then others can make help with those decisions. This is done under the Mental Capacity Act 2005 - find out what the law says about supporting people to make decisions about their lives via this link.

Contact the relevant local authority for more information in the links below:

8. Safeguarding and Criminal Investigations

This section outlines the interface between safeguarding adult's procedures and criminal investigations, clarifying the expectations regarding the roles and responsibilities of the local authority and police when working in partnership during enquiries concerning abuse or neglect.

Everyone is entitled to the protection of the law and access to justice. Some types of abuse and neglect often constitute criminal offences (for example physical or sexual assault or rape, psychological abuse or hate crime, anti-social behaviour, wilful neglect, or unlawful imprisonment). Other criminal offences could be theft and fraud and certain types of discrimination.

Although the local authority has the lead role in undertaking safeguarding enquiries or requesting others to do so, where criminal activity is suspected, early involvement of the police is essential. Police investigations should be coordinated with the local authority who may support other actions, but should always be police led.

8.1 Suspected Criminal Offences

The primary focus must be to ensure the safety and well-being of the adult who is alleged to have been harmed. In an emergency situation call the police/ambulance immediately on 999.

Anyone can report a crime or suspected crime to police – This can be done by calling 101 or online at [Northants Police via this link](#).

In situations where there has been, or may have been, a crime committed it is important that any evidence is preserved/secured wherever possible.

The police response will depend upon which criminal offences are suspected, whether the crime is still taking place, and on other factors such as whether anyone is at immediate risk of harm. The police may need to attend the scene and agencies and individuals can play an important part in ensuring that evidence is not contaminated or lost. They will liaise with Trading Standards Service in relation to some crimes, particularly those relating to scams and doorstep crime.

8.2 Consent where a crime is suspected

Wherever practicable, the consent of the adult affected should be sought before reporting a suspected crime to the police. There may of course be circumstances where consent cannot be obtained because the adult lacks the capacity to give it but it is in their best interests to contact the police.

For those victims who may not want to cooperate, or may not have the capacity to confirm a crime but clearly a crime has occurred, police will record a crime. This is especially true in case of Domestic Abuse where victims will often appear uncooperative and against police involvement.

Whether or not the adult has the capacity to give consent, the police will need to be informed if other people are already, or would be at risk. The police should also be informed where it is in the public interest due to the seriousness of the alleged criminal offence. In certain circumstances an adult's right to confidentiality is overruled. Information about a suspected crime should be shared with the police in the following circumstances:

- If others are, or may be, at risk of abuse or neglect.
- Where there are legal or professional responsibilities of staff who have become aware of the concern, for example, if this relates to a breach of regulation, professional code of conduct, or an offence appears to have been committed.
- Where the adult to whom the concern relates lacks capacity and in this situation the Mental Capacity Act should be followed.

- If the adult is believed to be subject to undue influence such that they are unable to exercise free will, for example Modern Slavery, controlling and coercive behaviour or domestic violence and abuse.

If an adult is disclosing potential criminal offences, any initial questioning should be intended only to elicit a brief account of what is alleged to have taken place. This brief account should be limited to where and when the alleged incident took place and who was involved, and should be recorded in writing at the time or as soon as possible afterwards. A more detailed account will be obtained by the police at later stage as part of their investigation. All other details relating to the account should be obtained by the Police. Where police are informed and a criminal investigation is started, the adult's views will be considered by the police investigating officers even when the adult had not consented to the report being made.

8.3 Safeguarding enquiries and criminal investigations

Where the local authority receives a safeguarding concern from a third party agency or individual, consideration should be given if the information indicates that a criminal offence has, or may have been committed. Where a criminal offence has, or may have, been committed and there is any doubt if it has previously been reported to police, a referral should be made to the police.

If the police decide not to undertake a criminal investigation where there has an allegation of a criminal offence, the rationale for this decision making should be shared by the police in writing with the Lead Enquiry Officer. If more information becomes available which indicates this decision needs reviewing then the Lead Enquiry Officer must inform the police.

Where a safeguarding concern is received which does not, at the outset, appear to constitute a criminal offence, there is no requirement to notify police, but this decision should be kept under review. In the event that new information comes to light through the course of an enquiry, which then indicates that a criminal offence has been, or may have been, committed then it should be reported to the police.

Where it is identified that a police referral is required, whether at the outset of an enquiry, or as a result of new information received, the referral should be completed without delay.

Northants Police has a direct referral process for police officers to raise a safeguarding concern with the local authority. Via the police protection notice (PPN), this should be completed by the police for every safeguarding concern. It is important that when the police are completing a PPN that they add sufficient and accurate detail to allow specialist teams with the police and the local authority to act on it based on the agreed Decision-Making Framework. The expectation is that the submitting officer will also state on the form why they are making the referral and whether the adult at risk is aware of it.

a. Partnership working, safeguarding enquiries and criminal investigations

If, as a result of a safeguarding concern, both a safeguarding enquiry and a criminal investigation are required the following will apply:

- The criminal investigation will take primacy.
- Depending on the nature of the safeguarding concern, a joint visit to the adult may need to take place with the police and the Lead Safeguarding Officer.

A multi-agency planning meeting may need to be convened (Chaired by the local authority) to agree:

- The main lines of enquiry for the criminal investigation.
- The safeguarding plan for the adult and any other adult at risk of harm and abuse, including the suspect.
- The lead individual for each action within the safeguarding plan.
- Ownership of any actions ancillary to the investigation (e.g. Disclosure and Barring Service referrals).
- The process and time scales for ongoing updates and reviews.

You may want to suggest the individual contacts Voice for Victims and Witnesses of Crime Northamptonshire and to consider making a referral via this link. Voice offer a free and confidential service.

b. Ending safeguarding enquiries when a criminal investigation is ongoing

When there is a safeguarding enquiry involving a criminal investigation, the police will lead the criminal investigation and contribute towards the safeguarding enquiry. The safeguarding enquiry may be closed whilst a criminal investigation is still ongoing, when the local authority is satisfied that it has discharged its Section 42 duty to undertake a safeguarding enquiry, and established a safeguarding plan, where necessary. The police will notify the local authority on the outcome of the criminal investigation and at which point any further follow up or further safeguarding enquiry required will be led by the local authority.

8.4 Serenity - Sexual Assault Referrals Centre (SARC)

Serenity is the Sexual Assault Referral Centre (SARC) in Northamptonshire. Serenity is completely independent of the police and provides services to victims/survivors of rape or sexual assault regardless of whether they choose to report the offence to the police or not. Serenity is designed to be comfortable and multi-functional, providing private space for interviews, examinations, and counselling services.

Where a sexual offence is reported, the police will make, or offer to make, a referral to Serenity. Individuals may also self-refer to Serenity without involving the police. Serenity have specialist staff who are trained to help individuals make informed decisions about what they want to do next.

Serenity are a key partner to Northamptonshire police and, with the agreement of survivor/victims, assist in securing key forensic evidence by working with medical professionals who are specially trained. Serenity also facilitate Video Recorded Interviews of victims and witnesses as part of the Achieving Best Evidence guidance. This is not exclusively for serious sexual assault but any vulnerable victim or witness to allow the best possible evidence to be given at court.

8.5 Vulnerable victim fraud

It is recognised that some types of offending disproportionately affects some groups of people who are vulnerable but who do not lack capacity. Fraud is a hidden and under-reported crime, with victims often in denial or unaware of the criminality behind it. Increasingly fraud is becoming more complex and sophisticated, much of which is targeted at vulnerable and elderly people. The nature of fraud victimisation is not only financial. The emotional impact is significant and includes guilt, misplaced trust, and diminished confidence, resulting in detrimental effects on physical and mental health and increased social isolation.

A number of victims of fraud remain in denial having been successfully groomed by fraudsters. This can result in extensive losses sometimes amounting to whole life savings. These victims can refuse to allow officers to inform their next of kin or family members. Whilst the gravity of overriding a victim's wishes should never be ignored, there will be circumstances when it may be in their best interests to do so. This will often be the most effective way to reduce the victim's vulnerability from further financial loss.

Northamptonshire Police implemented its refreshed Fraud/Cyber Protection policy in October 2018. This Policy and crime type is owned by the forces Financial Crime Team, under the serious and organised crime department. This is managed by a triage system managed by the Detective Sergeant, responsible for Fraud. A matrix is used to assess and prioritise according to victim vulnerabilities and the nature of the fraud.

8.6 Multi-Agency Public Protection Arrangements (MAPPA)

Multi-Agency Public Protection Arrangements (MAPPA) are in place to ensure the successful management of violent and sexual offenders. The [MAPPA guidance](#) sets out the responsibilities of the police, the National Probation Service and HM Prison Service. Refer to [Multi-Agency Public Protection Arrangements](#) for further information.

8.7 Information sharing and criminal investigations

If a safeguarding enquiry has a criminal element to it, information may need to be shared between agencies.

The police have a general power at common law to disclose information for the prevention, detection, and reduction of crime. Section 115 of the Crime and Disorder Act 1998 established the power for agencies to disclose information to the police and other agencies. The purposes of the Act broadly cover the prevention and reduction of crime and the identification or apprehension of offenders. This is a power and not a duty and the requirements of the Human Rights Act, Common Law and the Data Protection Act must still be met.

The disclosure of confidential information held by an agency is allowed with that adult's consent, or if not, where there is a serious overriding public interest to do so if the information relates to serious crime, danger to life or the community, serious threat to others (including staff), serious infringement of the law or risk to the health of the individual concerned.

8.8 Principles of preserving evidence

The preservation of forensic evidence is time critical. Much can be lost from the victim within the first few hours through activities such as washing, using the toilet, eating, smoking or other forms of contact. Therefore, to maximise the opportunities for forensic recovery and remove the need to unduly restrict certain basic needs of the victim, there are a number of simple considerations that can be considered which will benefit both the victim and any possible future investigation. These actions will be guided or directed by the police.

Where a crime or incident has occurred in a particular place, for example in an adult's home or a particular room within their home, the police may wish to examine the scene for evidence. Evidence recovered from scenes can help establish who was present when an incident occurred as well as indicating what, specifically, did occur.

Where a suspected crime has recently occurred, care should be taken to try to avoid moving things (for example clearing up) and try to prevent people going into the area who do not need to be there. When the report is made to the police, advice will be given about what may be needed to help preserve the scene.

If the victim or vulnerable adult is present at the scene, their immediate safety and welfare, including any requirement for medical attention, must always be prioritised over scene preservation.

If the victim discloses that they have an item which they took from the suspect, this should be brought to the attention of the police at the earliest opportunity as there may well be a chance to recover fingerprint or other forensic evidence from the item. Similarly, if the victim discloses that the suspect has taken an item of personal property from them, again, this should be disclosed to the police at the earliest opportunity.

9. Managing Allegations against People in Positions of Trust (PiPoT)

It is a requirement of the Care Act 2014 Statutory Guidance that Safeguarding Adults Boards should establish and agree a framework and process for any organisation to respond to allegations against anyone who works with adults with care and support needs, (including voluntary work). The process is referred to as the "Persons in a Position of Trust Protocol." The protocol should be read in conjunction with these Inter-Agency Policy & Procedures.

Partner organisations should have clear procedures for managing concerns about a PiPoT in place that states who should undertake an investigation and what sources of support and advice will be available to individuals against whom allegations have been made, in accordance with UK Employment Law.

The lead agency will undertake a PiPoT enquiry and follow their own agency procedures to safeguard adults, and to undertake appropriate risk assessments. If there is concern that other adults are being placed at risk of harm and abuse then the relevant Local Authority Safeguarding Team should be informed by sending a safeguarding referral form.

The PiPoT protocol must be followed in all cases where the organisation first becomes aware of a concern. Partner organisations and service providers are responsible for ensuring information relating to a PiPoT concern is

shared and escalated outside their organisation. Such sharing of information must be lawful, proportionate, and appropriate.

9.1 Scope

Where a partner organisation is made aware of a concern that may affect the suitability of a professional/student/volunteer to work with adults with care and support needs, where such information has originated from activity outside their professional role/volunteering role/place of work, and meets the criteria below, they should notify their organisation's Designated Safeguarding Lead, who will be responsible for taking the appropriate action in line with the protocol.

9.2 Out of Scope

The protocol does not cover complaints or concerns raised about the quality of the care or professional practice provided by the person in a Position of Trust (PiPoT). Concerns or complaints about quality of care or practice should be dealt with under the relevant agency or individual complaint, competence, or representations processes.

If an allegation is made that concerns the actions of a professional/volunteer which relates to alleged abuse or neglect of a person with care and support needs whom they are supporting, this suggests the need for a safeguarding concern, and the allegation should be dealt with by following the local Adult Inter-agency Safeguarding Policy and Procedures.

9.3 What Constitutes a PiPoT or Safeguarding Concern

What could constitute a PiPoT	What could constitute a safeguarding concern
<p>Person in a position of trust (working with adults with care and support needs whether paid or unpaid i.e. voluntary work) who, in their personal or professional life:</p> <ul style="list-style-type: none">Has been accused of the abuse or neglect of a child in their personal life, bringing into question their ability to perform their professional role e.g., their own children may be under a child protection order.Has been accused of abusing/neglecting an adult family member in their own personal life, bringing into question their ability to perform their professional role.Has been accused of grievous bodily harm towards another, bringing into question their ability to perform their professional role.Has behaved in a way which puts into question their ability to provide a service to an adult with care and support needs which must be reviewed. <p><i>Relates to current or historical concerns</i></p>	<p>Person in a position of trust (working with adults with care and support needs whether paid or unpaid i.e. voluntary work) who, in their personal or professional life:</p> <ul style="list-style-type: none">Has abused or neglected an adult with care and support needs.Has behaved in a way that has harmed or may have harmed an adult with care and support needs.Possibly committed a criminal offence against or related to an adult with care and support needs.Has behaved towards an adult at risk in a way that indicates she/he is unsuitable to work with such adults.Any sexual relationship that develops between adults where one is in a position of trust, power, or authority in relation to the other e.g., day centre worker/social worker/residential worker/health worker etc.)

[Refer to the NSAB Protocol for Responding to Concerns about a Person in a Position of Trust \(PiPoT\) for more information here.](#)

9.4 Referrals to the Disclosure and Barring Service

The Disclosure and Barring Service (DBS) helps employers make safer recruitment decisions and prevent unsuitable people from working with vulnerable groups, including adults or children. The Disclosure and Barring Service bars some people from working in a regulated service, and maintains a register of individuals barred from working with adults and children due to the risk(s) they pose to them. If an individual is barred it becomes an offence for an organisation to knowingly engage that individual in regulated activity. Regulated activity is work (both paid and unpaid) with children at risk and adults with care and support needs. In relation to adults with care and support needs, regulated activity in broad terms includes activities involved in providing:

- Health care
- Personal care
- Social work
- Assistance with managing finances/handling money such as paying bills and/or shopping
- Assistance in the conduct of personal affairs.

Employers and managers of volunteers working with people in regulated activity have a legal duty to make referrals to the Disclosure and Barring Service in circumstances where they have permanently removed an individual from the regulated activity through dismissal or permanent transfer (or would have if the individual had not left, resigned, retired, or been made redundant) because the individual has:

- Been cautioned, arrested, or convicted for a relevant offence.
- Engaged in misconduct in relation to children or adults at risk – i.e. that an action or inaction (neglect) has harmed a child or adult or put them at risk of harm.
- Satisfied the ‘Harm Test’ in relation to children or adults at risk – i.e. that there has been no relevant misconduct but a risk of harm to a child or adult still exists.

If an individual providing regulated activity is removed from their role following a safeguarding incident the employer has a legal duty to refer to the Disclosure and Barring Service. This would include the individual being either dismissed or redeployed to a non-regulated activity, or they leave their role (resignation or retirement), and the employer or volunteer organisation feels they would have dismissed the individual based on the information they hold. If the individual has been recruited through an agency or personnel supplier then the legal duty sits with that agency.

Where it is necessary to refer individual employees to the Disclosure and Barring Service and/or the relevant professional body, they will be made promptly and as soon as possible once the investigation has been concluded.

Where the need for a referral to the Disclosure and Barring Service has been agreed as part of a safeguarding enquiry being led by the local authority, confirmation should be provided to the local authority that the action has been completed. As the responsible authority for adult safeguarding, the local authority has the power to make a referral where the relevant criteria are met, and should do so where it is necessary to ensure an appropriate referral has been made.

It is the Disclosure and Barring Service’s decision regarding whether the individual should be placed upon the list of those barred from working with adults and/or children. The Disclosure and Barring Service will contact the individual directly to inform them that they have received a referral, and will share all information provided to them with the individual, along with any other information they may have received from other sources as part of their decision making process.

Further information on the Disclosure and Barring Service can be found in Referral duty and power for local authorities and regulatory bodies.

9.5 Referrals to professional bodies

Where the conduct of an individual registered with a professional body has been the subject of an enquiry, a referral to that professional body should be considered. Professional bodies could include: the Health and Care Professions Council (HCPC), Nursing and Midwifery Council (NMC) and General Medical Council (GMC). Each professional registration body:

- Maintains a public register of qualified workers.
- Sets standards for conduct, performance, and ethics.
- Considers allegations of misconduct, lack of competence or unfitness to practice.
- Makes decisions as to whether a registered worker can practice.

Notification of a professional body is the responsibility of the employer. Where this action has been agreed as part of a safeguarding enquiry being led by the local authority, confirmation should be provided to the local authority that the action has been completed. As the responsible authority for adult safeguarding, the local authority may make a referral where the relevant criteria are met, and should do so where it is necessary to ensure an appropriate referral has been made.

Professional bodies will follow their own investigation procedures and it is their decision regarding whether any action will be taken in relation to the individual's professional registration. Professional bodies have a range of options where appropriate; these usually include suspending the individual from practice, deregistering them or imposing conditions of practice that the individual must work under.

Professional bodies will contact the person directly to inform them that they have received a referral and will share all information provided to them with the individual, along with any other information they may have received from other sources as part of their decision making process.

10. Safeguarding and quality of care

This section considers issues regarding the interface between the quality of care and safeguarding in health and social care settings. It sets out how commissioners work with providers so that adults receive high quality safe services, and details how good communication and effective contract monitoring can support providers to take early action to reduce risk and safeguard adults.

The aim of every commissioner and service provider should be the delivery of effective, high-quality care and support for every individual. If the quality of a service falls short, adults may be put at risk of abuse or neglect. Many of the issues raised as safeguarding concerns – such as falls, pressure damage, wrongly administered medication or poor nutritional care – are rooted not in intentional or malicious harm but in poor practice and poor-quality care. Nonetheless, the impact to the adults can be just as great, regardless of whether harm is intended.

Effective partnerships between safeguarding and commissioning functions, together with an understanding of their interdependent roles and responsibilities, are essential to support a positive culture of cooperation and information sharing. Working in partnership, can assist with early identification when health and social care providers are at risk of not meeting required standards that might lead to wider concerns and the need for safeguarding interventions.

10.1 Responsibilities for quality in care and support services

The Care and Support Statutory Guidance outlines that safeguarding enquiries are not a substitute for:

- Providers' responsibilities to provide safe and high quality care and support.
- Commissioners regularly assuring themselves of the safety and effectiveness of commissioned services.
- The Care Quality Commission (CQC) ensuring that regulated providers comply with the fundamental standards of care or by taking enforcement action.
- Social Work England regulates social workers in England. It sets standards, holds a register, quality assures education and investigates complaints.

Managers of care and support services and agencies responsible for the regulation and commissioning of those services have overall responsibility for ensuring the quality of the care and support services and ensuring that these meet required standards of care. Providers are accountable both to commissioners and to adults using their services, and are expected to have a robust quality assurance framework in place that evidences commitment to prevention and early intervention. There is a clear responsibility on providers and commissioners to ensure safe, quality services that will reduce the need for safeguarding interventions.

a. The Role of the Regulatory Authority - Care Quality Commission

The Care Quality Commission monitors, inspects and regulates care and health services to make sure they meet fundamental standards of quality and safety and publish their findings, including performance ratings to help people choose care services. The Care Quality Commission is responsible for setting fundamental standards of safety and quality by registration of services and by the ongoing monitoring of a provider's compliance and information relating to the quality of care and support services should always be shared with them.

The Care Quality Commission can deploy a range of enforcement powers where registration requirements are not being met in services with poor or inadequate standards of care. Where the Care Quality Commission identifies safeguarding concerns about an adult they advise the local authority by raising a safeguarding concern.

When care providers and the local authority are aware of safeguarding concerns in regulated services, they will inform the Care Quality Commission.

The Care Quality Commission may attend safeguarding meetings or provide the lead with relevant information required to support safeguarding activity. They may also request the minutes of safeguarding meetings.

For further information, refer to the [Statement on the Care Quality Commission's Role and responsibilities for Safeguarding Children and Adults 2015.](#)

b. Quality monitoring in social care and health

Where care and health services are commissioned by either the local authority, or an Integrated Care Board or commissioned jointly, they have a responsibility for monitoring the quality of those services. Through their Quality Monitoring Teams the local authority and Integrated Care Board gather relevant information and trends from complaints, safeguarding enquiries, assessment teams, safeguarding leads, and whistle blowers. Quality Monitoring teams work closely with other professionals and the Care Quality Commission, to share information in order to build a picture of care services. This information can be used to help support providers to maintain and improve quality of the care they provide. This information can also be shared with Safeguarding Officers to support risk management and decision making.

Responses relating to the quality of care and support services which sit outside of the safeguarding enquiry process will be led and coordinated by the responsible commissioning organisation, in close partnership with the managers of those services, the Care Quality Commission and any other agencies or organisations that need to be involved or informed.

Where it is unclear which agency's commissioners would have responsibility for leading and coordinating a response relating to quality, this should not cause a delay in responding to issues about quality of care. In these situations, the local authority commissioners will take responsibility for convening a multi-agency planning meeting. This will determine which agency is most appropriate to coordinate any ongoing quality assurance response.

The table below gives a guide as to which organisation takes a lead for quality monitoring in relation to specific services:

Type of service	Organisation responsible for monitoring quality
Primary Care such as GP's, dentists, and pharmacies	Local Integrated Care Board and NHS England covering the area where the service is situated*
NHS Services (other than those above) such as Acute Hospital Trusts, Mental, Health Trusts, Community Health Trusts (such as Community Nurses, Occupational Therapists, Physiotherapists), Ambulance Trusts	Local Integrated Care Board covering the area where the service is situated.
Health services that are independently run e.g. hospices with charitable status	Independently run specialist health services that are likely to provide adults with specialist health or mental health care needs will need to be determined on a case-by-case basis as agencies that commission these services will vary.
Independently run care services. These services include all independent sector care and support services including care homes (with and without nursing), day services, domiciliary care services, supported living and other support services	Services commissioned by the local authority, the local Integrated Care Board or those jointly commissioned. The commissioning authority in partnership with the Care Quality Commission. Where a service is jointly commissioned, it is the responsibility of health and social care to jointly monitor or agree who will monitor in partnership with the Care Quality Commission.
Care and support services operated by the local authority	Relevant local authority.
Social Work/Assessment Services	Relevant local authority.
Prisons and Detention Centres	Home Office – National Offender Management Service
Where an adult employs personal assistants or other staff	Adults, or their representatives, can seek advice and support regarding this from the local authority. The local authority has a responsibility to provide an appropriate response to the adult and must ensure the adult, or their representative, is provided with adequate advice and support.

*NHS England is responsible for performance concerns relating to Primary Care, this includes General Practice, Community Pharmacies, Community Dentists and Opticians. If a safeguarding concern is raised in relation to Primary Care services the relevant Integrated Care Board should be informed – this includes services at St. Andrews Healthcare. The safeguarding team within the Integrated Care Board will review the concern raised and decide whether it is appropriate to refer to NHS England. They will inform the local authority of any decisions made and outcomes.

10.2 When do concerns about quality of care require a safeguarding concern to be raised with the local authority?

Care providers need to consider whether any incident or concern should be raised as a safeguarding concern and reported to the local authority, and to other organisations such as their regulator, the Care Quality Commission, and commissioners. The care provider will also need to consider if it does not raise an incident/concern as a safeguarding concern how that will be recorded, and who this incident needs to be reported to.

Incident procedures cover a wide range of issues including minor incidents that may happen as a result of issues to do with practice or the quality of care provided. It is the provider manager's responsibility to ensure that these are addressed proactively and effectively through internal processes and to ensure the service they provide meets the required standards of care.

Care providers are responsible for taking appropriate action in line with their own policy and procedures for incident reporting. This should reflect the [Care Quality Commission's Fundamental standards](#). Consideration should also be given, depending on the nature of the incident, as to whether it may be necessary to notify relevant parties such as relatives, or any external agencies or organisations, due to contractual or regulatory requirements. When an incident occurs and abuse or neglect is suspected a safeguarding concern should be raised.

10.3 Safeguarding and organisational abuse

Organisational abuse is a broad concept and is not just applicable to high profile cases, for example Winterbourne. It is an umbrella term defined as, "the mistreatment or abuse or neglect of an adult at risk by a regime or individual's within settings and services that adults at risk live in or use, that violate the adult's dignity, resulting in lack of respect for their human rights" (Care and Support Statutory Guidance, 2014). Organisational abuse occurs when the routines, systems and regimes of an institution result in poor or inadequate standards of care and poor practice which affects the whole setting and denies, restricts, or curtails the dignity, privacy, choice, independence, or fulfilment of adults at risk. Organisational abuse can occur in any setting providing health and social care. A number of inquiries into care in residential settings have highlighted that Organisational abuse is most likely to occur when staff:

- Receive little support from management.
- Are inadequately trained.
- Are poorly supervised and poorly supported in their work.
- Receive inadequate guidance.

The circumstances in which an enquiry into organisational abuse may be required may include:

- Safeguarding concerns with evidence of criminal neglect, ill treatment, network of abuse or death.
- Where it is suspected that a number of adults have been abused by the same individual, or group of people in the same setting.
- Where there are indicators from safeguarding activities relating to an individual adult that other adults are at risk of significant harm.
- Where patterns or trends are emerging which suggests serious concerns about poor quality of care from a provider.
- Where a provider has failed to engage with other safeguarding activities resulting in continued harm or continued risk of harm to one or more adults.
- Where there is evidence that despite contract monitoring, quality improvement and/or Care Quality Commission action planning there remains insufficient improvements within the service, resulting in continued harm or continued risk of harm to one or more adults.

Responses to organisational abuse should involve key partner agencies and senior managers from the earliest stage. This is essential in ensuring the appropriate personnel and resources are identified to carry out the enquiry. The level and nature of the concern will influence which organisations need to be involved and the required level of authority to make decisions on behalf of those organisations.

Many enquiries into organisational abuse will involve consideration about a number of adults who are at risk. It is vital that the enquiry includes the consideration of the views and outcomes of any individual adult involved, and incorporates these into any wider strategic learning within the enquiry, whilst at the same time ensuring the confidentiality of specific individuals is maintained.

It is good practice in any enquiry for providers to be fully involved from an early stage to promote effective partnership working and bring about the best outcomes for adults with care and support needs.

Other funding authorities/Integrated Care will need to be informed regarding safeguarding concerns and enquiries involving an individual placed by that organisation, and of any decisions for suspending placements due to safeguarding concerns.

Communication with adults, who use the service, and their representatives, needs to be considered and in the majority of cases this would be taken forward by the provider. In a residential setting, residents and their families may become anxious about increased activity, such as seeing more visiting professionals, and have the right to be informed of concerns, though care should be taken not to raise anxiety. Information sharing should always include adults who use services and their representatives so that they are able to make informed choices and retain their independence.

10.4 Safeguarding investigations regarding care provision

- The LAs will cause others to undertake an enquiry if the other person/organisation has the most appropriate skills and knowledge. The LAs may require the expertise from clinical experts and quality improvement colleagues alike, and as such, will approach Northamptonshire ICB, GPs, District Nurses etc., as a matter of course.
- Where the concerns are raised in a nursing care or domiciliary care facility the Quality Improvement Nurse Manager will support West and North Northamptonshire Councils Safeguarding Team as requested. The Councils' Safeguarding Teams will lead the investigation with clinical guidance provided from the ICB's Quality Improvement Nurse Manager.
- The Quality Improvement Nurse Manager will assist and advise within reason where a duty visit is required due to a clinical concern.
- West and North Northamptonshire Councils will ensure that Northamptonshire Integrated Care Board is invited to attend strategy meetings as informed throughout the investigation process and to supply outcomes and protection plans to the Quality Improvement Nurse Manager.
- The Quality Improvement Nurse Manager will hold a current Level 3 Safeguarding Training.
- The Quality Improvement Nurse Manager will complete all safeguarding investigations using the local authorities safeguarding documentation.

10.5 Duty of candour

The Duty of candour applies to all NHS trusts, foundation trusts, special health authorities and all other health and care service providers and registered managers.

The Duty of candour requirement came into force in April 2015 as a direct response of the Francis Inquiry and is covered by regulation 20 of the Health and Social Care Act 2008. The intention of the duty of candour under the Health and Social Care Act 2008 is to ensure that providers are open and transparent with people who use services and other 'relevant persons' (people acting lawfully on their behalf) in relation to care and treatment. It also sets out some specific requirements that providers must follow when things go wrong with care and treatment, including informing people about the incident, providing reasonable support, providing truthful information and an apology, as appropriate.

11. Safeguarding and domestic violence and abuse

This section contains information about the approaches and legal frameworks which can be used to support individuals who are experiencing domestic violence or domestic abuse (both terms are used interchangeably – but where domestic violence is used, coercive control may be missed). Domestic violence and abuse is included in the Care Act 2014 as a specific category of harm/abuse. The Care Act specifies that freedom from abuse and neglect is a key aspect of a person's wellbeing, and the statutory guidance outlines that abuse takes many forms, and Local Authorities should not be constrained in their view of what constitutes abuse or neglect.

In situations in which domestic violence and abuse is identified practitioners must always:

- Consider raising a safeguarding concern.
- Follow the Northamptonshire Safeguarding Adults Policy and Procedures for undertaking enquiries as set out in section 6. Receiving Concerns and Undertaking Enquiries and refer to Diagram 3 – Safeguarding Concern Referred to the Local Authority.

11.1 Understanding definitions of Domestic Violence and Abuse

The Home Office defines domestic violence and abuse as: "Any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence, or abuse between those aged 16 or over who are or have been intimate partners or family members regardless of gender or sexuality. This can encompass but is not limited to the following types of abuse: psychological; physical, sexual, financial, and emotional."

'Controlling behaviour' is a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.

'Coercive behaviour' is an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish, or frighten their victim. Examples of coercive and controlling behaviour might be: the destruction of property, isolation from friends, family, or other potential sources of support, preventing or controlling access to money, personal items, food, transportation and the telephone, and stalking.

This definition recognises that past legal and cultural understanding of domestic abuse has been too narrowly focused on single physically violent incidents rather than complex and controlling patterns of behaviour.

There is a criminal offence under Section 76 of the Serious Crime Act 2015 in relation to coercive and controlling behaviour within the context of domestic abuse. This sets out the importance of recognising the harm and cumulative impact on the victim caused by these patterns of behaviour.

It is recognised that the desire to exert power and control underpins the majority of domestic violence and abuse which takes place, and that abuse is usually inflicted to achieve this end.

While the majority of victims are female, men are affected as well. Children are also affected both directly and indirectly and there is also a strong correlation between domestic violence and abuse and child abuse.

In many cases, stalking or harassment may also be a feature of domestic violence abuse. Staff should explicitly consider any issues or concerns around stalking-where there is a pattern of obsessive, fixated and unwanted behaviour that is intrusive and engenders fear, alarm or distress. In these cases, threats may not be made but victims may still be fearful. Harassment can include repeated attempts to impose unwanted communications and contact upon a victim in a manner which causes fear or distress to the victim. Stalking or harassment behaviours may include nuisance telephone calls, sending excessive emails, regularly sending gifts, following the person, or spying on them and death threats. Stalking Legislation under The Protection from Harassment Act 1997 makes stalking a specific offence. Domestic violence and abuse can be challenging to identify:

- It can include multiple forms of harm or abuse by people who are, or have been, intimate partners.
- It can be hidden due to the complexity of family dynamics or be disguised as another issue such as carer stress.
- Assumptions about age and disability can lead to a lack of recognition of older and disabled people as victims and/or perpetrators of domestic violence and abuse.

Factors which may increase the risk for the individual

- Women who have disabilities are at significant and higher risk of domestic abuse and more than 50% of disabled women in the UK may have experienced domestic abuse.
- People who experience poor mental health are more likely to experience domestic abuse, and domestic abuse can cause mental health problems.
- Older women who have experienced abuse over a lifetime may face particular barriers to seeking support. This presents a challenge for practice in recognising domestic abuse when working with older people.

11.2 Working with People Experiencing Domestic Violence and Abuse

Both the local arrangements for responding to domestic abuse and the Inter-Agency Policy & Procedures will apply in situations where an adult who has care and support needs that prevent them from safeguarding themselves is experiencing domestic violence and abuse. As well as considering the legal measures under the Care Act, the adult experiencing abuse should have support to access a range of specialist services.

a. Family and inter-generational abuse

Whilst victims of domestic abuse are most likely to be an adult who is a former or current partner, professionals need to be able to recognise abuse in other contexts. This can include:

- ‘Honour’-based Violence (HBV), which is defined as: ‘a violent incident or crime committed to protect or defend the perceived honour of the family or community.’ It is often committed with some involvement or co-operation from the family and/or community and is designed to punish an individual for behaving in a way that is not in keeping with traditional, cultural beliefs.
- Violence and abuse between intergenerational family members, for example an adult child to a parent. Adult Family Homicide is where a parent is murdered by adult child.

Careful consideration is needed to determine good practice in such circumstances, taking account of the different factors which may present in intergenerational abuse. Appropriate support services should be sought to meet the needs of the adult who is experiencing domestic violence and abuse.

b. Family as carers who are at risk of domestic violence and abuse

It is also important to consider the carers in the context of domestic violence and abuse, both as a potential victim or perpetrator:

- A carer may experience intentional or unintentional harm from the adult they are trying to support.
- A carer may unintentionally or intentionally harm or neglect the adult they are providing care and support for. For example, this may include preventing services from engaging with the adult.
- A carer may witness or disclose abuse or neglect but not recognise this as domestic violence and abuse.

Support to address domestic violence and abuse should be offered. It may be appropriate to consider a referral to local carer support services, to reduce carer isolation and stress, and address some of the challenges arising from caring responsibilities.

11.3 Consent and capacity in relation to Domestic Violence and Abuse

Assessing capacity can be particularly challenging in situations involving domestic violence and abuse, where the adult is cared for, or lives with a family member or intimate partner and is seen to be making decisions which put or keep themselves in danger.

Some adults experiencing domestic abuse may lack capacity to make certain decisions for themselves. They will need additional help to support and empower them in line with the Mental Capacity Act 2005. When an adult is assessed as lacking capacity to make decisions about keeping themselves safe from domestic violence and abuse then any decision made by professionals on behalf of that adult must be made in their best interests.

An Independent Mental Capacity Advocate (IMCA) should be considered in all circumstances where an adult lacks mental capacity to make decisions about their safety, where that adult does not have suitable representation within their network of family and friends. People who do have family and friends are still entitled to have an IMCA to support them in safeguarding procedures, if the decision-maker is satisfied that having an IMCA will benefit the adult.

It is important that people who may be experiencing domestic violence and abuse are given accessible information about all the options available to them. This should include specialist domestic abuse services as well as information on legal options such as restraining orders, and actions the police can take such as Domestic Violence Protection Orders. When an individual who appears to have mental capacity chooses to stay in an abusive relationship then skilled assessment and intervention is required to judge whether they are making that choice free from undue influence from the individual who is causing them harm. A decision not to leave may be based on a realistic fear of the behaviour the perpetrator has threatened if the victim were to disclose abuse or try to leave the relationship.

Being at high risk of harm often limits someone's capacity to safeguard themselves. This is due to the psychological process (sometimes called 'Stockholm Syndrome') that focuses an individual on acting, within the context of the immediate threats that they face, to limit abuse and its impact. This can lead people to identify with the perpetrator and can prevent people acknowledging the level of risk they face. It commonly prevents people from taking steps to leave or end a relationship.

As outlined above, advocacy is an additional resource that can be used to support people experiencing domestic violence and abuse. As well as support from IMCA's for people who are assessed as lacking mental capacity, consideration can be given to referring to specialist Independent Domestic Violence Advisors (IDVAs) to support people at high risk from domestic violence and abuse. IDVAs help to keep adults who are experiencing domestic violence and abuse and their children safe from harm, and serve as a victim's primary point of contact. IDVAs provide support to discuss a range of options, sanctions and criminal or civil remedies with the adult. They help the adult to develop a safety plan (which looks at immediate safety and longer-term measures), as well as representing their clients at Multi-Agency Risk Assessment Conferences (MARAC). The role and function of the MARAC is covered further within this chapter.

11.4 Responding to Domestic Violence and Abuse disclosures and safe enquiries

When working with adults experiencing domestic violence and abuse, **it is important to make enquiries that do not put the adult at further risk**. Whilst some people will have good and trusting relationships with professionals who can support them to report and deal with domestic violence and abuse, others will not trust agencies to respond effectively or will fear potential repercussions of making a disclosure, and feel powerless to make any changes to their situation.

There is a responsibility of professionals to provide opportunities for disclosure, and this is not a responsibility that should rest with victims. Research shows that women experiencing domestic abuse will not usually voluntarily disclose domestic abuse to a professional unless they are directly asked. However, whilst victims may be reluctant to disclose, many report that they hope someone will ask them.

It is crucial that any enquiries with victims are made when the individual is safe to disclose and in a situation which will not increase the risk to them. A 'safe enquiry' means ensuring the potential perpetrator is not and will not easily become aware of the enquiry, if it is assessed this would be a risk to the adult, or others. The Association of Directors of Adult Social Services (ADASS) [Adult safeguarding and domestic abuse guide to support practitioners and managers](#) contains good practice guidance on undertaking a safe enquiry including a range of direct questions practitioners can use to give opportunities for people to disclose abuse.

11.5 Assessing and managing risks linked to Domestic Violence and Abuse

An assessment of risk should take place in all situations where an adult with care and support needs is experiencing domestic violence and abuse. Comprehensive, accurate and well-informed risk assessments are fundamental to good practice. A thorough risk assessment enables the adult concerned and practitioners to understand and be confident about the interventions and decisions to share information with other professionals as part of a multi-agency response.

Numerous services may be working with an adult experiencing domestic violence and abuse, and it is essential that professionals across agencies work together in a coordinated manner to ensure a consistent response to assessing a victim's risks and needs, as well as managing and reducing the risk posed by an alleged perpetrator.

Involving the adult experiencing domestic violence and abuse (and/or their advocate if necessary) in the risk assessment is often the most effective practice as assessments carried out in this way are more likely to:

- Produce an accurate, comprehensive, and better-evidenced risk assessment.
- Give the adult an opportunity and support to identify, describe and understand the risks for themselves, keeping their wishes central to the safeguarding process.

a. Using the Domestic Abuse Stalking and Harassment Risk Identification Checklist (DASH RIC)

When a concern is raised about domestic violence and abuse, or a disclosure is made, a Domestic Abuse Stalking and Harassment Risk Identification Checklist (DASH RIC) should be completed - please see link to

Northamptonshire Domestic Abuse & Sexual Abuse (NADASA) Toolkit or contact one of the specialist services detailed listed below.

Diagram 6: Domestic Abuse risk themes



b. Multi Agency Risk Assessment Conference (MARAC)

MARAC's are regular meetings which take place in each local area and bring together representatives from a number of relevant agencies to share information and discuss the safety, health and well-being of people experiencing domestic abuse. MARAC considers cases which are identified as 'high risk' by use of the DASH RIC, and develops a coordinated safety plan to protect each victim and their children. Actions can also be agreed in respect of the perpetrators.

Several cases can be considered at each MARAC and as such discussion of cases is time-limited with case referral information being shared with attendees prior to the meeting, and an expectation for each agency to bring information they have about the adult at risk, their children, the perpetrator, and any other relevant information.

Victims of domestic violence and abuse are not invited to these meetings but are represented by an Independent Domestic Violence Advocate (IDVA). There is no formal review process unless a repeat referral is made following a further incident of domestic violence and abuse being reported and referred to the MARAC.

The referral to MARAC is usually carried out with the consent of the victim. However, if that is not forthcoming or impossible to obtain, then the MARAC will still consider cases of high risk without consent, with the justification of preventing serious harm.

The interface between MARAC and safeguarding enquiries:

- MARAC's are not a substitute for safeguarding enquiries.
- High risk cases must always be referred to MARAC - where an adult is the subject of a safeguarding enquiry, the MARAC referral should include information on the progress of the enquiry, and what information or support is being sought from agencies at the MARAC. In each area of Northamptonshire, the local MARAC also has arrangements for discussing cases with Multiple and Complex Needs, or where there are frequent repeat referrals to MARAC. These are known as 'MARAC Plus'.

c. Domestic Violence Disclosure Scheme (DVDS)

Under the Domestic Violence Disclosure Scheme (DVDS), which is sometimes referred to as 'Clare's Law', a person who is experiencing domestic violence and abuse or has concerns about a relationship, has a 'right to ask' the police about a partner's previous history of domestic abuse or violent acts. The aim of the scheme is to enable potential victims to make an informed choice about whether to continue with a relationship if a new or current partner has a history of violence or abuse. If a MARAC referral is made practitioners are prompted to consider this as part of the referral.

Professionals, family members, friends or colleagues can also make the request on behalf of the potential victim known as a Right to Know request. The details of the applicant making the Right to Know request will not be disclosed to the individual at risk and the disclosure will only be made to the individual at risk.

11.6 Domestic abuse and safeguarding children

Where there are concerns for a child in the context of a family experiencing domestic violence and abuse, a referral under the child protection procedures should be considered. Child protection procedures may apply locally for those under 18 years of age this would be the Northamptonshire Safeguarding Children Partnership Child Protection Enquiries – Section 47 Children Act 2989 or contact the Multi-Agency Safeguarding Hub (MASH) for children and families.

11.7 Local and National Specialist Support Services

Eve	Providing support, advice, and refuge to victims of domestic abuse in Northamptonshire. Telephone – 01604 230311 – Website – www.eveda.org.uk
Northamptonshire Domestic Abuse Service (NDAS)	Providing 24 hour support, advice, and refuge to victims of domestic abuse in Northamptonshire. Telephone – 0300 0120 154 – Website – www.ndas.co
Northamptonshire Sunflower Centre – IDVA Service	Qualified IDVAs offer support and advice to high risk victims of domestic abuse in Northamptonshire. Telephone – 01604 888211 – Email – sunflower@northants.pnn.police.uk
<u>SafeLives</u>	A National Charity dedicated to ending domestic abuse. For general information about the UK's response to domestic abuse the website includes information for professionals on resources including MARAC and the IDVA service.
Voice for Victims & Witnesses	Providing support and advice to standard and medium risk victims of domestic crimes in Northamptonshire. Telephone – 03000 111 222 – Website – www.voicenorhants.org.uk

12. Supporting adults who self-neglect

The Care Act 2014 formally recognises self-neglect as a category of abuse and places a duty of co-operation on all agencies to work together to establish systems and processes for working with adults who are self-neglecting. The Care Act emphasises the importance of early intervention and preventative actions to minimise risk and harm. Central to the Care Act is the wellbeing principle, and focusing on decisions which are person-led and outcomes focused. These principles are important considerations when responding to self-neglect cases. In addition to the statutory duty to carry out a safeguarding enquiry under Section 42 of the Care Act, local authorities have a power to undertake a non-statutory safeguarding risk management process if it is proportionate to do so and will promote the adult's wellbeing and support a preventative agenda. Locally, this is called the Adult Risk Management (ARM) process.

In all cases, when a concern is raised regarding self-neglect, all agencies have a responsibility to consider these procedures for supporting adults who are self-neglecting. This is regardless of whether the concern falls within the scope of a Section 42 enquiry or not.

12.1 Self-Neglect and homelessness

Self-neglect may need to be considered for people who sleep rough and consideration should be given to the government guidance on Homelessness: duty to refer which places a responsibility on specified public authorities to refer individuals who they think may be homeless or threatened with homelessness to local authority homelessness/housing options teams.

Self-neglect often effects people experiencing homelessness who have a background of severe and multiple disadvantages often resulting in frailty and poor health. Self-neglect is a complex area of practice, often involving mental health, housing, addiction, and cognition issues.

Multiple exclusion homelessness (MEH) is a term which describes homeless people who have complex needs and multiple disadvantages. It recognises the experience of homelessness, and other facets of social exclusion, such as experience of institutions (prison, Local Authority care, mental health/psychiatric care), substance misuse, or street culture activities (begging, survival shoplifting, sex work)ⁱ. Research has found that 47% of people who were homeless had experienced all of these issues and that most had also experienced trauma or Adverse Childhood Experiences (ACEs).

Many people experiencing MEH (can include rough sleepers and those living in temporary accommodation) self-neglect to the point where this becomes a safeguarding issue. In this context, self-neglect is an extreme lack of self-care that threatens personal health and safety. This includes neglecting to care for one's personal hygiene, health and/or surroundings. It often involves a failure to seek help or access services to meet health and social care needs and an inability to manage one's personal affairs. This can also be linked to addictions and mental health, which can make it all the more challenging to tackle the issues without sustained, expert intervention. Practitioners should refer to Multiple Exclusion Homelessness – A Safeguarding Toolkit for Practitioners, Voices of Stoke⁹, to support appropriate decision-making when working with adults experiencing MEH. The toolkit can be accessed by following the link here.

The Local Government Association and ADASS have produced a briefing on positive practice entitled Adult Safeguarding and Homelessness which provides useful information on 11 key areas including legal powers and duties, Safeguarding Adult Reviews, effective practice, and governance and can be viewed here. You can read the briefing on their website here.

⁹ The Voices of Stoke toolkit (developed in collaboration with Keele University, Kings College London and CASCAIDr) can be used to aid fact finding across homelessness/with adults with care and support needs experiencing forms of exclusion.

12.2 Adult Risk Management (ARM)

The Adult Risk Management (ARM) process provides professionals with a framework to facilitate effective multi-agency working with individuals aged 16 and above who are deemed to have capacity for the specific decision that may result in serious harm, or death, through severe self-neglect, risk taking behaviour or not being accepting of services offered that sit outside the adult safeguarding process. The ARM toolkit is an opportunity to ensure that all agencies have offered support and options to an individual whose life is at serious risk of harm whilst working with the individual's strengths.

An ARM is **not** a substitute to legislation, assessment, and all other existing processes (such as Mental Health Act (1983; 1999); Mental Capacity Act (2005), Safeguarding Adults (Care Act, 2014), MAPPA, MARAC, and Channel (framework around anti-Terrorism). These processes will take precedence but an ARM could be called alongside if it is felt that it may support the individual. In order to consider an individual for an ARM **ALL** criteria listed below should apply:

- An individual must have the capacity to make decisions regarding the specific decision(s) that is causing concern.
- The practitioner has no reason to doubt the person has capacity and should state the reasons and provide information that supports this where applicable.
- There is a risk of serious harm or death through severe self-neglect; fire; deteriorating health condition; declining to work with services; targeting by the local community; Hate Crime or Anti-Social Behaviour; sexual violence; or decline to engage with a single agency or other investigations for safeguarding.
- There is a public safety interest or there are high level of concerns from partner agencies; and
- The Adult Risk Management (ARM) process is an action taken outside safeguarding processes where the adult is deemed to have capacity but is at significant risk or harm or death and a risk to others.

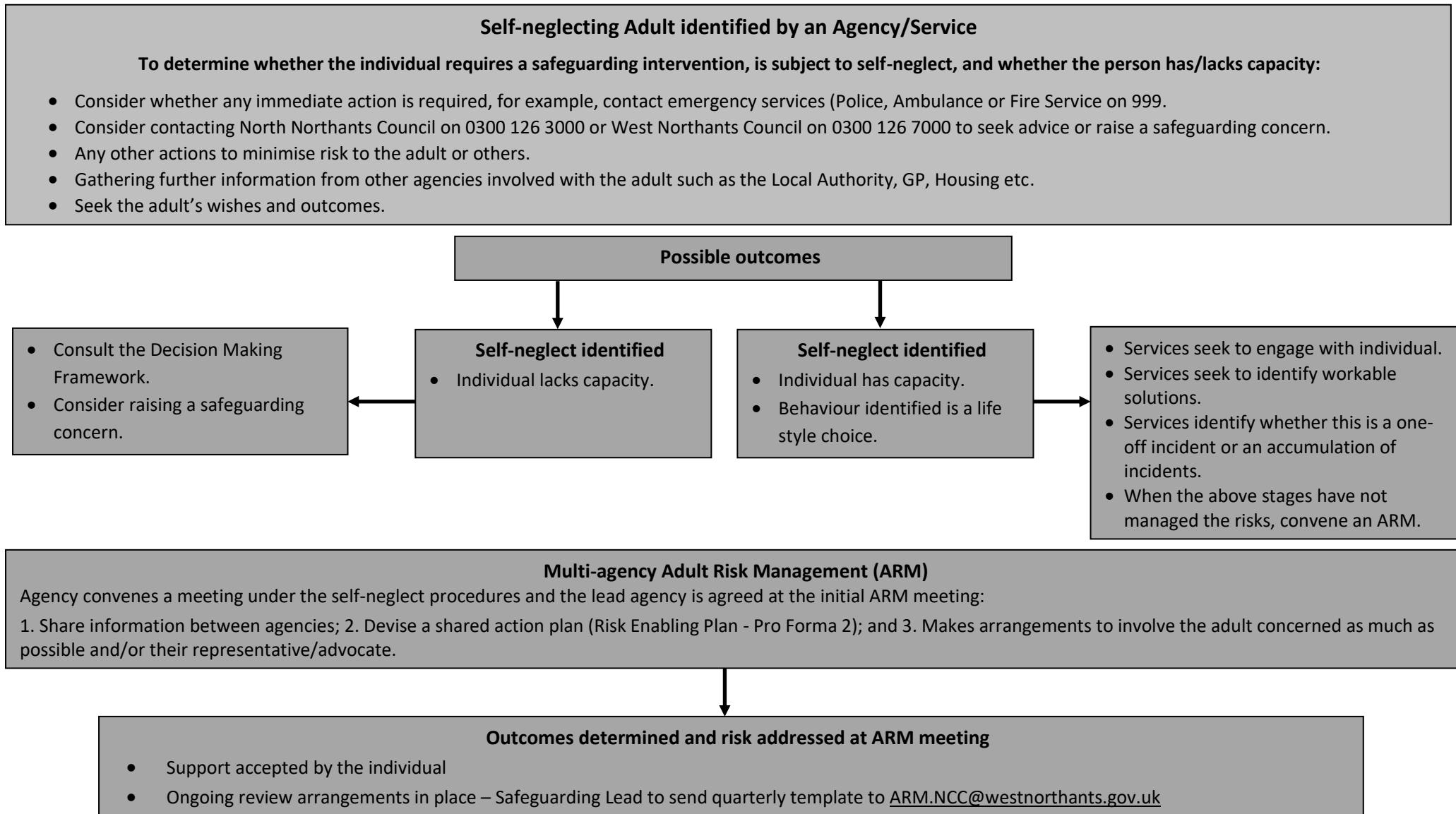
Given the complex nature of self-neglect, responses by a range of organisations are likely to be more effective than a single agency response, and a co-ordinated approach is therefore essential. ARM meetings are often the best way to ensure effective information sharing and communication, and a shared responsibility for assessing risks and agreeing an action plan. An ARM meeting may be the best approach where:

- An adult has been identified as potentially self-neglecting.
- Is refusing support.
- By refusing support is placing themselves or others at risk of significant harm.

An ARM meeting, with a clear agenda for discussion, should be convened promptly when initial concerns are raised to offer an effective response, driven by the adult circumstances of the case.

Please refer to the guidance and toolkit for further information on the NSAB website [here](#).

Diagram 7 - Self-neglect Process in Northamptonshire



Local Multi-Agency Policies & Procedures, Guidance and Toolkits

The following local multi-agency policy, procedures, guidance, and toolkits listed below <u>can be found on the NSAB website via this link</u>
Adult Risk Management (ARM) Toolkit - includes guidance, pro-formas, referral form, monitoring form, information sheet, information video
Safeguarding alert and notification forms for North and West Northamptonshire Councils
Decision Making Framework
Escalation Policy
Local Authority Safeguarding Flowcharts
Hoarding Framework
Self-Neglect Guidance
Information Sharing Protocol
Long-term segregation and seclusion – West Northamptonshire Council
Person in a Position of Trust (PiPoT)
Prevent Guidance
Professional Curiosity Guidance
Raising concerns about vulnerable children and adults
Safeguarding Adults Review Protocol
Section 42/44 Pathway Guidance
Self-neglect Toolkit – includes guidance and assessment tool

Appendix 2

National Guidance and Legislation

This section of the policy and procedures sets out key areas of national policies and guidance in relation to relevant legislation and good practice in adult safeguarding. A summary is provided for each document together with a link to the relevant webpage.

National Policy, Guidance, and links	
<u>The Care Act 2014 - Sections 42 – 47</u>	Sections 42 to 47 of the Care Act 2014 sets out the legal duties and responsibilities in relation to adult safeguarding.
<u>Care and Support Statutory Guidance</u> Department of Health and Social Care, 2018	The legal framework for the Care Act 2014 is supported by the Care and Support Statutory Guidance, and provides information about how the Care Act works in practice. There is a legal duty to follow the guidance when working with adults with needs for care and support, and their carers.
<u>Child Sexual Exploitation</u> Department of Education	This non-statutory advice has been produced to help practitioners who work with children and families to identify child sexual exploitation (CSE) and take appropriate action in response. The advice replaces the 2009 guidance 'Safeguarding Children and Young People from Sexual Exploitation'.
<u>Corporate Manslaughter</u> Crown Prosecution Service	Companies and organisations can be found guilty of corporate manslaughter as a result of serious management failures resulting in a gross breach of a duty of care under the Corporate Manslaughter and Corporate Homicide Act 2007. The Crown Prosecution Service has produced this guidance which sets out the general principles which apply in respect of this legislation.
<u>Coroner's Services and Investigations</u> Ministry of Justice, 2014	The guide provides a summary of the role of the Coroner and offers guidance to anyone who may be involved in a Coroner's investigation or attends a coroner's inquest. There is a legal duty to inform the Coroner of any death that has occurred whilst a person is subject to the Deprivation of Liberty Safeguards. The responsibility to notify is shared between the supervisory body and the managing authority. Coroners no longer have a duty to undertake an inquest into the death of every person who was subject to an authorisation under the Deprivation of Liberty Safeguards (known as DoLS) under the Mental Capacity Act 2005. Any person with any concerns about how or why someone has come to their death can contact the Coroner directly. This will not change where a person subject to a DoLS authorisation.
<u>Criminal Justice and Courts Act 2015</u>	Under the Criminal Justice and Courts Act 2015 it is an offence for an individual or a care provider who has the care of another individual to ill-treat or wilfully neglect that individual. The offence focuses on the conduct of the individual, not the outcome.
<u>Disclosure and Barring Service</u> Home Office, 2018	The Disclosure and Barring Service (DBS) helps employers make safer recruitment decisions and prevent unsuitable people from working with vulnerable groups, including children. It replaces the Criminal Records Bureau (CRB) and Independent Safeguarding Authority (ISA). Further information including guidance on how to make referrals can be found in the link above. <u>Guidance for Local Authorities and regulatory bodies about the duty and power to refer a person to DBS.</u>

<u>Deprivation of Liberty Safeguards Code of Practice</u> Ministry of Justice, 2008	The Deprivation of Liberty Safeguards Code of Practice explains how to identify when a person is, or is at risk of, being deprived of their liberty and how a deprivation of liberty may be avoided. It also explains the safeguards that have been put in place to ensure that deprivation of liberty, where it does occur, has a lawful basis.
<u>Department of Health Guidance: Response to Supreme Court Judgement/ Deprivation of Liberty Safeguards</u> Department of Health, 2015	This advice note offers guidance in response to the Supreme Court judgement in relation to the case of Cheshire and clarifies the acid test in determining what constitutes a deprivation of liberty.
<u>Domestic Violence and Abuse - A Guide to Support Practitioners and Managers</u> Local Government Association and ADASS, 2015	The guide sets out the overlap between safeguarding and domestic abuse (DA) and the approaches and legal frameworks for DA that can be used in the safeguarding context. In January 2019, the Government published the draft <u>Domestic Abuse Bill</u> to help tackle domestic abuse. Research in Practice for Adults (RIPVA) <u>Coercive Control</u> provides information for social workers and other health and social care practitioners to help develop their knowledge and skills in working in situations of coercive control.
<u>Equality Act 2010</u>	The Equality Act 2010 legally protects people from discrimination in the workplace and in society. It replaces previous discrimination laws with a single Act. Under the Act, there are nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.
<u>Multi-Agency Statutory Guidance on Female Genital Mutilation</u> HM Government, 2016	The guidance contains multi-agency guidelines on Female Genital Mutilation (FGM) for those with statutory duties to safeguard children and vulnerable adults.
<u>Forced Marriage - Multi-Agency Practice Guidelines: Handling Cases of Forced Marriage</u> HM Government, 2014	The guidance sets out the responsibilities of agencies involved in handling cases of forced marriage. It provides advice and support to front line practitioners who have responsibilities to safeguard children and protect adults from the abuses associated with forced marriage.
<u>Gaining Access to an Adult at Risk Suspected to be at Risk of Neglect or Abuse</u> Social Care Institute of Excellence, 2014	The guide has been created for social workers and their managers to provide information on legal options for gaining access to people who are suspected to be experiencing or at risk of abuse or neglect, but access to them is restricted or denied.
<u>Health and Social Care Act 2008</u>	The Health and Social Care Act 2008 seeks to enhance professional regulation by creating an integrated regulator for health and social care, the Care Quality Commission, with a focus on providing assurance about the safety and quality of care for patients and service users.
<u>Homelessness: duty to refer</u> HM Government, 2018	The <u>Homelessness Reduction Act 2017</u> places duties on local housing authorities to intervene at earlier stages to prevent homelessness in their areas, and to provide homelessness services to all those who are eligible. The Act introduced a duty on specified public authorities to refer individuals who they think may be homeless or threatened with homelessness to local authority homelessness/housing options teams – <u>Refer to paragraph 7 of the Homelessness code of guidance here</u> .
<u>Human Rights Act 1998</u>	The Human Rights Act 1998 incorporates most of the European Convention of Human Rights into UK law enabling claims by individual victims to be brought in UK courts against any public bodies for breach of those convention rights. The Act makes it unlawful for a public body to act (by commission or omission) in a way that is incompatible with their Convention Rights. Examples of convention rights are, right to a private and family life, right to marry, right to a fair trial, right to liberty and security.

<u>Learning Disabilities Mortality Review (LeDeR Programme</u> NHS England	Learning Disabilities Mortality Review (LeDeR) is a national programme set up to understand why people with learning disabilities typically die much earlier than average, and to inform a strategy to reduce this inequality. LeDeR was established to support local areas to review deaths of people with learning disabilities aged 4 years and above, and to use the lessons learned to make improvements to service provision. All deaths of people with a learning disability will have an initial review, regardless of whether the death was expected or not, the cause of death or the place of death.
<u>Making Safeguarding Personal Guide</u> Local Government Association, 2014	The guide supports councils and their partners to develop outcomes-focused, person-centred safeguarding practice. It provides guidance about how to embark upon and take forward a Making Safeguarding Personal (MSP) approach. The Toolkit sets out a range of models, theories and approaches which can be used as a practitioner guide for good practice in adopting MSP.
<u>Mental Capacity Act 2005 Code of Practice</u> Department of Constitutional Affairs, 2007	The legal framework provided by the Mental Capacity Act 2005 is supported by this Code of Practice, which provides guidance and information about how the Act works in practice. The Code of Practice has a statutory force, which means that certain categories of people have a legal duty to have regard to it when working with or caring for adults who may lack capacity to make decisions for themselves.
<u>Mental Capacity Act 2005 Section 44</u>	Section 44 of the Mental Capacity Act 2005 created the criminal offences of ill-treatment and wilful neglect, and these offences can be committed by anyone responsible for that adult's care and support, including paid staff and family carers People who have the legal authority to act on that adult's behalf (i.e. persons with power of attorney or court-appointed deputies).
<u>Modern Slavery Act 2015</u>	The Modern Slavery Act categorises offences of slavery, servitude and forced or compulsory labour and human trafficking. Practice guidance relating to the national strategy to respond to Modern Slavery and human trafficking includes details of the Duty to Notify and how to refer victims into the National Referral Mechanism. <u>Further information can be found here on the Government's National Referral Mechanism and the duty to refer including information in different languages.</u>
<u>Duty to notify the Home Office of suspected victims of modern slavery</u>	Specified public authorities, including the police and local authorities, are required to notify the Home Office about potential victims of modern slavery in England and Wales. If the potential victim does not want to be referred to the National Referral Mechanism, then an MS1 form should be completed and sent to <u>dutytonotify@homeoffice.gsi.gov.uk</u> . The MS1 form can be anonymous. <u>The MS1 form and guidance is available here.</u>
<u>Multi-Agency Public Protection Arrangements MAPPA: Guidance</u> Ministry of Justice, National Offenders Management Service, HM Prison Service, 2012	Multi-agency protection arrangements are in place to ensure the successful management of violent and sexual offenders. This guidance sets out the responsibilities of the police, probation trusts and prison service. It also covers how other agencies may become involved, for example in the care of young offenders.
<u>NHS Accountability and Assurance Framework</u> Department of Health, 2015	The document sets out the safeguarding roles, duties and responsibilities for children, young people, and adults for all organisations in the NHS.
<u>Office of the Public Guardian Safeguarding Policy: Protecting Vulnerable Adults</u> HM Government, 2015	The Office of the Public Guardian (OPG) can investigate concerns about an attorney acting under a registered Enduring Power of Attorney (EPA), or Lasting Power of Attorney (LPA), or a deputy appointed by the Court of Protection. This policy outlines the role and powers of the OPG in relation to safeguarding adults.
<u>Pressure Ulcers: How to safeguard adults</u>	The guidance aims to assist practitioners and managers across health and social care services to provide appropriate responses to individuals who are at risk of developing pressure ulcers. Where pressure ulcers do occur the guidance offers a clear process for the clinical management of reducing the risk of harm whilst

Department of Health and Social Care, 2018	considering if a safeguarding response under Section 42 of the Care Act is necessary.
<u>Prevent Duty Guidance</u> HM Government, 2023	The Prevent Strategy is part of the government's response to counter-terrorism, CONTEST. Its aim is to reduce the threat to the UK from terrorism by stopping people becoming terrorists or supporting terrorism. Prevent offers guidance to authorities on the duty in the Counter Terrorism and Security Act 2015 to have due regard to the need to prevent people from being drawn into terrorism. For a copy of the Northamptonshire Preventing Radicalisation and Extremism Strategy 2022-2025 email: prevent@westnorthants.gov.uk
<u>Roles and Responsibilities in Health and Care Services</u> Department of Health, Local Government Association, ADASS, Association of Chief Police Officers, 2013	The guidance provides clarity around the roles and responsibilities of the key agencies involved in adult safeguarding. The aim is to ensure that the right things are done by the right people at the right time, working within the own agency and with partners.
Mental Health Units – <u>(Use of Force Act) 2018</u> : statutory guidance for NHS organisations in England, and police forces in England and Wales	The guidance highlights that every individual has the right to be treated with dignity in a caring therapeutic environment that is free from abuse. The use of force (which refers to physical, mechanical, or chemical restraint, or the isolation of a patient) can sometimes be necessary to secure the safety of patients and staff.

Appendix 3

Legal Remedies

This section is a table of legal remedies and useful references to consider in adult safeguarding cases. Guidance should be sought from the relevant agency's legal team.

Adult safeguarding scenario	Consider the following Legal Remedies
Deprivation of Liberty Safeguards (DoLS)	<p>The <u>Mental Capacity Act Deprivation of Liberty Safeguards</u> were introduced into the <u>Mental Capacity Act 2005</u> via the <u>Mental Health Act 1983</u>. The MCA DOL safeguards apply to anyone:</p> <ul style="list-style-type: none"> • Aged 18 and over. • Who suffers from a mental disorder or disability of the mind, such as dementia or a profound learning disability, but may include some people who have, for example, suffered a brain injury. • Who lacks the capacity to give informed consent to the arrangements made for their care and/or treatment. • For whom deprivation of liberty (within the meaning of Article 5 of the EHCR) is considered after an independent assessment to be necessary in their best interest to protect them from harm. <p><i>The safeguards do not apply to people detained under the Mental Health Act 1983.</i></p> <p>The safeguards cover:</p> <ul style="list-style-type: none"> • Patients in hospitals. • People in care homes registered under the Care Standards Act 2000 or the Health and Social Care Act 2008 (regulated Activities) Regulations 2014. • Whether placed under public or private arrangements. <p>The safeguards are designed to protect the interest of an extremely vulnerable group of individuals and to:</p> <ul style="list-style-type: none"> • Ensure people can be given the care they need in the least restrictive regimes. • Prevent arbitrary decisions that deprive vulnerable people of their liberty. • Provide safeguards for vulnerable people. • Provide them with rights of challenge against unlawful detention. • The safeguards provide legal protection for those individuals who are, or may become, deprived of their liberty within the meaning of Article 5 of the ECHR. <p>Every effort should be made, in both commissioning and providing care and treatment, to prevent deprivation of liberty. If deprivation of liberty cannot be avoided, it should be for no longer than is necessary. The safeguards provide for deprivation of liberty to be made lawful through 'standard' or 'urgent' authorisation processes. These processes are designed to prevent arbitrary decisions to deprive a person of liberty and give a right to challenge.</p> <p>The DoLS means that the relevant hospital or care home must seek authorisation from a 'supervisory body', which includes a primary care trust, a local authority, or a local health board, to be able lawfully to deprive someone of their liberty. Before giving such authorisation, the supervisory body must be satisfied that the person has a mental disorder as defined in section 1 of the Mental Health Act 1983 (as amended by the Mental Capacity Act 2005) and lacks capacity to decide about their residence or treatment. A decision as to whether or not deprivation of liberty arises will depend on all circumstances of the case.</p> <p><i>It is neither necessary nor appropriate to apply for a deprivation of liberty authorisation for everyone who is in hospital or a care home simply because the person concerned lacks capacity to decide whether or not they should be there.</i></p> <p>In deciding whether or not an application is necessary, a managing authority should consider carefully whether any restrictions are, or will be, needed to provide on-going care or treatment amount to a deprivation of liberty when looked at together.</p> <p><u>For information, including the Code of practice, guidance and forms refer to the Mental Capacity Act Code of Practice, please refer to the link here.</u></p>

Domestic Abuse	Consider the Legal Remedies identified in the sections relating to physical, sexual, psychological, financial abuse and neglect.
Financial Abuse	<p><u>Lasting Powers of Attorney (LPA)</u> were introduced by the <u>Mental Capacity Act 2005</u>, replacing 'Enduring Powers of Attorney' (can no longer be created after 1st October 2007). An LPA is a legal document that lets a person ('the Donor') appoint someone they trust ('the Attorney') to make decisions on their behalf. There are two types of Lasting Power of Attorney (LPA):</p> <ul style="list-style-type: none"> • Finance and Property: allows the Donor to choose someone to make decisions about how to spend his/her money, including the management of his/her property and affairs. • Health and Welfare: allows the Donor to choose someone to make decisions about their healthcare and welfare. This includes decisions to refuse or consent to treatment on his/her behalf and deciding where to live. <p>The LPA must be registered with the Office of the Public Guardian in order to have legal standing. A registered LPA can be used at any time, whether the person making the LPA has the mental capacity to act for himself or not. Once registered it continues indefinitely. The LPA can be registered by the Attorney after the Donor has lost capacity. An LPA can also be cancelled by the Donor, provided they have the mental capacity to do so. The relevant agency can make representations to the Office of the Public Guardian if there is reasonable belief that someone may not be acting in an individual's best interests.</p> <p>A person given a power under an Enduring Power of Attorney (EPA) before 1st October 2007 can still use it and apply to have it registered.</p> <p>An adult in receipt of benefits, who is unable to manage their affairs can appoint a person to do so on their behalf. These are known as 'Appointees'. An Appointee may be an individual/organisation, such as a firm of solicitors. As an Appointee they are responsible for making and maintaining any benefits claims on behalf of the adult. The Department of Work and Pensions (DWP) should be contacted if an agency has reason to suspect that an Appointee is not acting properly under the terms of their appointment/the adult is clearly able to manage their own benefits/the Appointee becomes incapable. The DWP should then take steps to investigate whether the Appointeeship should continue.</p> <p><u>Further information about LPA and Appointeeships can be found on the Office of the Public Guardian website here.</u></p>
Mental Capacity Act and the Court of Protection	<p>The Mental Capacity Act 2005 provides for the Court of Protection to make decisions in relation to the property and affairs, healthcare, and personal welfare of adults (and in certain cases, children), who lack capacity. The Court has the powers to:</p> <ul style="list-style-type: none"> • Decide whether a person has capacity to make a particular decision for themselves; • Make declarations, decisions, or orders on financial or welfare matters affecting people who lack capacity to make such decisions. • Appoint deputies to make decisions for people lacking capacity to make those decisions. • Decide whether an LPA or EPA is valid. • Remove deputies or attorneys who fail to carry out their duties. • Hear cases concerning objections to register an LPA or EPA. <p>Criminal prosecution – The Police can consider whether a perpetrator of financial abuse may be prosecuted for theft under the <u>Theft Act 1968</u>. For fraud, both the police and local authority Trading Standards Service can consider various offences under the Fraud Act 2006.</p> <p><u>Further information on the Court of Protection can be found via this link.</u></p>
Modern Slavery	<p>The Human Rights Act 1998 incorporates Article 4 of the European Convention on Human Rights – Prohibition of slavery and torture. Criminal law, such as Offences Against the Person Act 1861, kidnapping and false imprisonment. Civil law, such as the tort of false imprisonment.</p>

Neglect	<p>The following Legal Remedies below could also apply to self-neglect and organisational abuse.</p> <p><u>Mental Capacity Act 2005</u> Section 5 - if we reasonably believe that it is in the best interests of an adult that lacks capacity we can take steps to provide that care and treatment, including removing them to a place of safety.</p> <p>Criminal law - statute and common law can be considered, including:</p> <p>Mental Capacity Act 2005 Section 44 - makes it an offence for a person with care of an adult who lacks capacity, or who holds and LPA/EPA, or a deputy appointed by the Court, to wilfully neglect or ill-treat the adult.</p> <p><u>Criminal Justice and Courts Act 2015</u> Section 20-25 - makes it an offence for a care worker, or care provider, to ill-treat or wilfully neglect an individual in their care.</p> <p><u>Police and Criminal Evidence Act 1984</u> - Section 17 is a Police power to enter and save life. A referral to the <u>Care Quality Commission</u> in circumstances in which a provider is failing to meet the national standards of quality and safety should be applied.</p>
Organisational Abuse	<p>Consider the Legal Remedies identified in the sections relating to: physical, sexual, psychological, financial abuse and neglect.</p> <p><u>Corporate Manslaughter and Homicide Act 2007</u> – an organisation is guilty of an offence under this Act if the way in which its activities are managed or organised:</p> <ul style="list-style-type: none"> • Causes a person's death; and • Amounts to a gross breach of a relevant duty of care owed by the organisation to the deceased. <p>An organisation is only guilty of an offence under this Act if the way in which its activities are managed or organised by senior management are a substantial cause of the breach of duty.</p>
Psychological Abuse	<p><u>Protection from Harassment 1997</u> can be used by Police or individual to obtain an injunction.</p> <p><u>The Anti-social Behaviour, Crime and Policing Act 2014</u> and <u>the Anti-social Behaviour Powers Statutory Guidance</u> highlights legislation and powers relating to anti-social behaviours such as aggressive, noisy or abusive behaviour to neighbourhood disturbances involving drugs, abandoned cars or animals.</p> <p>The <u>Equality Act 2010</u> legally protects people from discrimination in the workplace and in wider society. If someone is being treated unfavourably on the grounds of their age, disability, gender reassignment, marriage, civil partnership, pregnancy, maternity, race, religion or belief, sex, or sexual orientation.</p> <p><u>Refer to the Equality Act supporting guidance for further information.</u></p>
Physical Abuse	<p><u>Offences Against the Person Act 1861</u> - contains core criminal offences relating to assaults including, actual and grievous bodily harm, wounding with intent and unlawful wounding, including assaults causing cuts, serious damage to internal organs and broken bones, the administration of drugs or noxious substances so as to cause harm (prosecution would have to be brought by the police). Civil action could be taken for assault, battery, or false imprisonment (restraint). The client/ representative should take legal advice from either the <u>Citizen's Advice Bureau</u> or an independent solicitor. Further information can be found at <u>Criminal Injuries Compensation claim</u>.</p> <p><u>Police and Criminal Evidence Act 1984</u> - Section 17 is a police power to enter and save life.</p> <p><u>Family Law Act 1996</u> can be used to obtain injunctions against perpetrators, non-molestation, and occupation orders.</p> <p><u>Domestic Violence Crimes & Victims Act 2004</u> - Creates an offence of causing or allowing the death of a child or Vulnerable Adult*, where they have died of an unlawful act. The household member must have failed to take reasonable steps to protect the victim and the victim must have been at serious risk of physical harm, demonstrated by a history of violence towards the vulnerable person.</p>

	<p><i>*'Vulnerable Adult' in this Act means an individual aged 16 or over whose ability to protect himself or herself from violence, abuse or neglect is significantly impaired through physical or mental disability or illness, through old age or otherwise. Young people under 18 years of age are covered by Northamptonshire Child Protection Procedures.</i></p> <p>Mental Health Units (Use of Force Act) 2018 and supporting guidance sets out the measures needed to both reduce the use of force and ensure accountability and transparency about the use of force in mental health units. Every patient has the right to be treated with dignity and respect in a caring and therapeutic environment where their rights are upheld, their needs met, and they feel supported and listened to. The use of force must always be used proportionality in accordance with the law, and only ever as a last resort. It must never be used with the intention of causing pain, suffering or humiliation to a patient.</p>
Removal of the person thought to be the cause of risk	<p>Consider whether to involve the Police.</p> <p>Family Law Act 1996 - injunctions; non-molestation and occupation orders.</p> <p>Civil injunction - would need the individual to take legal advice from an independent solicitor or the Citizen's Advice Bureau. Mental Health Act 1983 - removal for assessment and/or treatment.</p>
Removal of subject	<p>Mental Health Act 1983 – Section 5 - removal for assessment and/or treatment.</p>
Self-neglect	<p>Care Act 2014 - and associated regulations such as the duty to assess. The local authority may be able to help manage self-neglect concerns by completing a formal assessment and putting in a care package or higher support to the individual, carer and/or family. We should also consider our duty to promote well-being as set out in section 1 Care Act 2014. If, through a person's self-neglect, their right or ability to continue to reside in their accommodation is at risk, then a referral to the relevant housing authority for assistance under any relevant housing legislation should also be considered. See section on neglect above.</p>
Sexual Abuse	<p>There are specific offences that deal with adults who lack the ability to consent to sexual relations and/or have a mental disorder. The Sexual Offences Act 2003 - Section 4 makes it an offence to cause a person to engage in sexual activity without consent. Sections 30 - 44 provides various offences against people who lack capacity and/or have a mental disorder, including specific offences for care workers. There is a defence to these offences if the individual did not know/had no reason to suspect that the person had a mental disorder. Civil action could be taken by the individual, but they should take legal advice from either the Citizen's Advice Bureau or an independent solicitor.</p>
Support to Individual and Family	<p>Care Act 2014 - Sections 9-13 - and associated regulations such as the duty to assess. The local authority may be able to help manage some adult safeguarding concerns by completing a formal assessment and putting in a care package or higher support to the individual, carer and/or family. We should also consider our duty to promote well-being as set out in section 1 Care Act 2014. If an adult's right, or ability to continue to reside in their accommodation is at risk, then a referral to the relevant Housing Authority for assistance under any relevant housing legislation should also be considered.</p>

Terminology

Terminology	Definition
Local Authority	A local authority is an administrative body in local government. Local government is responsible for a range of vital services for people such as social care, schools, housing, planning and waste collection, and lesser known services such as licensing, registrar services, pest control and business support.
Making Safeguarding Personal (MSP)	A Making Safeguarding Personal approach means safeguarding responses should be person led and outcome focused. The person should be engaged in a conversation about how best to respond to their safeguarding situation in a way that enhances involvement, choice and control as well as improving quality of life, well-being, and safety.
Safeguarding Adults Board (SAB)	The Care Act 2014 Section 43, every local authority must have a Safeguarding Adults Board (SAB) in place. The overarching purpose of a SAB is to help and safeguard adults with care and support needs. It does this by assuring itself that local safeguarding arrangements are in place as defined in the Care Act 2014 and its statutory guidance. Assuring itself that safeguarding practice is person-centred and outcome focused. Working collaboratively to prevent abuse and neglect where possible. Ensuring agencies and individuals give timely and proportionate responses when abuse and neglect have occurred. Assuring itself that safeguarding practice is continuously improving and enhancing the quality of life of adults in its area.
Safeguarding Adults Review (SAR)	Safeguarding Adults Boards must arrange a SAR when an adult in its area dies as a result of, or has experienced serious abuse or neglect (known or suspected) and there is concern that partner agencies could have worked more effectively together. The aim of the SAR is to identify and implement learning from this.
Safeguarding concern	A safeguarding concern is when any person has reasonable cause to suspect that an adult with care and support needs, who is unable to protect themselves because of those needs, is experiencing, or is at risk of abuse or neglect.
Safeguarding enquiry	The action taken or instigated by the local authority in response to a concern that abuse or neglect may be taking place. An enquiry can range from a conversation with the adult to a more formal multi-agency plan or course of action. A safeguarding enquiry starts when the initial information gathering has established that ALL of the criteria are met under the statutory duty for decision-making under Section 42 or where the criteria are not met the decision has been made that it is necessary and proportionate to respond as a safeguarding enquiry (Other Safeguarding Enquiry).
Safeguarding enquiry (Other)	Enquiries where an adult does not meet all of the Section 42 criteria but the local authority has the power under the Care Act to undertake an enquiry where it considers it necessary and proportionate to do so.
Statutory duty for decision-making	<p>Section 42 (1) - where there is reasonable cause to suspect an adult has needs for care and support is experiencing or is at risk of abuse or neglect, and as a result can't protect themselves.</p> <p>Section 42 (2) – making (or causing to be made) whatever enquiries are necessary, and deciding whether action is necessary and if so, what, and by whom.</p> <p>This may also include for example:</p> <p>Section 9 – Assessment of an adult's needs for care and support.</p> <p>Section 10 – Assessment of a carer's needs for support.</p>
Safeguarding Officer	A suitably trained and experienced practitioner employed by the local authority who has responsibility for co-ordinating responses and decision making in respect of a safeguarding enquiry.

Appendix 5

Resources Summary

Website links to resources
Anti-social Behaviour, Crime and Policing Act 2014 and Anti-social behaviour powers statutory guidance
Care Act 2014 and supporting guidance
Care Quality Commission
Child Sexual Exploitation
Citizens Advice
Community Law Service
Corporate Manslaughter
Criminal Justice and Courts Act 2015
Criminal Injuries Compensation claim
Coroner's Services and Investigations
Corporate Manslaughter and Corporate Homicide Act 2007
Department of Health Guidance: Response to Supreme Court Judgement/ Deprivation of Liberty Safeguards
Disclosure and Barring Service
Domestic Violence Crimes & Victims Act 2004
Domestic abuse - Eve
Domestic abuse - Northamptonshire Domestic Abuse Service (NDAS)
Domestic Violence and Abuse 2015 - A Guide to Support Practitioners and Managers
Forced Marriage - Multi-Agency Practice Guidelines: Handling Cases of Forced Marriage
Gaining Access to an Adult at Risk Suspected to be at risk of neglect or abuse
Equality Act 2010 and supporting guidance
Family Law Act 1996
Health and Social Care Act 2008
Homelessness: duty to refer
Human Rights Act 1998
Lasting Powers of Attorney (LPA)
Making Safeguarding Personal Guide
Mental Health Act 1983
Mental Health Units (Use of Force Act) 2018 and supporting guidance
Mental Capacity Act Code of Practice
Mental Capacity Act 2005 - Deprivation of Liberty Safeguards Code of Practice
Modern Slavery Act 2015
Modern Slavery - Duty to notify the Home Office of suspected victims of modern slavery
Multi-Agency Public Protection Arrangements MAPPA: Guidance

<u>Multi-Agency Statutory Guidance on Female Genital Mutilation</u>
<u>Northamptonshire Safeguarding Adults Board</u>
<u>Northamptonshire Safeguarding Children's Partnership</u>
<u>Northamptonshire Sunflower Centre</u>
<u>Office of the Public Guardian</u>
<u>Offences Against the Person Act 1861</u>
<u>Police and Criminal Evidence Act 1984</u>
<u>Pressure ulcers: how to safeguard adults</u>
<u>Prevent Duty Guidance</u>
<u>Theft Act 1968</u>
<u>Radicalisation - Getting help for concerns about radicalisation</u>
<u>Radicalisation - Educate Against Hate</u>
<u>Roles and Responsibilities in Health and Care Services</u>
<u>SafeLives</u>
<u>Sexual Offences Act 2003</u>
<u>Social Work England</u>
<u>Voice for Victims & Witnesses</u>