



Summary Guide:

Safeguarding Adults

West and North

Yorkshire and York

Multi-Agency Policy

and Procedures

Published December 2015

For partner agencies, staff and volunteers

Contents

1. Introduction	2
2. Principles and values	2
3. Responsibilities of all staff, volunteers and organisations	3
4. What is abuse?	4
5. Raising a Concern	5
5.1 The role of the Safeguarding Concerns Manager	5
5.2. Flowchart A: Managing safeguarding concerns flowchart	6
5.3 Deciding Whether to Raise a Safeguarding Concern	7
5.4 Whistle-blowing – Public Interest Disclosure Act 1998	8
6. Initial Enquiry	9
7. Risk Management Response	10
8. Formal Enquiry	11
8.1 Strategy Meeting or Discussion	11
8.2 Safeguarding Formal Enquiry	12
8.3. Case Conference	13
8.4 Review	13
9. Exiting the Safeguarding Adults Procedure	14
10. Record keeping and confidentiality	14
11. Information sharing	14
12. Complaints	14
13. Important Contact Details	15
Appendix: Summary of actions, considerations and timescales	18

1. Introduction

This Summary Guide is designed to provide straightforward information and advice for frontline staff, volunteers and managers who work with adults at risk; supporting them to respond promptly and effectively to allegations or concerns of abuse.

This guide is not a replacement for the full length version of the Safeguarding Adults Multi-Agency Policy and Procedure for West and North Yorkshire and York, which should be referred to for additional information and guidance.

2. Principles and values

The Safeguarding Adults Multi-Agency Policy and Procedure for West and North Yorkshire and York is founded on the following safeguarding principles. These principles should be used to guide decision making and practice within the safeguarding procedures.

Principle 1: Empowerment

All adults should be in control of their lives and their consent is needed for decisions and actions designed to protect them.

Principle 2: Protection

It is every person's duty of care and/or moral responsibility to act upon suspicions of abuse and to ensure that adults at risk receive the support and protection to which they are entitled.

Principle 3: Prevention

Prevention of abuse is the primary goal. Members of the public, agencies, service providers, individual staff and volunteers, and communities all have a role in preventing abuse from occurring.

Principle 4: Proportionality

It is everyone's responsibility to ensure that responses are proportionate to the assessed risk and the nature of the allegation/concern. Proportionate decisions need to take into account the principles of empowerment and protection.

Principle 5: Partnership

Partnership means working together as partners to prevent and respond effectively to incidents or concerns of abuse.

Principle 6: Accountability

This involves transparency and decision making that can be accounted for.

3. Responsibilities of all staff, volunteers and organisations

Prevention of abuse is a core responsibility of all staff, volunteers and organisations that provide care and support to adults at risk.

Organisations must ensure that their systems, processes, policies and procedures serve to minimise the risk of abuse. They must work to develop a culture where the needs, interests and welfare of the adult at risk come first and put in place safeguards to prevent abuse from occurring.

Prevention also involves staff and volunteers working together to ensure that practice is carried out with dignity, respect, compassion and choice. Prevention involves developing a culture where poor practice is challenged and the needs and rights of the adult at risk are always promoted.

Whilst Prevention of abuse must always be first priority, where abuse occurs or is suspected, it must always be responded to in line with the Safeguarding Adults Multi-Agency Policy and Procedure for West and North Yorkshire and York. Practice must be in line with the Mental Capacity Act 2005, risks must be assessed and adults at risk should be supported to make informed decisions about how these risks are managed

The responsibilities of all staff, volunteers and organisations, include ensuring that:

- all staff and volunteers report concerns to managers and raise concerns with the local authority where appropriate.
- the organisation, its staff and volunteers work in partnership with other agencies to meet the safeguarding needs of the adult at risk.
- information is shared between agencies in accordance with information sharing policies and protocols
- the organisation keeps its own records in relation to safeguarding concerns, actions taken, and their outcome
- senior representatives of the organisation support Risk Management Responses and the Formal Enquiry Process, including attendance and participation at strategy meetings and case conferences.
- decisions are reached in line with the Mental Capacity Act 2005 and the associated Code of Practice
- organisations support adults at risk to end abuse and to access support that enables them to achieve resolution and recovery from their experiences

4. What is abuse?

Abuse can take many forms. It might be:

- something that happens once or repeatedly
- a deliberate act or something that was unintentional, perhaps due to a lack of understanding
- a crime

There are many different kinds of abuse, these are just examples:

Physical abuse, such as being hit, kicked, being locked in a room or inappropriate restraint

Sexual abuse, such as being made to take part in a sexual activity when the adult has not, or is not able to give their consent.

Psychological abuse, such as being shouted at, ridiculed or bullied, as well as being made to feel frightened.

Financial or material abuse, such as stealing someone's money or belongings, or misusing them for someone else's benefit

Neglect involves the failure to provide care or support which results in someone being harmed.

Discriminatory abuse, involves treatment or harassment based on age, gender, sexuality, disability, race or religious belief.

Modern Slavery includes human trafficking, forced labour, and domestic servitude.

If any of these forms of abuse are caused by an organisation, it is sometimes called **organisational abuse**.

When abuse occurs between partners or by a family member, it is often called **domestic violence and abuse**.

Self-neglect - covers a wide range of behaviours, such as neglecting to care for one's personal hygiene, health or surroundings and includes behaviours such as hoarding.

A safeguarding response in relation to self-neglect may be appropriate where a person is declining assistance in relation to their care and support needs, and the impact of their decision, has or is likely to have a substantial impact on their overall individual wellbeing.

5. Raising a Concern

Raising a Safeguarding Concern means reporting your concerns that a person over 18 years of age:

- has or may have needs for care and support (whether or not the local authority is meeting any of those needs),
- is experiencing, or is at risk of, abuse or neglect, and
- as a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it.

Any person can raise their concerns with the local authority. This means that the adult experiencing abuse or neglect can raise their concerns themselves, but so can their friends, family members, unpaid carers, other members of the public, paid carers, professionals and organisations.

Where concerns have arisen within an organisation that provides care and support, the concern will usually be raised by the Safeguarding Concerns Manager. This should happen immediately where it is urgent and serious, and on the same working day in relation to all other concerns.

If the Safeguarding Concerns Manager is unavailable, and this could cause an undue delay, then any member of staff or volunteer may need to raise a safeguarding concern in their place.

Information about how to raise a concern is included in Section 13

5.1 The role of the Safeguarding Concerns Manager

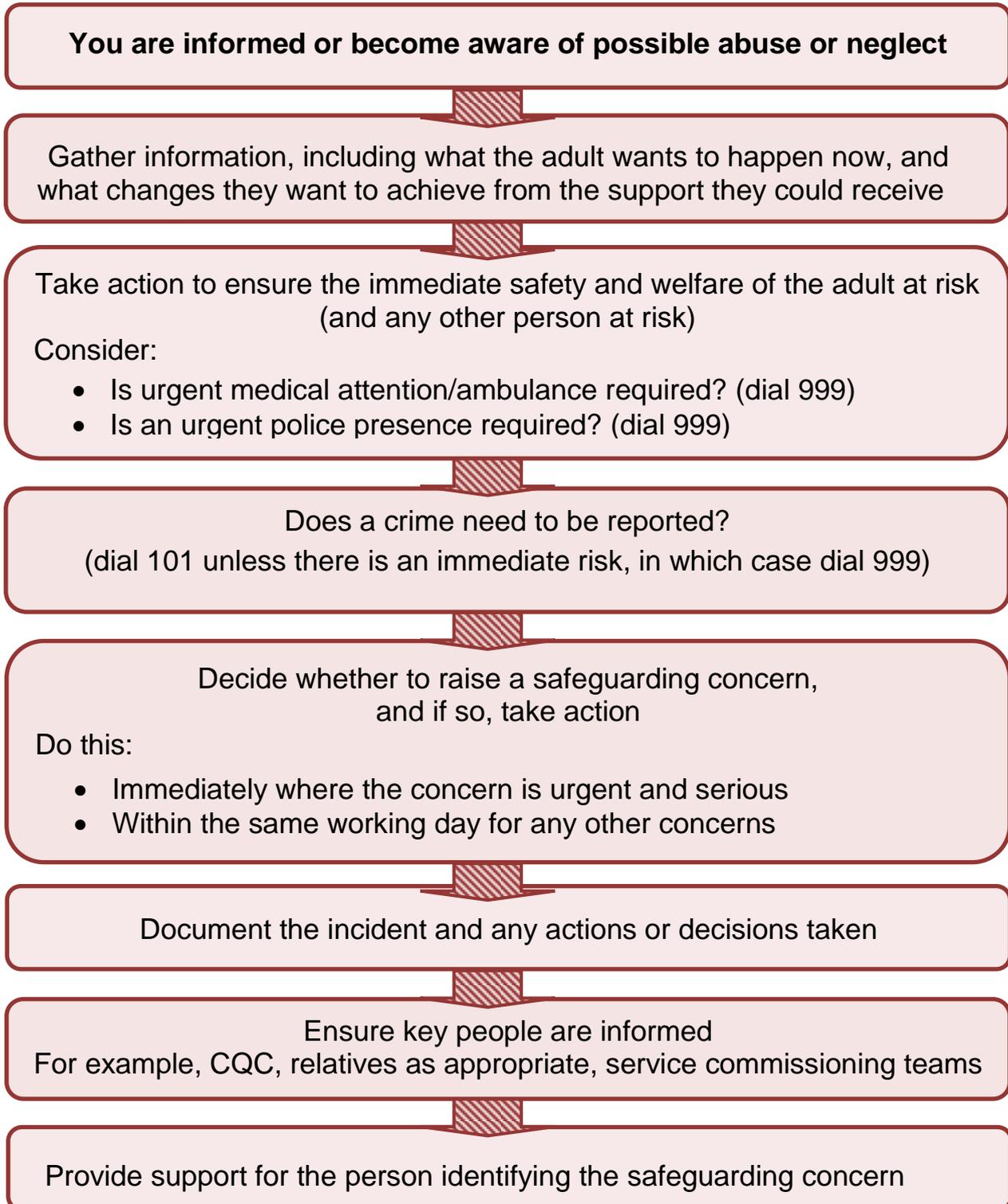
The Safeguarding Concerns Manager is a nominated person within an organisation who is responsible for ensuring that concerns of possible abuse and neglect are responded to and reported appropriately.

The Flowchart on the next page summarises the key responsibilities for managing safeguarding concerns by the Safeguarding Concerns Manager. However, where actions are needed urgently or no Safeguarding Concerns Manager is available, **any member of staff or volunteer may need to raise a concern**, in which case they should also follow this guidance.

For a more detailed explanation of each of these responsibilities, refer to the full length version of the Safeguarding Adults Multi-Agency Policy and Procedure for West and North Yorkshire and York.

5.2. Flowchart A: Managing safeguarding concerns flowchart

Where abuse is alleged or suspected you should follow the safeguarding concerns flowchart below.



5.3 Deciding Whether to Raise a Safeguarding Concern

When deciding whether a safeguarding concern should be raised, consider the following four key questions:

1. Is the person an ‘adult at risk’ (as defined in Section 5).

2. Is the person experiencing, or at risk of, abuse and neglect?

Domestic abuse	<input type="checkbox"/>	Modern slavery	<input type="checkbox"/>	Neglect or acts	<input type="checkbox"/>
Physical abuse	<input type="checkbox"/>	Discriminatory abuse	<input type="checkbox"/>	of omission	<input type="checkbox"/>
Sexual abuse	<input type="checkbox"/>	Organisational abuse	<input type="checkbox"/>	Self-neglect	<input type="checkbox"/>
Psychological abuse	<input type="checkbox"/>	Financial or material abuse	<input type="checkbox"/>	Another form of abuse	<input type="checkbox"/>

NB: Abuse may sometimes occur without any intent to cause harm

3. What is the nature and seriousness of the risks?

Consider:

- The person’s individual circumstances
- The nature and extent of the concerns
- The length of time it has been occurring
- The impact of any incident
- The risk of repeated incidents for the person
- The risk of repeated incidents for others

4. What does the adult at risk want to happen now?

Wherever possible, consider what the adult at risk wants to happen next, what do they want to change about their situation, and what support do they want to achieve that.

Practitioners should wherever possible seek the consent of the adult before taking action, taking into consideration their wishes and desired outcomes. However, whilst consent is an important consideration it is not the only consideration. Any actions taken without the adult at risk’s consent should be proportionate to the risk of harm.

The following are examples of when a decision to raise a concern may still be appropriate even without the consent of the adult at risk.

- It is in the public interest, for example,
 - there is a risk to other ‘adults at risk’, or
 - the concern is about organisational or systemic abuse, or

- the concern or allegation of abuse relates to the conduct of an employee or volunteer within an organisation providing services to adults at risk, or
- the abuse or neglect has occurred on property owned or managed by an organisation with a responsibility to provide care
- the person lacks mental capacity to consent and a decision is made to raise a safeguarding concern in the person's 'best interests' (Mental Capacity Act 2005)
- a person is subject to coercion or undue influence, to the extent that they are unable to give consent
- it is in the vital interests of the adult (to prevent serious harm or distress or in life-threatening situations)

If you remain unsure whether to raise a safeguarding concern, you can seek advice:

- Contact your organisations safeguarding adults lead
- Contact your local safeguarding services (see Section 13 for contact details)

5.4 Whistle-blowing – Public Interest Disclosure Act 1998

Sometimes members of staff working within an organisation may become aware of safeguarding concerns or allegations but be concerned about the impact on their employment if they were to report them.

Where people have these concerns, they should refer to their employer's Public Interest Disclosure Policy, sometimes called the "Whistle-blowing" Policy. The policy is so named, because it provides advice in relation to those circumstances when an employee is protected for reporting concerns.

For further information and advice, the following services are available:

- Whistleblowing helpline: www.mencap.org.uk/organisations/whistleblowing-helpline
- Care Quality Commission: www.cqc.org.uk/contact-us
- Public Concern at Work: www.pcaw.org.uk

6. Initial Enquiry

Once a safeguarding concern has been raised with the local authority, an Initial Enquiry will be undertaken to determine the appropriate response within the safeguarding procedures.

An Initial Enquiry involves:

- gathering information about the allegations/concerns
- establishing the wishes and best interests of the adult
- establishing the need for representation/independent advocate
- checking whether a response within this procedure is appropriate and proportionate to the concerns raised.
- protection from the abuse and neglect, in accordance with the wishes of the adult
- making decisions about further actions that should be taken with regard to the person or organisation responsible for the abuse or neglect; and
- enabling the adult to achieve resolution and recovery

Central to this approach is the need to work with the adult at risk and/or their representative to agree their desired outcomes, to confirm the cause for concern and agree the actions to be taken.

Once initial enquiries are completed the local authority should then determine with the adult what, if any, further action is necessary and acceptable. Actions may include those being undertaken by the adult at risk to safeguard themselves, as well as those undertaken by the local authority and other organisations.

Where the concern is not resolved by the initial enquiries, the local authority will need to decide on the most proportionate response. This may include either;

- A **Risk Management Response**, the term given to a range of actions that may be required to safeguard the adult from the risk of abuse and neglect
- A **Formal Enquiry** to establish the facts, and gather evidence to support a Safeguarding Plan. This will involve a Strategy Meeting/Discussion and Case Conference Meeting/Discussion

Risk assessment, safeguarding planning and the provision of support to enable the adult at risk to be in control of decisions about their own life, are core elements throughout both responses.

7. Risk Management Response

Where there is no need for a Formal Enquiry, but there are actions needed to safeguard an adult or others, then a Risk Management Response may be appropriate.

Risk Management Response is a term used to describe a range of possible responses that protects the person or supports them to manage the risk of abuse or neglect.

These responses may include:

- assessment of care and support needs
- carers assessment
- unscheduled review of care and support
- mediation
- multi-agency risk assessment
- social work intervention
- Family Group Conferences
- Designated Adults Safeguarding Manager interventions (DASM) (where a Formal Enquiry is not being undertaken)
- commissioning actions
- contracts enforcement actions
- service, quality assurance actions
- serious incident processes

The actual response taken will need to take into consideration the desired outcomes of the adult at risk, and the nature of the assessed risk to the individual and or others.

Whichever approach is taken, the following factors will need to be central to the response:

- considering the need for representation / independent advocacy
- working towards the wishes and desired outcomes of the adult at risk
- evaluating risk
- taking actions to safeguard the adult (and or other adults/children)
- reaching decisions in line with the Mental Capacity Act
- recording issues and actions

It will also be necessary to evaluate whether the actions are addressing the risk, promoting wellbeing and responding to the desired outcomes of the adult at risk. If this is not the case, and alternative approach will need to be considered to achieve these aims.

8. Formal Enquiry

A Formal Enquiry is needed where it has been decided that it is necessary to go through a formal process of establishing the facts and gathering evidence, so as to be able to identify and/or provide a basis for the safeguarding actions required.

8.1 Strategy Meeting or Discussion

The purpose of a strategy meeting or discussion is to review the Safeguarding Plan for the adult at risk (or others) and to plan a Formal Enquiry to determine what, if any, further safeguarding actions are required.

A Safeguarding Coordinator will chair the Strategy Discussion or Strategy Meeting. The Safeguarding Coordinator will be a senior person from the local authority who has overall responsibility for managing the Formal Enquiry.

The Strategy Discussion or Meeting will need to include:

- sharing information about the safeguarding concern/allegation
- consideration of the wishes and desired outcomes of the adult at risk, and/or their best interests where they lack the mental capacity in relation to relevant decisions
- agreement of how the adult at risk will be involved and included within the Formal Enquiry and any support they may require
- assessment of the risk to the adult at risk or others, including children
- agreement of a Safeguarding Plan
- agreement that a Formal Enquiry rather than an Risk Management Response is the most appropriate and proportionate response.
- planning a Formal Enquiry, coordinating the involvement of other organisations where required.

The approach taken by the Strategy Discussion/Meeting should be to support the adult at risk to manage the risks they face. This includes offering support to develop or maintain a private life including relationships with people of their choice.

The Safeguarding Coordinator will need to decide who to involve in a Strategy Discussion/Meeting. Any organisation requested to participate in a Strategy Meeting should regard the request as a priority. If no one from the organisation is able to attend a meeting, they should provide information as requested and make sure it is made available to the Safeguarding Coordinator in advance.

It may be appropriate to invite the adult at risk to a Strategy Meeting or to part of it, to contribute their views and needs directly. If they are not present it is important that their views are known, so that these can be taken into account within any planning.

Where a Formal Enquiry is required, a Safeguarding Enquiry Officer will be appointed. This will usually be a senior representative of the relevant service provider organisation, unless

there is a compelling reason why not, as described in Section 12.7 of the multi-agency procedures.

8.2 Safeguarding Formal Enquiry

A safeguarding Formal Enquiry is undertaken in order to:

- identify what actions are required to safeguard an adult from the risk of abuse and neglect
- establish facts and gather evidence in relation to an allegation of abuse or neglect
- support an ongoing assessment of risk
- support the development of a Safeguarding Plan

The Formal Enquiry should recognise the right of the adult at risk to develop or maintain a private life including relationships with people of their choice. The Formal Enquiry should be carried out in a way that is impartial and fair to all concerned, and allows people to respond to allegations made about them.

The plan for the Formal Enquiry should be agreed during the Strategy Discussion/Meeting, it should include the specific allegations to be included within the Formal Enquiry and respective roles and responsibilities in carrying it out.

The Safeguarding Enquiry Officer will draw together relevant information from various activities and produce a summary Formal Enquiry Report for the Case Conference Discussion/Meeting. This may include:

- Activities required of the Safeguarding Enquiry Officer
- Specialist reports in relation to aspects of the allegations/concerns, such as specialist health reports.
- Activities being undertaken by organisations through other enquiry/investigative processes, e.g. police investigations, serious incident, complaint and disciplinary investigations

As such, the Formal Enquiry may be informed by other enquiry/investigation processes. In using information from other enquiry/investigation processes, the Safeguarding Enquiry Officer will need to review the activities undertaken, and their findings, and undertake additional actions as required, to ensure that the specific matters of concern for the safeguarding Formal Enquiry have been appropriately addressed.

During the period of the Formal Enquiry, the Safeguarding Plan will need to be kept under review as agreed within the Strategy Discussion/Meeting. New information or changes of circumstance may require the risk to the individual or others to be re-assessed and the Safeguarding Plan amended.

The Safeguarding Coordinator should always be informed as to potential changes in the level of risk or concerns about the effectiveness of the Safeguarding Plan. A further meeting will sometimes be required. Where the Safeguarding Enquiry Officer needs support, they should seek the advice of the Safeguarding Coordinator.

8.3. Case Conference

The purpose of the Case Conference is to review the findings of the Formal Enquiry, identify risks and agree safeguarding actions required to respond to the concerns.

A Case Conference may take the form of a Case Conference Meeting or a Case Conference Discussion. In both cases, it will need to:

- consider the evidence gathered through the Formal Enquiry
- determine whether, on the balance of probabilities, abuse has occurred
- assess the level of any ongoing risk
- agree a Safeguarding Plan where required
- agree outcomes, taking into account the adult at risk's wishes and best interests
- decide how any Safeguarding Plan is reviewed and monitored

The decision as to whether there needs to be a Case Conference Meeting or a Case Conference Discussion will need to take into account the guidance in Section 14.1 of the Safeguarding Adults Multi-agency Policy and Procedure for West and North Yorkshire and York.

Wherever possible, a Case Conference Meeting will be chaired by someone who has not been previously involved. In areas that have appointed Independent Chairs, these meetings will be chaired by them. Where a Case Conference Discussion is being held, this will be chaired by the Safeguarding Coordinator.

It is important that the safeguarding adults procedure is carried out with openness and transparency. The adult at risk should be invited to the Case Conference Meeting. Unless there are exceptional circumstances, the person alleged to have caused harm should also be invited to the Case Conference meeting. In the event that the adult at risk and the person alleged to have caused harm both choose to attend, arrangements will need to be planned so as to enable both parties to participate as appropriate. For further information refer to Section 14.4.2 of the Safeguarding Adults Multi-agency Policy and Procedure for West and North Yorkshire and York.

Once enquiries are complete, the local authority should then determine with the adult at risk what, if any, further action is necessary and acceptable.

8.4 Review

The purpose of a Review within the safeguarding adult procedures is to ensure that the actions agreed in the Safeguarding Plan have been implemented, the risk is being managed, and to decide whether further actions are required.

Where a Case Conference Meeting has been held, any subsequent Review Meeting will be chaired by the Case Conference Chair wherever possible. In some circumstances, more than one Review Meeting will be required within the safeguarding procedures.

9. Exiting the Safeguarding Adults Procedure

The purpose of the safeguarding adults procedure is to safeguard people from abuse and neglect. Where actions are no longer needed within this procedure, it should be discontinued. For further information refer to Section 16 of the Safeguarding Adults Multi-agency Policy and Procedure for West and North Yorkshire and York.

10. Record keeping and confidentiality

Detailed factual records must be kept by each organisation involved in the safeguarding procedures. Organisations should refer to their own internal policies and procedures for additional guidance on recording and storage of records. For further information refer to Section 16.3 of the Safeguarding Adults Multi-agency Policy and Procedure for West and North Yorkshire and York.

11. Information sharing

Information sharing between organisations is essential to safeguard adults at risk of abuse, neglect and exploitation.

Decisions about what information is shared and with whom, will be taken on a case-by-case basis. Whether information is shared with or without the adult at risk's consent, the information shared should be:

- necessary for the purpose for which it is being shared
- shared only with those who have a need for it
- be accurate and up to date
- be shared in a timely fashion
- be shared accurately
- be shared securely

Advice should be sought from local information sharing leads and reference made to local Safeguarding Adults Board Information-Sharing Protocols where they apply. Refer to Section 7.6 of the Multi-Agency Safeguarding Adult Procedures for more information.

12. Complaints

In the event that any person is dissatisfied with practice undertaken under the Safeguarding Adults Multi-agency Policy and Procedure for West and North Yorkshire and York, they should raise their concerns with the relevant organisation and as required, make a complaint using that organisation's complaints procedures.

Where local procedures provide for a specific process to contest decisions as to the occurrence or not of abuse, these procedures should also be referred to.

13. Important Contact Details

Abuse will need to be reported to the safeguarding contact point in the local authority area where the abuse has occurred.

Bradford

To Raise a Safeguarding Concern:

Contact:

- Adult Protection Unit: **01274 435400** or
- Complete the online referral form on www.bradford.gov.uk/apunit

For information/advice:

Contact:

- Adult Protection Unit, Jacobs Well, Nelson Street, Bradford, BD1 5RW
- Telephone: **01274 43 1077**

For additional information please visit: www.bradford.gov.uk/apunit

Calderdale

To Raise a Safeguarding Concern:

Contact:

- Gateway to Care: **01422 393 000** or email: Gatewaytocare@calderdale.gov.uk
- Emergency Duty Team: **01422 288 000** or email: EDT@calderdale.gov.uk

For information/advice:

Contact:

- Safeguarding Adults Team: **01422 393 804** (Mon-Fri, Office Hours)

For additional information please visit:

www.calderdale.gov.uk/socialcare/safeguardingadults/index

Kirklees

To Raise a Safeguarding Concern:

Contact:

- Gateway to Care: **01484 414933** (24 hours)
- Emergency Duty Team (Out of Hours) **01484 414933**
- Emergency Duty Team: gatewaytocare@kirklees.gov.uk

For information/advice:

Contact:

- Safeguarding Adults Partnership Team, 3rd Floor Kirkgate Building, Byram Street, Huddersfield, HD1 1BY. Telephone:01484 221717
- Fax number: 01484 226949. E-mail: protection@kirklees.gov.uk
- E-mail: protection@kirklees.gov.uk

For additional information please visit: www.kirklees.gov.uk/safeguardingadults

Leeds

To Raise a Safeguarding Concern:

Contact:

- Adult Social Care Contact Centre: **0113 222 4401**
- Emergency Duty Team: **0113 240 9536** (outside of the contact centre times)

For information/advice:

Contact:

- Leeds Safeguarding Adults Partnership Support Unit: **0113 224 3511**
(Mon-Fri, Office Hours)
- Email: safeguarding.adults@leeds.gov.uk
- Secure email (from a secure email): safeguarding.adults@leeds.gcsx.gov.uk

For additional information please visit: www.leedssafeguardingadults.org.uk

North Yorkshire

To Raise a Safeguarding Concern:

Contact:

- Adult Social Care, Customer Services **01609 780780**. Opening hours are 8am – 5.30pm Monday to Friday. This number will be answered by the Emergency duty team outside these hours.
- Email Raising a Safeguarding Concern forms to: social.care@northyorks.gov.uk or social.care@northyorks.gcsx.gov.uk

For information/advice:

Contact:

- For general questions and enquiries about safeguarding adults, please email: safeguardingadultsteam.enquiries@northyorks.gov.uk
Please note this email address is NOT for Raising a Safeguarding Concern.

For additional information please visit: www.northyorks.gov.uk/safeguardingadults

Wakefield

To Raise a Safeguarding Concern:

Contact:

- Social Care Direct: Telephone: **0345 8 503 503**
- Fax: **01924 303455**; Minicom: **01924 303450**;
- Email: social_care_direct@wakefield.gov.uk

For information/advice:

Contact:

- Wakefield Safeguarding Adults Board Business Manager, Adults Health and Communities, Grange View, Annie Street, Wakefield WF1 2PN.
- Telephone: **01924 306454**

For additional information please visit:

www.wakefield.gov.uk/HealthAndSocialCare/AdultsAndOlderPeople/SafeguardingAdults

York

To Raise a Safeguarding Concern

Contact:

- Customer access and assessment team: Telephone: **01904 555 111** (8.30-5.00pm). For individuals who are hearing impaired please Text: **0753 443 7804**
- Fax: **01904 554 017**; Email: adult.socialsupport@york.gov.uk
- Out of hours, contact the Emergency Duty Team
- Telephone: **0845 0349 417**; Email: edt@northyorks.gov.uk

For information/advice:

Contact:

- Safeguarding Adults Team: Telephone: **01904 555 858** (and ask for the duty worker)
- Fax: adultsafeguardingfax@york.gov.uk
- Email: adult.socialsupport@york.gov.uk

West Yorkshire, North Yorkshire and York Police

Where a crime needs to be reported or the assistance of the police sought, the following national telephone numbers should be used:

For Non-Emergencies:

- Telephone: **101**

In an Emergency:

- Telephone: **999**

Appendix: Summary of actions, considerations and timescales

This appendix provides a summary of key actions, considerations and timescales for the various

Raising a Concern & Initial Enquiries			
	Main Activities	Responsibility	Target Timescales: (Organisations Only)
Raising A Concern	<p>An adult with care and support needs is experiencing, or is at risk of, abuse or neglect:</p> <ul style="list-style-type: none"> • Inform the Safeguarding Concerns Manager (organisations only) • Gather information • Evaluate risk and take actions to safeguard the adult (and others) • Establish wishes and desired outcomes of the adult at risk • Where required assess mental capacity and act in 'best interests' • Record issues and actions 	<p>Any person:</p> <p>The adult at risk, members of the public, friends, family.</p> <p>Safeguarding Concerns Manager</p> <p>Any staff in an emergency</p>	<p>Raising a Concern: Immediately where urgent and serious Or Within same working day</p>
Decisions	<ul style="list-style-type: none"> • Whether to raise a Safeguarding Concern • Whether a crime needs to be reported • Whether emergency services are required (ambulance, police) to keep a person safe. • Notify regulator (where applicable) • Record actions and decisions 	<p>Safeguarding Concerns Manager (in an organisation)</p>	<p>Raising a Concern: Immediately where urgent and serious Or Within same working day</p>
Initial Enquiries	<ul style="list-style-type: none"> • Hold discussion with individual or representative • Consider need for representation / independent advocate • Establish wishes and desired outcomes of the adult at risk • Confirm causes for concern • Gather information • Evaluate risk • Agree action to be taken • Take immediate actions to safeguard the adult (and or other adults/children) • Report to police if required 	<p>Social Worker/Care Manager/ ASC Manager/ Safeguarding Coordinator/ DASM</p>	<p>At the earliest opportunity, keeping the adult at risk/ representative and other relevant parties informed of progress</p>
Decisions	<ul style="list-style-type: none"> • Decide if the person is an 'adult at risk' within the safeguarding policy. • Decide if further actions or enquiries are required within this procedure: <ul style="list-style-type: none"> ○ Risk Management Response ○ Formal Enquiry Response • Record actions and decisions • Notify the Person Raising the Concern of the decision 	<p>ASC Manager/ Safeguarding Coordinator/ DASM</p>	<p>At the earliest opportunity, keeping the adult at risk/ representative and other relevant parties informed of progress</p>

RISK ASSESSMENT AND SAFEGUARDING PLANNING

Target timescales are not performance indicators: the time taken to respond to issues of abuse and neglect depend on a range of factors, including the needs of the adult at risk, the nature, seriousness and complexity of the concern, but they provide useful targets that are achievable in many cases.

Safeguarding Response Option: Risk Management Response

	Main Activities	Responsibility	Target Timescales: (Organisations Only)
Risk Management Response	<p>A Risk Management Response is an alternative response to a Formal Enquiry. Where there is no Formal Enquiry required, but there are actions needed to safeguard the adult at risk or others.</p> <p>There is no prescribed list of these actions, they may include:</p> <ul style="list-style-type: none"> • Assessment of care and support needs • Carers assessment • Unscheduled review of care and support • Multi-agency risk assessment • Social work intervention • Family Group Conferences/ Mediation • DASM interventions (where Formal Enquiry not being undertaken) • Commissioning or contracts enforcement actions • Service, quality assurance actions • Serious incident processes <p>The response taken will reflect the desired outcomes of the adult at risk, and the nature of the assessed risk to the individual and or others. However, the following activities will remain central to each and every response:</p> <ul style="list-style-type: none"> • Consider need for representation/ independent advocate • Work towards the wishes and desired outcomes of the adult at risk • Evaluate risk • Take actions to safeguard the adult (and or other adults/children) • Where required assess mental capacity and act in 'best interests' • Record issues and actions 	Social Worker/Care Manager/ASC Manager/DASM working with partner agencies, including service providers	As required by the circumstances, in particular the nature and seriousness of the assessed risk.
Review Actions	<ul style="list-style-type: none"> • Evaluate whether the actions are addressing the risk, promoting wellbeing and responding to the desired outcomes of the adult at risk. 	Social Worker/ Care Manager/ ASC Manager/ DASM working with partners	As required by the circumstances, in particular the nature and seriousness of the assessed risk.
Decisions	<ul style="list-style-type: none"> • Further enquiries required • Further actions required to safeguarding the adult at risk • Further actions required to safeguard others 	Social Worker/ Care Manager/ ASC Manager/ DASM working with partner agencies	

RISK ASSESSMENT AND SAFEGUARDING PLANNING

Target timescales are not performance indicators: the time taken to respond to issues of abuse and neglect depend on a range of factors, including the needs of the adult at risk, the nature, seriousness and complexity of the concern, but they provide useful targets that are achievable in many cases.

Safeguarding Response Option: Formal Enquiry

Stage	Main Activities	Responsibility	Target Timescales: (Organisations Only)
Strategy Discussion/ Meeting	<ul style="list-style-type: none"> Gather information Evaluate risk Confirm causes for concern Work towards the wishes and desired outcomes of the adult at risk Agree actions with the adult at risk Where required assess mental capacity and act in 'best interests' Consider need for representation/advocacy 	Safeguarding Coordinator with relevant partner agencies and the adult at risk as appropriate	Within five working days of the Initial Enquiry being completed
Decisions	<ul style="list-style-type: none"> Confirm that Formal Enquiries are required Plan a Formal Enquiry Coordinate agencies' involvement Agree interim Safeguarding Plan If Formal Enquiries not required, consider the need for a Risk Management Response Record actions and decisions 	Safeguarding Coordinator/ DASM	Within five working days of the Initial Enquiry being completed
Formal Enquiry	<ul style="list-style-type: none"> Carry out Formal Enquiries as agreed in Strategy Discussion/Meeting Consider need for representation/advocacy Review risk and safeguarding planning arrangements as required. Produce a Formal Enquiry report 	Partner agencies contribute Safeguarding enquiry officer produces enquiry report	Report submitted to Case Conference Chair 7 working days before a Case Conference
Decisions	<ul style="list-style-type: none"> Check all relevant issues have been addressed through the enquiries Check any findings and recommendations are evidence based Ensure fair process followed to all concerned; all relevant views considered 	Safeguarding Coordinator/ DASM	Report submitted to Case Conference Chair 7 working days before a Case Conference Meeting
Case Conference	<ul style="list-style-type: none"> Consider need for representation/advocacy Receive Formal Enquiry report Evaluate findings and risks Work towards the wishes and desired outcomes of the adult at risk Where required assess mental capacity and act in 'best interests' 	Case Conference Chair/ Safeguarding Coordinator/ DASM	Within 8 weeks* from safeguarding Strategy Discussion/ Meeting * To be achieved earlier where possible
Decisions	<ul style="list-style-type: none"> Determine occurrence of abuse Agree further actions required Agree Safeguarding Plan Agree review arrangements if required 	Case Conference Chair/DASM/ Safeguarding Coordinator/	Within 8 weeks* from safeguarding Strategy Discussion/ Meeting
Review	<ul style="list-style-type: none"> Review risk and Safeguarding Plan Work towards the wishes and desired outcomes of the adult at risk 	Case Conference Chair/DASM/ Safeguarding Coordinator	Within 3 months of Case Conference or as agreed
Decisions	<ul style="list-style-type: none"> Agree further actions required Agree review arrangements if required 	As above.	As agreed

RISK ASSESSMENT AND SAFEGUARDING PLANNING

Target timescales are not performance indicators: the time taken to respond to issues of abuse and neglect depend on a range of factors, including the needs of the adult at risk, the nature, seriousness and complexity of the concern, but they provide useful targets that are achievable in many cases.

