



Derby and Derbyshire Safeguarding Adults Boards

Adult Safeguarding Decision Making Guidance

Contents

1.	Introduction.....	3
	Has the adult given consent to a safeguarding referral and to enquiries being undertaken?	6
	Where S42 criteria are met and further enquiry is required	8
2.	Types of abuse table	9
	Institutional and organisational abuse.....	18
	Modern slavery	22
	Neglect and acts of omission (including falls)	25
	Physical abuse arising from medication errors	29
	Physical abuse	32
	Pressure ulcers	34
	Psychological and emotional abuse	37
	Self-harm	40
	Self-neglect.....	45
	Sexual abuse.....	48

1. Introduction

This document is designed to provide guidance to inform decision-making in relation to completing adult safeguarding referrals and should be used in conjunction with the [Derbyshire and Derby Safeguarding Adults Policy and Procedures](#). The guidance is not a substitute for professional judgement or professional curiosity, nor does it set rigid guidance for practitioners: it is to be used as a framework to inform decision-making. It is important to remember that decisions should be evidence-based, informed by relationship-based practice, and strengths-based. Practitioners should be conscious of multiple exclusions and discriminations which may arise due to bias and value judgements that could impede safeguarding practice and positive outcomes for adults. If there is any doubt, the safeguarding process should be followed.

“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 and neglect”.

(The Care Act 2014)

A concern meeting these statutory criteria should prompt a safeguarding referral.

A concern which **does not** meet the criteria for a safeguarding enquiry will still require a response to distinguish between what may be an incident of poor practice, concerns about the quality of care (in any setting) and abuse or neglect: these may often require a professional judgement to be made and consultation with colleagues from other agencies. In these

circumstances safeguarding procedures may not be the most appropriate process to follow. Where concerns about an adult's safety, wellbeing or risk of abuse or neglect are sufficiently serious, the local authority will exercise its discretion to undertake safeguarding enquiries under section 42 of the Care Act 2014, even where the statutory criteria are not fully met, to establish the facts and determine appropriate protective action

All decisions should be recorded accurately, stating facts and demonstrate defensible decision-making, with any professional opinion being recorded as such.

Remember:

Safeguarding is not a substitute for:

- A provider's responsibility to provide high quality care and support.
- The Care Quality Commission (CQC) ensuring that regulated providers comply with standards of care and take enforcement action as appropriate.
- Contract and commissioning teams assuring themselves of the safety and effectiveness of commissioned services.
- Police using core duties to protect life and property and prevent, investigate and detect crime.
 - Where a crime is suspected, a referral should be made to the appropriate Police authority.

Incidents of poor practice and concerns about quality of care could be addressed via contract monitoring and quality assurance and compliance processes, reviews (of services and needs), HR processes, complaints processes and signposting to other services – this list not exhaustive. If internal enquiries are found to meet the safeguarding adults criteria, a safeguarding adults referral should be completed and sent to the local authority.

PLEASE REMEMBER: to share information as appropriate with local authority/NHS Contracts and Commissioning Teams, so they can collate all relevant information and take any further appropriate action.

The most appropriate and proportionate response and process should be followed to ensure the concern is responded to correctly and in a timely manner, and at a time and pace that puts the adult in as much control as possible and maximises their involvement. The presenting situation/concern may also require other processes to take place alongside a safeguarding enquiry.

The circumstances reported in the safeguarding referral and initial enquiries will determine the nature/urgency of response.

The best practice approach to choice and risk should be that adults have the right to live their lives to the full and make what others may consider to be unwise decisions/lifestyle choices. A balance should be sought between empowering the adult to make choices and take informed risks against potentially harmful decisions, which may put themselves or others at risk. Further information can be found here: [Guidance to Assessing Mental Capacity and Making Best Interests Decisions](#)

Any risk assessment or safety plan should be reviewed at all stages of the safeguarding process/enquiries.

Anxiety around supporting people to take reasonable risks can prevent them from doing daily living tasks that most people take for granted. Practice should be about striking a balance between facilitating and supporting the wishes of the adult, professional responsibility and the potential risk to others.

Making Safeguarding Personal places the adult with care and support needs at the centre of all safeguarding interventions – it is essential to ascertain the adult's desired outcome from safeguarding enquiries.

Has the adult given consent to a safeguarding referral and to enquiries being undertaken?

- Consent is not required if there is a risk of significant harm to the person, to public protection, other adults with care and support needs, or children are at risk.
- Is the adult able to protect themselves at a time when a decision needs to be made, or an action to protect them needs to be made?
- Does the adult lack [mental capacity](#) to engage in and make decisions about the safeguarding issues?
- Is there evidence of, or concern about, coercion, threats, or intimidation?
- Making safeguarding personal does not mean walking away. Practitioners need to use professional curiosity and relationship-based practice to ensure that someone is not pushing them away because they are influenced, coerced or controlled by someone else, or simply not able to recognise their situation, or whether their previous experiences or life histories are impacting their decision making. A trauma informed approach should be considered.
- Assumptions should not be made regarding what the adult may consider to be a proportionate decision. Adults may be unrealistic or ambivalent about their circumstances at any time. It is important for practitioners to consider the impact of mental capacity in all areas of this document.
- There is no time limit on achieving engagement. Nor is lack of engagement a reason to close a case if concerns remain around neglect or potential harm.
- What is the impact on the adult's health, independence and wellbeing?
- Is there an indication that the abuse could be repeated, or even escalate?
- Consider the seriousness of the harm caused, or the potential for serious harm.
- Is the adult able to make a decision about raising the safeguarding concern? consider coercion and control.

The safeguarding referral should provide all relevant information to inform and support initial enquiries, **which should consider:**

- **Any immediate risks to the adult/others, and the action taken– if there are concerns a crime has been committed, the Police should be contacted. This should be done by the first person made aware of the concern or crime and there should be no delays.**
- Previous information on the records about the circumstances in which a concern has been raised.
- Safeguarding is not just about sharing information and expecting other professionals to respond.
- Any further information received from the referrer.
- How the outcomes of the adult will be achieved, reflecting the adult's wishes, wherever possible.
- How the adult will be involved from the beginning of the enquiry, unless there are exceptional circumstances that are believed would increase the risk of abuse.
- Any reasonable adjustments required for the adult to be supported throughout the safeguarding process.
- The need to arrange for an independent advocate if the adult has substantial difficulty being involved and where there is no-one to support them.
- Where the referral does not meet the criteria for a [S42 enquiry](#), if other options/interventions are more appropriate, e.g., an assessment for care services, MARM, sign-posting to other services.

Where S42 criteria are met and further enquiry is required

- A decision will be made about what further information is required, proportionate to the concern, and if the Local Authority or others are best placed to undertake further enquiries.
- These enquiries will be proportionate to the concerns and should focus on how to best work with the adult to achieve their outcomes.
- It will be established what other actions are required to protect the adult and/or others from further risk of abuse.
- Where enquiries are being delegated to an organisation outside of the local authority, the [S42 Enquiry Form](#) will be completed and sent securely to all agencies/colleagues who are being asked to complete enquiries .
- Where necessary and/or appropriate a Next Steps Meeting or Safety Planning meeting or telephone discussion should be completed.
- A safety plan should be completed in all S42 enquiry stages.
- The rationale and defensible decision for closure of safeguarding should be recorded and shared with all involved.
- Further information about [Section 42 enquiries](#) is available on the Safeguarding Adults Boards website.

Derby and Derbyshire Safeguarding Adults Training

The aim of the Derby and Derbyshire Safeguarding Adults Boards is to provide training to support the working practices of all those involved in safeguarding adults who may be in vulnerable circumstances and at risk of abuse or neglect by others due to their situations and have care and support needs. Each agency will have its own internal training programme, however for information on Safeguarding Adults provided by Derby and Derbyshire Safeguarding Adults Board, please visit the websites below:

[Derby Safeguarding Adults Board Training](#)

[Derbyshire Safeguarding Adults Board Training](#)

2. Types of abuse table

The table below identifies the level of concern (lower/medium-higher/serious-urgent) in the context of each type of abuse. Examples of concerns at each level are provided for guidance: they are not exhaustive and professional judgement should inform decision-making.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met – Police response may also be required.	Examples of Serious – Urgent level concerns (Urgent Police response may be required) – S42 criteria met.
		• May not meet S42 criteria. Decision on an individual basis about whether a safeguarding referral should be made to enable enquiries to be undertaken if they could be beneficial. • Outcomes may include providing advice and information.	• S42 criteria met. • Police response may also be required. • Further information about Section 42 enquiries is available on the Derbyshire Safeguarding Adults Board website.	• Immediate response may be required. • Urgent Police referral may be needed. • S42 criteria met. • Further information about Section 42 enquiries is available on the Derbyshire Safeguarding Adults Board website.

Discriminatory abuse

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information	Examples of Medium – Higher level concerns – S42 criteria met	Examples of Serious – Urgent level concerns (Urgent Police response may be required) – S42 criteria met
Discriminatory abuse Definition: One person, or a group of persons, being treated less favourably on the grounds of their protected characteristics in line with the Equality Act 2010. This includes racial or ethnic origin, religion or belief, disability; age or sexual orientation (direct	Isolated incident of teasing, rude behaviour motivated by prejudicial attitudes – little or no harm, or distress caused where appropriate action has been taken in a timely manner and safety plan in place.	- Isolated incident or teasing, rude behaviour motivated by prejudicial attitudes – little harm, or distress caused and no appropriate action taken to mitigate risk/harm. - Care planning where specific diversity needs are not addressed or provided for in an isolated incident.	- Consider cumulative lower-level concerns. - On-going failure to access services due to diversity issues. - Intersectionality and multiple discrimination occurring increasing level of risk and harm. - Experience of on-going ASB (anti-social behaviour) due to diversity issues. Hate crime – infrequent, but recurrent incidents motivated by prejudice based on disability, race, religion, sexuality, gender identity, age,	Hate crime – serious or recurrent incidents motivated by prejudice based on disability, race, religion, sexuality, gender identity, age resulting in harm or impacting on wellbeing. - The above could include humiliation on a regular basis, discriminatory threats of harm and withholding services. - Discriminatory threats of harm, civil liberties, withholding services. Honour-based violence. - Potential risk to self and public safety due to a risk of radicalisation. Female Genital Mutilation (FGM).

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information	Examples of Medium – Higher level concerns – S42 criteria met	Examples of Serious – Urgent level concerns (Urgent Police response may be required) – S42 criteria met
discrimination), or where an apparently neutral provision is liable to disadvantage a group of persons on the same grounds of discrimination, unless objectively justified (indirect discrimination). Equality Act 2010. Article 3 provides: 'No-one shall be subjected to torture, or inhuman or degrading treatment or punishment'. • inhuman or degrading treatment			which results in intimidation, emotional distress, loss of confidence and dignity. • On-going failure to support the adult to access places of worship, which causes distress or harm.	• Imminent Forced Marriage.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information	Examples of Medium – Higher level concerns – S42 criteria met	Examples of Serious – Urgent level concerns (Urgent Police response may be required) – S42 criteria met
is unlawful, whatever the situation. • Treatment may be degrading if it 'humiliates or debases an individual showing a lack of respect for, or diminishing his or her human dignity or arouses feelings of fear, anguish or inferiority capable of breaking an individual's moral and physical resistance				

Domestic abuse

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Domestic abuse Refer to the Police, as appropriate. Definition: A single incident or continuing incidences of abusive behaviour by a person to another person, each aged 16 or over who are personally connected: physical or sexual abuse; violent or threatening behaviour; controlling or coercive behaviour;	The person does not have care and support needs. There is an expectation that appropriate advice and signposting will be provided to the relevant domestic abuse services, and completion of the Domestic Abuse, Stalking and Harassment risk assessment	• A one-off incident with no injury or harm, which could be any type of abusive behaviour. detailed in the definition • Victim reports no current concerns or fears. • Occasional taunts or verbal outbursts. • Protective factors in place.	• NB: cumulative impact or increased severity of any of the below could move this RAG rating higher. • Protective factors not in place. • Children in house – refer to Children’s Services. • Unexplained marks, bruises, hand marks. • Subject to coercive controlling behaviour. • Frequent taunts or verbal outbursts • No access to medical care.	• Threats to kill. • Assault causing serious harm. • Use of objects as a weapon during an assault. • Subjected to frequent, or escalating, violent behaviour. • Sexual assault or rape • Subject to severe coercive or controlling behaviour. • Subject to stalking behaviour. • Experiences constant fear of harm. • Forced marriage. • “Honour-based” violence. • Use of a weapon. • Female Genital Mutilation.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
economic abuse; psychological, emotional abuse; stalking, harassment, so-called ‘honour-based’ violence including forced marriage, female genital mutilation.	DASH form can be found here Domestic abuse and MARAC referrals		• Unable to access professionals for support, i.e., health care. • Accumulation of incidents and harassment. • No access to, or control over, finances. • Experiences constant fear. • Stalking/harassment.	• Further information is available from Safer Derbyshire - domestic abuse.

Financial abuse

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Financial abuse For all safeguarding referrals regarding a person in a position of trust, consider consultation with the Police. See PIPOT guidance. Definition: The misuse of a person's funds and assets including theft and fraud internet scamming, coercion in relation to an adult's affairs or arrangements, including in connection with their Will,	• Transactions with money are not recorded routinely, safely or properly by a service provider but no evidence of mismanagement. Actions could include further	• Isolated incident of a small amount of money, food, belongings going missing – quality of life of the adult is not affected and no distress caused. • Isolated incident of staff borrowing items from the adult, with their consent – items returned to the adult. • Isolated incident of staff taking the 'one free' from 'buy one get one free' offers and accruing	• Adult not routinely involved in decisions about their finances – how it is spent or kept safe. • Failure to meet agreed contributions to care costs by families, or personal allowance not given to adult in care home. • Serious or repeated incidents of fraud or scam. Further information is available from Safer Derbyshire – fraud and scams.	• Theft by a person in a position of trust. • Fraud, exploitation, of benefits, income, property, will. • Misuse of Lasting Power of Attorney. • Doorstep crime and loan sharks. • Actions not taken in the adult's best interests where they lack mental capacity to make financial decisions. • Adult denied any access to their finances. • Modern slavery. • County lines and cuckooing.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
property and inheritance or the misuse or misappropriation of property benefits and possessions.	training, disciplinary, complaints procedures, quality monitoring.	reward points on their own cards when shopping for an adult. • Transactions with money are not recorded routinely, safely or properly where no assurances or evidence is provided to mitigate risks. Actions could include further training, disciplinary, complaints procedures.	• Failure to assess mental capacity where it is suspected, or clear that it is in question, and harm is caused, e.g., exploitation, financial abuse, debt. • An incident of fraud or scam. • Adult denied any access to their finances. • Exploitation, of benefits, income, property, Will. • Misuse of Lasting Power of Attorney. • Doorstep crime and loan sharks and no action taken • Actions not taken in the adult’s best interests where they lack mental	• Impact of financial abuse is leading to poverty, debt, malnutrition, self-neglect etc.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
			capacity to make financial decisions.	

Institutional and organisational abuse

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Institutional and organisational abuse Definition: Repeated instances of poor care of individuals or groups of individuals through neglect or poor professional practice because of structures, policies, processes, practice and/or culture within an organisation.	The following are examples of contract monitoring issues that need to be managed through commissioners: • Care planning documents are not person-centred. • Lack of opportunity for social and leisure activities and/or a general lack of age-appropriate stimulation. • Support levels as identified in the care	• Care planning documents are not person-centred and of sufficient detail to ensure appropriate care is provided. • Absence of, or inadequate policies, procedures, supervision, training – no harm occurs. • Minor environmental concerns with	• On-going concerns about environment and hygiene of a care setting. • Unsafe staffing levels for the requirements of the service delivery. • Accumulation of concerns/minor incidents which may indicate organisational failure.	• Unsafe and unhygienic care setting/environment that would cause an imminent risk of harm to life. • Inappropriate physical restraint: where this could be assault report to Police) • Support levels identified in the care plan, e.g., 1:1/2:1 not provided, and harm occurs. • Misuse of power by a person in a position of trust. • Inflexible routines which impact on health and wellbeing, practice, policies and procedures of an

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
These lists are not exhaustive, and reference should be made to other categories within this document. This section should be considered alongside quality and compliance standards. it is expected you will liaise with commissioning bodies See Organisational Abuse: multi-agency guidance Organisational abuse - Derbyshire Safeguarding Adults Board	plan, e.g., 1:1/2:1, are not adhered to, and no harm is reported to have occurred (this would be a breach of contract), and actions are in place to resolve them. • Minor environmental concerns. • No ‘voice’ for the adult with care and support needs within their living environment/ advocacy not sought where appropriate but no impact on wellbeing or rights.	possibility of harm caused. • No ‘voice’ for the adult with care and support needs within their living environment. Advocacy not sought where appropriate and some impact on wellbeing or rights. • Actions could include a review of care plans, engagement with DCC and ICB contract,	• Lack of candour, concerns about information being hidden or misreported or concerns/ complaints not managed. • Mental capacity and/or best interests have been assumed or ignored on key areas of decision making. • Lack of dignity, respect and choice on how	organisation which result in harm or denial of choice. • Failure to provide access to health care/appointments. • An accumulation of evidence of a failure to keep people safe/consistent ill treatment/pattern of recurring errors. • Unsafe staffing levels resulting in harm or inability to provide identified levels of care and support. • Resident in a care home is objecting to their placement, may be attempting to leave and no MCA, Best Interests or Deprivation

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Institutional and organisational (continued)	• An absence of, or inadequate policy, procedure, supervision, training – no harm occurs. • Hospital discharge without adequate care where no harm has occurred: should be a complaint to PALS. Actions could include a review of care plans, safe and well reviews, contact with DCC and ICB contract, commissioning and quality teams. Contact with	commissioning and quality teams. Contact with agency safeguarding leads such as Environmental Health, ICB and health agencies, Fire Service.	and when care and support is received.	of Liberty application has been made • Hospital discharge without adequate planning resulting in harm.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
	Environmental Health, DCHS/ICB safeguarding leads, Fire Service.			

Modern slavery

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Modern Slavery Definition: The recruitment, movement, harbouring or receiving of children, women or men through the use of force, coercion, abuse of vulnerability, deception or other means for the purpose of exploitation. It is a crime under the Modern Slavery Act 2015 and includes holding a person in a position of slavery, servitude forced	Referrers need to provide information to support the allegations of modern slavery. In cases where an agency is assuming modern slavery, without specific indicators being met, these referrals should be made directly to	All referrals concerning modern slavery should be considered at ‘Medium-Higher’, or ‘Serious-Urgent’ levels – please follow the modern slavery protocol and process.	• Adults coerced, often under the threat of violence, to work long hours, or forced into prostitution, to pay off debts. • Many adults sharing a room or property resulting in lack of dignity, space and unsanitary conditions. • Domestic servitude – adults forced to work with little or no pay, limited or no time off, and lack of personal space to live or sleep. • Working in environments and receiving low or no pay as a result of coercion and threats of violence to them and their	• Adults subject by another to threats of, or actual, violence to them and their families if they do not work as directed. • Adults forced to perform non-consensual or abusive sexual acts for money. • Adults moved frequently to other locations around an area or the country. • Adults coerced into criminal activity against their will. • Adults in domestic settings forced to work with little or no pay, limited or no time off, and lack of personal space.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
or compulsory labour, or facilitating their travel with the intention of exploiting them soon after.	the police for an investigation. It is not the role of Adult Social Care to undertake investigations into Modern Slavery.		family e.g., care settings, food packaging, cleaning, hospitality sector, food picking, nail bars, car washes. • Adults in fear of providing personal information or seeking medical/social care support due to threats.	• Adults forced to live in sheds, garages, containers, caravans without access to essential amenities such as heat, light, food. • Adults unable to have the freedom, or choice, to leave because their passport or ID has been removed by non-legal means. • Subject to forced marriage • No access to medical care. • Modern slavery concerns. • Concerns related to County Lines and Cuckooing. County Lines and Cuckooing - Derbyshire Safeguarding Adults Board

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
				County lines Derbyshire Constabulary

Neglect and acts of omission (including falls)

Type of abuse	Criteria Not Met	Examples of Lower level concerns	Examples of Medium – Higher level concerns	Examples of Serious – Urgent level concerns (urgent Police response may be required)
Neglect and acts of omission (including falls) Definition: The failure to meet an individual's basic physical, psychological, social and/or health needs. This may include but is not limited to a failure to provide food, clothing and shelter; protection from physical and/ or emotional harm; provide adequate supervision/ interaction with others; provide	Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry Incidents linked to a service provider should be shared with commissioners to enable contract and quality monitoring. A one-off isolated domiciliary care call is delayed or missed, but no harm occurs. A fall occurs where there has been no	- Missed care visit to an adult which has not resulted in harm. - Adult not assisted with an activity as per identified care plan on more than one occasion – no harm occurs. - For an unplanned hospital discharge, refer to the ‘Discharges from Hospital Procedures’.[Derbyshire Link]	- Missed care visit to an adult has resulted in harm e.g. because of a long lie after a fall, missed medication or personal care which has caused discomfort/pain. - Repeated incidents of an adult not being assisted to complete an activity as per their care plan which is affecting their quality of life and wellbeing. - Repeat missed visits to an adult at risk, whether an adverse effect has resulted or not, as this could	- There is a clear breach of ‘duty of care’ and professional practice/responsibility resulting in harm e.g. delay in accessing medical care. This could be a criminal offence of wilful neglect or ill-treatment under Criminal Justice and Courts Act 2015. - Hospital discharge without adequate planning resulting in harm. - Failure or delay in scheduled domiciliary care visits, which results in a deterioration of health, pain, discomfort, or serious injury.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
and/or access appropriate medical care and treatment; to fulfil caring responsibilities and/or interventions.	previous indication of a falls risk and action is taken to reduce further risk. - Isolated fall results in a minor injury, but risk assessments and care plans are in place and have been followed. - Adult lacks ability to manage their own health	- One-off incident of providing food or fluid which is not in line with assessed speech and language requirements resulting in no harm. - Adult unable to manage their health appointments, has not been taken to more than one health appointment and carers have not engaged with attempts by health to resolve barriers or rearrange appointments and	indicate neglectful care and there may be others at risk. - Errors are made with dietary requirements e.g. soft diet, thickened fluids, allergies, or diabetic diet endangered safety or wellbeing of the person - Food/fluid charts have not been completed consistently, or specialist advice has not been sought or followed - Removal of or withholding access to mobility aids - Care plan does not identify how a need will be met, e.g., pain management,	- Repeated failure to respond resulting in serious incidents of harm from a failure to follow procedures - There is a failure to provide nutrition and hydration to an adult resulting in harm - Delay in seeking appropriate medical advice, or failure to follow medical guidance resulting in harm including physical and mental ill-health. - Adult known to mental health or other services reporting suicidal ideation or assessed as a risk of suicide – timely escalation or information not shared resulting in harm.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Neglect and acts of omission <i>(including falls)</i> (continued)	appointments and was not brought to one health check, or appointment (e.g., dental, optician, GP), with no harm caused. NB: Health professionals to take reasonable steps to explore reason for missed appointment, explain importance of the appointment and remove	the adult could be at risk of harm. • One fall with no injury or a minor injury, but the existing falls risk assessment/care plan is out of date or has not been followed, or medical treatment has not been sought in a timely manner	pressure care, constipation, behaviour that challenges, resulting in potential harm. • Failure to recognise and respond to symptoms which may indicate deterioration in health. • One fall causing significant injury and no evidence of the provider’s falls policy being followed, or review of care plans, risk assessments or seeking other appropriate advice including that of medical professionals – please see the falls policy.	• Repeated or serious incidents of harm or abuse because of systematic failures to prevent harm from occurring. • An unauthorised deprivation of liberty. • Deliberate neglect or omission of care by a paid carer or person in a position of trust (PIPOT). • Adult unable to manage their health appointments and has not been taken to multiple health appointments, social activities such as day services. Carers have not engaged with attempts by health to resolve barriers or rearrange appointments and the adult

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
	barriers to attendance. A one-off incident where an adult is not assisted with an activity as per identified care plan – no harm occurs.		• Adult unable to manage their health appointments and has not been taken to multiple health appointments across different services, carers have not engaged with attempts by health to resolve barriers or rearrange appointments and there are known health conditions which need monitoring to maintain health and wellbeing.	has ongoing health conditions needing close monitoring to maintain health and wellbeing and harm has occurred. • Multiple falls which may or may not have caused significant injury and there is no evidence of: the provider's falls policy being followed, a review of care plans and risk assessments, seeking other appropriate advice including that of medical professionals. There is transferrable risk to other adults. Please see the falls policy.

Physical abuse arising from medication errors

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Physical abuse arising from medication errors Definition: Physical abuse arising from medication errors refers to harm or injury caused to a person when they are given the wrong medication, the wrong dose, or medication at the wrong time, in a way that results in physical suffering.	• One-off medication error, or delay, which has been identified and addressed in a timely manner and no actual harm caused. • One-off prescribing or dispensing error by a GP, Pharmacist, or other medical	• Adult does not receive prescribed medication on one occasion or receives it at the wrong time or receives the wrong dose and no harm caused. • One-off prescribing or dispensing error	• Delay in receiving medication, or medication error, resulting in experience of minor reversible symptoms e.g., pain not affecting participation in activities. • Any cumulative lower-level concerns affecting one or more individuals, which could result in potential or actual harm.	• Covert administration of medication without medical/MDT authorisation/ best interest decision recorded. • Any deliberate withholding or misadministration of medication, regardless of the level of harm caused. • Pattern of recurring errors for the same person, or multiple people within the same service.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
This may be accidental or due to negligence, but it still results in the person being physically harmed.	professional with no harm caused. Actions could include contacting Pharmacist, GP or 111 to discuss and confirm any further action required. Share with commissioners to enable quality and contract monitoring and CQC as appropriate Further training for staff.	by a GP, Pharmacist, or other medical professional with no harm caused. Actions could include contacting Pharmacist, GP or 111 to discuss and confirm any further action required. Further training for staff. Informing contracts and commissioning	• Misuse of controlled drugs or not following procedures. • Misuse, or over reliance on sedative to sedate or control behaviour. • Recurring prescribing or dispensing errors by a GP, Pharmacist, or other medical professional, that affects more than one adult. The recurring errors may also relate to administration error by a carer or professional.	• Deliberate falsification of records. • Further information is available in the medication policy. • One-off delay in administering medication with potential for serious harm.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
		teams and CQC as appropriate.		

Physical abuse

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Physical abuse Definition: An act causing injury, trauma, bodily harm or other physical suffering such as hitting, slapping, pushing, kicking, misuse of medications. NB: Incidents should be reported to the Police where a crime is known or suspected.	One-off staff error causing minor accidental injury e.g., mark on skin after removing a dressing/pad. Appropriate and timely action taken. If this is related to a service provider, the commissioner should be informed for quality monitoring Actions could include:	• A minor isolated incident between adults with no marks or bruising, and neither are intimidated nor harmed; action could be care plans amended and risk assessments completed. • Assisting, moving and handling procedures not followed on one	• Any cumulative lower-level concerns/incidents. • Inappropriate restraint. • A preventable incident between adults where injuries have been sustained and emotional distress caused. • Assisting, moving and handling procedures disregarded, making injury likely to happen. • One-off inexplicable marks, cuts, bruising – no records to indicate an accident/no medical	• Assault. • Deliberate withholding of food, drink, care, aids to assist independence. • Inexplicable injuries/fractures. • Assault leading to permanent or substantial injury, or death. • Physical abuse perpetrated by someone in a position of trust. • Incidents of harm are reoccurring, despite being predictable by staff, or the injuries are more serious. • Female Genital Mutilation (FGM)

Physical abuse (continued)	• Further training for staff, increase supervision to prevent reoccurrence. • Inform contracts and commissioning team and CQC, as appropriate.	occasion – no harm caused.	explanation – concern about origin. • Isolated or repeated incident between adults where one or more adult was unable to protect themselves, and actual or significant harm caused. Police referral required in these circumstances, whether mental capacity is lacking or not.	• One-off delay in accessing medical treatment with potential for serious harm. • Adult not taken to one, or a number, of health checks or appointments e.g., dental, optician with potential for, or actual, harm being caused. • Allegations of non-recent abuse.
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Pressure ulcers

Type of abuse	Criteria Not Met	Examples of Lower level concerns	Examples of Medium – Higher level concerns	Examples of Serious – Urgent level concerns (urgent Police response may be required)
Pressure ulcers (PU) Definition: Neglect contributing to pressure ulcer. Pressure ulcer may be new, from previously intact skin and/or deterioration in a current pressure ulcer. Pressure ulcer category (cat): Cat 2 multiple sites - partial thickness loss of skin, area is red/pink may be blistered Cat 3 - full thickness skin loss, adipose fat visible Cat 4 - full thickness skin and tissue loss, structures i.e.	Category 1 and 2 PU where all necessary action has been taken. The skin damage is consistent with the adult's risk status for pressure ulcer development. Adult is unable to make decisions about PU management and necessary documentation has been completed including capacity,	Skin deteriorated to either category 3 or 4 or multiple sites of category 2 ulceration from healthy unbroken skin since the last opportunity to assess or visit - Adult has the capacity to make a decision about wound care, may be non-concordant/making an 'unwise decision', it is clear in the documentation this is a capacitous decision. - Adult has experienced a change (days/ hours) in clinical condition that could have	Skin deteriorated to either category 3 or 4 or multiple sites of category 2 ulceration from healthy unbroken skin since the last opportunity to assess or visit - Adult can make decision about PU management, but care and assessment plan not completed. - Adult is unable to make decision about PU management; capacity assessment and best interest process not documented. - Necessary pressure relieving advice or equipment is unavailable or delay in equipment provision contributing to	Skin deteriorated to either category 3 or 4 or multiple sites of category 2 ulceration from healthy unbroken skin since the last opportunity to assess or visit - Multiple concerns applying to one or more adults who need immediate medical/nursing assessment because of the omissions in PU management. - There are reasonable grounds to suspect the PU was preventable and inadequate measures or evidence of measures were taken to prevent development. N.B. Pressure Ulcer and Safeguarding Assessment Checklist (PUSAC) may also be used to record review and

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
bone/ligament may be visible Suspected Deep Tissue Injury (sDTI) - persistent non-blanching deep red/maroon or purple discolouration, also presents as a blood-filled blister. May be difficult to detect in patients with dark skin tones. Unstageable - Full thickness tissue loss in which the ulcer bed is covered by slough (yellow, tan, grey, green or brown) and/or eschar (tan, brown or black) in the wound bed. Will be at least a category 3 until the wound bed can be visualised.	best interest and risk assessment.	contributed to skin damage e.g. infection, pyrexia, anaemia, end of life changes, critical illness, emergency hospital visit. • There is a PU risk assessment or reassessment with an appropriate PU care plan documented in line with the organisation's policy and guidance. N.B. Pressure Ulcer and Safeguarding Assessment Checklist (PUSAC) may also be used to record review and inform decision-making about a safeguarding referral	development/deterioration of PU. • PU is unexplained. • Professional care/services not sought, delayed, prevented or guidance not followed contributing to development or deterioration of PUs. N.B. Pressure Ulcer and Safeguarding Assessment Checklist (PUSAC) may also be used to record review and inform decision-making about a safeguarding referral	inform decision-making about a safeguarding referral

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Additional guidance on safeguarding and pressure ulcers is available.				

Psychological and emotional abuse

Type of abuse	Criteria Not Met	Examples of Lower level concerns	Examples of Medium – Higher level concerns	Examples of Serious – Urgent level concerns (urgent Police response may be required)
Psychological and emotional abuse Definition: Psychological abuse includes emotional abuse and takes the form of threats of harm or abandonment, deprivation of contact, humiliation, rejection, blaming, controlling, intimidation, coercion, indifference, harassment, verbal abuse (including shouting or swearing), cyber bullying, isolation or withdrawal	Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry - Isolated incident where an adult is spoken to in a rude or inappropriate way - no distress caused. - Isolated incident of ASB (anti-social behaviour) against an adult. Actions could include:	- One-off verbal assault between peers or family - some distress caused - Isolated incident where an adult is spoken to in a rude or inappropriate way – some distress caused. - Isolated incident of ASB (anti-social behaviour) against an adult some distress caused.	- Enforced social isolation, preventing access to services: educational, social or seeing family/friends. - Failure to respect privacy i.e. use of cameras, trackers. - Occasional or on-going bullying (face-to-face or online), which causes distress or intimidation. - Abuse designed to cause humiliation. - Emotional blackmail, including threats of abandonment.	- Multiple reports of ASB (anti-social behaviour). - A denial of basic human rights and civil liberties, such as denying an adult's choice, or over-riding advance decisions. - Prolonged or repeated intimidation, coercion and controlling behaviour, and victimisation, which impacts on the person's ability to make choices. - Threats to cause physical harm. - Verbal abuse perceived as hate crime (face-to-face or online).

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
from services or support networks.	Share information with Safer Neighbourhood teams/ police Ensure adult and staff understand relationship boundaries and what is appropriate behaviour Review risk management assessments/processes Consider further training needs.		• Denying an adult’s choice and opinion. • Treatment or care that undermines dignity and self-esteem. • Damage to property, environment, abuse of pets. • Preventing someone from meeting their religious and cultural needs.	• Suicidal thoughts/ideation as a result of psychological/emotional abuse. • Threats relating to identity (i.e., protected characteristics) or lifestyle. • Threats or intimidation by a person in a position of trust (PIPOT). • Concerns related to County Lines and Cuckooing

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Psychological and emotional abuse (continued)				

Self-harm

Type of abuse	Criteria Not Met	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Self-harm (or self-injury) Self-harm refers to any intentional act of causing physical harm to oneself Common forms include: • Cutting or scratching the skin • Burning	Appropriate support is in place and being followed e.g. risk assessments, care plans, and Positive Behavioural Support plans are implemented. Multi-agency involvement (e.g., mental health services) is active and proportionate. The adult has mental capacity, and they understand the	Inability to avoid self-harm with no prior risk management plans in place. Individual able to discuss triggers and able to use alternative coping strategies Recent loss of some level of social support / interaction Increased social isolation.	The self-harm occurred because Positive Behavioural Support plans, care plans, risk assessments had not been followed this should be considered safeguarding, under neglect and acts of omission. There is evidence of abuse, neglect, or exploitation contributing to the self-injury e.g. domestic abuse, institutional/organisational abuse. The adult lacks mental capacity to understand the consequences of their actions, and is not accepting help, or support.	If someone is being coerced or influenced by others to self-harm. Immediate threat to own life, or others, where the safeguarding criteria is met and the adult is unable to protect themselves, with no risk management plan or protective measures in place. Severe or medically significant self-harm • Rapid escalation or loss of control over behaviour • Use of lethal methods

Type of abuse	Criteria Not Met	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
• Hitting or punching oneself • Overdosing on medication or ingesting harmful substances It's important to note that self-harm is usually a symptom of underlying issues such as trauma, mental health	consequences of their actions and there is no evidence of coercion, exploitation, or abuse by others. The adult does not have needs for care and support that make them unable to protect themselves. Occasional or historic self-harm with no recent escalation		Repeated systemic failure to manage the risk of self-harm. In some cases, repeated or severe self-injury may fall under self-neglect, for example: • persistent, escalating harm despite support • the adult repeatedly injures themselves and refuses or cannot engage with treatment or safety planning. • ignoring wounds, infections, or medical advice after self-injury, leading to serious health risks and could lead to self neglect. • combined with poor nutrition, hygiene, or living	• Co-existing suicidal intent and stated wish to die • Evidence of abuse, coercion, neglect, or exploitation • Refusal of support with worsening presentation. Coercion or exploitation: Evidence that the adult is being coerced, influenced, or manipulated by others to self-harm. Immediate risk to life: An immediate threat to the person's life, or to others, where the adult has care and support needs and is unable to protect themselves. This includes

Type of abuse	Criteria Not Met	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
conditions, or severe emotional distress. Self-harm (or self-injury) does not automatically constitute a safeguarding concern. However, it can become one in certain situations.	Has a collaborative safety plan and is able to use coping strategies outlined in the plan. In all cases, appropriate medical advice should be sought, document each incidence of self-harm including debrief incident reporting and body mapping, multi-disciplinary referrals where necessary and review of support		conditions, indicating an overall inability to protect oneself. • severe self-injury that places life at risk and is part of a pattern of neglecting personal safety. • ambivalence about living, though with no clear intent to end their life. • increasing severity or frequency of injury • the adult repeatedly injures themselves and refuses or cannot engage with treatment or safety planning. • Inability to articulate triggers.	situations where effective risk management or protective measures are absent, have not been implemented, or have not been followed, and this may indicate neglect, omissions in care, or a failure to manage known risks. Severe and escalating self-harm presenting significant risk, including: • Serious or life-threatening self-injury • Rapid escalation or loss of behavioural control • Use of lethal methods

Type of abuse	Criteria Not Met	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
	plans and risk assessments.		• Evidence of significant emotional dysregulation in a crisis situation.	• Co-existing suicidal intent, including a stated wish to die Safeguarding indicators present alongside self-harm: • Evidence of abuse, neglect, coercion, or exploitation contributing to the risk. • Concerns relating to self-neglect, including persistent or worsening presentation. • Limited or no engagement with support where risk is escalating and the adult is unable to protect themselves.

Type of abuse	Criteria Not Met	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.

Self-neglect

Type of abuse	Criteria Not Met	Examples of Lower level concerns	Examples of Medium – Higher level concerns	Examples of Serious – Urgent level concerns (urgent Police response may be required)
Self-neglect Definition: Where an individual neglects their basic needs. Reasons for this may include depression, illness, bereavement, finding achieving these tasks difficult or simply because they choose not to. It is important to consider mental capacity of the individual when determining if someone is making an informed	Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry A lack of or change in engagement with professionals and family/support mechanisms that does not result in any harm, or deterioration of health and wellbeing.	• Self-care and presentation causing some concern which is out of character. Refer to Self-Neglect Toolkit Self-neglect toolkit - Derbyshire Safeguarding Adults Board • Some neglect of property and/or signs of hoarding that is not posing a risk to the adult or others. Refer to the Multi-Agency Hoarding Framework.	• Lifestyle that is becoming increasingly concerning for professionals, family, or community due to risk of harm or exploitation. • Lack of self-care and engagement with health appointments, resulting in deterioration of health and wellbeing or any harm. • Increased substance use causing lifestyle to become consistently unpredictable with an increased risk of harm or exploitation.	• Behaviour poses a risk to self, or others. • Significant deterioration of health and wellbeing and harm. i.e. lack of essential food, clothing or shelter. • Living environment is hazardous, presenting a risk to self and others, or access to property restricted due to hoarding or neglect of property. Tenancy at risk due to level of hoarding. • Multiple reports of concern by other agencies, family or community.

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
choice to live in a certain way. Self-neglect covers a wide range of behaviour, neglecting to care for ones personal hygiene, health or surroundings and includes behaviour such as hoarding. It should be noted that self-neglect may not prompt a s.42 enquiry. An assessment should be made on a case-by-case basis. All standard interventions must be considered/used to support the adult and manage risk before a safeguarding referral is made, e.g., review of care			• Increased reports of concerns from agencies or family that an individual is at increased risk of harm or exploitation. • Property significantly neglected, unsanitary conditions, lack of essential amenities, increased risks due to level of hoarding. • Animal(s) in unsafe/unsuitable conditions.	• Potential fire risks to self and others. • Lifestyle due to substance use causing harm to self and others. • Lack of contact with relevant professionals with significant impact on health and/or wellbeing. • Cumulative effect of the adult repeatedly not following advice/guidance putting themselves or others at significant risk of injury or harm • Repeated falls, including incidents resulting in long lies, may constitute self-neglect where the adult is

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
plan, assessment of social care needs, engagement with fire, environmental health. Utilise professional curiosity to understand why someone is behaving in this way when there are risks or experiences of abuse or neglect. For example, if there is self-neglect or hoarding, try to find out about the person and their background/history. Build up trust or work together with someone who they do trust. A trauma informed approach should always be taken to support the adult.				unable to make decisions about their care and there is a pattern of unmet need, refusal or disengagement from support, and ongoing exposure to significant risk, despite professional intervention.

Sexual abuse

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
Sexual abuse Definition: Including rape, indecent exposure, sexual harassment, inappropriate looking or touching, teasing or innuendo, photography, subsection to pornography or witnessing sexual acts, indecent exposure and assault or acts without	Incidents of sexual abuse for those under the age of 18 years old, including non-recent abuse that has occurred for an adult when they were a child. These should be referred through Safeguarding Children procedures .	Isolated incident, comment, teasing or non-sexualised touching, (excluding genitalia) with no distress caused unless committed by a person in a position of trust (PIPOT).	- Repeated incidents of comments, teasing, unwanted sexualised attention (verbal), that cause distress whether or not adult has mental capacity. - Being exposed to naked genitalia without valid consent or capacity. - Online sexual communication without consent e.g. sharing of images/sexting.	- Sex, attempted sex, rape (penetration of the anus, vagina or mouth) without valid consent or capacity in any environment. - Sexualised touching, or masturbation, without valid consent or capacity in any environment. - Attempted penetration by any means without valid consent or capacity in any environment. - Sexual exploitation, including grooming, or

Type of abuse	Criteria Not Met Does not meet all three elements of the s.42 criteria, and it is not necessary to undertake an enquiry	Examples of Lower level concerns – May not meet S42 criteria. – Outcomes may include providing advice and information.	Examples of Medium – Higher level concerns – S42 criteria met.	Examples of Serious – Urgent level concerns (urgent Police response may be required) – S42 criteria met.
consent. It is recognised that sexual abuse is applied to both men and women. If a crime is suspected, a referral to the Police must be made. Consider mental capacity insight and consent				coercion in any environment. - Any sexual activity (sex, touching, masturbation, sexual assault and exploitation) by a person in a position of trust (PIPOT), with the adult in any environment. - Being made to view pornographic material without valid consent or capacity. - Cybercrime offences and exploitation of vulnerable adults, for example sextortion and grooming to share images. There may be threats and coercion.

A final reminder of alternatives to a safeguarding enquiry

A concern which does not meet the criteria for a safeguarding enquiry will still need to be responded to appropriately. Below is a list of possible alternative actions (**this list is not exhaustive**).

- Assessment of health and social care needs (professional Social Care support). Consider Section 11 duties regarding refusal of assessment and duty to complete this.
- Review of current needs and services: single provider or MDT.
- Provider concerns meeting.
- Actions by contracts and commissioning teams.
- Referral to other services or agencies.
- Complaint processes.
- Disciplinary action.
- Complaint or report to CQC.
- Signposting to alternative preventative services, e.g., Drug and Alcohol, Domestic Abuse, voluntary services, etc.
- MARM - [Multiagency Adult Risk Management \(MARM\) - Derbyshire Safeguarding Adults Board](#)
- Carers assessment.

If you are worried about an adult with care and support needs, do not stay silent. To do nothing is not an option. Decisions made by the safeguarding adult team will be made based on the information available at the time. **In an emergency always contact the relevant emergency service by dialling 999. If it is not an emergency but is a police matter dial 101.**

For all safeguarding adult referrals in Derbyshire please telephone Call Derbyshire before submitting the referral form. [Safeguarding adult referrals - Derbyshire Safeguarding Adults Board \(derbyshiresab.org.uk\)](#)

- from 8am to 8pm on Monday to Friday and from 9:30am to 4pm on Saturdays tel: 01629 533190
- outside office hours tel: 01629 532600

For all safeguarding adult referrals in Derby City, please phone the Safeguarding Adults Team on 01332 642855 in the first instance, and complete a secure electronic [safeguarding referral form](#).

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