

NATIONAL INSTITUTE FOR HEALTH AND CARE EXCELLENCE

Guideline scope

Safeguarding adults in care homes

The Department of Health and Social Care in England has asked NICE to develop a guideline on safeguarding adults in care homes.

The guideline will be developed using the methods and processes outlined in [developing NICE guidelines: the manual](#).

The guideline will contribute to the development of NICE quality standards.

1 Why the guideline is needed

Key facts and figures

Over 465,000 people live in the 22,000 care homes in the UK. Many of these people have high care and support needs, and are vulnerable to abuse and neglect. As well as care home residents, there are people with care and support needs that stay at care homes for short periods, including as day visitors.

In the 2016–17 period (in cases where the setting was recorded), care homes (including homes with and without nursing) accounted for 36% of all safeguarding enquiries under the Care Act 2014.

In its [2017 report](#), the Care Quality Commission stated that in relation to the quality of social care services, it ‘... is nursing homes that remain the biggest concern – 67% were rated as good and 1% as outstanding, with 29% rated as requiring improvement and 3% as inadequate’.

1 Despite the legal safeguarding framework introduced by the Care Act 2014,
2 there is still local variation in how safeguarding concerns are managed and in
3 the effectiveness of local preventative strategies. .

4 **Policy, legislation, regulation and commissioning**

5 Six principles underpin the safeguarding framework:

- 6 • empowerment
- 7 • prevention
- 8 • proportionality
- 9 • protection
- 10 • local solutions, through services working with their communities
- 11 • accountability.

12 As well as these 6 principles, the guideline will take account of initiatives such
13 as [Making Safeguarding Personal](#). This initiative aims to focus on the
14 outcomes of safeguarding work, working with people to achieve meaningful
15 improvement to their circumstances (rather than just focusing on
16 investigations and conclusions). The guideline will also use the ‘wellbeing
17 principle’ within the Care Act, which puts wellbeing at the heart of all care and
18 support.

19 Section 42 of the Care Act places a statutory duty on local authorities to make
20 an enquiry when there is reasonable cause to suspect that an adult with care
21 and support needs:

- 22 • is experiencing or at risk of experiencing abuse and neglect **and**
- 23 • is unable to safeguard themselves because of their care and support
24 needs.

25 The local authority investigates and decides whether any action is needed,
26 and if so by whom. The decision to investigate depends only on the criteria
27 above, and not on whether the person is eligible for local authority services.

28 Statutory guidance for the Care Act states that:

1 ‘... safeguarding means protecting an adult’s right to live in safety, free
2 from abuse and neglect. It is about people and organisations working
3 together to prevent and stop both the risks and experience of abuse or
4 neglect, while at the same time making sure that the adult’s wellbeing is
5 promoted including, where appropriate, having regard to their views,
6 wishes, feelings and beliefs in deciding on any action. This must
7 recognise that adults sometimes have complex interpersonal
8 relationships and may be ambivalent, unclear or unrealistic about their
9 personal circumstances.’

10 This guideline will cover a broad population of people accessing care and
11 support in care homes, including older people, people with learning and or
12 physical disabilities, people living with dementia, people with communication
13 difficulties and people who may lack capacity now or in the future. It will also
14 consider the particular safeguarding needs of people without relatives, friends
15 or advocates.

16 The guideline will use the definitions of abuse and neglect in the Care Act,
17 which cover:

- 18 • physical abuse
- 19 • domestic violence
- 20 • sexual abuse
- 21 • psychological abuse
- 22 • financial or material abuse
- 23 • modern slavery (such as forced labour)
- 24 • discriminatory abuse
- 25 • organisational abuse
- 26 • neglect and acts of omission
- 27 • self-neglect.

28 **2 Who the guideline is for**

29 This guideline is for:

- 30 • health and social care practitioners working with adults in care homes

- 1 • care home providers, managers and staff
- 2 • health and social care commissioners of residential care for adults
- 3 • adults living in care homes, their families, friends, carers and advocates,.

4 It may also be relevant for:

- 5 • Safeguarding Adults Boards
- 6 • practitioners working within other residential settings where care and
7 support is provided, such as registered group homes.
- 8 • advocacy and user-led organisations, including Healthwatch
- 9 • providers of services within care homes (for example hairdressers or
10 activity coordinators).

11 NICE guidelines cover health and care in England. Decisions on how they
12 apply in other UK countries are made by ministers in the [Welsh Government](#),
13 [Scottish Government](#), and [Northern Ireland Executive](#).

14 ***Equality considerations***

15 NICE has carried out [an equality impact assessment](#) during scoping. The
16 assessment:

- 17 • lists equality issues identified, and how they have been addressed
- 18 • explains why any groups are excluded from the scope.

19 The guideline will look at inequalities relating to age, ethnicity, disability,
20 sexual orientation, family carers, and people whose first language is not
21 English.

22 **3 What the guideline will cover**

23 ***3.1 Who is the focus?***

24 **Groups that will be covered**

- 25 • Adults aged 18 and over who are accessing care and support in care
26 homes that are registered with the Care Quality Commission.

1 **3.2 Settings**

2 **Settings that will be covered**

- 3 • Care homes (with or without nursing) that are registered with the Care
4 Quality Commission

5 **Settings that will not be covered**

- 6 • Retirement housing
- 7 • Care at home
- 8 • Hospitals, including specialist units
- 9 • Prisons
- 10 • Hospices
- 11 • Further education settings

12 **3.3 Activities, services or aspects of care**

13 **Key areas that will be covered**

14 We will look at evidence in the areas below when developing the guideline,
15 but it may not be possible to make recommendations in all the areas.

- 16 1 Identifying abuse in care homes
- 17 2 Identifying neglect in care homes
- 18 3 Managing safeguarding concerns:
 - 19 – responding to safeguarding concerns about abuse, and to suspected
20 acts of abuse by organisations or individuals (as defined in the Care
21 Act statutory guidance).
 - 22 – responding to safeguarding concerns about neglect, and to suspected
23 self-neglect or neglect by organisations or individuals (as defined in
24 the Care Act statutory guidance).
 - 25 – supporting the people affected, including residents, family and friends
26 and staff working in care homes.
- 27 4 Partnership working and communication
- 28 5 Training and skills for safeguarding
- 29 6 Embedding learning to prevent abuse and neglect.

1 **Areas that will not be covered**

- 2 1 Criminal investigations and court proceedings
- 3 2 The work of Safeguarding Adults Boards
- 4 3 The work of the Care Quality Commission

5 **Related NICE guidance**

6 ***Published***

- 7 • [People's experience in adult social care services: improving the experience](#)
8 [of care and support for people using adult social care services](#) (2018) NICE
9 guideline NG86
- 10 • [Dementia: assessment, management and support for people living with](#)
11 [dementia and their carers](#) (2018) NICE guideline NG97
- 12 • [Care and Support of people growing older with learning disabilities](#) (2018)
13 NICE guideline NG96
- 14 • [Learning disabilities and behaviour that challenges: service design and](#)
15 [delivery](#) (2018) NICE guideline NG93
- 16 • [Transition between inpatient mental health settings and community or care](#)
17 [home settings](#) (2017) NICE quality standard 159
- 18 • [Transition between inpatient hospital settings and community or care home](#)
19 [settings for adults with social care needs](#) (2016) NICE quality standard 136
- 20 • [Transition between inpatient mental health settings and community or care](#)
21 [home settings](#) (2016) NICE guideline NG53
- 22 • [Home care: delivering personal care and practical support to older people](#)
23 [living in their own homes](#) (2015) NICE guideline NG21
- 24 • [Transition between inpatient hospital settings and community or care home](#)
25 [settings for adults with social care needs](#) (2015) NICE guideline NG27
- 26 • [Managing medicines in care homes](#) (2014) NICE guideline SC1
- 27 • [Mental wellbeing of older people in care homes](#) (2013) NICE quality
28 standard 50
- 29 • [Patient experience in adult NHS services](#) (2012) NICE guideline CG138

1 ***In development***

- 2 • [Decision making and mental capacity](#) (publication expected October 2018)
3 NICE guideline

4 **3.4 *Economic aspects***

5 We will take economic aspects into account when making recommendations.
6 We will develop an economic plan that states for each review question (or key
7 area in the scope) whether economic considerations are relevant, and if so
8 whether this is an area that should be prioritised for economic modelling and
9 analysis. We will review the economic evidence and carry out economic
10 analyses, using a public sector perspective. However, we may also use a
11 wider perspective including additional costs and outcomes related to the
12 people using services and their carers, as appropriate.

13 **3.5 *Key issues and draft questions***

14 While writing this scope, we have identified the following key issues and draft
15 questions related to them:

- 16 1 Identifying abuse in care homes:
17 1.1 What signs and symptoms are associated with abuse by individuals
18 and organisations in care homes?
19 1.2 What are the barriers and facilitators to identifying abuse by
20 individuals and organisation in care homes?
21 2 Identifying neglect in care homes:
22 2.1 What signs and symptoms are associated with neglect by individuals
23 and organisations in care homes (including self-neglect)?
24 2.2 What are the barriers and facilitators to identifying neglect by
25 individuals and organisations in care homes (including self-neglect)?
26 3 Managing safeguarding concerns about abuse and neglect and
27 supporting people affected:
28 3.1 What is the effectiveness, cost effectiveness and acceptability of
29 different approaches to reporting safeguarding concerns and responding
30 to abuse in care homes?

1 3.2 What is the effectiveness, cost effectiveness and acceptability of
 2 different approaches to reporting safeguarding concerns and responding
 3 to neglect in care homes?

4 3.3 What support and information is needed by adults accessing care
 5 and support in care homes, and by practitioners and families, when a
 6 safeguarding concern is raised?

7 4 Partnership working and communication

8 4.1 What are the barriers and facilitators to successful partnership
 9 working, information sharing and communication involving care homes,
 10 local authorities, Safeguarding Adults Boards and local health
 11 organisations?

12 5 Training and skills for safeguarding

13 5.1 What models of training for safeguarding in care homes have
 14 positive outcomes?

15 6 Embedding learning to prevent abuse and neglect

16 6.1 What are the barriers and facilitators to individual and organisational
 17 learning about preventing and identifying abuse and neglect?

18 6.2 What are the barriers and facilitators to individual and organisational
 19 learning about managing safeguarding concerns?

20 6.3 What is the effectiveness, cost effectiveness and acceptability of
 21 approaches to embed learning about safeguarding in care homes to help
 22 prevent abuse and neglect?

23

24 The key issues and draft questions will be used to develop more detailed
 25 review questions, which guide the systematic review of the literature.

26 **3.5 Main outcomes**

27 The main outcomes that may be considered when searching for and
 28 assessing the evidence are:

29 1 Morbidity (including physical and mental health, avoidable harm and
 30 injuries)

31 2 Mortality

- 1 3 Quality of life (including social care, mental health and health related
2 outcomes)
- 3 4 Views and experiences of people using care homes, staff and families
4 (for example, gathered qualitatively or through the Making Safeguarding
5 Personal Outcomes Framework)
- 6 5 Workforce skills
- 7 6 Unnecessary transfers between settings
- 8 7 Economic outcomes (including resource use and impact on other
9 services)

10

11 **4 NICE quality standards and NICE Pathways**

12 **4.1 NICE quality standards**

13 **NICE quality standards that may need to be revised or updated when
14 this guideline is published**

- 15 • To be confirmed

16 **NICE quality standards that will use this guideline as an evidence source
17 when they are being developed**

- 18 • To be confirmed

19 **4.2 NICE Pathways**

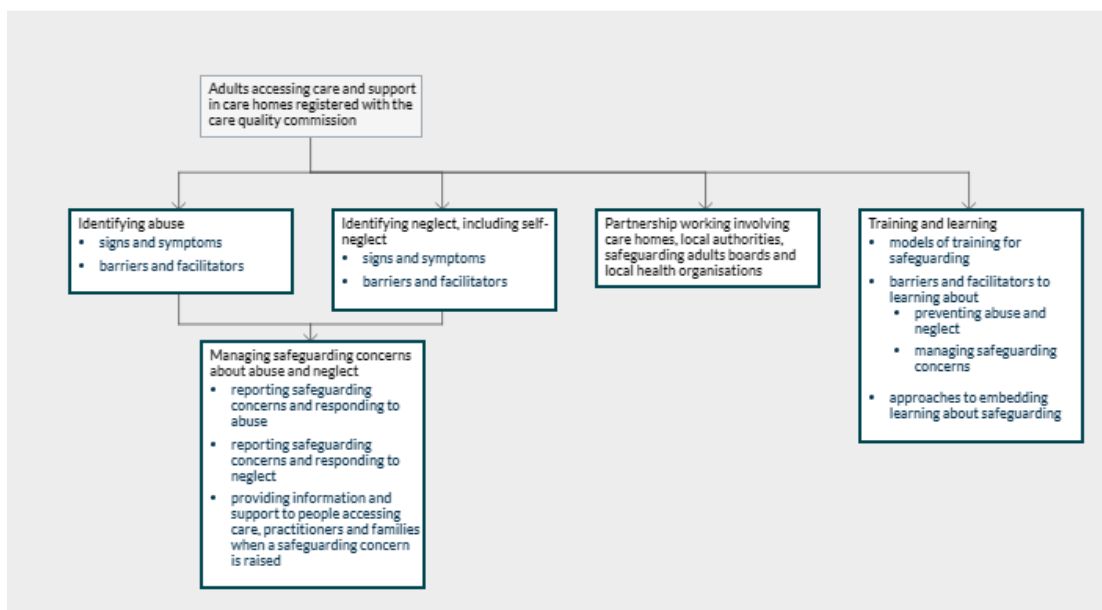
20 NICE Pathways bring together everything we have said on a topic in an
21 interactive flowchart. When this guideline is published, the recommendations
22 will be included in the NICE Pathway on safeguarding adults in care homes (in
23 development).

24 An outline based on this scope is included below. It will be adapted and more
25 detail added as the recommendations are written during guideline
26 development. Links will be added to relevant NICE Pathways.

27

28

Safeguarding adults in care homes overview



1

2 5 Further information

This is the draft scope for consultation with registered stakeholders. The consultation dates are 29 August to 26 September 2018.

The guideline is expected to be published in October 2020.

You can follow progress of the [guideline](#).

Our website has information about how [NICE guidelines](#) are developed.

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