SAMPLE DOCUMENT

Sample document from the CareRulebook Wales CIW registration pack. Fictional agency. Rule-verified on 5 November 2026.

This is Document 2.2 of the 32 in the pack, exactly as it prints in a buyer's copy, but filled in with example answers for a fictional agency, Sample Home Care Ltd. Rule-verified means each quote under Rule basis was checked word for word against the official text we saved on that date. It is not legal advice.

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DOCUMENT 2.2

Safeguarding adults and children at risk

Business name	Sample Home Care Ltd
Person responsible for this document	Sam Sample
Date created	1 December 2026
Review date	1 December 2027

Purpose

To keep the people Sample Home Care Ltd supports safe from abuse, neglect and improper treatment, and to make sure everyone who works for us knows how to recognise it, what to do straight away, who to tell and what to record. This is our safeguarding policy and procedure under regulation 27 of the Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017, one of the ten policies regulation 12(1) requires. It follows the Wales Safeguarding Procedures, as the Welsh Government's statutory guidance expects, and sets out what we must tell Care Inspectorate Wales (CIW), the Disclosure and Barring Service (DBS) and Social Care Wales.

Scope

Everyone who works for Sample Home Care Ltd: the manager, care workers, senior care workers, office and on-call staff, and anyone who works for us through another organisation or under a contract for services.

It covers any concern that an adult we support is at risk of abuse or neglect, whoever may be causing it: a relative, a friend, a neighbour, a stranger, another professional, someone who works for us, or the way our own service is run. It also covers a child, or another adult, that a care worker is worried about when they visit someone's home, and concerns about a practitioner's behaviour in their private life. We do not provide care and support to children, but our staff may meet children in the homes they visit, so this policy says what to do.

Policy

What abuse, neglect and improper treatment mean

The Regulations define the words this policy uses:

- **Abuse** means physical, sexual, psychological, emotional or financial abuse and, in relation to a child, any other harm.
- **Financial abuse** includes having money or other property stolen, being defrauded, being put under pressure in relation to money or other property, and having money or other property misused.
- **Neglect** has the meaning given in the Social Services and Well-being (Wales) Act 2014. In practice it can look like a person being left without food, drink, warmth, medicines, help with personal care, or the care their personal plan says they need, whether by a carer, by a service (including ours) or by the person themselves.
- **Improper treatment** includes discrimination or unlawful restraint, including inappropriate deprivation of liberty under the terms of the Mental Capacity Act 2005. Our policy on the use of control or restraint and our policy on consent, mental capacity and deprivation of liberty set out how we prevent it.

Signs to look out for. One sign on its own does not prove abuse, and a person can be experiencing more than one kind at once. Examples care workers may notice in a person's home are:

- unexplained bruises, burns, marks or injuries, or explanations that do not fit the injury;
- a person who seems frightened, withdrawn, anxious or eager not to upset someone they live with;
- missing money, unpaid bills, unusual bank withdrawals, someone new taking control of the person's money, or pressure about gifts or a will;
- a person left in soiled clothes or bedding, without food or drink, or without the medicines or equipment they need;
- a relative or visitor who will not let the care worker see the person alone, or who restricts who the person can see;
- signs of sexual abuse, or a person telling you something has happened that they did not want;
- poor practice by a colleague, such as rough handling, being rushed, being shouted at, visits cut short, or records that do not match what happened.

Adults at risk and children at risk. The 2014 Act defines an adult at risk as an adult who is experiencing or is at risk of abuse or neglect, has needs for care and support (whether or not the local authority is meeting any of them), and as a result of those needs cannot protect themselves against the abuse or neglect or the risk of it. A child at risk is a child who is experiencing or is at risk of abuse, neglect or other kinds of harm, and has needs for care and support. Care workers do not need proof, and do not need to decide whether the definition is met: "at risk" means abuse or neglect does not need to have happened yet. The local authority decides.

Who does what

- **The local authority leads.** When a local authority has reasonable cause to suspect that a person in its area is an adult at risk, it must make whatever enquiries it thinks necessary and decide whether any action should be taken. The local authority's social services, alongside the police, have the statutory powers to investigate suspected abuse or

neglect. The local authority for our main area is Cardiff Council, but we report to the local authority where the concern is thought to have happened, which may not be the area our office is in.

- **What the Wales Safeguarding Procedures expect of us.** The 2014 Act places its statutory duty to report adults and children at risk on a local authority's "relevant partners", such as the police and health boards. Our reading is that a private domiciliary support provider such as Sample Home Care Ltd is not on that list. The Wales Safeguarding Procedures say that everyone else, including private organisations, is still expected to report any safeguarding concern in the same way as those with a specific duty. We do. So in this policy, reporting to the local authority is what the Wales Safeguarding Procedures expect of us, and we treat it as something we always do.
- **What the law requires of us.** Sample Home Care Ltd must:
  - provide the service in a way which ensures that individuals are safe and are protected from abuse, neglect and improper treatment (regulation 26);
  - have, and operate effectively, policies and procedures for preventing abuse, neglect and improper treatment and for responding to any allegation or evidence of it (regulation 27(1) and (3));
  - where there is an allegation or evidence of abuse, neglect or improper treatment, follow this policy, take immediate action to ensure the safety of all the individuals we support, make appropriate referrals to other agencies, and keep a record of the evidence or the substance of the allegation, any action taken and any referrals made (regulation 27(4));
  - notify CIW of any abuse or allegation of abuse that involves Sample Home Care Ltd, a member of staff or a volunteer, any allegation of misconduct by a member of staff, any serious accident or injury to an individual, and any incident reported to the police (Schedule 3, paragraphs 13, 15, 17 and 19);
  - make a failure by an employee to report abuse, or suspected abuse, to an appropriate person a ground for disciplinary proceedings (regulation 39(2)(b));
  - refer a person to the DBS where we remove them from work with the people we support because they have harmed, or may harm, a vulnerable adult or a child, or for the other reasons in section 35 of the Safeguarding Vulnerable Groups Act 2006, or would have removed them had they not left (see "Concerns about someone who works for us").
- **What Social Care Wales expects of us as an employer.** The Code of Professional Practice for Social Care Employers asks us to have and monitor policies and procedures to respond to allegations of harm, neglect or abuse, to make sure workers know the signs and what to do, to comply with the law on safeguarding and train staff, to deal with disciplinary matters (including referrals to Social Care Wales's Fitness to Practise Team), and to refer workers whose fitness to practise may be impaired to Social Care Wales.

Our commitments

1. **Everyone's responsibility.** Every member of staff must report any concern about abuse, neglect or improper treatment straight away, using this procedure, even if it is only a

suspicion. No one at Sample Home Care Ltd may stop, delay or discourage a report. Failing to report abuse, or suspected abuse, to an appropriate person is grounds for disciplinary proceedings.

2. **The person comes first.** The safety of the person is paramount. We listen to them, take what they say seriously, use their own words in our records, and involve them in decisions as far as they can be involved. We tell them what we are doing and why, unless that would put them or someone else at greater risk.
3. **Their views and their information.** We tell the person, and ask for their views, before we report a concern where it is safe to do so. A concern that someone is at risk of harm is never kept secret: we share the information needed with the local authority, the police or other agencies, following data protection law, and record what we shared, with whom, when and why, and whether the person agreed.
4. **We report, we do not investigate.** We report concerns and help the local authority and the police with their enquiries. We do not question the person in detail, confront anyone we suspect, or do anything that could warn them or spoil evidence.
5. **Everyone we support is kept safe.** When there is an allegation or evidence of abuse, we take immediate action to make sure every person we support is safe, not only the person concerned.
6. **People who raise concerns are protected.** No one is treated less well for raising a concern in good faith. Our whistleblowing policy sets out how staff can raise concerns about the service itself, inside or outside Sample Home Care Ltd.
7. **Outcomes are shared.** We tell the person the outcome of any safeguarding referral in a way that suits their age, understanding and any communication needs, and tell their representative where that is appropriate.

How we prevent abuse

- **Safer recruitment.** Every care worker and the manager has an enhanced DBS certificate with a barred list check before they start, and references are checked, as our safer recruitment policy sets out.
- **Training.** Staff are trained at induction, before they visit anyone alone, in their responsibility to safeguard people, in this policy and the local safeguarding arrangements, how to raise a concern, and how our whistleblowing policy supports raising a concern about someone who works for us. Training then continues at regular intervals, in line with local safeguarding arrangements and Social Care Wales's safeguarding training, learning and development standards. Our staff support and development policy sets out the training programme.
- **Supervision.** Supervision regularly revisits this procedure, to find and fill any gaps in what staff know.
- **Job descriptions and contracts.** Every job description and employment contract includes the duty to report and to safeguard adults, as the Wales Safeguarding Procedures say all organisations must. [If you have a staff code of conduct or handbook, include the duty there too.]
- **Information for people we support.** When they begin using the service, people and their representatives are told about safeguarding, how to raise a concern and the help

available to do so, including how to get independent professional advocacy. This is in our written guide to the service.

- **Other policies that protect people.** Our policies on supporting individuals to manage their money, the use of control or restraint, consent and mental capacity, medication, and conflicts of interest, gifts and wills all help to prevent abuse. Our visit scheduling policy helps prevent neglect from missed or rushed visits.
- **Working with others.** We work with other professionals and agencies to assess and manage risks to the people we support and take part in the safeguarding process when asked.

Procedure

Step 1: What any member of staff does

1. **If anyone is in immediate danger, call 999** for the police, and an ambulance if someone is seriously hurt. Do this without delay. Think about the safety of anyone else in the home, including children.
2. **Make the person as safe as you can**, and get medical help if they need it.
3. **Listen** calmly and take it seriously. Let the person tell you in their own words. Do not ask leading questions or press for details, and do not offer your own explanation.
4. **Do not promise to keep it secret.** Explain kindly that you must tell someone whose job is to help keep them safe, and that it will be shared only with people who need to know.
5. **Preserve evidence.** If a crime may have been committed, do not clean, tidy or throw anything away, unless the person needs it for their safety or comfort.
6. **Tell the safeguarding lead straight away**, before you leave the area if you can: Sam Sample, Manager, on 07700 900001. If you cannot reach them, ring the office on 029 2018 0000 (Monday to Friday, 9am to 5pm) or the on-call number, 07700 900000, at any other time. If you cannot reach anyone at Sample Home Care Ltd and you believe someone is at immediate risk, ring the local authority on 029 2018 0002 (out of hours, 029 2018 0003) or the police yourself.
7. **Write it down** before the end of your shift, on the safeguarding concern record below: what you saw or heard, the person's own words, the date, time and place, who else was there, and what you did. Record facts, and say clearly which parts are your opinion. Sign and date it.
8. **Do not discuss it** with anyone else, including colleagues and the person's family, unless the safeguarding lead asks you to.

If the concern is about the safeguarding lead, tell the manager. If it is about the manager or someone else who works for us, follow "Concerns about someone who works for us" below.

Step 2: What the safeguarding lead does

The safeguarding lead acts on the same day the concern is raised:

1. **Makes sure everyone is safe.** Takes immediate action to ensure the safety of the person and of everyone else we support, for example by changing which care worker visits, sending a second care worker, or asking the police or an ambulance to attend.

2. **Decides whether to report.** Any concern that an adult or a child may be at risk is reported to the local authority (Step 3). If the safeguarding lead is unsure whether a concern needs reporting, they ring the local authority for advice, and record the advice and who gave it. A decision not to report, and the reasons, is always recorded on the concern record and checked by the manager.
3. **Talks to the person**, where it is safe, about the concern and what will happen next, and records their views. If the person has mental capacity and does not want a report made, the safeguarding lead records their wishes and asks the local authority for advice before deciding. They always report where others may be at risk, a crime may have been committed, the concern involves someone who works for us, or the person may be under pressure from someone else. Where a person may lack capacity to make the decision, our policy on consent, mental capacity and deprivation of liberty applies.

Step 3: Report to the local authority

1. The safeguarding lead reports the concern without delay to the local authority's social services for the area where the concern is thought to have happened. For Cardiff Council, ring 029 2018 0002. If the concern happened in another area, ring that local authority; if unsure which, ask Cardiff Council for advice.
2. **Out of office hours**, ring the emergency duty team on 029 2018 0003. If no one in the emergency duty team can be reached, and the person is at immediate risk and delay could increase the risk, ring the police.
3. **Report a possible crime** to the police as well (999 in an emergency), after making sure the person is safe, and tell the local authority you have done so.
4. Give the facts on the concern record: the person's details, what has happened or what is feared, what has been done to keep them safe, who else knows, and whether the person knows about the report and what they think.
5. If the local authority asks for the report in writing, send it as soon as it asks, and keep a copy.
6. Record the date and time of the report, who took it, any reference number and the advice given, on the referral and notification tracker below.

Step 4: Notify CIW

The manager notifies CIW through CIW Online, using the Abuse/Allegation of Abuse notification, of any abuse or allegation of abuse in relation to a person we support that involves Sample Home Care Ltd, a member of staff or a volunteer. The manager also notifies CIW of any incident reported to the police, any allegation of misconduct by a member of staff, and any serious accident or injury to a person we support, choosing the matching notification. Notifications are made without delay and in writing; the statutory guidance says this is usually within 24 hours of the event. Each notification includes the details of the event, and the manager updates CIW with the outcome. Our notifications document lists every event CIW must be told about.

Step 5: After the report

1. **Co-operate.** We give the local authority and the police the information they ask for, go to strategy discussions and meetings when invited, and do what is agreed to keep the

person safe.

2. **Keep the person and their plan under review.** The manager reviews the person's personal plan and risk assessments, and changes visits or support where needed.
3. **Follow up.** If we have not heard from the local authority about what is happening, the safeguarding lead asks, and records it.
4. **Tell the person the outcome**, as commitment 7 says.
5. **If we disagree** with the local authority's decision, the safeguarding lead discusses it with the local authority and records the discussion. If we still believe the person is at risk, the manager raises it at a more senior level in the local authority.
6. **Support staff.** Raising a concern can be upsetting. The manager offers the care worker a debrief and support.
7. **Learn.** What we have learned is recorded on the tracker, and safeguarding matters are looked at during the responsible individual's visits and in the six-monthly quality of care review.

Concerns about someone who works for us

The Wales Safeguarding Procedures, Section 5, set out how allegations about practitioners and people in positions of trust are managed. A concern about someone who works for Sample Home Care Ltd is managed under Section 5 where it is alleged that they have behaved in a way that has harmed, or may have harmed, an adult at risk or a child; possibly committed a criminal offence against or related to an adult at risk or a child; behaved towards an adult at risk or a child in a way that indicates they may pose a risk of harm; or behaved in their private life in a way that may indicate a risk in their work. Concerns below that threshold are dealt with as conduct or disciplinary matters under our staff discipline policy.

The person who first hears the concern treats it seriously and keeps an open mind, does not investigate or ask leading questions, does not promise confidentiality, writes down what was said (time, date, place, who was there, and the person's own words where possible), and reports it straight away:

- to the safeguarding lead or, if the concern is about the safeguarding lead, to the manager;
- if the concern is about the manager, to the responsible individual, Alex Sample, on 07700 900002.

Sample Home Care Ltd as the employer then:

1. **Makes sure people are safe.** Takes immediate action to ensure the safety of the person and of everyone else the worker supports. If anyone is in immediate danger, calls the police.
2. **Refers the person concerned.** Reports the concern about the person who may have been harmed to the local authority (Step 3).
3. **Notifies the local authority's designated officer.** Tells the Local Authority Designated Officer (LADO) or Designated Officer for Safeguarding (DOS) within 24 hours of the allegation or concern arising, or by the next working day if it arises out of office hours, making clear it is an allegation about a practitioner and sending the risk assessment

and what has been done to protect people. The LADO or DOS for Cardiff Council: [name, phone and email].

4. **Completes a risk assessment.** Decides, using the suspension risk assessment in our staff discipline policy, what measures are needed while enquiries continue: support, restrictions, a change of duties, or suspension. The safety of the people we support comes first. The actions are shared with the LADO or DOS.
5. **Asks before telling the worker.** Asks the police or the LADO or DOS how much information can be given to the worker about the allegation, so that enquiries are not harmed.
6. **Supports the worker.** Gives the worker welfare and well-being support, and tells them where they can get independent advice.
7. **Notifies CIW** of the abuse or allegation of abuse, and of the allegation of misconduct (Step 4).
8. **Records** the allegation, every action taken, by whom, and the reasons for each decision, on the allegation record below.
9. **Follows our staff discipline policy**, once the police and the local authority say it will not harm their enquiries.
10. **Refers to the DBS** where Sample Home Care Ltd removes the worker from work with the people we support (by dismissing them, or otherwise withdrawing permission for them to do that work) because it thinks they have harmed or may harm a vulnerable adult or a child, put one at risk of harm, or engaged in relevant conduct, or because one of the other grounds in section 35 of the Safeguarding Vulnerable Groups Act 2006 applies. The duty also applies if we would or might have removed them had they not already left. The manager makes the referral when the decision is made, following the DBS guidance on the duty to make barring referrals.
11. **Refers to Social Care Wales** a registered worker or manager whose fitness to practise may be impaired, and tells the worker a referral has been made where that is appropriate. If a worker leaves before a disciplinary process is finished, we still consider whether a referral to the police, the DBS or Social Care Wales is needed.

If the worker was supplied by an agency, we tell the agency about the allegation and how we are managing it, and work with the agency's own process.

Concerns about a child

We do not provide care to children, but care workers may meet children in the homes they visit. A child at risk is reported in the same way as an adult, to the local authority's children's social services for the area where the concern is thought to have happened (for Cardiff Council: 029 2018 0002, or [the children's services number, if different]), or out of hours to the emergency duty team on 029 2018 0003, or to the police if a child is in immediate danger. If a child tells a care worker about abuse, they follow Step 1. The Wales Safeguarding Procedures' overview for children asks whether a report should be made immediately by telephone and followed up within 24 hours in writing, and says to make sure social services respond within 7 working days, or chase it up. The safeguarding lead follows that overview for every report about a child.

Concerns about other adults and about practitioners in their private life

A care worker may be worried about another adult in the home, such as an unpaid carer or a partner. They report it in the same way. The duty to report also extends beyond work: if a member of staff becomes aware that a friend, relative or neighbour who works with children or adults at risk may be harming someone, they report it to the safeguarding lead or the local authority.

Sample Home Care Ltd: Safeguarding concern record

Complete one record for each concern. Keep it confidential and separate from the person's daily notes.

Item	Details
Name of the person the concern is about, and their address	
Date, time and place of the concern, or when it was noticed	
What you saw or heard (facts)	
What the person said, in their own words	
Who else was there	
Any injuries or marks (describe; do not photograph intimate areas)	
What you did straight away (999, ambulance, made safe)	
Your opinion, if any, marked as opinion	
Who you told at Sample Home Care Ltd, and when	
Completed by (name, role, signature, date and time)	
For the safeguarding lead: immediate action to keep the person and others safe	
The person's views, and whether they know about the report	
Decision to report to the local authority (yes or no) and the reasons; advice taken	
Checked by the manager (name, date)	

Sample Home Care Ltd: Safeguarding referral and notification tracker

Concern reference	Local authority report (area, date, time, who took it, reference)	Police (date, reference)	CIW notification (form, date sent)	LADO or DOS (date)	DBS referral (date)	Social Care Wales referral (date)	Outcome and date shared with the person	Closed (date, by)

Sample Home Care Ltd: Allegation about a member of staff record

Item	Details
Name and role of the worker the allegation is about	
Date the allegation was received, from whom, and how	
The allegation (facts, in the words used)	
People we support who may be affected	
Immediate action to keep people safe (date, by whom)	
Report to the local authority about the person who may have been harmed (date, reference)	
LADO or DOS told (name, date and time; within 24 hours or the next working day)	
Risk assessment completed (date); measures decided (support, restrictions, change of duties, suspension) and reasons	
Advice from the police or LADO or DOS on what to tell the worker (date, advice)	
Information given to the worker, and when	
Welfare support offered to the worker	
CIW notifications (abuse or allegation of abuse; allegation of misconduct), dates	
Section 5 strategy discussion or meeting (dates, actions for us)	
Outcome of enquiries	
Disciplinary action under our staff discipline policy (date, outcome)	
DBS referral considered (decision, reasons, date sent)	
Social Care Wales referral considered (decision, reasons, date sent)	
Every decision recorded with its reasons, and by whom (initials and dates)	
Closed (date, signature)	

Sample Home Care Ltd: Staff acknowledgement of the safeguarding policy

I have read and understood Sample Home Care Ltd's safeguarding policy. I know how to recognise abuse, neglect and improper treatment; that I must report any concern straight away to the safeguarding lead, Sam Sample, on 07700 900001; that I can report to the local authority or the police myself if I cannot reach anyone at Sample Home Care Ltd and someone is at immediate risk; and that failing to report abuse, or suspected abuse, is grounds for disciplinary proceedings.

Name	Role	Signature	Date

Responsibilities

- **The responsible individual:** make sure this policy is in place, kept up to date and operated effectively; oversee safeguarding through the visits at least every three months and the six-monthly quality of care review; report safeguarding matters to Sample Home Care Ltd's directors or partners as part of the governance arrangements.
- **The manager (Sam Sample):** make sure staff are trained, supervised and know this policy; check every decision not to report; make the CIW notifications; manage allegations about staff under Section 5 and our staff discipline policy; make DBS and Social Care Wales referrals; keep the records.
- **The safeguarding lead (Sam Sample):** receive concerns, take immediate action to keep people safe, report to the local authority and the police, keep the tracker, and follow up.
- **Care workers and all staff:** know the signs, follow Step 1, report every concern straight away and record it, and never discourage anyone from reporting.

Records

Safeguarding concern records, the referral and notification tracker, allegation records, copies of any written reports and CIW notifications, and signed staff acknowledgements. Records are kept securely, separately from people's daily notes and personnel files, and shared only with those who need to know. A written report of any disciplinary action is kept on the worker's file. The manager reviews the tracker at least every three months to look for patterns, and the analysis of safeguarding matters is part of the six-monthly quality of care review. Records are kept for the periods in our records and retention policy.

Recommended practice

- When you report to the local authority by phone, follow it up in writing within 24 hours, and chase it up if you have not had a response within 7 working days, as the Wales Safeguarding Procedures' overview suggests for children.
- Name a deputy for the safeguarding lead, so a lead is always available, including out of hours through the on-call rota.
- Put the local authority safeguarding and out-of-hours numbers, and the LADO or DOS contact, on the staff ID badge card or in the care worker app.
- If you are unsure whether an event must be notified to CIW, notify it, or ring CIW on 0300 7900 126 for advice.
- Use one safeguarding case study in each team meeting, so that staff practise what to look for and what to do.

References

- Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017 (W.S.I. 2017/1264): https://www.legislation.gov.uk/wsi/2017/1264/contents
- Welsh Government, Statutory guidance for service providers and responsible individuals: care home services and domiciliary support services (March 2024): https://www.gov.wales/sites/default/files/publications/2024-03/guidance-for-care-home-and-domiciliary-suppliers-2024.pdf
- Wales Safeguarding Procedures (Social Care Wales): https://safeguarding.wales/en/

- Social Services and Well-being (Wales) Act 2014: https://www.legislation.gov.uk/anaw/2014/4/contents
- Safeguarding Vulnerable Groups Act 2006: https://www.legislation.gov.uk/ukpga/2006/47/contents
- Social Care Wales, Code of Professional Practice for Social Care Employers (applies from 1 July 2026): https://socialcare.wales/codes-of-practice-and-guidance/code-of-professional-practice-for-social-care-employers
- Social Care Wales, Code of Professional Practice for Social Care Workers: https://socialcare.wales/codes-of-practice-and-guidance/code-of-professional-practice-for-social-care-workers
- Care Inspectorate Wales, Notifications: https://www.careinspectorate.wales/providing-a-care-service/already-registered-services/notification-forms
- Care Inspectorate Wales, Contact us: https://www.careinspectorate.wales/contact-us

Rule basis

> The service provider must provide the service in a way which ensures that individuals are safe and are protected from abuse, neglect and improper treatment.
>
> `W.S.I. 2017/1264, reg. 26.`

> The service provider must have policies and procedures in place — (a)for the prevention of abuse, neglect and improper treatment, and (b)for responding to any allegation or evidence of abuse, neglect or improper treatment.
> (3) The service provider must ensure that their safeguarding policies and procedures are operated effectively.
> (4) In particular, where there is an allegation or evidence of abuse, neglect or improper treatment, the service provider must — (a)act in accordance with their safeguarding policies and procedures, (b)take immediate action to ensure the safety of all individuals for whom care and support is provided, (c)make appropriate referrals to other agencies, and (d)keep a record of any evidence or the substance of any allegation, any action taken and any referrals made.
>
> `W.S.I. 2017/1264, reg. 27(1), (3) and (4).`

> “abuse” (“camdriniaeth”) means physical, sexual, psychological, emotional or financial abuse and, in relation to a child, any other harm.
> having money or other property stolen;
> being defrauded;
> being put under pressure in relation to money or other property;
> having money or other property misused;
> “improper treatment” (“triniaeth amhriodol”) includes discrimination or unlawful restraint, including inappropriate deprivation of liberty under the terms of the Mental Capacity Act 2005
> “neglect” (“esgeulustod”) has the same meaning as in section 197(1) of the 2014 Act.
>
> `W.S.I. 2017/1264, reg. 32.`

> provision that a failure on the part of an employee to report an incident of abuse, or suspected abuse, to an appropriate person, is grounds on which disciplinary proceedings may be instituted.
>
> W.S.I. 2017/1264, reg. 39(2)(b).

> 13. Any abuse or allegation of abuse in relation to an individual that involves the service provider and/or a member of staff and/or volunteer;
> 15. Any allegation of misconduct by a member of staff.
> 17. Serious accident or injury to an individual.
> 19. Any incident reported to the police.
>
> W.S.I. 2017/1264, Sch. 3 paras. 13, 15, 17 and 19 (as printed in the Welsh Government statutory guidance, Schedule 3).

> (4) Unless otherwise stated, notifications must be made without delay and in writing.
>
> W.S.I. 2017/1264, reg. 60(4).

> Safeguarding policies and procedures are aligned to current legislation, national guidance and local adult and children's safeguarding procedures. They should reflect and align with the Wales Safeguarding Procedures.
> Safeguarding policies and procedures include the individual roles and responsibilities of staff and others working at the service in identifying, responding to, and reporting on allegations of abuse, neglect or improper treatment or any suspected abuse, neglect or improper treatment. This will include instruction for staff and volunteers on actions to be taken to refer concerns to the local authority, and other relevant partners and agencies.
> Staff supervision processes regularly revisit safeguarding procedures and seek to identify and address any gaps in staff knowledge.
> Where there is any allegation or evidence of abuse, neglect or improper treatment, arising within the service or otherwise, the service provider ensures that immediate action is taken to ensure the safety of individuals for whom care and support is provided and makes appropriate referrals to other relevant agencies (which may include a local authority) to ensure that individuals are safe and protected.
> Service providers ensure that individuals are informed of their right to independent professional advocacy services in raising a safeguarding concern.
>
> Welsh Government statutory guidance, regulation 27.

> When they begin using the service, individuals and their representatives are given information about safeguarding, how to raise a safeguarding concern and the support available to enable them to do so (including how to access advocacy services).
> Staff receive training relevant to their role at induction to enable them to understand their responsibility to safeguard and protect individuals.
> Staff training is ongoing at regular intervals in line with local safeguarding arrangements, and in accordance with Social Care Wales' safeguarding training, learning and development standards.
> Service providers make provision to support staff and volunteers raising safeguarding concerns (including in line with their whistleblowing policy).
> Service providers work in partnership with other relevant professionals and agencies to assess and manage risks to individuals using the service and to participate in the safeguarding process.
> Records of safeguarding referrals and outcomes are maintained to enable oversight and scrutiny of safeguarding within the service. Protection of individuals is overseen by the manager and responsible individual and within the governance structure, with arrangements made for oversight at board level.
> The service provider ensures outcomes arising from any safeguarding referral are communicated to the individual in a method appropriate to their age and level of understanding taking into account their specific condition and any communication impairment. This is also communicated to any representatives (if appropriate).
>
> `Welsh Government statutory guidance, regulation 26.`

> Notifications are made without delay, usually within 24 hours of the event occurring.
>
> `Welsh Government statutory guidance, regulation 60.`

> (1)An "adult at risk", for the purposes of this Part, is an adult who — (a)is experiencing or is at risk of abuse or neglect, (b)has needs for care and support (whether or not the authority is meeting any of those needs), and (c)as a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it.
> (2)If a local authority has reasonable cause to suspect that a person within its area (whether or not ordinarily resident there) is an adult at risk, it must — (a)make (or cause to be made) whatever enquiries it thinks necessary to enable it to decide whether any action should be taken (whether under this Act or otherwise) and, if so, what and by whom, and (b)decide whether any such action should be taken.
>
> `Social Services and Well-being (Wales) Act 2014, s.126.`

(1)If a relevant partner of a local authority has reasonable cause to suspect that a person is an adult at risk and appears to be within the authority's area, it must inform the local authority of that fact.
(4)For the purpose of this section a relevant partner of a local authority is a person who is a relevant partner of the authority for the purposes of section 162.
Social Services and Well-being (Wales) Act 2014, s.128. The list of relevant partners in section 162(4) names the police, other local authorities, probation, Local Health Boards, NHS Trusts, the Welsh Ministers for certain education functions, and anyone regulations specify. That a private domiciliary support provider is not a relevant partner is our reading.

(4)In this section, “a child at risk” is a child who — (a)is experiencing or is at risk of abuse, neglect or other kinds of harm, and (b)has needs for care and support (whether or not the authority is meeting any of those needs).

`Social Services and Well-being (Wales) Act 2014, s.130(4).`

All those whose agencies are not included as ‘relevant partners’ above are still expected to report any safeguarding concerns in the same way as those with a specific duty to report. This includes both paid and non-paid practitioners in third sector organisations (this includes: independent contractors and sub-contractors, independent professionals and private organisations).
For the purposes of this guidance, a duty to report to the local authority will be taken to mean a referral to social services who, alongside the police, have statutory powers to investigate suspected abuse or neglect.
The use of the term ‘at risk’ means that actual abuse or neglect does not need to have occurred, rather early interventions to protect an adult at risk of abuse should be considered to prevent actual abuse and neglect.
Practitioners are expected to report to the relevant local authority (social services) for both adults and children at risk. The relevant authority is the one in which the safeguarding concern is thought to have occurred.
The emergency duty team should be contacted out of office hours if, a decision is made by the practitioner and agency that a child or adult is at risk.
If a practitioner is unable to contact a member of the emergency duty team and believe an individual is at immediate risk of abuse and delay could increase this risk, they should contact the police.
The safety of the adult at risk is paramount.
practitioners should contact the police using 999 if there is imminent danger. They should do this without delay to protect the adult from the risk of imminent danger;
The duty to report extends beyond the working context.
All organisations must ensure that job descriptions, codes of conduct and contracts/service level agreements include the duty to report and safeguarding adults.

`Wales Safeguarding Procedures, adults at risk, section 2 (the duty to report).`

> Should this report be immediate by telephone, followed up in 24 hrs by a written report ensure received response from social services within 7 working days or chase up.
>
> `Wales Safeguarding Procedures, children at risk, section 2, overview of the duty to report process.`

> Behaved in a way that has harmed, or may have harmed, a child or adult at risk.
> Possibly committed a criminal offence against, or related to, a child or adult at risk.
> Behaved towards a child or adult in a way that indicates they may pose a risk of harm.
> Issues that do not meet this threshold may constitute conduct or disciplinary issues and should be addressed by employers using their appropriate organisational procedures.
> Treat it seriously and keep an open mind.
> Not investigate or ask leading questions.
> Conduct an initial organisational risk assessment.
> Notify the LADO/DOS within 24 hours (or next working day).
> Provide wellbeing/welfare support to the individual whom the allegation has been made against.
> Seek advice from the LADO/DOS about how much information should be disclosed to the subject of the allegation.
> Must make the necessary referral to Children/Adult Services in relation to any individual child/adult who may have been subject to abuse, or who is making the allegation.
> Make a written record of the information, including the time, date and place where the alleged incident took place, what was said and anyone else present. If this is reported by an adult at risk/child where possible, use the adult's/ child's own words.
> Where the lead safeguarding person is the subject of the allegation, the information should be reported to a more Senior Manager
> The actions taken should be shared with the LADO/DOS. It is the responsibility of the employer to ensure the suitability of the individual, and if they can safely continue in their role whilst this process is ongoing.
> Employers have a responsibility to make a record of the allegation, any actions taken and by whom, in line with their agency policy. This must include the rationale for any decisions that have been made
> The employer must seek advice from the Police and / or LADO about how much information can be disclosed to the practitioner/person in position of trust, subject to the allegation.
>
> `Wales Safeguarding Procedures, Section 5 (updated June 2026), threshold, distinguishing allegations, initial response and employer responsibilities.`

A person to whom this subsection applies must provide ... with the information if — (a)he withdraws permission for P to engage in the activity for a reason mentioned in subsection (3), or (b)he does not withdraw permission for such a reason but would or might have done so if P had not otherwise ceased to engage in the activity.
(4)The harm test is that P may — (a)harm a child or vulnerable adult, (b)cause a child or vulnerable adult to be harmed, (c)put a child or vulnerable adult at risk of harm, (d)attempt to harm a child or vulnerable adult, or (e)incite another to harm a child or vulnerable adult.

`Safeguarding Vulnerable Groups Act 2006, s.35(2) and (4).`

the provision to an adult of relevant personal care,
Safeguarding Vulnerable Groups Act 2006, Sch. 4 para. 7(1)(b). That our care workers' personal care is regulated activity, so that Sample Home Care Ltd has the section 35 duty to refer, is our reading.

Disclosure and Barring Service: Guidance on duty to make barring referrals

`Welsh Government statutory guidance, useful links.`

2.4 put in place and monitor policies and procedures to respond to allegations of harm, neglect or abuse. Policies and procedures must make sure that workers have knowledge about signs of harm, neglect or abuse and know the action they should take
4.8 put in place and follow policies and procedures to investigate and deal adequately with disciplinary matters, including where the worker leaves the organisation. Take steps to act where policies and procedures are not being followed, such as making referrals to the Social Care Wales Fitness to Practise Team
2.9 make sure you are compliant with legislation and duties in relation to safeguarding and provide appropriate training to staff.
5.6 refer workers whose fitness to practise may be impaired to Social Care Wales. If appropriate, tell the worker a referral has been made

`Social Care Wales, Code of Professional Practice for Social Care Employers (applies from 1 July 2026).`

3.5 challenge or report concerns, such as unsafe, dangerous, abusive, exploitative or discriminatory behaviour or practice.
4.2 follow relevant safeguarding policies and procedures when working with individuals and carers
4.6 share information if I think someone may be at risk of harm, while following the data protection requirements.

`Social Care Wales, Code of Professional Practice for Social Care Workers.`

The Abuse/Allegation of Abuse notification has been redeveloped, with clearer help text, more relevant dropdown options and an "other" option so nothing falls through the gaps.

`CIW, Notifications (changes from 30 September 2026).`

> Telephone: 0300 7900 126
>
> `CIW, Contact us.`