

# **Safeguarding Adults Review (SAR) Protocol Appendix Documents**

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## Appendix 1: SAR process flowchart

Following consideration of referral SAR recommended by SACRG and decision confirmed by Independent Chair



**Month 1:** Scoping meeting with key members of SACRG to confirm ToR, methodology, independent reviewer(s), SAR Panel members



**Month 1/2:** Set up contract with reviewer(s). First SAR Panel meeting held to agree ToR and plan stages of the review



**Month 1/2:** Letters sent to family/representatives requesting their preferences on being involved. Requests sent for agency reports / SOIs / IMRs



**Month 2:** Collation of agency reports / SOIs / IMRs and sent to reviewer(s). Facilitated learning event with practitioners / managers



**Month 3:** Draft overview review report produced



**Month 4:** Second SAR Panel meeting to consider draft report



**Month 4/5:** Agreement of final draft report by SAR panel, and then SACRG. Final draft report shared with Independent Chair



**Month 6:** Final overview report presented to SAEB by reviewer(s) for agreement of findings and recommendations



**Month 7 / 8:** Development of Action Plan and Learning Briefing. Media strategy meeting held to plan publication

## Appendix 2: SAR governance – key roles and responsibilities

Role	Responsibilities
Safeguarding Adults Executive Board (SAEB) members	<ul style="list-style-type: none"> <li>• Identifying representatives from their own organisations to be involved in the SAR process.</li> <li>• Receiving progress reports from the SACRG regarding SAR activity.</li> <li>• Formally signing off final overview report.</li> <li>• Ensuring that action plans from SARs and other reviews are implemented and seek assurance as to how these impact on practice.</li> </ul>
SAEB Independent Chair	<ul style="list-style-type: none"> <li>• Making a decision in response to any recommendation for a SAR by the SACRG.</li> <li>• Ensuring the SAEB meets its statutory responsibilities and reporting on this at Board meetings.</li> <li>• Agreeing the methodology, scope, terms of reference and funding for the SAR.</li> </ul>
Safeguarding Adults Case Review Group (SACRG)	<ul style="list-style-type: none"> <li>• Considering all SAR referrals against the Section 44 criteria.</li> <li>• Making recommendations to the Independent Chair for the commissioning of SARs and other reviews.</li> <li>• Ensuring SARs are completed in line with the legislative framework as outlined in this SAR Protocol and Guidance.</li> <li>• Appointing suitable Independent Reviewers to lead the review, who should have the required level of expertise and objectivity to achieve a report of the expected standard with SMART recommendations.</li> <li>• Considering how the individual and / or their family can be involved within the review process and ensuring advocacy support is provided where necessary.</li> <li>• Obtaining legal advice for any specific elements of the review as required.</li> <li>• Ensuring that overview reports, together with recommendations on action plans are presented to the SAEB for approval, and regularly reporting progress to the SAEB.</li> <li>• Working closely with other SAEB subgroups / task and finish groups to ensure recommendations from reviews are implemented.</li> <li>• Ensuring that any lessons learnt from local, regional and national SARs and other reviews are shared throughout the SAEB partnership.</li> </ul>
Safeguarding Adults Review (SAR) Panel	<ul style="list-style-type: none"> <li>• Undertaking the SAR in line with the agreed terms of reference.</li> <li>• Considering how the interface with other reviews and parallel proceedings should be managed.</li> </ul>

	<ul style="list-style-type: none"> <li>• Ensuring that the SAR Panel has the necessary expertise to oversee and contribute to the SAR based on the specific circumstances of the case.</li> <li>• Ensuring appropriate involvement of professionals and agencies who worked with the individual(s) who are the subject of the SAR.</li> <li>• Taking account of legal advice provided in relation to any aspect of the review.</li> <li>• Considering how best to liaise with and involve the individual(s) and their family.</li> </ul>
Independent Reviewer(s)	<ul style="list-style-type: none"> <li>• Leading the SAR process with support from the SAR Panel and SAEB Business Manager, including contributions and facilitation of SAR Panel meetings and learning events.</li> <li>• Adhering to the terms of reference (TOR) of the review in terms of the scope, methodology and timescales.</li> <li>• Produce a report of expected standards, which shows full analysis of the circumstances of the case(s) and produces clear findings and recommendations which are SMART.</li> <li>• Ensure a Making Safeguarding Personal approach, and lead on meetings with the adult and / or their family / carers as part of the process.</li> <li>• Raise any issues of concern in relation to the process promptly with the SAEB Business Manager so as to enable effective escalation to the SAR Panel Chair / SACRG / Independent Chair.</li> </ul>

## Appendix 3: SAR referral form



### Safeguarding Adults Review (SAR) Referral Form

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The Safeguarding Adults Case Review Group (SACRG) of the Safeguarding Adults Executive Board (SAEB) considers every SAR referral in accordance with the SAR Protocol and Guidance and the [London Multi-Agency Adult Safeguarding Policy and Procedures](#).

Before submitting your referral, please consult the SAR Protocol and Guidance, as well as the SAR Referrals Briefing Note.

If you feel that the SAR criteria are met and need to submit a referral, we ask that you discuss this initially with a senior manager or safeguarding lead within your organisation before submitting a referral. The referral should also be authorised by a senior manager within your organisation. You can also contact the SAEB Business Manager for consultation on referrals via the email address listed below. Please complete the referral form with as much information as possible.

The completed referral should be sent via secure email to:

[makingsafeguardingpersonal@rbkc.gov.uk](mailto:makingsafeguardingpersonal@rbkc.gov.uk)

#### SECTION 1: REFERRAL INFORMATION

DETAILS OF ADULT	
Full name of adult:	
Date of birth:	
Address:	
Ethnicity:	
Disability / care and support needs:	
Sex / gender:	

<b>Religion / belief:</b>	
<b>Civil / marital status:</b>	
<b>Borough of ordinary residence:</b>	
<b>Case identifier e.g. Mosaic/RIO/Datex /CAD/ NHS number (if relevant)</b>	
<b>Date and place of serious incident or death:</b>	
<b>GP details:</b>	
<b>Family / next of kin / representative details (including name, address and contact details):</b>	
<b>Are family or next of kin aware of the SAR referral? If no, please give reason why:</b>	
<b>If yes, what are their views of the concern?</b>	
<b>How would they like to be contacted?</b>	
<b>DETAILS OF INDIVIDUAL / ORGANISATION MAKING SAR REFERRAL</b>	
<b>Referral date:</b>	
<b>Name:</b>	
<b>Role / position:</b>	
<b>Organisation:</b>	
<b>Address:</b>	

<b>Email:</b>	
<b>Contact number:</b>	
<b>Authorising manager:</b>	
<b>Role / position:</b>	
<b>Contact number:</b>	
<b>Email:</b>	

**DETAILS OF THE CASE**

**Brief summary of concerns which have triggered this referral:**

***NB: Please use plain language that can be understood by those with no prior knowledge of your agency and provide the meaning of any acronyms you use. Please do not copy and paste extensive information from your agency's records.***

**Please identify the type(s) of abuse relating to this case (more than one may apply):**

- Physical Abuse**
- Neglect / Acts of Omission**
- Self-Neglect**
- Financial Abuse**
- Domestic Abuse**
- Psychological Abuse**
- Sexual Abuse**

- Modern Slavery
- Organisational/Institutional Abuse
- Discriminatory Abuse

**EXPLAIN HOW THE CASE MEETS THE CRITERIA FOR A SAR**

Please refer to the criteria for a SAR as set out within the SAR Protocol and Guidance and explain in detail how you feel this case meets the criteria:

What are the multi-agency lessons to be learnt:

Please indicate any emerging themes:

- Complex needs and multiple disadvantage
- Homelessness
- Mental capacity
- Non-engagement
- Pressure ulcers
- Suicide
- Social isolation
- Transfer of care
- Trauma



<b>AGENCIES INVOLVED:</b>			
<b>Agency</b>	<b>Key contact person</b>	<b>Contact details</b>	<b>Agency informed of SAR referral?</b>

**PARALLEL PROCESSES**

**Have any other processes commenced which are looking into the circumstances of this case and/or you are aware of any that are likely to be instigated?**

<b>Process</b>	<b>Commenced</b>		<b>Planned</b>	
	<b>Yes</b>	<b>No</b>	<b>Yes</b>	<b>No</b>
<b>Section 42 Safeguarding Adults Enquiry</b>				
<b>Criminal Investigation</b>				
<b>Coroner's Inquest</b>				
<b>Domestic Homicide Review (DHR)</b>				
<b>Mental Health Homicide Review (MHHR)</b>				
<b>Child Safeguarding Practice Review (CSPR)</b>				
<b>NHS Serious Incident (SI) Review</b>				
<b>Learning Disabilities Mortality LeDeR Review</b>				
<b>Agency Complaints Process</b>				
<b>Other (please state)</b>				

**Please provide additional details of any parallel processes below, including lead contact, current status of process and if completed outcomes:**

<b>SENIOR MANAGER SUBMISSION AND AUTHORISATION OF REFERRAL</b>	
<b>Completed by:</b>	
<b>Signed:</b>	
<b>Date:</b>	

<b>Please provide any supplementary documentation which could support your referral, please tick as appropriate:</b>
<input type="checkbox"/> <b>Section 42 report</b>
<input type="checkbox"/> <b>Serious Incident Review</b>
<input type="checkbox"/> <b>Root Causes Analysis</b>
<input type="checkbox"/> <b>Provider internal investigation report</b>
<input type="checkbox"/> <b>Domestic Homicide Review</b>
<input type="checkbox"/> <b>Child Safeguarding Practice Review</b>
<input type="checkbox"/> <b>Learning Disabilities Mortality Review (LeDeR)</b>
<input type="checkbox"/> <b>Chronology</b>

**SAEB USE ONLY FROM HERE ONWARDS**

**SECTION 2: TRIAGE BY SAEB BUSINESS MANAGER**

<b>TRIAGE INFORMATION FROM THE REFERRER</b>	
<b>Date referral received:</b>	
<b>Date contact made with the referrer:</b>	
<b>Summary of discussion with the referrer:</b>	
<b>SAR NOTIFICATION LETTERS</b>	
<b>Date notification letters sent to SACRG:</b>	
<b>TRIAGE INFORMATION FROM SUPPORTING AGENCIES (IF APPLICABLE)</b>	
<b>Name:</b>	
<b>Role / position:</b>	
<b>Organisation:</b>	
<b>Contact details:</b>	
<b>Date of discussion:</b>	
<b>Summary of discussion and agency view:</b>	
<b>LINKS OR SIMILARITIES WITH LOCAL OR NATIONAL REVIEWS</b>	
<b>TRIAGE COMPLETION</b>	
<b>Completed by:</b>	
<b>Date:</b>	

<b>Feedback provided to referrer?</b>	
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**SECTION 3: SACRG CONSIDERATION AND RECOMMENDATION**

<b>PRESENTATION TO THE SACRG</b>	
<b>Name / role / agency:</b>	
<b>Date:</b>	
<b>Summary of discussion and agreed actions (usually taken from SACRG minutes):</b>	
<b>SACRG RECOMMENDATION</b>	
<b>Date:</b>	
<b>Recommendation and rationale for decision including:</b> <ul style="list-style-type: none"> <li>• Confirmation as to whether a SAR is recommended and mandatory / discretionary</li> <li>• Feedback to referrer</li> <li>• Proposed methodology</li> <li>• Adult / family involvement</li> </ul>	

**SECTION 4: SAEB INDEPENDENT CHAIR DECISION**

<b>Date of consideration:</b>	
<b>Comments:</b>	
<b>Signed:</b>	



# **Safeguarding Adults Reviews - Referrals Briefing Note**

**This briefing has been produced to raise awareness of the criteria for Safeguarding Adults Reviews and to support practitioners around the key considerations when making a referral.**

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## **What is a Safeguarding Adults Review (SAR) and what difference do they make to safeguarding?**

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A SAR is a multi-agency review to determine what agencies involved could have done differently that could have prevented harm or death from taking place.

It is important to note that the aim of a SAR is not to apportion blame – it is to promote effective learning and improvement to prevent future deaths or harm occurring and to improve how agencies work together to supporting adults with care and support needs, and their families, to achieve positive outcomes.

SARs are important because the findings and recommendations are used to drive forward improvements to services across the safeguarding partnership and the learning is used to support continuous development.

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## **When is a SAR required?**

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The Safeguarding Adults Case Review Group (SACRG) is a subgroup of the Safeguarding Adults Executive Board (SAEB) which has delegated responsibility for making decisions on SAR referrals and for overseeing SARs as well as monitoring progress of learning actions and improvements to systems, procedures and practice which arise from such reviews.

Cases should be referred to the SACRG for consideration for any case in which it appears the criteria for a SAR are met.

Section 44 of the Care Act 2013 and the accompanying [Care and Support Statutory Guidance](#) sets out that Safeguarding Adults Boards (SABs) have a mandatory duty to carry out a SAR when:

- An adult in its area dies as a result of abuse or neglect, whether known or suspected;  
**or**
- Where the individual would have been likely to have died but for an intervention, or has suffered permanent harm or has reduced capacity or quality of life as a result of abuse or neglect;  
**and**
- There is concern that partner agencies could have worked together more effectively to protect the adult.

The Care Act also states that SABs can arrange for a SAR to be commissioned in any other situation where the criteria are not met, but it is clear that there are valuable lessons to be learnt with the aim of improving how agencies work together to promote the wellbeing of adults and their families and to prevent abuse and neglect in the future. This is known as a discretionary SAR.

### Who can make a referral for a SAR?

Any professional or agency representative can make a referral for consideration of a SAR for any case in which they believe the criteria above are met by completing the completing the SAR referral form.

If a member of the public wishes to raise a SAR referral, they should approach the SAEB Business Manager or SAEB partner agency to discuss further. It will be the responsibility of that body to identify the most appropriate route to take this request forward. This may result in a SAEB partner agency completing a SAR referral form on behalf of the member of the public or may also involve advising them why the request does not meet the criteria for a SAR and that it would not be appropriate to raise this.

Referrals should be sent via secure email to: [makingsafeguardingpersonal@rbkc.gov.uk](mailto:makingsafeguardingpersonal@rbkc.gov.uk)

### What are the key considerations when making a referral?

When making a referral please ensure the following points are considered:

**(1) You understand what a SAR is and consider the Section 44 criteria:**

- What is the abuse or neglect that has contributed to the death or caused serious harm?
- Did or does the adult have care and support needs?
- Is there an indication for multi-agency learning?
- Are there any other current processes taking place – such as a safeguarding enquiry, police investigation or coroner’s inquest?

**(2) You discuss the referral with a senior manager / safeguarding lead:**

- Confirm that you are satisfied that the criteria are indicated and can evidence this within the referral.
- If there was a view that multi-agency working was problematic, it is good practice to ensure that discussion has taken place with partner agencies affected so that the

referral process is transparent and where possible sent in on the basis of a consensus of what the issues in the case were.

**(3) Consider contacting the SAEB Business Manager:**

- If you have any queries or require further consultation, contact the SAEB Business Manager via details at the end of this briefing.

**(4) Complete the SAR referral form:**

- Complete as fully and with as much detail as possible.
- Provide a clear rationale as to how you feel the criteria are met.
- Where other internal investigations or reviews have taken place, such as a Section 42 enquiry or Root Cause Analysis, please provide copies of reports and / or an overview of the learning, recommendations and actions already taken forward.

## What happens next?

The referral will be triaged by the SAEB Business Manager who may contact you for further information and discussion.

If the referral clearly does not meet the criteria or has been submitted inappropriately in place of a safeguarding concern, the referrer will be signposted to the safeguarding referral pathway.

The Safeguarding Adults Case Review Group (SACRG) of the Safeguarding Adults Executive Board (SAEB) meets every six weeks and considers every SAR referral in accordance with the SAEB SAR Protocol and Guidance, the London Multi-Agency Adult Safeguarding Policy and Procedures and the SCIE SAR Quality Markers. The Quality Markers provide a checklist to support good practice in the SAR process and to ensure the approach is consistent and robust.

The professional who has made the SAR referral will be invited to a SACRG meeting to present the referral and contribute to the discussion and decision making on the case. The presentation should concentrate on how the criteria are met, and consideration of what learning there is for multi-agency systems and processes - not on apportioning blame.

The SACRG will make a recommendation to the SAEB Independent Chair, who makes a final decision on whether to commission a SAR. The decision-making process will include consideration of the best approach to achieve the maximum learning in each case, and the best way to involve the adult and/or their family/carers in the review process. If the referral does not meet the SAR criteria, a discretionary review or another course of action may be taken instead, for example a Single Agency Review.

## Questions to consider and discuss

- Are you aware of the SAR criteria and do you feel confident in raising SAR referrals?
- Do you know what action to take if you have a case that might meet the SAR criteria?
- What further support or training do you think you / your team need?

## Further information and useful resources

For any further information please contact Trish McMahon, SAEB Business Manager at [makingsafeguardinpersonal@rbkc.gov.uk](mailto:makingsafeguardinpersonal@rbkc.gov.uk)

[London Multi-Agency Adult Safeguarding Policy and Procedures](#)

[National Analysis of SARs](#)

[SCIE Guidance on SARs](#)

[SCIE SAR Quality Markers](#)

[SCIE: User involvement in adult safeguarding](#)

[SCIE: Safeguarding adults and sharing information](#)





# Safeguarding Adults Reviews (SARs)

## A Guide for Families and Carers

This leaflet tells you what happens when a Safeguarding Adult Review needs to be undertaken and what you should expect as a family member or carer involved in the review process

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### What is the Safeguarding Adults Executive Board?

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The Safeguarding Adults Executive Board (SAEB) is a partnership of organisations across the Bi-Borough of Westminster and Kensington and Chelsea who work together collaboratively to safeguard adults with care and support needs from abuse, neglect and exploitation.

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### What is a Safeguarding Adults Review?

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The [Care and Support Statutory Guidance](#) sets out that Safeguarding Adults Boards (SABs) have a duty to carry out a Safeguarding Adult Review when an adult dies or experiences serious harm as a result of abuse or neglect. This is when abuse or neglect is known or suspected, and there is information to suggest that partner agencies could learn lessons and improve the way they work together to support adults at risk in the future. A Safeguarding Adult Review is often referred to as a 'SAR'.

It is important to note that a SAR is not an enquiry into the cause of death or injury. It does not seek to apportion blame or punish anyone involved and is separate to any investigation undertaken by the police or Coroner or via a complaints process.

Reviews are held to see whether there is learning about the way agencies worked together to protect and support the person who suffered harm and identify recommendations to promote effective multi-agency learning and improvement. This is in order to minimise the risk of future deaths or serious harm occurring again.

The SAEB wants families and carers to be involved in SARs as much as possible so that the review can ensure their views, opinions and concerns help to inform the review, and that reviewers know as much as they can about the person who has died or experienced significant harm.

## **Who will carry out the Safeguarding Adults Review?**

The review will be carried out by an Independent Reviewer, appointed by the SAEB, who has the appropriate knowledge, skills and experience to lead the review. The Independent Reviewer with support from the SAEB Business Manager will make contact with family members and carers to invite them to contribute to the review. The review will also involve senior representatives from agencies who worked with the adult, who will analyse events prior to the death or serious incident. This will be from a range of agencies including statutory, voluntary and private sector agencies. The Independent Reviewer will write a report with findings and recommendations to take forward the identified learning.

## **How can family members, friends and carers be involved and share their views?**

It is very important to the SAEB that our SARs involve family members and important people in the adult's life. We will ask you if you would like to share your experiences so that we can understand fully what happened, identify what lessons should be learned and what has worked well and less well.

The SAEB Business Manager will make contact with you early in the process to discuss the review and agree how much you wish to be involved. If you decide you would like to contribute to the review, you will be asked to share your understanding of what happened and why.

You can give your thoughts and views in different ways. Some people prefer to have a face-to-face meeting with the Independent Reviewer, others are more comfortable having a telephone conversation / virtual meeting or by providing feedback in writing.

It is your decision as to how much involvement you would like to have in the review, and you can be involved as much or as little as you would like. You may also agree how you would like to be kept informed as to the progress of the review and how you would like to receive a copy of the final report.

Our aim is to complete SARs in around six months. It sometimes takes longer if the case is very complex. We will provide you with explanations for any delays.

As there is a legal duty to undertake a SAR, the review will still go ahead if you decide you do not wish to contribute.

We understand that this may well be a difficult and upsetting time for you, and we will try to support you as much as possible if you decide to contribute. Some families have found advocacy helpful, and we can also support with providing advocacy services should you wish for this.

## What happens when the review is completed?

The report and recommendations will be presented to SAEB members and must be approved by the Board. Family members and carers will be offered the opportunity to view the report and meet with the Independent Reviewer and / or SAEB members involved in the review to ask any questions they may have.

Where possible, we wish to share the learning from our SARs so services in other areas can learn from our reports. Published reports are usually anonymised or, if it is the family's wish, consideration can be given to using the adult's actual name or a name suggested by the family. If the report is published, it will be on the SAEB and / or council's websites. However, sometimes a decision is made not to publish depending on the circumstances of the case.

Once the SAR report has been agreed by the SAEB, an action plan will be developed to make sure any recommended improvements are made to services. The SACRG is responsible for making sure that agencies report on their progress and provide evidence for how practice has changed and improved. The Board will also report on SARs undertaken and the progress of improvements within the SAEB Annual Report, which is also available on the websites as above.

## Further information

For any further information please contact Trish McMahon, SAEB Business Manager at [makingsafeguardinpersonal@rbkc.gov.uk](mailto:makingsafeguardinpersonal@rbkc.gov.uk)

The SAEB website has a dedicated page on SARs, which contains the SAR Protocol and Guidance, our published reviews and learning briefings.

Information on safeguarding adults can be found within the [London Multi-Agency Adult Safeguarding Policy and Procedures](#).

## **Appendix 6: SAR Notification Letter**

Dear SACRG member,

### **Notification of S44 Care Act - Safeguarding Adult Review (SAR) Referral– Action required**

**Name:**

**DOB:**

**Address:**

I am writing to inform you that the Safeguarding Adults Case Review Group has received a referral in relation to the above-named adult.

### **Action to be undertaken by all SACRG members:**

This is an information request to check your organisation's information systems and records to confirm:

1. whether this adult, members of their household or other significant people are/were known to your agency.
2. If known to your agency, please provide a brief overview of the last 6-12 months or other relevant information

Please note this is an information gathering phase. You will be asked to present your information at a future SACRG meeting. Please return information to [makingsafeguardingpersonal@rbkc.gov.uk](mailto:makingsafeguardingpersonal@rbkc.gov.uk) on one side of A4 so that this can be updated to support the SACRG in identifying all relevant agencies involved.

If individuals are known and you have not already secured your agency records, please do so immediately, as this will guard against loss or interference. It is good practice at this stage to advise the practitioners and managers who have been involved in working with this adult of the reason for securing the records.

Please also identify an appropriate agency representative to attend the SACRG meeting and subsequent scoping panel should one be convened.

If you require any further assistance, please do not hesitate to contact [makingsafeguardingpersonal@rbkc.gov.uk](mailto:makingsafeguardingpersonal@rbkc.gov.uk)

Kind regards,

Safeguarding Adults Executive Board Business Support Officer

## **Appendix 7: SAR terms of reference template**



### **Safeguarding Adults Review Terms of Reference (TOR)**

#### **1. General considerations**

Under section 44 of the Care Act 2014 the Safeguarding Adults Executive Board (SAEB) has a statutory duty to arrange a Safeguarding Adult Review (SAR) where:

- (a) an adult with care and support needs has died as a result of abuse or neglect, whether known or suspected, or an adult is still alive, and the SAEB knows or suspects that they have experienced serious abuse or neglect, and
- (b) there is concern that partner agencies could have worked together more effectively to protect the adult.

If the SAR criteria are not met but the SAB feels that there is multi-agency learning to be gained from the case(s), a discretionary review may be commissioned.

Board partners must co-operate in and contribute to the review with a view to identifying the lessons to be learnt and applying those lessons in the future. The purpose is not to allocate blame or responsibility, but to identify ways of improving how agencies work, singly and together, to help and protect adults with care and support needs who are at risk of abuse and neglect and are unable to protect themselves.

SARs are carried out in accordance with the Safeguarding Adults Case Review Group (SACRG) protocol of the SAEB and will follow the SAR Quality Markers. All reviews should include consideration of how race, culture, ethnicity and other protected characteristics as set out in the Equality Act 2010 may have impacted in the management of the case(s) under review.

#### **2. Outline of cases and SAR referrals**

#### **3. Rationale and recommendation for a SAR**

#### **4. Specific terms of reference and areas of learning**

Outline key lines of enquiry

All reviews should include:

- Where good practice can be identified in these cases.
- A review of service improvements undertaken since these deaths and evaluation of the success and impact of these changes.
- Recommendations for further systems improvements required to improve the quality of services to adults with care and support needs where there are fire risks.

## **5. Scope and methodology**

To include details of all stages of the review process, timescales, supporting documents etc

## **6. SAR panel membership**

Agencies that were involved within the case will be asked to contribute to this review and attend SAR panel meetings.

SAR panel members will be identified from the following agencies:

It is critical to the effectiveness of the thematic review process that the correct management representatives attend any scheduled events and meetings. Agency representatives must have knowledge of the matter, the influence to obtain material efficiently and can comment on the analysis of evidence and recommendations that emerge. They should not have had any direct involvement in the case or supervision of those professionals that were.

Each SAR panel meetings will review a timetable and action planning document, for which it is the responsibility of the Independent Reviewer to update and present at each meeting. The Independent Reviewer will need to work closely with the SAEB Manager to ensure agencies have returned information in a timely may and any escalations can be progressed promptly to ensure panel meetings are productive.

The SAEB has appointed X as the Independent Reviewer.

## **7. Governance and sign off procedures**

In terms of governance:

- The operational progress of the review will be managed through the SAR Panel meetings.
- The SAEB Business Support Team will provide all administrative support.
- Progress of the review will be reported into the SACRG, where the draft report will be presented and agreed, before sign-off at the SAEB.
- The SACRG will also support the development of an action plan.
- The final version of the report and action plan will be presented to the SAEB for sign off.

If there is challenge to the report findings and or recommendations then it is hoped that the independent reviewer will identify any areas early on in the process and through the various interfaces come to a mutual agreement across all agencies involved .If however this is not possible and there remains disagreement with the facts or interpretation of the report then the agency who is unable to sign off the report submits a response on the areas of concern and this is then noted as an appendix.

## **8. Links to other reviews or processes**

A SAR will ordinarily only be considered following the conclusion of a statutory (i.e.. Police, Local Authority or NHS) enquiry or investigation (e.g. police criminal investigation, section 42 safeguarding enquiry or SI review). However, on occasion, there may be situations where enquiries or investigations have not been completed, but the circumstances of the case necessitate that a SAR should commence in parallel to the other investigatory process. Decisions as to the need for and the appropriateness of this will be made on a case-by-case basis.

All reviews should consider any parallel processes or reviews that have taken place and the learning from them.

## **9. Involvement of the adult(s) and their families / carers**

In line with Making Safeguarding Personal, the consideration will be given from the outset of the review as to the most appropriate way of enabling involvement of the adults (in non-fatal cases) or families of the deceased to have an opportunity to contribute to the review.

The SAEB Business Manager will contact the next of kin / family members to inform them that a review is taking place, and to offer them an opportunity to contribute and be involved in the review. Should the family wish to be involved, the Business Manager will arrange for the Independent Reviewer to meet with the family.

The draft overview report will only be shared with the family via a face-to-face meeting, and only once the report is made public will it be shared with the family electronically or by post.

## **10. Legal Advice**

Legal advice will be sought from the Bi-Borough Legal Team as required. In the event of the report being submitted as part of judicial processes, there would be an expectation that the Independent Reviewer will need to attend Court to present. The Reviewer would be supported by the Bi-Borough legal team and the SAR Panel.

## **11. Media strategy and publication**

At the end of the review a media strategy meeting will be held to consider publication of the overview report, which will involve all relevant media / communication leads across the agencies involved and a coordinated press statement will be prepared.

All agencies involved in the review should alert their media / communications officers of the review at the point the report is signed off by the SAEB. If there are any media requests, agencies will direct these to the SAR Panel Chair and SAEB Business Manager who will direct these to the press officer in the Bi-Borough Communications Teams.

The SAEB is responsible for the handling of the report and for all feedback to staff, family members and the media.

## **12. Confidentiality, information sharing and General Data Protection Regulations (GDPR)**

All information discussed is strictly confidential and must not be disclosed to third parties without the agreement of the responsible agency's representative. That is, no material that states or discusses activity relating to specific agencies can be disclosed without the prior consent of those agencies.

All agency representatives are personally responsible for the safe keeping of all documentation that they possess in relation to this thematic review and for the secure retention and disposal of that information in a confidential manner.

All communication regarding this SAR that contains personal and/or sensitive information must be sent securely using secure email addresses.

Under the General Data Protection Regulation ([Regulation \[EU\] 2016/679](#)), the SAEB has an Article 6 lawful basis for processing under 1(c) [Legal Obligation] and an Article 9 lawful basis under 2(g) [Substantial Public Interest]. This concurs with practice elsewhere in the country. Some boards also chose to employ Article 9(h) instead.

The article 6 legal obligation is conferred by [Section 45 of the Care Act 2014](#).

### **13. Review of TOR**

This TOR will be subject to review in light of new information that may become apparent. Amendments must be approved by the SAR Panel.



## Appendix 8: Guidance for SAR panel members



# Guidance for Safeguarding Adults Review (SAR) Panel Members

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## What is a Safeguarding Adults Review (SAR)?

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A SAR is a multi-agency learning process. The purpose of a SAR is to 'promote effective learning and improvement action to prevent future deaths or serious harm occurring again'.

Safeguarding Adults Boards (SABs) have a statutory responsibility to consider arranging a SAR when there is concern that partner agencies could have worked together more effectively to protect an adult with care and support needs from abuse or neglect.

SARs seek to establish:

- Lessons that can be learnt to apply to future cases and prevent similar harm from re-occurring
- How effective safeguarding procedures are
- Good practice as well as learning from what went wrong
- Service and systems improvements to inter-agency practice.

It is important to note that a SAR is not an enquiry into the cause of death or injury. It does not seek to apportion blame or punish anyone involved and is separate to any investigation undertaken by the police or Coroner or via a complaints process.

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## What is a SAR Panel?

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As a SAR Panel member, you will be invited as a senior manager from your agency to attend a number of meetings, which will be chaired by a nominated SAR Panel Chair (whose agency has not been directly involved in the case) or the Independent Reviewer. SAR Panel meetings involve senior representatives from all the relevant agencies who were involved in the case(s).

Given your agency's involvement in the case(s), it is important to have your contributions to the review process. This also provides an opportunity for you to fully share your agency's knowledge, view and experience of working with the adult(s) who are the subject(s) of the SAR as well as ensuring factually accurate information about your agency's involvement.

The first SAR Panel meeting enables members to consider the terms of reference (TOR) for the review, to discuss what information will be required from agencies to support the process and to ask any questions of the Independent Reviewer, who is responsible for leading the review process and producing an overview report with findings and recommendations.

The final SAR Panel meeting will be an opportunity for members of the panel to review the draft report and provide comments on the findings and recommendations and if necessary, highlight any issues relating to factual accuracy.

You will be sent an agenda and any papers approximately a week in advance of any SAR Panel meeting.

## What is expected of SAR Panel members?

Best practice is to complete a SAR in a timely manner with the aim of completion in six months. As a SAR Panel member, you are expected to commit to the timescales set out within the TOR to ensure the review can progress effectively and in line with the principle of no delay.

In your role as a SAR panel member, you are expected to:

- Prioritise attendance at all SAR Panel meetings. If you are unable to attend, please delegate responsibility to another suitable representative from within your agency.
- Be accountable for agreeing to the TOR.
- Be responsible for completion of any reports to support the SAR, such as Summary of Involvement (SOI) reports or Individual Management Reviews (IMR).
- Contribute to discussions in meetings and provide feedback and information on behalf of your agency.
- Respond to communications from the Safeguarding Adults Executive Board (SAEB) and Independent Reviewer(s) and act as a channel of communication between the SAEB and your own agency.
- Take forward any agreed actions/recommendations as a result of the SAR and feed these back to the SAEB within timescales set.

## What should you expect of the SAR report?

SAR overview reports should:

- Be written in plain English and be fully checked for spelling, grammar and formatting.
- Not use emotive, inflammatory, blaming/shaming language or identify specific staff or identifiable teams within agencies.
- Where abbreviations or acronyms are used these should be explained in full in the first instance.
- Be written from a Making Safeguarding Personal perspective, ensuring the adult(s) is the focus of the review and recording their views and wishes where these are known.
- Be balanced and focused on facts, sound analysis and conclusions and produce recommendations which are SMART (Specific, Measurable, Achievable, Realistic and Timely).

## Further information and useful resources

For any further information please contact Trish McMahon, SAEB Business Manager at [makingsafeguardinpersonal@rbkc.gov.uk](mailto:makingsafeguardinpersonal@rbkc.gov.uk)

[London Multi-Agency Adult Safeguarding Policy and Procedures](#)

# Appendix 9: Individual Management Review (IMR) template

Strictly Confidential



## SAFEGUARDING ADULTS REVIEW (SAR) INDIVIDUAL MANAGEMENT REVIEW

**COMPLETED BY**  
**NAME OF AGENCY**  
**NAME OF ADULT**  
**D.O.B:**

**Time period for the SAR:**

**Please provide any further significant information prior to x**

Details of person completing the IMR and Chronology:	
Name:	
Contact Details:	Email: Telephone number:
Post held:	

Date of request for IMR	
Date of completion of IMR	

# INDIVIDUAL MANAGEMENT REVIEWS

## 1. 1. Introduction

- 1.1 This document is intended to provide an individual management review of the decisions, actions taken and services provided to XXXXXXXX who is subject of a Safeguarding Adults Review (SAR) instigated by the Safeguarding Adults Board (SAB). The SAR Panel requested an IMR for return by the XXXXXXXX
- 1.2 The aim of the individual management review is to look openly and critically at individual and organisational practice to see whether the case indicates that changes could and should be made and, if so, to identify how those changes will be brought about.
- 1.3 The individual management review provides a chronology of agency involvement and brings together, and draws overall conclusions from, the involvement of the agency with the adult with care and support needs.
- 1.4 The IMR author should be able to:
  - gather and analyse information,
  - clearly describe what happened, commenting on the quality of practice
  - provide explanations for why it happened
  - clearly show how the conclusions relate to the individual case as well as the wider safeguarding practice within the organisation.

## 2. METHODOLOGY

*List the sources of information that your agency has used to compile your report. This might include paper records, IT systems searched, computer records, supervision notes etc. It should also include some details about staff that have been interviewed as part of this review, or if not why not? Please say if files could not be found and why.*

## 3. FACTUAL/CONTEXTUAL SUMMARY

*Provide a brief factual and contextual summary of your agency's involvement with this case for the time period identified for this safeguarding adult review.*

## 4. CHRONOLOGY OF AGENCY INVOLVEMENT

*To be completed on the chronology template provided – see Appendix 1*

## 5. ANALYSIS OF INVOLVEMENT

*The report author is expected to rigorously analyse the involvement of their agency, consider the events that occurred, the decisions made and the actions taken or not. See Appendix 2: Guidance for the Completion of IMRs.*

## 6. CRITICAL ANALYSIS

*In this section the IMR author must answer the questions below which are taken directly from the Terms of Reference. Take time to reflect on the information you*

*have provided in the chronology. The information provided and the analysis should be appropriately evidenced/explained fully.*

*Please ensure to clearly specify if any of the questions are not relevant to your agency and/or service and the reasons why. If a question is left blank, it could be queried by the SAR Author.*

- 6.1 Learning for all agencies around assessing risk**
- 6.2 Roles and responsibilities, opportunities for proactive joint working.**
- 6.3 Managing high risk cases in the community – multi agency support/protection plans and contingency plans.**
- 6.4 Mental Health and Self Neglect – approaches to long term planning.**
- 6.5 To consider looking at structures and processes.**

## **7. WHAT DO WE LEARN FROM THIS CASE?**

*Following on from the critical analysis section previously, the IMR author should identify specific lessons which his/her agency can learn from the case. These can include areas of good or poor practice identified, as well as ways in which practice can be improved.*

## **8. RECOMMENDATIONS FOR ACTION**

*Any recommendation about improving or developing new procedures should be specified in terms of the expected practice outcomes. Actions contained in this IMR report will be considered by the SAR Panel for inclusion in the SAR Report. The SAR Panel may also recommend further actions for your agency to be included in the SAR Report. You should add as many actions for your agency as is necessary.*

## Glossary of Personnel involved

Name	Job Role	Identification in report

**APPENDIX 1 – CHRONOLOGY OF INVOLVEMENT**

*Please complete with the information required under each heading. The last column should be used for comments on the appropriateness/quality of the intervention or whether it raises any other professional issue.*

<b>Date</b>	<b>Source of Evidence</b>	<b>Name of Professional involved and role</b>	<b>Type of Intervention</b>	<b>Action taken/decision made</b>	<b>Comment</b>



## APPENDIX 2: Guidance for the Completion of Individual Management Reviews [IMR]

### ANALYSIS OF INVOLVEMENT

The Terms of Reference should be referred to as headings to analyse practice against and facts should not be stated without their origin. Consider specifically the following questions:

- Were practitioners aware of and sensitive to the needs of the adult in their work, and knowledgeable both about potential indicators of abuse or neglect and about what to do if they had concerns about an adult with care and support needs' welfare?
- When, and in what way, were the adult's wishes and feelings ascertained and taken account of when making decisions about the provision of the adult's services? Was this information recorded?
- Did the organisation have in place policies and procedures for safeguarding and promoting the welfare of adults with care and support needs and acting on concerns about their welfare?
- What were the key relevant points/opportunities for assessment and decision-making in this case in relation to the adult and their family? Do assessments and decisions appear to have been reached in an informed and professional way?
- Did actions accord with assessments and decisions made? Were appropriate services offered/provided or relevant enquiries made, in the light of assessments?
- Were there any issues, in communication, information sharing or service delivery, between those with responsibilities for work during normal office hours and others providing out of hours services?
- Where relevant, were appropriate Safeguarding Adult's or care plans in place, and the reviewing processes complied with?
- Was practice sensitive to the racial, cultural, linguistic and religious identity and any issues of disability of the adult and their family, and were they explored and recorded?
- Were senior managers or other organisations and professionals involved at points in the case where they should have been?
- Was the work in this case consistent with each organisation's and the policy and procedures for safeguarding and promoting the welfare of adults with care and support needs and with wider professional standards?
- Were there organisational difficulties being experienced within or between agencies? Were these due to a lack of capacity in one or more organisations?
- Was there an adequate number of staff in post? Did any resourcing issues such as vacant posts or staff on sick leave have an impact on the case?
- Was there sufficient management accountability for decision making?

## Appendix 10: Learning briefing feedback form



### Learning Briefing Feedback Form

Sharing Learning is a key priority of the Safeguarding Adults Executive Board (SAEB) and ensures that lessons in relation to safeguarding adults supports direct practice and encourages a culture of continuous improvement.

Please complete this form to confirm that the learning outcomes within this learning briefing have been considered by your team and how the learning will inform practice.

Please send completed forms to [makingsafeguardingpersonal@rbkc.gov.uk](mailto:makingsafeguardingpersonal@rbkc.gov.uk)

Please describe how the learning outcomes included in this briefing have been communicated to staff in your team. For example, a specific learning event, team meeting or any other method.	
Please describe any changes to practice that has been or will be implemented as a result of the learning highlighted in this briefing.	
How will the effectiveness of these changes be measured or monitored?	
The SAEB welcomes feedback from frontline staff, senior management and those with governance responsibilities. Please provide any additional thoughts, feedback and comments on the learning presented within this briefing.	
<b>Manager name</b>	
<b>Job Title</b>	
<b>Organisation/department</b>	
<b>Contact details</b>	
<b>Date</b>	