



**Cheshire East Safeguarding Adults Board  
Safeguarding Adults Review Procedure**

**May 2015**

## **Safeguarding Adults Review Procedure**

### **Introduction**

A Safeguarding Adults Review (SAR) will be arranged when an adult dies as a result of abuse or neglect, whether known or suspected, and there is concern that partner agencies could have worked more effectively to protect the adult.

A SAR will also be arranged if an adult has not died, but it is known or suspected that they have experienced serious abuse or neglect that has caused permanent harm, reduced capacity or reduced quality of life.

The Case Review sub group will consider the most appropriate type of 'review' process to promote effective learning and improvement actions.

### **Principles**

The following principles apply to all Case Reviews -

- there should be a culture of continuous learning and improvement across the organisations that work together to safeguard and promote the wellbeing and empowerment of adults, identifying opportunities to draw on what works and promote good practice;
- the approach taken to reviews should be proportionate according to the scale and level of complexity of the issues being examined;
- reviews of serious cases should be led by individuals who are independent of the case under review and of the organisations whose actions are being reviewed;

- professionals should be involved fully in reviews and invited to contribute their perspectives without fear of being blamed for actions they took in good faith; and
- families should be invited to contribute to reviews. They should understand how they are going to be involved and their expectations should be managed appropriately and sensitively.

### **Purpose of a Case Review**

The purpose of having a case review is to:

- Identify what can be learned from a case.
- Consider what could have been done differently that may have prevented the death or serious harm (both multi-agency and those of individual organisations).
- Inform and improve local inter-agency practice.
- Improve practice by acting on learning.

The focus of all SARs must be on achieving understanding of what happened, providing answers for families and friends of adults who have died or been seriously abused or neglected, and finding remedial actions that will reduce the risk of a similar situation happening in the future.

Case Reviews are not intended to:

- Investigate current allegations of abuse.
- Identify issues of capability or performance within a single organisation.
- Replace organisation's review processes used to investigate serious incidents.
- Replace individual organisation's procedures for reflective practice.

- Replace individual organisation's complaints procedures.

Safeguarding Adult Reviews (SARs) are not part of any disciplinary enquiry or process, but information that emerges during the course of the review may indicate that disciplinary action should be taken under established procedures. Alternatively, reviews may be conducted concurrently with disciplinary action. In some cases (e.g. alleged institutional abuse) disciplinary action may be needed to safeguard other adults.

Where appropriate the CESAB may make referrals to the Disclosure and Barring Service as a result of information which has emerged during the course of the review.

The Safeguarding Adults Review (or other Case Review processes) may overlap with other required reviewing processes. Where there are possible grounds for both a Safeguarding Adults Review and a Domestic Homicide Review (DHR) then a decision should be made at the outset by the two decision makers as to which process is to lead and who is to chair with a final joint report being taken to both commissioning bodies.

### **Criteria for undertaking a Safeguarding Adults Review (SAR)**

- The Cheshire East Safeguarding Adults Board has a statutory responsibility to conduct a safeguarding adults' review (SAR) when an adult in its area dies as a result of abuse or neglect, whether known or suspected, and there is concern that partner agencies could have worked more effectively to protect the adult at risk.

- The CESAB must also arrange a SAR if the same circumstances apply where the adult is still alive but has experienced serious abuse or neglect.
- The CESAB can arrange for a SAR in other situations where it believes that there will be value in doing so
- The CESAB has agreed to delegate the management of SARs to the Case Review Group (CRG)
- The CRG has clearly defined Terms of Reference agreed by the SAB
- The adult who is the subject of the SAR need not have been in receipt of care and support services for the CESAB to arrange a review
- SARs will reflect the six safeguarding principles:-

### **Empowerment**

Personalisation and the presumption of person led decisions and informed consent.

### **Prevention**

It is better to take action before harm occurs.

### **Proportionality**

Proportionate and least intrusive response appropriate to the risk presented.

### **Protection**

Support and representation for those in greatest need.

### **Partnership**

Local solutions through services working in their communities. Communities have a part to play in preventing, detecting and reporting abuse and neglect.

### **Accountability**

Accountability and transparency in delivering safeguarding.

- The process and methodology for undertaking SARs is determined by the CRG according to the specific circumstances of the case.

### **Initiating a SAR**

- A referral for consideration for a Safeguarding Adults Review should be made using the Referral Form.
- A staff member who believes a Safeguarding Adults Review is warranted should discuss their concerns in relation to the case in question, with their CESAB representative. There must also be consideration given to requests to convene a Safeguarding Adults Review from the Coroner, MPs, Elected Members and other interested parties including family members.
- The referrer should complete the form with as much detail as possible to support the decision making process – with specific reference to the way in which they believe the criteria have been met.
- This form should be submitted to the CESAB Board Manager, using the contact details provided on the referral form. The CESAB Board Manager will then share this information with the Independent Chair of the CESAB.
- The Independent Chair will decide if the case warrants initial discussion at the Case Review Group (CRG.)
- Any organisation holding case files should ensure that they are secured immediately on a case being referred to the CRG.
- Any organisation must comply with a request from the CESAB to provide information

## **Consideration by CRG**

The process of consideration is as follows:

- Case referral received by Board Manager using template form.
- Board Manager sends letter on behalf of Case Review Group Chair in confidence to organisations involved, requesting a summary of their involvement with the adult within 7 days.
- Meeting of CRG will take place within 14 days of receipt of referral. Referring organisation will be invited to consideration meeting.
- Information for consideration will be provided to CRG members at least 3 days in advance of meeting. Documents will be secured.
- The CRG meeting will review and discuss the referral and make a recommendation to the Independent Chair as to whether an SAR should be conducted.
- The CRG may decide that another type of review may be more appropriate.
- If the CRG decide that the criteria for undertaking a Safeguarding Adults Review have been met. The CRG will:
  - Make a recommendation to Independent Chair for approval to undertake a Safeguarding Adults Review. This will include the initial Terms of Reference for the Review, the preferred methodology for undertaking the review, plans for family / individual involvement and any risks identified.
- The terms of reference should be published and openly available once agreed by the CESAB.

- Identify timescales for completion – ideally this should be within six months. This is not always possible (for example, because of potential prejudice to related court proceedings).
- Propose a methodology for the review.
- Identify membership of the review panel who will oversee the review.
- Consider any requirements in relation to communication plan for family, provision of advocacy support for the adult at the centre of the review or any potential media interest or other risk areas.
- Identify the structure of the review, for example; overview reports, executive summaries, lessons learned documents etc.
- Notification shared with Coroner and Care Quality Commission where appropriate.
- Notification sent to involved agencies to secure records for this case.
- Full chronologies requested from agencies involved with the individual.
- Board members notified of intention to conduct a Safeguarding Adults Review.
- The local authority must arrange where appropriate, for an independent advocate to represent and support an adult who is the subject of a Safeguarding Adult Review where the adult has 'substantial difficulty' in being involved in contributing to the process and where there is no other appropriate adult to assist. (A person who is engaged professionally to provide



care or treatment for the adult in question cannot be an advocate.

- The adult must also consent to being represented and supported by the advocate (or where the adult lacks capacity, the local authority must consider it to be in that adult's best interests to be represented and supported by the advocate).

## **Methods of Review**

### **Review and analysis of records**

- This methodology may require that each agency involved with the individual in question produce a full chronology of their involvement, and an Internal Management Review (IMR) Report. (see appendix).
- The aim of the IMR should be to look openly and critically at individual and organisational practice and at the context in which people were working to see whether the case indicates that improvements could and should be made and, if so, to identify how these changes should be brought about. IMR Authors for each agency identified should not have been directly involved with the adult or family or be the immediate line manager of the practitioners involved.
- IMR authors should review case records for their agency and may also discuss with staff their involvement with the individual, family / carers. Where staff are interviewed by those preparing management reviews, a written record of such interviews should be made and this should be shared with the relevant interviewee. Individuals preparing management reports should ensure provision is made for staff care and support within their agency. If the review finds that policies or procedures have not been followed, relevant staff or managers should be interviewed in order to understand the reasons for this.

- Both chronologies and IMRs should be produced using the CSAB templates and guidance which contains details of what should be considered in each section.

## **Reflective Review**

- The Case Review Group (CRG) will invite the key agencies and professionals involved in an identified case to a half or full day event to examine the case together.
- Agencies will be asked to provide chronologies of events within an identified time band, one facilitator will chair the event and another will write up the learning.
- An external facilitator may be used if the complexity of the case means it is necessary to do so.
- The CRG will agree and provide written terms of reference for such a review and a timescale for completion.
- This process will involve operational staff and their managers who will have participated in the summary of learning at the end of the process.
- A second event may take place to review how the agreed actions had been met and how the learning was disseminated within agencies.
- A summary of the learning and any action plans will be shared with the CSAB in the form of a written report by the Chair of the CRG.

## **Peer Reviews**

- The CRG will identify an individual from another Safeguarding Adults Board to review the multi-agency working in an identified case as part of a reciprocal arrangement.

- The CRG will agree and provide written terms of reference for any such review and a timescale for a response.
- The review will be shared with the CSAB in the form of a written report provided by the identified individual.

### **Individual Agency Reviews**

- There are a number of reviewing processes undertaken around safeguarding cases within individual agencies represented on the Safeguarding Adults Board.
- For example, the Serious Untoward Incident or Root Cause Analysis process undertaken by board members from health services, and it is appropriate for the Safeguarding Adults Board to have an overview of these.
- When an individual agency is conducting an investigation of this kind which involves a safeguarding issue, the CRG should be advised of this to enable them to assess whether there may be transferable learning, or whether another level of review is needed.
- The CRG may also ask an agency to conduct a review into a particular case and forward a written report to the CRG.
- The CRG will agree and provide written terms of reference for any such review and a timescale for a response.
- The CRG will share this report with the CESAB in the form of a written report provided by the Chair of the CRG

### **Annual Report**

All Safeguarding Adults Reviews conducted within the year should be referenced within the annual report along with relevant service improvement requirements

## Referral Form – Safeguarding Adults Review

Any agency or professional can request a Safeguarding Adults Review by completing this form in full. All requests will be assessed in accordance with the SAR policy.

Cheshire East Safeguarding Adults Board



### Details of Referrer

<b>Name:</b>	
<b>Job Title (if professional referral)</b>	
<b>Organisation (if professional referral)</b>	
<b>Contact Details (include telephone number and e mail)</b>	
<b>Address:</b>	
<b>Relationship to the adult at risk:</b>	
<b>Date referral submitted:</b>	

### Details of adult at risk

<b>Name:</b>	
--------------	--

<b>Address:</b>	
<b>Date of birth:</b>	
<b>Date of death (if applicable)</b>	
<b>Cause of death (if known)</b>	
<b>Ethnicity:</b>	
<b>Name and address of GP:</b>	
<b>Details of significant others (include legally recognised next of kin where this is known, family members, carers, advocate, representative)</b>	
<b>Please list any agencies that the person is or has been involved with to your knowledge (for example adults social care, housing, police, voluntary bodies and so on)</b>	
<b>Brief summary of any evidence/concerns you have about the adult being at risk of abuse and neglect</b>	

**Please provide a summary of why you are referring this case for consideration by the Safeguarding Adults Board (please include a brief description of the incident(s) and the impact on the adult at risk, as well as any concerns about the way agencies have worked together)**

**Please provide details of any other investigations you are aware of concerning the case (For example serious incidents, criminal, health and safety and safeguarding ).**

**Name and contact details of the Safeguarding Strategy Manager or lead person in any other investigation.**

**If the adult at risk is subject to an ongoing safeguarding investigation, please provide additional details (if known) as follows:**

**Details of the initial alert**

**Subsequent developments including risk management plans**

**Please provide any additional details that may be useful for this referral:**

