



Safeguarding Adults Reviews: Policy & Procedure

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1. PURPOSE OF A SAFEGUARDING ADULT REVIEW (SAR)

- 1.1** The Care Act 2014 requires The Royal Borough of Greenwich Safeguarding Adults Board (GSAB) to arrange for a Safeguarding Adults Review (SAR) to be held in the circumstances set out in Section 44.
- 1.2** The overriding aim of a SAR is to promote effective learning to prevent future deaths or serious harm from taking place. Within this there are three purposes the SAR must fulfill:
- To establish whether there are lessons to be learned from the case about the way in which the GSAB, its members and other persons with relevant functions, professionals and agencies work together to safeguard adults with needs for care and support.
 - To establish what those lessons are, how they will be acted upon and what is expected to change as a result.
 - To improve inter-agency working and better safeguarding of adults at risk including the review of procedures where there may have been failures.
- 1.3** SARs are not inquiries into the cause of death or injury. Nor are they inquiries into who is responsible for the death or injury. Where those inquiries are required, they are undertaken by the Coroner or the police or other relevant agency.
- 1.4** If there are issues of performance and/or discipline which needs to be addressed arising from the review case then these must be dealt with within each agency's usual procedures.
- 1.5** From 2015/16 onwards, in line with the Care Act 2014, the SAR has replaced the previous Serious Case Review procedures in The Royal Borough of Greenwich.

2. CRITERIA FOR CONDUCTING A SAFEGUARDING ADULT REVIEW OR OTHER TYPE OF REVIEW

- 2.1** **Section 44** Care Act 2014: and the Care and Support Statutory Guidance (2016) provide that a SAR must be arranged in the following circumstances:
- SABs must arrange a 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.
 - SABs must also arrange a SAR if an adult in its area has not died, but the SAB knows or suspects that the adult has experienced serious abuse or neglect.
- 2.2** The threshold for a SAR in relation to the second criteria above is further explained and. "serious abuse or neglect" is defined as being where an 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 (whether

because of physical or psychological effects) as a result of the abuse or neglect.

- 2.3 A SAR must be conducted where there are: multiple victims; the abuse occurred in an institutional setting; and a culture of abuse was identified.
- 2.4 In all these cases, a SAR should be considered where there are concerns about the way local professionals and services worked together.
- 2.5 The Care Act permits GSAB to consider conducting a SAR when the above criteria are not met but when a review into the circumstances of a death or serious abuse or neglect could provide useful insights into the way organisation work together to prevent and reduce abuse and neglect of adults who are at risk of, or experiencing, abuse and neglect.
- 2.6 The GSAB will consider conducting a Lessons Learnt Review when a SAR is not going to be conducted and there can be useful insights into the way organisations are working together to prevent and reduce the abuse and neglect of adults at risk. Learning events will be undertaken in accordance with the local procedure and methodology for Learning Events and will be co-ordinated by the Learning and Development sub-group of the GSAB.

3. REFERRAL OF CASES FOR SAFEGUARDING ADULT REVIEW

- 3.1 Referrals should be made to the Safeguarding Adults Team at Greenwich Council. The SAR referral form (Appendix A) must be emailed to safeguarding-adults-board@royalgreenwich.gov.uk
- 3.2 **IT IS IMPERATIVE THAT A SAR REFERRAL IS MADE FOR ALL DEATHS IN THE BOROUGH INVOLVING AN ADULT AT RISK, WHERE ABUSE OR NEGLECT IS KNOWN OR SUSPECTED TO HAVE TAKEN PLACE.**
- 3.3 The Chair of the GSAB nominates the Co-Chairs of the SAR Evaluation Group (SEG) - for the Royal Borough of Greenwich this is a Senior Officer from Health and Social Care together with the SAB's local Police Force representative.
- 3.4 Any agency or professional may refer a case believed to meet the criteria using the SAR Referral Form (**Appendix A**) together with:
 - A brief summary of the case
 - Identified factors that suggest that the criteria for conducting a SAR has been met
- 3.5 Following receipt of the SAR Referral Form, the Board Manager will inform the Head of Adult Safeguarding.
- 3.6 The Head of Adult Safeguarding will review all referrals in the first instance in order to screen-out any cases that clearly do not meet the criteria for a SAR;

The Head of Safeguarding may also discuss referrals with the Senior Assistant Director for Adults and Older People's Services as part of this screening process.

- 3.7 The decision as to whether or not a referral will be progressed to the SEG must be recorded, by the Head of Safeguarding on the referral form, together with the decision as to why the decision was reached. The form must be signed off by the Senior Assistant Director for Adults and Older People or the Director of Health and Adult Services.
- 3.8 Signed off referral forms should be passed to the SAB Manager. In all instances a scanned copy of the form must be uploaded into the service user's records on Framework-i.
- 3.9 The SAB Manager must inform the referrer whether or not the case will be progressed for consideration at the SEG.
- 3.10 The SAB Manager will inform the SAB Chair of all cases that are to be presented to the SEG.
- 3.11 The SAB Manager and Administrator will organise, and administrate the SEG Meetings and arrange minute taking for the meeting.

4. THE SAR EVALUATION GROUP (SEG)

- 4.1 The SAR Evaluation Group will be co-chaired by the SAB's Metropolitan Police Representative and by a Senior Officer from Health and Social Care, RBG. Members of the SAR Evaluation Group will have appropriate levels of experience of safeguarding adults work and inter-agency working and will have suitable qualifications and seniority within their agencies. Members will be selected from agencies who are members of the GSAB. Consideration should be given to representation from the following agencies;

- Greenwich Adult Social Care
- NHS Greenwich Clinical Commissioning Group
- Greenwich Borough Police
- Oxleas NHS Foundation Trust (community health/mental health)
- Lewisham and Greenwich NHS Trust
- Legal representative from Royal Borough of Greenwich where required
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And others who may have a specific expertise in relation to the case, such as;

- Carers/service user organisation where appropriate
- London Fire Brigade Service
- London Ambulance Service

- 4.2 The SAR Evaluation Group will meet as required to consider referrals which may require a SAR. The referrer will be invited to present the case to the SEG

and answer any questions that members of the SEG might have. The SEG will decide if, from the information provided, the case meets the criteria outlined in Section 2 of this procedure or, identify additional information required to aid the decision and agree timescales for its receipt.

- 4.3 The SEG should consider any other relevant reviews or investigations that are running parallel. This may include a children's Serious Case Review (SCR) or a Domestic Homicide Review (DHR) with queries channeled through the relevant Chairs of the Safer Greenwich Partnership and the Greenwich Safeguarding Children Board.
- 4.4 If the criteria for conducting a SAR are met, one of the co-chairs will recommend to the GSAB chair that a SAR should be conducted. The GSAB will then make their final decision in writing to the co-chairs. A written record of the referral, the eventual decision and the reasons for the decision will be kept by the GSAB. The process from receipt of the SAR referral through to the recommendation to the GSAB Chair from the SAR Evaluation Group will be treated as high priority with a commitment to complete as soon as possible. The independent chair will discuss the case with one or both of the co-chairs of the SEG.
- 4.5 The final decision whether or not to conduct a SAR and its scope and management rests with the Chair of the GSAB who may choose to consult with members of the Leadership Executive of the GSAB before making a decision.
- 4.6 The Chair of the GSAB will give the decision in writing to the Chair of the SAR Evaluation Group and a written record will be kept by the GSAB.
- 4.7 The Chair of the SAR Evaluation Group will give the decision in writing to the person or agency making the referral.
- 4.8 Where applicable, the Chair of the GSAB will notify the Coroner when the decision is made to conduct a SAR where the Coroner has decided that an inquest should be held on a case, a copy of the final report will be shared with the Coroner.
- 4.9 The Head of Safeguarding Adults will support the SAR Evaluation Group co-chairs in the facilitation and delivery of the SAR decision process.

5. WHEN THE CHAIR OF GSAB DOES NOT ACCEPT A SAR EVALUATION GROUP RECOMMENDATION

- 5.1 If the Chair of GSAB disagrees with the recommendation of the SEG, the GSAB Chair should discuss the case with the Senior Assistant Director for Adults and Older People with a view to seeking a consensus on the case. The final decision lies with the Independent Chair following a close collaborative discussion with the local authority. Where the Chair of the GSAB declines to accept the SAR Evaluation Group's recommendations for a SAR, the Chair of

the GSAB will advise the Co-Chairs of the SAR Evaluation Group in writing and a written record will be kept by the GSAB Manager including the reasons why the recommendation has been declined. A copy of this letter must be uploaded onto the service user's record on Framework-i.

- 5.2** If there are multi-agency lessons to be learnt based on the information already shared, the Chair of the SEG will inform a multi-agency lessons learnt approach – see section 6.

6. MULTI-AGENCY LESSONS LEARNT PROCESS FOR CASES NOT MEETING THE CRITERIA FOR SAR

- 6.1** The SAR Evaluation Group process may have identified from the information submitted areas of multi-agency learning that while not constituting a SAR would still be useful to share. In these cases, the learning will be documented in a simple template and disseminated by the GSAB Board Manager to the workforce/relevant partner agencies.

- 6.2** For those cases that do not constitute a SAR, but there is multi-agency complexity which would benefit from further consultation and information sharing, a one-off multi-agency Lessons Learnt Review meeting should be convened. The SAR Evaluation Group Chair will indicate the relevant agencies to be involved and who should chair. In most instances this will be one of the Co-chairs of the SAB's Learning and Development sub-group. The subsequent Lessons Learnt report will be produced by the chair of the Lessons Learnt Review Meeting, and signed off by the SAR Evaluation Group Chairs. The report will be disseminated by the GSAB Board Manager to the workforce/relevant partner agencies, and full feedback will be provided to the SAB.

7. CONDUCTING A SAFEGUARDING ADULT REVIEW

- 7.1** Where the Chair of the GSAB decides that a SAR is appropriate, the Chair of the GSAB will appoint a person to act as the lead reviewer or overview report writer. The lead reviewer must be sufficiently skilled and experienced in adult safeguarding matters and must be independent of all of the agencies involved in the case. The lead reviewer will Chair the SAR panel and they must be independent of the GSAB and of the organisations involved in the case.

- 7.2** The Chair of the GSAB will formally request the Chief Officer of involved agencies (and possibly some independent practitioners) to nominate a representative to sit on the SAR panel. The nominated representative must have the appropriate seniority, qualifications and levels of experience.

- 7.3** Early discussions need to take place with the adult, family and friends to agree how they wish to be involved. The local authority must arrange, where necessary, for an independent advocate to support and represent an adult who is the subject of a Safeguarding Adult Review. Where an independent advocate has already been arranged under s67 Care Act or under MCA 2005 then, unless inappropriate, the same advocate should be used.

- 7.4** Conducting a SAR for cases that meet the criteria is a statutory responsibility. As such, adults who are the subject of a SAR, their families, and their friends have no right to prevent a SAR from taking place. Conversely, where a case does not meet the criteria for a SAR under the terms of the Care Act 2014, the SAB chair cannot be required to conduct a SAR by a third party. The SAB chair will meet with families in the first instance, to discuss the nature of their involvement and to provide information about the SAR process.
- 7.5** In setting up a review the GSAB Chair and SAR Panel should consider how the process can dovetail with any other relevant reviews or investigations that are running parallel. This may include a children's Serious Case Review (SCR) or a Domestic Homicide Review (DHR) with queries channeled through the relevant Chairs of the Safer Greenwich Partnership and the Greenwich Safeguarding Children Board. Where there is a parallel running process, consideration may be given to commissioning some parts of the review jointly so as to avoid duplication of work.
- 7.6** The Chair of the SAR Panel will be one of the co-chairs of the SEG panel, and will draw up the Terms of Reference for the SAR process on behalf of, and agreed with the Chair of the GSAB. The Chair of the SAR panel will be responsible for ensuring that the SAR is compliant with the Terms of Reference drawn up. Any queries with regard to the Terms of Reference must be discussed with the Chair of the SAR Panel in the first instance and if not resolved, then it is to be discussed with the GSAB Chair.
- 7.7** Where a SAR is conducted in parallel with another major review e.g. Domestic Homicide Review, the SAR Panel may be co-chaired with the chair of that review.
- 7.8** The Chair of the SAR Panel will formally request the Chief Officers of involved agencies to conduct an Internal Management Review (IMR) of their involvement with the adult (including a chronology), the service and/or the family and submit the report and recommendations arising from that review to the SAR Panel within given timescales. The nominated IMR authors from each agency will be invited to attend the a SAR panel meeting in order for the IMR to be scrutinized, and to provide clarification on any matters relating to the report.
- 7.9** The Internal Management Review (IMR) report plus any other information identified as necessary by the SAR panel will be received by the Chair of the SAR panel and passed to the members of the panel and the lead reviewer, for their scrutiny. The Chair of the SAR panel will convene a meeting of the SAR panel to discuss the IMRs and any other information. The IMR Authors will be invited to present their IMR to the panel at this meeting. Questions may be put to the IMR writers by members of the SAR group at that meeting to clarify the content of the IMR.
- 7.10** The SAR panel will complete the review of the agencies IMRs and reports commissioned from any other source, and agree the overview report,

produced by the lead reviewer, which brings together all the information, an analysis of findings and recommendations for future actions. An Executive Summary, produced by the lead reviewer, shall also be agreed which outlines the issues and highlights the recommendations, to accompany the overview report.

- 7.11** The Chair of the SAR Panel must ensure that all contributing agencies that have taken part in the Review are satisfied that their information is fully and fairly represented in the overview report.
- 7.12** The SAR process should be completed within six months of the GSAB Chair's decision to conduct the SAR unless an alternative time-scale has been agreed. If this is not possible (for example, because of potential prejudice to related court proceedings) every effort should be made while the SAR is in progress to (i) identify any urgent necessary improvements that may be required and (ii) take corrective action.
- 7.13** The SAR report must:
- Be written in plain English
 - Provide a sound analysis of what happened and why
 - Identify what action must be taken to prevent a reoccurrence
 - Contain findings of practical value to organisations and professionals.
 - Consideration should be given to having the published report translated into an appropriate language in circumstances where the adult who has experienced the abuse or neglect is from a family whose first language is not English.
- 7.14** The chair of the GSAB and the lead reviewer will meet with the family to discuss the content of the report and the publication of the report.
- 7.15** For all cases where a regulated service is involved, the regulating authority (e.g. Care Quality Commission) will be informed of the review by the Chair of the GSAB.
- 7.16** The GSAB Board Manager will support the SAR Panel Chair in the facilitation and delivery of the SAR Panel process.
- 7.17** In order to protect the duty of candour within the SAR process it is necessary to protect confidentiality in relation to reports prepared. All reports and documentation must be treated as confidential and no items should be shared with the prior consent of the report author following discussion with the Chair of the SAR and the SAR panel
- 7.18** With the exception of the final report, documentation will not be disclosed to the family, individuals or agencies external to the SAR process. This approach is consistent with the principles established by the High Court in *Worcestershire Safeguarding Children's Board v HM Coroner* [2013] and also the decisions of the Information Commissioner in claims against the London

Borough of Haringey [Decision Notice FS50234513] and Plymouth City Council [Decision Notice FS50084360].

- 7.19** The Final Report will be subject to redaction as required by the Data Protection Act 1998 and will be provided to the family and other external bodies as deemed appropriate following full consideration of all issues.
- 7.20** Any request for access to documents or information will be considered in accordance with the principles of the Freedom of Information Act 2000, the Data Protection Act 1998. Decisions will be made by individual agencies in relation to requests for disclosure of their documents, including the reports for which they are authors.

8. IMPLEMENTING THE SAFEGUARDING ADULT REVIEW RECOMMENDATIONS

- 8.1** The GSAB and the GSAB Leadership Executive Group will review the SAR Overview Report and endorse the recommendations if it is satisfied that the recommendations address the issues highlighted in the report's findings. The recommendations will be translated into an action plan that will indicate:
- who will be responsible for actions and timescales for completion of actions
 - the intended outcomes of the various actions and recommendations
 - monitoring and reviewing of the recommendations by the GSAB and reporting progress up to the GSAB Leadership Executive Group
- 8.2** The GSAB will publish all SAR reports unless a reason not to do so is identified. The Chair of the GSAB will agree to whom the report, or parts of the report, should be made available. In particular, consideration must be given to publication of reports either internally within agencies or externally via the internet. It may be necessary for each agency's media department to agree a joint strategy.
- 8.4** The Chair of the GSAB will ensure dissemination of the SAR Overview Report, or key findings, to interested parties as agreed and ensure that the subject of the Review or the family of the adult at risk receives feedback so that the outcome of the findings can be shared.
- 8.5** The Chair of the GSAB will send a copy of the SAR Overview Report to the Director for Adult and Older Persons Social Care and to the Coroner (where a death has occurred).
- 8.6** The Chair of the GSAB will ensure that either the full report or the Executive Summary is sent to the relevant GSAB sub-groups for recording and monitoring (Quality and Assurance sub-group) and action planning for disseminated learning (in the Learning and Development sub-group).

8.7 Each agency is responsible for implementing relevant recommendations contained in their action plans within the timescales agreed and for advising the GSAB of progress.

8.8 The GSAB will monitor the delivery of the recommendations on a quarterly basis and report findings to the GSAB Leadership Executive Group.

9. GSAB ANNUAL REPORT

9.1 The GSAB should include the findings from any SAR in its Annual Report and what actions it has taken, or intends to take in relation to those findings. Where the GSAB decides not to implement an action then it **must** state the reason for that decision in the Annual Report.

10. ENDORSEMENT OF THE SAFEGUARDING ADULTS REVIEW PROCEDURE

10.1 The Royal Borough of Greenwich Safeguarding Adults Review procedure was considered by the GSAB on 13th and endorsed by the Safeguarding Adults Board Leadership Executive.

11. FURTHER DOCUMENTS TO SUPPORT THE DELIVERY OF THIS PROCEDURE

11.1 The following guidance documents are retained by the GSAB Board Manager and will be made available when required in support of the process:

- Terms of reference for the Safeguarding Adults Review Evaluation Group
- Internal Management Review request and reporting templates and related guidance
- Chronology template
- Safeguarding Adults Review Overview Report template
- Guidance for Safeguarding Adults Review Panel Chairs

APPENDIX A

**Royal Borough of Greenwich Safeguarding Adults Board (GSAB)
Safeguarding Adults Review (SAR)**

Referral Form for notification of death or serious injury concerning an adult at risk

Name:	
Address	
Date of Birth: Date of Death (if relevant): Ethnicity:	
Name and address of GP:	
Cause of death as set out in the death certificate (if appropriate) or suspected type of abuse	
Family / Next of Kin / Nearest Relative / Advocate / Representative:	
Location & Date of incident:	
Brief Summary of the Case: Including notes of any Safeguarding meetings held.	
Other agencies known to be involved:	

Identify the factors that suggest this case meets the criteria for an SAR:	
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Date of Notification:	
Name of Referrer and contact details:	
Agency:	

To be completed by Head of Safeguarding Adults

Should Referral be Progressed to SEG?	Yes/No (delete as applicable)
Reason for decision	
Signed by Head of Safeguarding	
Signed by Senior Assistant Director/Director	

Date of notification to SAR Evaluation Group:	
Date considered by SAR Evaluation Group:	
Decision/Action taken:	

PLEASE RETURN THIS FORM ELECTRONCIALLY TO THE ADULT SAFEGUARDING TEAM AT ROYAL BOROUGH OF GREENWICH:

safeguarding-adults-board@royalgreenwich.gov.uk

PLEASE CC THE FOLLOWING PERSON ON BEHALF OF THE SAR EVALUATION PANEL CHAIR:

helen.bonnewell@royalgreenwich.gov.uk