

**Kingston Safeguarding Adults Board
Safeguarding Adults Review (SAR) Policy**

1. PURPOSE OF A SAFEGUARDING ADULT REVIEW (SAR)

1.1 The Care Act 2014 requires a Local Safeguarding Adults Board to arrange for a Safeguarding Adults Review (SAR) to be held in circumstances set out in Section 44.

1.2 The SAR process has been developed to:

- establish whether there are lessons to be learned from a case about the way in which the members and other persons with relevant functions professionals and agencies work together to safeguard adults with needs for care and support.
- establish what those lessons are, how they will be acted upon and what is expected to change as a result
- improve inter-agency working and better safeguarding of adults at risk, including the review of procedures where there may have been system failures prepare or commission an overview report which brings together the findings in order to make recommendations for future action for an agency or the Kingston Safeguarding Adults Board (KSAB)

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 may take place via other agencies and processes.

1.4 It is acknowledged that all agencies will have their own internal / statutory review procedures to investigate serious incidents e.g. root cause analysis (RCA). This protocol is not intended to duplicate, replace or undermine these. However, careful consideration will need to be given by the Safeguarding Adults Board, on recommendation of the SAR subgroup, as to how these different processes compliment the Serious Case Review procedure, or whether they indeed should be completed and reported back on first so as to establish if a SAR is still required.

1.5 If there are issues of performance and/or discipline which need to be addressed arising from the review case then these must be dealt with within each agency's usual procedures.

2. CRITERIA FOR CONDUCTING A SAFEGUARDING ADULT REVIEW

2.1 The Care Act 2014 and the London Multi Agency Safeguarding Adults Policies and Procedures set out when a Safeguarding Adults Board (SAB) must conduct a SAR.

The criteria for a SAR are met when:

- An adult at risk dies (including by suicide) and abuse or neglect is known or suspected to be a factor in their death and there is a concern that partner agencies could have worked more effectively together to protect the adult.

- An adult at risk has not died, but has sustained injury, and/or experienced serious abuse or neglect and there is a concern that partner agencies could have worked more effectively together to protect the adult.
- SABs are free to arrange for a SAR in any other situations involving an adult in its area with needs for care and support.

Examples of the type of 'serious abuse or neglect' for consideration would be 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 (whether because of physical or psychological effects) as a result of the abuse or neglect.

2.2 The KSAB will 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 can provide useful insights into the way organisations are working together to prevent and reduce abuse and neglect of adults who are at risk of, or experiencing, abuse and neglect.
- Serious or apparently systematic abuse that takes place in an institution or when multiple abusers are involved. Such reviews are likely to be more complex, on a larger scale and may require more time.

3 REFERRAL OF CASES FOR SAFEGUARDING ADULT REVIEW

3.1 Any agency or professional may refer a case believed to meet the criteria using the Referral Form (Appendix 1).

Referrals should be sent to the dedicated SAR email inbox and the referral should include:

- Brief summary of the case
- Identified factors that suggest that the criteria for conducting a SAR has been met.
- Information regarding agencies involved

Chairs of safeguarding adult meetings will be particularly well placed to identify cases that may warrant review.

3.2 The SAR email inbox monitor will alert the SAR sub group chair and the Corporate Head of Service for Safeguarding Adults of the referral. The referral will then be managed by the SAR Sub Group. The referral will be listed for discussion at the next planned SAR sub group or an extra-ordinary group meeting will be convened within 2 weeks of the referral being received if there is no planned SAR sub group within 2 weeks to decide what action needs to be recommended in response to the referral.

3.3 The SAR sub group or the convened extra-ordinary group making the recommendation to the KSAB, will review the information in the referral and any information that is held within their own agencies. The group meeting may be conducted in person or by video conferencing. The group will endeavour to reach a decision regarding their recommendation at the meeting,

however where additional information is needed this timeframe may be extended to a maximum of 4 weeks where possible. When this delay occurs, the referrer and the SAB Independent Chair will be informed of the delay and the anticipated date for when a decision regarding the recommendation will be reached.

It is envisaged that the group will reach a consensus decision but if there is a split decision on the outcome then the KSAB will make the final decision to be taken to the next KSAB meeting for ratification.

3.4 Outcome: It is anticipated that the recommendation to the KSAB Chair with regards to how the referral should now proceed will be one of the following methods:

- **A Full Safeguarding Adults Review** - the group will need to identify a SAR reviewer and method of review. The group will draft the Terms of Reference for the review with final TOR agreed upon once the reviewer has been appointed. This could be a traditional SAR described in 7.1 or a Learning Together Review [Further guidance here](#)
- **B Serious Incident Learning Process or a Multi Agency Review** - the group will further recommend as to who should Chair this process. SILP explores the professional's view of the case at the time the events took place. It analyses significant events and deals not only with what happened but why it happened. SILP can show us what affected the practitioner's actions and decision making at the time and what needs to change. [Further guidance here](#)
- **C A Single Agency Review** - if agreed the group will then contact the Safeguarding Adults Lead of the specific agency to request they review the incident and provide a report to the Kingston Safeguarding Adults Board.
- **D Appreciative inquiry** - Appreciative inquiry turns the problem solving approach on its head. It focuses on achievements rather than problems. It should not be seen as a model of working but more a strategy for identifying what works. The appreciative approach involves collaborative inquiry, based on interviews and affirmative questioning, to collect and celebrate the good practice stories that enhance the working relationship between professionals and between professionals and clients. [Further guidance here](#)
- **E Significant event analysis** - uses case analysis to encourage the involved agencies to have a supportive discussion. The aim is to use this as a process to allow reflection and learning from the incident and so improve practice. [Further information here](#)

Appendix 3 Methodology Decision Tree enables the SAR sub group to decide the most appropriate methodology.

3.5 Recording of the Decision: The recommendation of the group will be conveyed to the KSAB (via the independent chair in writing), for agreement, by the SAR sub group chair. Once agreed at a KSAB meeting, the SAR sub group chair will then write to the referrer to formally inform them of the decision.

4 THE SAFEGUARDING ADULT REVIEW SUB-GROUP

4.1 The Safeguarding Adults SAR sub group, is a sub group to the KSAB. The group reports directly to the board and takes responsibility for the management of SAR referrals, monitoring of ongoing SAR's and present finished SAR's to the board for sign off and endorsement of the recommendations. The SAR sub group will be responsible for writing the action plan and referring to the training and workforce sub group for putting actions into practice.

4.2 Members of the SAR sub group group will have appropriate levels of experience of safeguarding adult work and inter-agency working and will have suitable qualifications and seniority within their agencies.

4.3 The core members of this group have been selected from agencies who are members of the KSAB. Review of the membership should be given periodically to include:

- Adult Social Care
- Kingston Clinical Commissioning Group (CCG)
- Kingston Police (SW BCU)
- Achieving for Children

The chair of the Sub group should be a representative of the statutory members of the board and be a senior leader of the agency (assistant director level or equivalent)

Additional members of the group would be called upon if referral and case relevant to their agency:

- South West London Mental Health Trust
- Kingston Hospital
- Legal representative from Kingston Legal Services
- London Fire Brigade

4.4 The final decision whether or not to conduct a SAR and its scope and management rests with the KSAB who may choose to consult with members of the Executive Group of the KSAB before making a decision.

4.5 To enable the review to begin expeditiously a decision to accept the recommendation of the SAR Sub-Group and proceed with a SAR and the ToR will be taken by the Independent Chair of the KSAB. This decision will be in writing to the chair of the SAR sub-group and a written record will be kept in the SAR sub group dedicated referral tracker and meeting minutes. Ultimate ratification of the decision to conduct a SAR (or not) rests with the KSAB and the details will be reported to the next Board meeting for consideration of all KSAB members.

4.6 The Chair of the SAR sub-group will give the decision, with or without reasons, in writing to the person or agency that made the referral.

4.7 Themes from local case reviews will be collated annually and reported on in the KSAB annual report.

5 WHEN THE CHAIR OF KSAB DECLINES THE RECOMMENDATION

5.1 Where the KSAB declines to accept the SAR sub-group's recommendations for a SAR (or alternative process), the chair of the KSAB will advise the chair of this group in writing and a written record will be kept by the Safeguarding Adults Corporate Head of Service, Kingston Council, including the reasons why the recommendation has been declined. This decision will be reported to the next Board meeting for consideration and decision of all KSAB members.

5.2 The referrer will be notified of the outcome by letter from the KSAB chair. This letter will include details of appeal should the referrer wish to appeal the decision to not hold and Safeguarding Adult Review (SAR).

6 SAR METHODS EXAMPLES (refer to 3.4) (SILP and Traditional SAR)

CONDUCTING A SERIOUS INCIDENT LEARNING PROCESS (SILP)

6.1 The SAR Sub Group will set up a Serious Incident Learning Process (SILP), will appoint a chair and will consider which agencies or organisations should be invited to be part of this process.

6.2 The Sub Group will invite all agencies that have been involved in the case to contribute to the process in order that lessons can be learnt and an action plan put in place for relevant agencies. This can be done as a whole day event.

6.3 The SILP report should be brief and to the point, focusing on recommendations rather than the history of the circumstances. It should be completed within 2 months of the decision to undertake an SILP. The chair of the SILP is responsible for the report, which should be submitted to the SAB for agreement.

6.4 The action plan of the SILP will be monitored by the SAR Sub group or SAB sub-group for Quality and Performance as appropriate.

CONDUCTING A SAFEGUARDING ADULT REVIEW

7.1 Where the chair of the KSAB confirms that a SAR is appropriate, the SAR sub group will identify and commission a reviewer to formally lead and chair the SAR. The reviewer must be sufficiently skilled and experienced in adult safeguarding matters. The lead reviewer will chair the SAR panel – they should be from an agency or organisation not involved with the case, but may be a SAB member if appropriate.

7.2 The SAR sub group will formally request the Chief Officer or equivalent of involved agencies (and possibly some independent practitioners) to nominate a representative to join the SAR panel. The nominated representative must have the appropriate seniority, qualifications and levels of experience.

7.3 The chair of the SAR and the KSAB will either commission the lead reviewer or an overview report writer to complete the SAR Overview Report and Executive Summary.

7.4 Early discussions need to take place with the adult if available, family and friends to agree how they wish to be involved. The principles of Making Safeguarding Personal should be applied, however as the SAR process relates to improving procedures and inter-agency working, the adult cannot determine the outcomes or process beyond their own involvement. The local authority must arrange, where necessary, for an independent advocate to support and represent an adult who is the subject of a SAR. 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.

7.5 The chair of the SAR panel or reviewer (if different) will confirm the Terms of Reference for the SAR process on behalf of and agreed with the Chair of the SAR sub group.

7.6 The chair of the SAR Panel and/or reviewer will formally request the Chief Officers of involved agencies to conduct an Individual 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 within given timescales.

7.7 The nominated IMR authors from each agency will be invited to attend the initial SAR panel meeting in order for the chair of the panel to advise them of the Terms of Reference, timescales, and to explain the format in which the IMR must be completed.

7.8 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/or reviewer and passed to the members of the panel for their scrutiny. The chair of the SAR panel and/or reviewer will convene a meeting of the SAR panel to discuss the IMR's 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 Panel at that meeting to clarify the content of the IMR.

7.9 The chair of the SAR panel and/or reviewer will be responsible for ensuring that the SAR is compliant with the Terms of Reference agreed. Any queries with regard to the Terms of Reference must be discussed with the chair of the SAR Sub Group in the first instance and if not resolved, then it is to be discussed with the KSAB chair.

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, which brings together all the information, an analysis of findings and recommendations for future actions. An Executive Summary 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 KSAB'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:

- provide a sound analysis of what happened and why identify what action must be taken to prevent a re-occurrence be written in plain English 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 any interested party does not have English as a first language.

7.14 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 KSAB.

8 IMPLEMENTING THE SAFEGUARDING ADULT REVIEW RECOMMENDATIONS

8.1 The Safeguarding Adults Review Sub Group of the KSAB will review the SAR final report and endorse the recommendations if it is satisfied that the recommendation addresses 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 timescales for completion of actions and the intended outcomes of the various actions and recommendations. This will then be shared at the next scheduled KSAB for sign off.

8.2 The KSAB 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 on a joint strategy.

8.3 The KSAB will consider publication of the SAR report and agree whether the SAR Executive Summary or the full report will be published on the KSAB website in order to provide transparency and support information sharing. The presumption will be that the full report will be published unless there are good reasons not to.

8.4 The chair of the KSAB will ensure dissemination of the SAR final 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 Each agency is responsible for implementing relevant recommendations contained in their action plans within the timescales agreed.

8.6 The KSAB training and workforce Sub Group will monitor the delivery of the recommendations and report progress to the KSAB.

9 ANNUAL REPORT

9.1 The findings of all SARs conducted within the year should be referenced within the KSAB Annual Report along with what action it has taken, or it intends to take, in relation to those findings. Where the KSAB decides not to implement an action from the findings it must state the reason for that decision in the Annual Report.

10. PUBLISHING REPORTS

10.1 The SAB recognises collective responsibility, open and transparent governance and the need for evolved learning. However, considerations of reputational risk or national learning arising from the case may affect decisions as to how the report is published. The SAB will decide to whom the SAR report, in whole or in part should be made available, and the means by which this will be done. This could include publication via the SAB webpage, which at present is part of the Council's website. Agencies and SAB members can provide the relevant links as required. This will be kept under review.

10.2 The chair of the SAB will make appropriate arrangements for the SAR report and other records collected or created as part of the SAR process to be held securely and confidentially for an appropriate period of time in line with prevailing Information Sharing Agreements, the Data Protection Act, Information Governance arrangement and other legal requirements.

10.3 The Care Act requires the SAB to publish the findings of any SAR in its annual report, recognising the interests transparency and disseminating learning but doing so within the legal parameters of confidentiality, setting out how learning will be implemented. Where the SAB decides not to implement an action from the findings it must state the reason for that decision in the Annual Report

10.4 Any reports to be published must be fully anonymised. However, in doing so, sensitivity must be given to the wishes and views of any family, relative or the person who is the focus of the SAR about the use of anonymised nomenclature.

END

Appendices:

1. SAR criteria sheet

Extract from Procedures for Safeguarding Adult Reviews (SAR) & Multi-Agency Reviews

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- Serious or apparently systematic abuse has taken place in an institution or when multiple abusers are involved. (Such reviews are likely to be more complex, on a larger scale and may require more time – timescales for completion need to be recommended by the SAR sub group and agreed by the SAB Chair).

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2. SAR referral form

Link to form [here](#)

3. SAR methodology decision tree – see attachment