Croydon Safeguarding Adults Board

Safeguarding Adults Review Framework

This document sets out how to request and conduct Safeguarding Adults Reviews in Croydon under Section 44 of the Care Act 2014

Croydon Safeguarding Adults Review Framework

All agencies that work with and provide support to Adults at Risk seek to ensure that they meet the highest professional standards in safeguarding adults from abuse, neglect and harm.

For the purposes of this procedure, the broad definition of an adult at risk is taken from the Care Act 2014:

> **"… an adult who has care and support needs and is, or is at risk of, being abused or neglected and unable to protect themselves against the abuse or neglect or risk of it because of those needs".**

The Act also imposes statutory requirements on Safeguarding Adults Boards to carry out Safeguarding Adults Reviews when an adult at risk has died, or experienced serious abuse or neglect, and there are concerns that partner agencies could have worked more effectively to protect the adult.

As part of aiming for good practice and outcomes this Safeguarding Adults Review Framework sets out how agencies will co-operate to review policy and practice where there is evidence that safeguarding standards may not have been met and/ or where there is the likelihood that lessons can be learnt from a particular case.

Document Control

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Name of originator/author	Denise Snow
Name of responsible committee:	Croydon Safeguarding Adults Board
Date agreed:	
Date issued:	
Target audience:	This protocol applies to ALL Croydon SAB Board members, and staff/ volunteers or organisations working with adults at risk in Croydon.
Related policies:	London multi-agency safeguarding adults policy and procedures

Document Objectives: This protocol sets out the policy and procedure for commissioning and undertaking a Safeguarding Adults Review (SAR) relating to an Adult at Risk living in the London Borough of Croydon	
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1. Introduction

1.1 Section 44 of the Care Act 2014 and associated statutory guidance require Croydon Safeguarding Adults Board (CSAB) to conduct Safeguarding Adults Reviews (SARs) in certain circumstances, and permits the SAB to arrange SARs in other circumstances. The Act requires CAB member agencies to cooperate with and contribute to the carrying out of a SAR.

1.2 SABs need locally agreed processes for commissioning and learning from SARs[1]. No single review model will be applicable for all cases: review methodology should be determined by the circumstances of each case.

"The SAB should be primarily concerned with weighing up what type of 'review' process will promote effective learning and improvement action to prevent future deaths or serious harm."

[Care and Support Statutory Guidance (DH: 2010) paragraph 14.135.]

1.3 The purpose and underpinning principles of SARs, and the broad requirements and guidance for conducting SARs, are set out in section 2.9 of the London Multi-Agency Safeguarding Adults Policy and Procedures (2016). This policy and procedures has been adopted by Croydon SAB and provides the overall governance of our SAR approach.

1.4 The main methodological options for conducting SARs are set out in Safeguarding Adults Reviews under the Care Act: implementation support (SCIE 2015)[2].

1.5 This SAR framework for Croydon SAB therefore acts as an appendix to these documents and must be read in conjunction with them.

1.6 The framework sets out:

- The criteria for when Croydon SAB must or may commission a SAR;
- The processes for requesting and commissioning a SAR in Croydon;
- A flowchart for selecting a SAR methodology appropriate to the case under review ;
- How adults, families and staff will be supported and involved in SARs; and
- How learning from Croydon SARs and from other SARs nationally will be acted on in Croydon.

1.7 Croydon SAB wants to learn how it can better help adults at risk to stay safe from harm. The partnership has agreed the following protocol, so that it can learn from cases where adults suffered significant harm as a result of abuse and/or neglect.

1.8 All SARs in Croydon will have regard to the experience and views of the adult at risk, and/or their representative, and consider how these were sought and taken into account by the professionals involved.

1.9 This protocol was agreed by the Croydon Safeguarding Adults Board on 2nd October 2018.

2. The purpose of a Safeguarding Adults Review

2.1 The purpose of a SAR is to:

- Learn from the way local agencies, staff and volunteers worked together to safeguard adults at risk, both what did and what did not work well;

[1] DH 2014, Care Act statutory guidance, paragraphs 14.133-149.
[2] http://www.scie.org.uk/care-act-2014/safeguarding-adults/reviews/

- Agree how this learning will be acted on, and what is expected to change as a result;
- Identify any issues for multi or single agency policies and procedures; and
- Publish a summary report, which is available to the public.

2.2 The desired outcome of a SAR is:
- Recommendations for corrective action or practice improvement are made to the CSAB;
- Ensure that multi-agency learning and action takes place as quickly as possible;
- The action plan from the SAR is monitored by the CSAB; and
- Adults are better safeguarded from significant harm through improved practice and inter-agency working.

2.3 The purpose of a SAR is not an enquiry into how a death or serious incident happened. Neither is the purpose to find someone to "blame". Such matters will be dealt with by the Coroner's or criminal courts or other bodies ie professional regulators.

2.4 If there are issues of performance and/or discipline to be addressed arising from the SAR, then these will be dealt with within each agency's normal procedures ie disciplinary process.

3. Requests for a Safeguarding Adults Review

3.1 Any individual, agency or professional can request a SAR, provided that it meets the criteria set out below. This should be made in writing to the Chair of the Safeguarding Adult Review Sub group using the SAR request form in Appendix 2 and sent by post or by secure email.

3.2 All agencies or individuals making such a request for consideration will be expected to comply with the council's confidentiality policy and GDPR Legislation 2018.

3.3 Requests will be considered by the CSAB SAR sub-group which is chaired by the Independent CSAB Chair and convened quarterly to consider a SAR. Membership of the SAR sub-group will always include:

- The CSAB Chair
- Head of Croydon's Adult Services Safeguarding Team
- The Designated Nurse Safeguarding Adults, Croydon's Clinical Commissioning Group
- DCI Metropolitan Police Service (Croydon Division)

The SAR sub-group will consider whether or not the request meets the statutory criteria for a SAR and make a recommendation to the Independent Chair.

4. Criteria for a Safeguarding Adults Review

4.1 Croydon SAB has lead responsibility for considering and commissioning a SAR and the CSAB Chair retains responsibility for decision-making throughout.

4.2 Section 44 of the Care Act 2014, sets out that the CSAB must **consider** a SAR when:

- An adult at risk with care and support needs dies (including death by suicide) and abuse or neglect is known or suspected to be a factor in their death;
- An adult is seriously injured and/or has sustained a potentially life threatening injury through abuse, neglect or sustained serious and permanent impairment of health or development through abuse or neglect;
- Where procedures may have failed and the case gives rise to serious concerns about the way in which local professionals and/or services work together to safeguard adults at risk;

- Serious or apparently systematic abuse that takes place in an organisation or when multiple abusers are involved. Such reviews are likely to be more complex, on a larger scale and may require more time; and
- Where circumstances give rise to serious public concern or adverse media interest in relation to an adult/adults at risk.

4.3 The decision should be made **within** a month of the request being received and in most instances will necessitate a request for preliminary information to inform the decision-making.

5. Actions to be taken once a decision has been made

5.1 When a decision to commission a SAR is taken the Chair of the SAR Sub Group will notify all agencies involved to ensure that relevant records are secured (see standard letter A at Appendix 6). They will then follow the process under paragraph 6 below – commissioning a SAR.

The Specialist Crime Review Group will need to be notified at SeriousCaseReviews@met.police.uk when a SAR is commissioned where there is a death including suicide.[3]

5.2 When the SAR Sub-group recommends not to hold a SAR followed by agreement from the Independent Chair the Chair of the SAR sub-group will write to the person requesting the review and relevant statutory director(s) explaining the reasons for the request not meeting the criteria. (see standard letter B at Appendix 3). If the initiator wants to appeal against a decision not to carry out a SAR it should be put in writing to the Independent Chair of the CSAB, who will discuss and review (if necessary) the decision with the requestor and the panel of Board members who decided on the initial request.

6. Commissioning a Safeguarding Adults Review

6.1 Croydon SAB has the responsibility to commission a SAR relating to adults at risk in Croydon. On occasions working jointly with other CSABs on the commission of a SAR may be required. The CSAB SAR Group will oversee:

- Appointing the SAR Panel, Chair and the independent review author. The Chair should be independent of the review. The author will be a fully independent individual with the required set of skills and experience to carry out this work;
- The Panel should include key statutory leads and agencies involved in the review that have no connection to the case under review;
- Receiving regular reports from the Panel Chair regarding progress of the review;
- Setting timescales within which the review is completed – this is expected to be **within** six months (see Flow Chart with time scales at Appendix 3);
- Securing any legal advice required, including Data Protection, Freedom of Information and Human Rights legislation;
- Managing the interface between the review and any other investigations or reviews of the same case that may be taking place;
- Agreeing arrangements for administrative and professional support;
- Ensure that the SAR is proportionate to case concerned; and
- Agreeing publication arrangements.

6.2 The CSAB Chair having assurance that the regulators, statutory partners and other organisations are notified of the proposed SAR.

[3] Notification from CSAB Chairs Network – August 2016

7. Methodology options

7.1 The following should be considered in selecting a SAR methodology:

- Is the case complex, involving multiple abuse types and/ or victims?
- Is significant public interest in the review anticipated?
- Is large-scale staff/ family involvement wanted/ appropriate?
- Are any criminal proceedings ongoing that staff are witnesses in, and could the SAR methodology impact on them?
- Is the type of review being suggested proportionate to the scale and level of complexity of the issues being examined?
- What is the quickest and simplest way to achieve the learning?
- Is a more appreciative approach required to review good practice?
- Are trained lead reviewers available in-house or nationally for the method selected? Are resources available to train or commission a lead reviewer?
- Can value for money be demonstrated?

7.2 In selecting a SAR methodology the Croydon SAB Chair and panel of Board members should aim for consensus, not a majority view. If the panel cannot come to a consensus, the final decision will rest with the Chair of Croydon SAB after carefully considering the views of all panel members.

7.3 In addition to selecting a SAR methodology, the Chair of Croydon SAB and panel of Board members must also decide:

- Which agencies (including legal, communications and CQC as required) should be asked to participate in the SAR panel.
- Level of independence from the case required of panel members (it is advisable that panel members have not had involvement in the case nor line management responsibility for staff writing a report for the SAR).
- Whether agencies are required to secure their files/ records.
- Level of independence required of the SAR chair (e.g. representative from another agency, external consultant etc.)
- The Terms of Reference for the SAR (see Appendix 4 for a template) including timescales for completion and how learning from the SAR will be disseminated and embedded (see section 13).
- The required output from the SAR (e.g. a report).
- Whether an independent author is required, and level of independence.

7.4 SAR methodologies listed below are taken from the SCIE Serious Safeguarding Adults Reviews: Guidance note on options for London however; this is not an exhaustive list. The methodology to be adopted should be aligned with the complexity of the case. The Panel should research other approaches being utilised by other boroughs.

- Option One – Traditional SAR approach
- Option Two – Action Learning approach
- Option Three – Peer review approach
- All members of the CSAB are aware of the methodology chosen and agree its suitability

See Figure 1 on page 12 - SAR Review Decision Tree Diagram.

7.5 The Care Act statutory guidance indicates that, whichever SAR methodology is employed, the following elements should be in place:

- **SAR Author** – independent of the case under review and of the organisations whose actions are being reviewed, with appropriate skills, knowledge and experience:
    - Strong leadership and ability to motivate others

- Ability to handle multiple competing perspectives and potentially sensitive/ complex group dynamics
- Good analytical skills using qualitative data
- A participative and collaborative approach to problem solving
- Adult safeguarding knowledge
- Commitment to/ promotion of open and reflective learning cultures.[4]

- **SAR Panel** – scrutinises information submitted to the review. The panel size should be proportionate to the nature and complexity of the review, but should comprise a minimum of three members in addition to a chair with a level of independence from the case under review.

- **Terms of reference** – published and openly available.

- **Early discussions with the adult and their family, carers and friends** – to agree to what extent and how they would like to be involved in the SAR, and to manage expectations. This includes access to independent advocacy if required.

- **Appropriate involvement of professionals and organisations who were working with the adult** – to contribute their perspectives without fear of being blamed for actions they took in good faith.

- **SAR report and recommendations**

8. Relationship to other reviews

8.1 It will be the responsibility of the manager of the SAR to ensure contact is made with the Chair of any parallel process in order to minimise avoidable duplication.

8.2 In setting up a SAR the CSAB should also consider how the process can dovetail with any other relevant reviews running in parallel.

9. Membership of a Safeguarding Adults Review Panel

9.1 Individual members of the Panel will come from the main partnership agencies and have appropriate seniority and experience with regard to the case under review. The Board Manager will contact partner agencies for nominations to the SAR Panel.

9.2 The Panel will consider how the adult at risk and/or their family and/or appropriate representative, can be involved in the process and kept informed on its progress. The views of the adult at risk and/or their representative must be sought and reflected in discussions, in the final reports and its recommendations.

9.3 In looking at the Panel membership, consideration should be made to include an "Expert by Experience". This would be subject to relevant satisfactory checks and normal requirements on confidentiality being followed.

9.4 The CSAB Business Manager will maintain an annual overview of SAR related costs for the CSAB, for consideration each year as part of the annual report and to aid annual budgeting by partner organisations.

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[4] The majority of skills required of a SAR chair are transferrable from other areas. Analytical skills for SARs can be quite specific. Therefore training (e.g. in SAR techniques and methodologies, accident/ incident investigation and analysis) will be provided by the CSAB as required for Board members and staff members who may be nominated as SAR leads or chairs, in order to build capacity in the partnership to undertake effective SARs.

9.5 All partners will commit internal resources to the production of evidence for a SAR (e.g. an IMR or interviews/conversations with relevant staff) as requested by the SAR panel.

10. Conduct of a Safeguarding Adults Review

10.1 In the case of each SAR the SAR Panel will keep in mind the experience, views and preferences of the adult at risk, and look at how these were sought and taken into account by the professionals involved.

10.2 If the SAR request is agreed, the Chair of Croydon SAB will invite the preferred candidate(s) to chair the SAR panel, and brief them on the agreed methodology, terms of reference and required timescales.

A multi-agency SAR Panel will be set up in line with the methodology and any requirements set by the Chair of Croydon SAB and the original panel of three Board members reviewing the SAR request.

The chair of the SAR Panel is responsible for:

- Setting SAR panel meeting dates and agendas as required.
- Inviting all nominated representatives from relevant agencies to SAR panel meetings.
- Ensuring the review is conducted according to the terms of reference and methodology.
- Notifying Croydon SAB of any administrative/ resourcing arrangements that are missing.
- On-going liaison with the police and/ or coroner's office as required.
- Arranging early discussions with the adult(s) and their family/ representatives, and requesting the arrangement of any support they require to participate.
- Initiating the preparation and implementation of media and communication strategies as necessary, or the obtaining of legal advice.
- Requesting any data/ evidence/ reports from partner agencies as required.

11. Drafting the reports and executive summary

11.1 The Chair and SAR Panel members are responsible for ensuring the Overview Report and Executive Summary are drafted and delivered within timescales, and are consistent with the terms of reference. The Report should bring together all the relevant information with an analysis of events, and should include recommendations, where appropriate. The report should cover:

1) An account of events and factual findings with a chronology developed from individual management reviews already submitted;
2) Any matters of concern affecting the safety and well being of adults at risk in Croydon;
3) Any general public health, safety or wellbeing issues arising from the death of an adult at risk;
4) Any need to review policy, practice or procedures;
5) Dissemination to other local authorities;
6) Identification and integration of learning points from published Safeguarding Adults Reviews, from other areas of research and best practice guidance; and
7) Information on references and sources used to prepare the report.

11.2 A template SAR report is provided at Appendix 5.

11.3 The SAR panel should receive and agree the draft report before it is presented to Croydon SAB so that individuals are satisfied the panel's analysis and conclusions have been fully and fairly represented.

11.4 The adult(s) and/ or family should also be given the opportunity to discuss the SAR report and conclusions, and their experience of the process.

11.5 When the report is considered to meet the requirements, the SAR Panel will:

- Send a draft of the report to contributing agencies, inviting comments on factual accuracy;
- Invite contributing agencies to confirm they are satisfied that their information is fully and fairly represented in both reports; and
- Invite agencies to confirm that the draft recommendations, as they apply to their agency or more generally, are clear.

It is important to note that agencies are not being asked whether they agree with the report or its findings. The focus is on ensuring the report is factually accurate, understood and recommendations are clear. Agencies have **10 working days** to respond.

11.6 The Panel will consider all comments and agree the final version of both the Overview Report and Executive Summary to be submitted to the Adults Safeguarding Board.

11.7 Croydon 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 should include publication via the Croydon SAB webpages. Considerations of reputational risk or national learning arising from the case may affect decisions to publish. Any reports to be published must be fully anonymised. Croydon SAB recognises SAR reports may be subject to Freedom of Information requests.

11.8 The chair of Croydon 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 Croydon SAB's information sharing agreement, the Data Protection Act and other legal requirements.

12. Considering the Recommendations

12.1 Once the SAR Panel have agreed the Overview Report and the Executive Summary, Croydon SAB will meet to consider it. They will check:

- The Review report is factually accurate and reflects a fair and balanced representation of events;
- The Executive Summary report is endorsed and can be made public;
- The content is anonymised sufficiently to protect the confidentiality of the contributors, and the adult at risk and family members or others; and
- Care is taken to make sure that sensitive information is protected and confidential.

12.2 Once the Board has endorsed the reports, the SAR Panel will identify the key areas of action, timescales and the lead agency for each action, with a requirement that the relevant agency prepare an action plan for consideration at the next CSAB meeting. The CSAB will receive reports on progress until all the action points are completed. Where the CSAB decides not to implement any of the recommendations or actions, it must state the reason(s) in the annual report.

12.3 The CSAB Chair will ensure both reports and the action plans are sent to individual agencies, the Care Quality Commission and any other relevant parties.

12.4 The adult at risk, their representative, family and friends will be kept informed of progress and of arrangements for publication of the Public Summary.

12.5 The SAR sub-group will be responsible for ensuring lessons learned from the review are disseminated for agencies to incorporate into policy and procedure and will maintain oversight of the actions arising.

13. Timetable

13.1 The timescale for completion from the decision to conduct a SAR to signing off the final report is **6 months.**

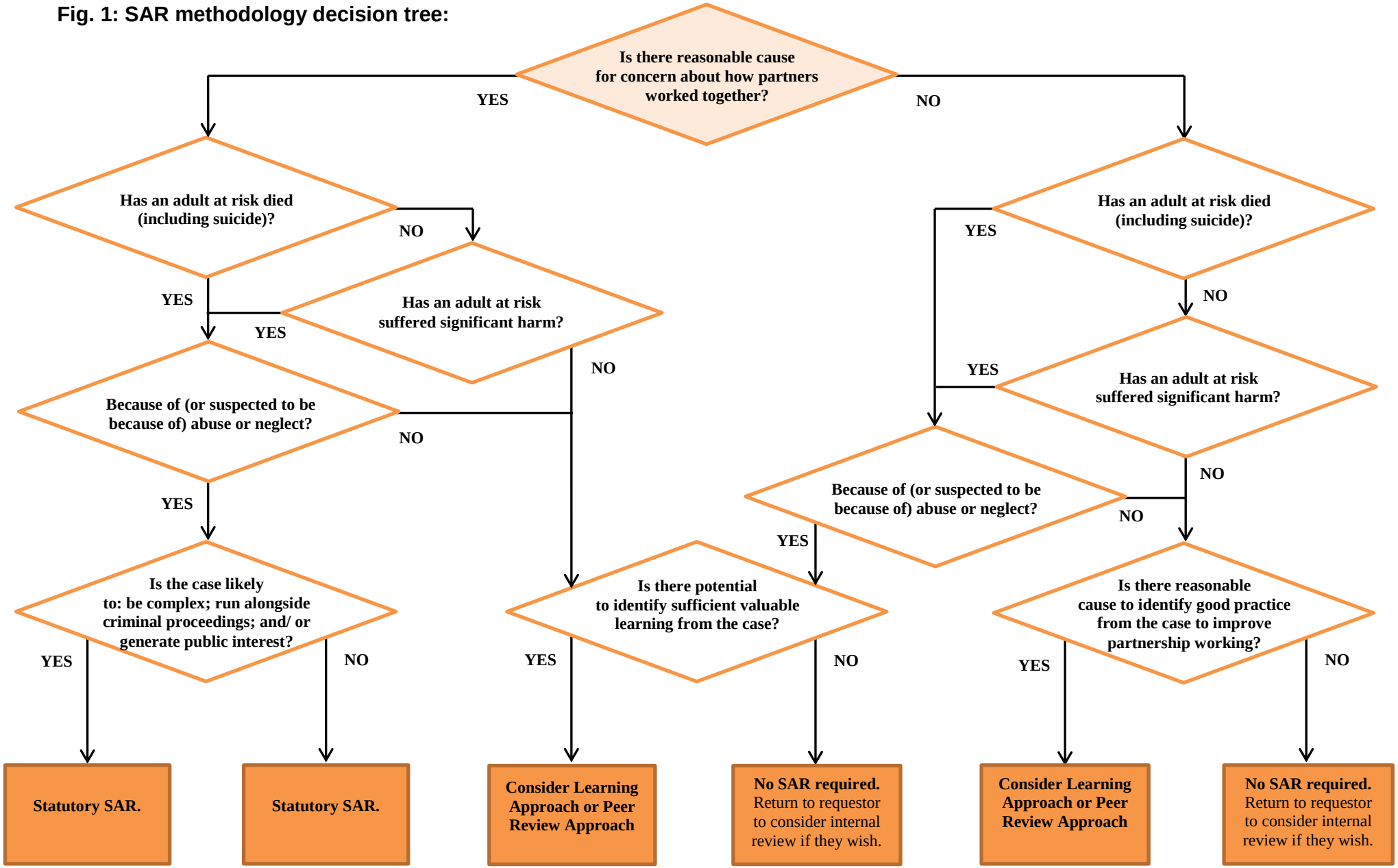
13.2 If a longer period is needed, this should be proposed and agreed with the CSAB Chair.

13.3 In some cases, it is not possible to complete or publish until after Coroner's or criminal proceedings have been concluded. If this is the case, every effort should be made to (i) capture the points from the case about improvements needed and (ii) take corrective action.

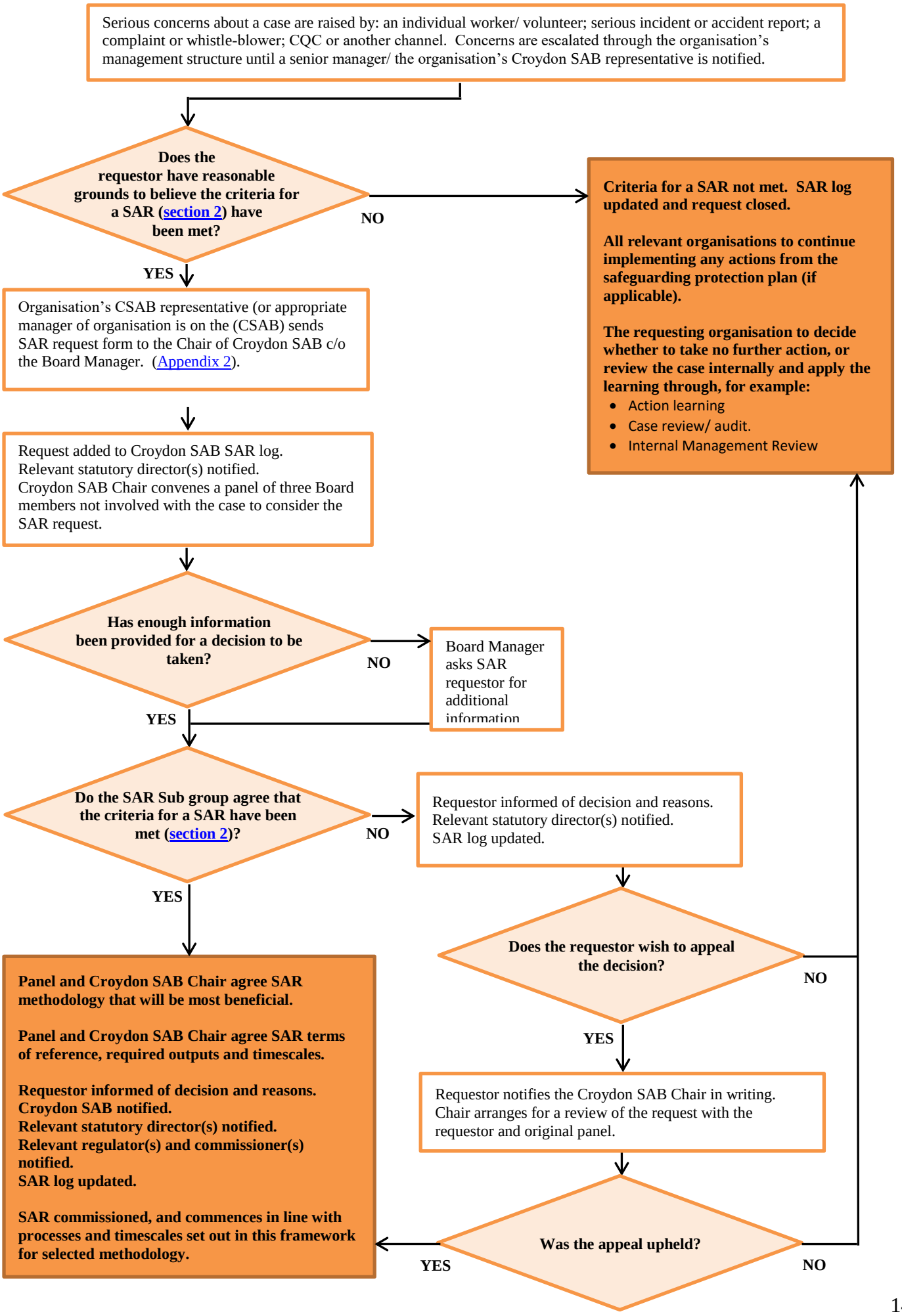
14. Appendices

- Figure 1 SAR Methodology decision tree
- Appendix 1: Flow chart for SAR process with timescales
- Appendix 2: Safeguarding Adults Review Request Form
- Appendix 3: Standard Letter A - Notification to relevant agencies of SAR initiation (requesting information and to seal files)
  Standard Letter B: Notification to relevant agencies of SAR initiation
- Appendix 4 Terms of Reference
- Appendix 5: Overview Report by the Safeguarding Adults Review Panel

Fig. 1: SAR methodology decision tree:



Appendix 1: Flowchart for request of a SAR from Croydon SAB



Appendix 2: Croydon SAB Safeguarding Adults Review request form

This SAR request form corresponds to paragraph 3.6 of the Croydon SAR Framework.

Croydon SAB considers every SAR request on the basis of whether it meets the criteria for a Safeguarding Adults Review (see section 2 of the Croydon SAR Framework 2018).

The Board needs as much information as possible to enable members to make a proportionate decision as to how to respond to a SAR request, ensuring, if the case is accepted for a review, that maximum learning can be achieved. Please therefore complete as much information on this form as possible. If you have any questions, please do not hesitate to contact the CSAB Board Manager on csab@croydon.gov.uk

Details of individual/ organisation requesting the SAR:

Name	
Position/ designation	
Organisation	
Address	
Contact telephone	
Contact email	

Authorising manager	
Position/ designation	
Contact telephone	
Contact email	

Date of request	

Details of adult at risk:

Name			
Address			
Date of birth		**Date of death (if applicable)**	
Ethnicity			

GP (if known)	
Family/ next of kin/ advocate/ representative	
Health and/ or other presenting needs:	

Details of person/ organisation alleged responsible for harm:

Name			
Address			
Date of birth		**Date of death (if applicable)**	
Ethnicity			
GP (if known)			
Relationship to adult at risk			
Health and/ or other presenting needs:			

Details of SAR request:

Brief outline of the case/ incident (with dates and locations if known)

Summary of why this case meets the criteria for a SAR (see section 2, Croydon SAR Framework)				
Please establish the link between cause of death/ harm and the (suspected) abuse/ neglect. Please include views of the adult/ family/ carer where known.				
Do you believe a statutory SAR is required in response to this case?	**Yes**		**No**	

What learning do you think can be achieved through a review of this case?

Has any other learning/ review process already been followed (e.g. internally)?	Yes		No	
If yes, please specify the review conducted, learning identified, how it was disseminated and impact				

List of individuals and their agencies/ service providers known to be involved in the case
• • • • • • •

Any other relevant information that will help Croydon SAB decide whether an SAR is required

To protect personal/ sensitive data this form **must** only be sent by secure email or post.

Submit your request form by post to:
Independent Chair, Croydon SAB c/o Safeguarding Adults Board

Or submit by secure email:
In line with the Croydon SAB information sharing agreement, emails containing personal, sensitive or confidential information (including attachments) must be encrypted and sent through secure channels. Both the sending and recipient email address must be secure.

Croydon CSAB uses egress as encryption tools. SAR requests can be sent securely to:

- CSAB@Croydon.gov.uk. from nhs.net, Police National Network (pnn), gscx and cjsm accounts.

- CSAB@Croydon.gov.uk (egress enabled account) from any other egress enabled account, including non-public bodies, third sector organisations and individuals who are not part of any of the encryption schemes listed in point i) above. The sender will need to set up a free egress account by visiting egress.com.

  CSAB@Croydon.gov.uk from another @Croydon.gov.uk account only.

Contact the Safeguarding Board Manager with any queries CSAB@Croydon.gov.uk

Appendix 3: Standard letters

Standard letter A – Response to SAR request

Date:
Your Reference:
Our Reference:
Enquiries to:

Croydon Safeguarding Adults Board
c/o Floor 2, Zone A
Bernard Weatherill House
8 Mint Walk
CR0 1EA

Dear

Re: Safeguarding Adults Review – *name of adult at risk and DoB*

Thank you for your request to for the above case to be considered as a safeguarding adults review (SAR).

In line with Croydon CSAB's SAR Framework, the chair of Croydon SAR Sub Group convened a panel of three CSAB members not involved with the case on dd/mm/yyyy to consider whether the criteria for a SAR have been met, and if so, what SAR methodology would be most appropriate and beneficial to use in this case.

The meeting felt that this case does/ does not meet the criteria to commission a SAR for the following reasons:

-
-
-
-
-

The panel agreed that the most appropriate SAR methodology to use for this case is .

As chair of Croydon SAB I will now write to the chief executives (or equivalent) of all relevant agencies to notify them of the case and the decision to commission a SAR.

OR (delete as appropriate)

If you are dissatisfied with this outcome, you can appeal the decision or arrange for an alternative internal learning process to be undertaken, as outlined in paragraphs 5.2 of the Croydon SAB SAR Framework.

Yours sincerely,

Independent Chair
Croydon Safeguarding Adults Partnership Board

Standard letter B – Notification to relevant agencies of SAR initiation

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Date:
Your Reference:
Our Reference:
Enquiries to:

Croydon Safeguarding Adults Board
c/o Floor 2, Zone A
Bernard Weatherill House
8 Mint Walk
CR0 1EA

STRICTLY CONFIDENTIAL – requires urgent attention

Dear

Re: Safeguarding Adults Review – *name of adult at risk and DoB*

A decision has been made that the above named adult at risk is to be made subject of a safeguarding adults review (SAR), using xxx methodology. This will be undertaken in line with Croydon SAB's SAR Framework, a copy of which can be obtained at [add website link]

The purpose of this SAR is to establish whether there are any issues in relation to interagency working in line with the London Multi-Agency Safeguarding Adults Policy and Procedures (2016), whether anything could have been done differently to predict or prevent the abuse and neglect, and whether there are any lessons to be learned to enhance partnership working, improve outcomes for adults and families, and prevent similar abuse and neglect occurring in the future. To achieve this, each agency that has had involvement with the family is required to look openly and critically at their professional practice with the adult at risk.

As chair of Croydon SAB I am therefore writing formally to request that you: (delete as appropriate)

- Take action to ensure that your agency files in respect of the above named adult at risk are immediately secured to guard against potential loss or interference, and to enable the SAR process to commence. If required, insert here details of any specific records that are affected, e.g. GP notes, home visit records etc.

- Identify a representative from your organisation of sufficient seniority and experience, and independent of the case in question, to sit on the SAR panel and contribute to the review process. I would be grateful if you could forward to me the name and contact details of the appointed individual as soon as possible.

You may wish at this stage to familiarise yourself and the nominated representative from your organisation with the Croydon SAB SAR Framework and, in particular, the methodology that has been selected for this review. Given that a traditional SAR methodlogy has been selected, you may also wish at this stage to start identifying a manager (or independent person) of sufficient seniority and experience to undertake your individual management review. The manager appointed should have had no line management relationship with practitioners working with the adult or risk nor any direct contact themselves with the adult at risk. Guidance on individual management reviews can be found at email to be inserted here .

All contributing organisations to a SAR need to be mindful that there may be public scrutiny of information provided by organisations to the Safeguarding Adults Review and, in particular, HM

Coroner may request information. All organisations are advised therefore to ensure that senior managers approve any written submissions to this SAR and, where they consider it appropriate, seek legal advice prior to submission.

Thank you for your assistance in this important matter. Please do not hesitate to contact me with any queries.

Yours sincerely,

Independent Chair
Croydon Safeguarding Adults Board

Appendix 4: SAR terms of reference and confidentiality template

Croydon SAB Safeguarding Adults Review: code/ initials

Terms of Reference

Overarching aim and principles of the SAR
The purpose and underpinning principles of this SAR are set out in section 2.10 of the London Multi-Agency Safeguarding Adults Policy and Procedures (2016). All Croydon SAB members and organisations involved in this SAR, and all SAR panel members, agree to work to these aims and underpinning principles. The SAR is about identifying lessons to be learned across the partnership and not about establishing blame or culpability. In doing so, the SAR will take a broad approach to identifying causation, and will reflect the current realities of practice ("tell it like it is").

Legislation
Section 44 of the Care Act 2014 places a statutory requirement on Croydon SAB to commission and learn from SARs in specific circumstances, as laid out below, and confers on Croydon SAB the power to commission a SAR into any other case:

'A review of a case involving an adult in its area with needs for care and support (whether or not the local authority has been meeting any of those needs) if –

a) there is reasonable cause for concern about how the SAB, members of it or other persons with relevant functions worked together to safeguard the adult, and
b) the adult had died, and the SAB knows or suspects that the death resulted from abuse or neglect…, or
c) the adult is still alive, and the SAB knows or suspects that the adult has experienced serious abuse or neglect.

Each member of the SAB must co-operate in and contribute to the carrying out of a review under this section with a view to –

a) identifying the lessons to be learnt from the adult's case, and
b) applying those lessons to future cases.

Governance and accountability
This SAR will be conducted in accordance with requirements set out in:

- Care Act 2014 and statutory guidance (DH 2014);
- Safeguarding Adults Reviews under the Care Act: implementation support (SCIE 2015);
- London Multi-Agency Safeguarding Adults Policy and Procedures (London ADASS 2016); and
- Croydon SAB SAR framework (2018)

As the accountable body responsible for its commissioning, Croydon SAB will receive updates on progress of this SAR at Board meetings or via offline written briefings as required.

SAR subjects *(redact before publishing)*
The summary of details of the subjects of this SAR are:

Name	DOB	DOD	Age	Known and previous addresses
(victim)				

Name	DOB	DOD	Age	Known and previous addresses
(perpetrator)				

Brief summary of concerns that triggered this SAR

SAR methodology

has been selected as the methodology for conducting this SAR. This methodology was selected because . Details of the methodology can be found in Safeguarding Adults Reviews under the Care Act: implementation support.

Specific areas of enquiry

The SAR panel (and by extension all contributors) will consider and reflect on the following:

1.

2.

3.

4.

5.

The SAR should cover the time period dd/mm/yyyy to dd/mm/yyyy.

Timescales for completion

This SAR will commence on dd/mm/yyyy and should complete within six months. However this may be affected by any criminal proceedings and the review may be suspended pending any court case and resumed when any trial is concluded. Everyone involved in the SAR process must be mindful of not jeopardising any criminal proceedings.

Chair and membership of SAR panel

A chair and panel membership for this SAR has been determined as follows:

Name	Organisation	Secure email*
	(SAR chair)	
	(SAR report author)	
	(Minutes)	

**In line with the confidentiality statement, all communication regarding this SAR that contains personal and/ or sensitive information must be sent securely using the secure email addresses provided. Please contact with any queries as to how to contact securely another panel member.*

The skills, knowledge and experience required of the SAR chair are set out in section 5 of the Croydon SAB SAR framework (2018). The independence of the chair from the case under review can be evidenced by .

The role and responsibilities of Croydon Clinical Commissioning Group and NHS England in relation to this SAR are particularly focussed around enabling and facilitating engagement with health partners, and the identification and bringing together of key strategic themes and issues across the local health economy. *(Delete/ adapt as applicable)*.

Administrative and professional support

will coordinate panel meetings and, where possible, circulate all documents at least five working days in advance of each meeting. Minutes will be taken by a nominated representative from .

Evidence and submissions to the SAR

It has been agreed that the following organisations are to submit evidence to the SAR:

Organisation	Nature of the evidence to be submitted	Deadline

SAR report and publication

has been appointed to author the SAR report, the content of which is to be in line with section 11 of Croydon SAB SAR framework and the London Multi-Agency Safeguarding Adults Policy and Procedures. It must contain the transparency of analysis necessary for others to scrutinise the findings.

It is expected that an anonymised version of full SAR report or the executive summary will be published on add website address , unless there are exceptional circumstances meaning this would not be appropriate. On completion of the report, the SAR panel will recommend to Croydon SAB how to publish the report, setting out clear reasons for the recommendation.

Timings for publication may be affected by any criminal proceedings and court case, and the SAR report may be held for publication until such time as the proceedings/ case has concluded it can be published. In the meantime, any lessons learned can be taken forward immediately.

Involving and supporting the adult and family/ friends/ carers *(redact before publishing)*
The review will seek to involve the adult at risk and family/ friends/ carers *(delete/ adapt as applicable)* in this SAR. The SAR chair has agreed with the adult at risk and family/ friends/ carers *(delete/ adapt as applicable)* that they would/ would not like to be involved.

Name	Connection to the adult	Nature/ timing of involvement	Support agreed

The adult at risk and family/ friends/ carers *(delete/ adapt as applicable)* has indicated they would/ would not *(delete as applicable)* like to be kept informed of progress to extent.

Involving and supporting key staff and volunteers
The review will seek to hear the perspectives of all key staff and volunteers by .

The SAR panel member from each agency is responsible for identifying and notifying relevant staff and volunteers of this SAR and giving them the opportunity to share their views on the case.

The SAR panel member from each agency is responsible for ensuring relevant staff and volunteers are provided with a safe environment to discuss their feelings and offered emotional support where needed, including counselling or other therapeutic support.

Disclosure and confidentiality
Confidentiality should be maintained by all CSAB members and organisations involved in this SAR, in line with the confidentiality statement that forms part of these terms of reference.

However, the achievement of confidentiality must be balanced against the need for transparency and sharing of information in order for an effective SAR to be completed in the public interest, in line with Section 44 of the Care Act 2014, section 2.10 of the London Multi-Agency Safeguarding Adults Policy and Procedures, and section 15 of the Croydon SAB SAR framework.

All CSAB members and organisations involved in this SAR commit to co-operate in and contribute to this SAR, including sharing relevant information to support joint learning. Where it is suspected that critical information is not forthcoming, Croydon SAB may use its powers under Section 45 of the Care Act to obtain the relevant information. The Chair of Croydon SAB and/ or the SAR chair may wish to review an organisation's case records and internal reports personally, request additional records and relevant policies/ guidance, or meet with review participants.

Criminal proceedings may be running in parallel to this SCR, and in such cases all material received by the SAR panel must be disclosed to the police if and as requested.

Individuals will be granted anonymity within the SAR report and will be referred to by as an alias as agreed by this SAR panel.

Communications and media strategy
Communications advice will be provided and the communications approach managed by Croydon Council communications department. All media queries will be referred to Croydon Council, unless criminal proceedings are ensuing in which case all media queries will be referred to the Metropolitan Police Service.

Legal advice
Legal advice will be sought by the SAR chair as required from Croydon Council legal department to ensure the SAR process and final report complies with legal requirements and safeguards all parties.

Liaison with the police, criminal justice system and coroner
There are no/ the following police or coroner's investigations ongoing linked to this case:

-

The SAR chair has agreed the following arrangements to link the review and ongoing investigations:

-
-
-

The SAR chair will be responsible for ensuring appropriate ongoing liaison with the Crown Prosecution Service, Coroner and the Police as required.

Links to parallel reviews
The SAR panel has identified that this review links to no other/ the following other ongoing statutory reviews:

-

The SAR chair has agreed the following arrangements for dovetailing the reviews and reducing duplication:

-
-
-

The SAR panel shall keep under review any links to other reviews of practice, such as domestic homicide reviews, serious incident reviews, children's Serious Case Reviews or a SAR being conducted by another CSAB.

Funding and resourcing
It has been agreed that the funding of this SAR will be provided by .

Review of Terms of Reference
In the light of information that becomes apparent, these Terms of Reference will be subject to review. Amendments to the terms of reference may be proposed as the SAR progresses but must be approved by the Chair of Croydon SAB.

Confidentiality statement

The following confidentiality statement is to be read and signed by each SAR contributing agency representative, and returned to the Safeguarding Development Officer.

Croydon SAB Safeguarding Adults Review: code/ initials

I, the undersigned, confirm my understanding and acceptance of the following confidentiality requirements in relation to this SAR:

- All sensitive, personal and other information and documentation will be shared in the strictest confidence. It is expected that the duty of confidence will be maintained in line with the requirements of GDPR legislation and local protocols for the sharing of information, including Caldicott requirements within health and social care.

- All information received or given (including all documentation and notes, whether in electronic or hard copy form) must be held securely and safely. All material relating to the review must be kept together in one place. This includes information stored electronically which will normally be supplied in protected form.

- Electronic data may only be stored on agency systems. Memory sticks or other portable devices must not be used for this purpose.

- All documentation should be marked 'Confidential' and may not be disclosed to others without the prior written consent of the Chair of the SAR Panel or the Chair of Croydon SAB.

- All information discussed at any meetings as part of this review is and remains strictly confidential. It may not be discussed, disclosed or in any other way made available to other parties without the prior written consent of the Chair of the SAR Panel or the Chair of Croydon SAB.

- The unauthorised disclosure of information outside of meetings, beyond that which has been agreed and recorded within the minutes of any meetings as part of this review, may have legal consequences. It would be considered as a breach of the data subject(s)'s confidentiality and a breach of the confidentiality requirements of the agencies involved.

- All information and documentation supplied as part of the review is the property of Croydon SAB. It remains the confidential property of the Board even when stored within agency systems. All materials must be returned to the Chair of Croydon SAB on request, at the end of meetings, or at the end of the review process. Confirmation of secure destruction will be provided.

Advice on these requirements is available from the Chair of Croydon SAB.

Signed: _____

Name: _____

Role: _____

Organisation: _____

Date: _____

Appendix 5: SAR report and action plan guidance and template

The SAR report must be delivered within timescales and according to the agreed terms of reference. The report must collate and analyse the information and evidence presented to the SAR panel, highlight lessons learned and make practical recommendations on areas the safeguarding partnership should address to improve joint working and outcomes for adults and their families.

The report should:

- Provide a sound analysis of what happened, why and what action needs to be taken to prevent a reoccurrence, if possible;
- Include enough of the evidence, analysis and "working out" for the SAR panel and Croydon SAB to scrutinise, critique and quality assure it;
- Be written in plain English; and
- Contain findings of practical value to organisations and professionals.

A template for the report and a CSAB action plan is provided overleaf. As with all such review reports the precise format that will be used depends on the features of the case and will be set in the terms of reference.

All contributing agencies or individuals will have the opportunity to ensure their information is fully and fairly represented in the report before it is presented to the Chair of Croydon SAB for comment and then to the full Board for approval and action planning

The whole report or parts of it may be made available to partners and to CQC if appropriate. The overview report must contact an Executive Summary which will be made public on the Croydon SAB webpages and the annual report .

The SAR panel may propose a multi-agency action plan to append to the report, for discussion by Croydon SAB and which will be presented to each organisation for endorsement at senior level.

CROYDON SAFEGUARDING ADULTS BOARD

SAFEGUARDING ADULTS REVIEW REPORT

Adult at risk male/ female: code/ initials

Date of birth:

Date of death/ Age at time of incident:

Report author:

Date of report:

1. Introduction

Give a summary of the aims of the report and the individual who is the subject of the review.

Clarify that the SAR has been conducted as either a statutory review under Section 44 of the Care Act, or as a non-statutory SAR as agreed by Croydon SAB. Set out that this SAR has been undertaken in line with the London Multi-Agency Safeguarding Adults Policy and Procedures and with Croydon SAB's SAR Framework.

Clarify that the SAR is not intended to reinvestigate the case or apportion blame, but to learn lessons and make recommendations to improve practice, procedures and systems and ultimate improve the safeguarding and wellbeing of adults in the future.

2. The circumstances that led to a SAR being undertaken in this case.

Provide a brief and anonymous overview of the specific individual circumstances that led to a SAR being undertaken for this case.

Provide reasons for conducting the review and what SAR criteria were met (or if the criteria were not met the reason for conducting the review).

State decision and date to hold the SAR.

3. Terms of reference

State when the SAR commenced, details of the commissioner (usually independent chair of Croydon SAB), SAR panel members, and the report author.

State the dates the SAR panel met and agreed terms of reference for the SAR.

List contributors to the review and the nature of their contributions (e.g. management report by social care, serious incident report from health agency, interview with staff members, etc.) Cite contribution of family members and any others. Include any communication with CQC or Government Office. Set out how the involvement of staff and the adult/ family/ friends/ carers was facilitated and supported (e.g. advocacy).

Identify the key issues within the SAR. Comment upon the quality of the evidence supplied and whether any action was required. Provide an explanation for any delay in completing the SAR in relation to the SAR framework and terms of reference.

4. Case summary: the facts

Provide a brief case summary including details of the incident, kind of maltreatment, who was believed responsible for the abuse. This should include:

- A pictorial display of the adult at risk's relationship to family members, extended family and household and any care services provided. Details provided should be brief and anonymous (as appropriate).
- An integrated chronology or narrative of agency involvement with the adult at risk, family/ carer on the part of all relevant organisations, professionals and others who have contributed to the review process. Note specifically in the chronology/ narrative each occasion on which the adult at risk was seen and the adult at risk's views and wishes sought or expressed.
- An overview that summarises what relevant information was known to the agencies and professionals involved about the carers, any perpetrator and the home circumstances of the adult at risk.

6. Analysis

Look at how and why events occurred, decisions were made and actions taken or not taken. Explain how events and conditions had looked to professionals at the time of the incident and in the period leading up to it. Explore the range of contributory factors and systems conditions that played a part in causing the abuse or neglect.

Consider whether different decisions or actions may have led to an alternative course of events. Consider how system conditions would have needed to be different to facilitate the different actions or decisions that would have been required.

Highlight any examples of good practice.

7. Conclusions and recommendations

Summarise, in the opinion of the SAR Panel, what the key themes and patterns in the system arising from the SAR are and what lessons can be drawn from the case.

Translate the lessons into recommendations for areas Croydon SAB should address to improve partnership working and outcomes for adult at risk at their families.

Recommendations should be few in number, focused and specific, and capable of being translated into an achievable action plan. Views on how the recommendations can be translated into action can be included. Consideration should be given to the resources required to implement the recommendations such as cost.

Recommendations should be divided into:

Review – practice that should already be happening
New – actions that need to be introduced and implemented.

If there are lessons for national, as well as local, policy and practice these should also be highlighted.

8. Proposed multi-agency action plan

The author and SAR panel may provide a proposed set of actions for discussion, adaption and approval by Croydon SAB. The action plans should support the implementation of the recommendations identified in section 6 of the report. The actions identified should be multi-agency in nature: requiring the combined action of a number of partners in order to achieve them. Some single-agency actions may be identified where these are vital to the implementation of the recommendations. The action plan should conclude with a statement on how the plan will be reviewed to determine if the outcomes have been achieved.

A multi-agency action plan template is provided overleaf.

SAR multi-agency action plan
Croydon Safeguarding Adults Partnership Board
Lead:

	Identified action	Expected outcome	Evidence of completion	Barriers to implementation & mitigations	Lead person/ partner	Target date	Progress
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

Guidelines for completing serious case review action plans:

Identified actions should be focused and specific, and capable of being implemented. They can be actions that have or will be taken. Example actions may include: delivering training, developing new policies, introducing new standards, review working practices, etc.

Expected outcomes are the difference these changes will make to service users/ clients/ patients, and may include: referrals for safeguarding, quicker or better quality interventions, having to re-tell their story to fewer professionals, feeling safer etc.

Evidence of completion can be used to show Croydon how we will know whether actions are being undertaken or achieved, and may include: performance data, service user/ patient feedback, minutes of meetings, new policies, training material, etc.

Barriers to implementation and mitigations is anything that may prevent/ hamper the partnership from taking the action forward, and what is being/ has been put in place to minimise the risk of the action not being progressed

Lead person – clearly state name (or initials) and role of the individual or partner who will lead on the action.

Target date – provide the date action was completed and/or provide a realistic timescale for the partnership to address the identified action.

Progress column provides space for the partnership to record, monitor and report on the implementation of the actions – state whether the action is 'complete', 'in progress' or 'delayed'. If 'delayed' provide an updated target date. The partnership may use a RAG rating to monitor progress