



TASP B, Safeguarding Adult Review Process

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1. Introduction

Tameside Adult Safeguarding Partnership Board encourages learning from practice to safeguard adults at risk of abuse.

This document provides TASPb with guidance on:

- the principles to be applied in response to the Care Act regarding Safeguarding Adult Reviews
- Objective of the reviews
- how to raise a referral for a SAR and the process implemented to address this
- the principle outcomes any learning and improvement process should achieve
- Methodology to be applied to SAR's

1.1. Care Act Criteria – SAR

Care Act criteria for conducting a Safeguarding adult Review:-

Safeguarding adults reviews

A SAB must arrange for there to be 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) condition 1 or 2 is met.
- (2) Condition 1 is met if—
- (a) the adult has died, and
 - (b) the SAB knows or suspects that the death resulted from abuse or neglect (whether or not it knew about or suspected the abuse or neglect before the adult died).
- (3) Condition 2 is met if—
- (a) the adult is still alive, and
 - (b) the SAB knows or suspects that the adult has experienced serious abuse or neglect.

- (4) A SAB may arrange for there to be a review of any other 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).
- (5) 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.

2. Objective of the Review

TASPB are primarily concerned with applying the most appropriate approach to promote effective learning to prevent future deaths or significant harm in the future.

The Review is not an opportunity to hold any individual or organisation to account. TASPB will seek to determine what organisations and individuals could have done differently to prevent death or Safeguarding abuse or neglect.

Reviews should encourage learning and participation. TASPB want to ensure maximum benefit is achieved through the SAR and want individuals to experience a safe and trusted process, where honest, transparency and sharing of information is embedded.

No one model will be applicable to all cases. TASPB will determine at a local level the most suitable method.

3. Safeguarding Adult principles

The following six safeguarding principles are defined in the Care Act and the reviews should reflect these:

Empowerment – Personalisation and the presumption of person-led decisions and informed consent.

Prevention – It is better to take action before harm occurs.

Proportionality The least intrusive response appropriate to the risk presented

Protection – Support and representation for those in greatest need.

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

Accountability – Accountability and transparency in delivering safeguarding.

In the context of these principles TASPB will conduct reviews applying:

1. A culture of continuous learning and improvement, promoting the well-being and empowerment of adults, promoting good practice and focusing on opportunities to apply what works
2. A proportionate response

4. How to raise a referral for a SAR

It is expected that each individual agency reviews its own referrals before they are submitted to TASPB. This is to ensure that all referrals have been sufficiently considered by a senior manager meeting specific criteria. Senior managers should ensure it is only these cases that are brought to the attention of the Board

To support all partners to recognise and refer cases the TASPB has developed SAR Referral (Appendix A). This form allows a partner to outline the case that could lead to a Safeguarding Adult Review (SAR)

This form is submitted to the Safeguarding Business Unit via protectadult@tameside.gov.uk who informs:-

Statutory Partners:-

- NHS GM Tameside Integrated Care Board
- Local Authority TMBC
- Greater Manchester Police

- TASPB Independent Chair

5. Screening Panel

Following receipt of the referral for a SAR. The Safeguarding Business Unit will forward to the Deputy Leads of the Statutory agencies and confirm that a meeting will be arranged. This meeting will discuss the response to the SAR referral ie. SAR referral meets or does not meet the SAR criteria as defined in the Care Act 2014. This meeting is called a **Screening Panel**.

The membership includes representatives of the:-

- o 3 Statutory agencies
- o Integrated Care Foundation Trust
- o North West Ambulance Service
- o NHS Pennine Trust
- o Greater Manchester Fire and Rescue Service

As a minimum these organisations will be contacted for Chronologies to indicate Significant events over 12 months pre date death or the date of the significant harm (the SAR referral will also be shared with those organisations):-

organisations are to indicate in their opinion from the information their organisation holds, does the circumstances leading to the death indicate:-

- There are any neglect and safeguarding concerns raised
- There are concerns regarding how Partners worked together
- Parallel Reviews by your organisations

- 3 stat leads will confirm within 48 hours of the notification of the email from the Safeguarding Business Unit, if there are any additional organisations that need to be contacted
- Following this the Safeguarding Business Unit will contact the relevant organisations for Chronologies and provide a diary invite for 17 days' time
- 14 day deadline will be agreed to return Chronologies
- Business Unit will combine the Chronology on 15th day, share with the screening meeting on the 16th day and on the 17th day the Screening meeting will go ahead
- Screening meeting will be primarily chaired by a Senior Manager in the LA. Representatives from GMP and ICB may also be asked to chair the meeting. This will be requested by the LA and agreed in advance of the screening meeting.

Ultimate authority and decision making will rest with the three statutory partners.

The panel will meet and make this decision through screening communication; email; Microsoft Teams; telephone discussion or a meeting if time permits.

6. Decision Making at the Screening Panel

The criteria which the local safeguarding partners must take into account when deciding whether to initiate a Safeguarding Adult Review:-

- Highlights improvements needed to safeguard and promote the welfare of Adults, including where those improvements have been previously identified.
- Highlights recurrent themes in the safeguarding and promotion of the welfare Adults.

- Highlights two or more organisations or agencies ability to effectively safeguard and promote the welfare of Adults.

Safeguarding partners should also have regard to the following circumstances:

- Where the safeguarding partners have cause for concern about actions of a single agency.
- Where there has been no agency involvement, and this gives the safeguarding Partners cause for concern.
- Where more than one local authority, police area, or Integrated Care Board (ICB) is involved, including in cases where families have moved around.
- Where cases may raise issues relating to safeguarding or promoting the welfare of Adults in organisational settings.

Meeting the criteria does not mean that safeguarding partners must automatically carry out a local SAR. If the learning identified is **already known about and changes in practice are in progress, then safeguarding partners may decide not to carry out a review**. Conversely some cases may not meet the definition of a 'Safeguarding Adult Review but nevertheless raise issues of importance to the local area, e.g. good practice learning opportunity, so safeguarding partners may choose to initiate a SAR.

Following discussion, the Screening Panel may agree there is no further action for TASPb to take. Once the Screening Panel has agreed an appropriate pathway (see section learning pathway) the

- case will progress within set timescales (see Appendix B for an overview).
- TASPb Chair will be notified through the TASPb Business Manager.
- referrer will be updated as to the outcome. The approach to this will be agreed at the Screening Panel.
- Adult/Advocate/Family will also be informed and invited to contribute to the Safeguarding Review. The approach to this will be agreed at the Screening Panel.

In the event there is disagreement about progressing to a Learning Pathway a majority decision will be taken in consultation with the Independent Chair of Tameside Safeguarding Adult Partnership Board

7. Criminal Investigations

If a Criminal Investigation is being undertaken, the SAR will not be completed until the investigation is concluded.

8. Learning Pathways

The methodology should provide a way of looking at and analysing frontline practice as well as organisational structures and learning. The methodology should be able to reach recommendations that will improve outcomes for Adults. All reviews should reflect the Adult's perspective and the family context. The information below aims to help clarify which pathway may be used and when.

It is the responsibility of the Screening Panel to agree the most appropriate learning pathway to adopt.

Safeguarding Adult Review

If the Screening Panel agrees that the Referral meets the criteria for a SAR as defined in the Care Act (refer to section 1 of this guidance). Then a Safeguarding Adult Review will take place.

The Purpose of a Safeguarding Adult Review

The key aim of any review remains as set out in the following legislation/guidance:

- Care Act 2014

In order for a SAR to be effective and in line with the above guidance it should be conducted in a way which:

- Recognises the complex circumstances in which professionals work together to safeguard Adults.
- Seeks to understand precisely who did what and the underlying reasons that led individuals and organisations to act as they did.
- Seeks to understand practice from the viewpoint of the individuals and organisations involved at the time rather than using hindsight.
- Is transparent about the way data is collected and analysed.
- Makes use of relevant research and case evidence to inform the findings.

The purpose of reviews of Safeguarding Adult cases, is to identify improvements to be made to safeguard and promote the welfare of Adults. Therefore, the focus will be on understanding practice and not to hold individuals or organisations to account. There are other processes that exist to undertake that role, such as local People in

Position of Trust (PIPOT) Guidance, employment law and disciplinary procedures, and these should be used when that is sought. These processes can be run in parallel or subsequent to one another and decisions regarding the appropriate timetabling will be made on a case by case basis.

Safeguarding Adult Review (relates to themes)

This methodology seeks to target review activity in a proportionate way based on the specific circumstances of the case. A SAR relating to themes should be considered in the following circumstances

Safeguarding Adult Reviews where TASPb consider it is proportionate to use themed Review methodology. This may include cases where:

- the scope for learning is focussed on an area of practice or issues which have already been recently identified and agencies are in the process of, or recently implemented a programme of action;
- in exceptional circumstances, if the case is largely historical in nature and it is not practicable or desirable to undertake a SAR regarding an individual

Links with other Reviews

TASPb will consider how the review process with other relevant investigations such as Domestic Homicide Review (DHR) can dovetail at the beginning of the review and how duplication can be avoided. Any review will need to take in account of a Coroners Inquiry and criminal investigations to ensure that relevant information can be shared without incurring significant delay in the review process. It will be the responsibility of the Chair of the review to ensure contact is made to minimise avoidable duplication.

Audit and assurance

If the threshold for a SAR is not met then alternative audit and assurance processes can be considered. Where the issue relates to a single agency process and system then that agency may be tasked to take forward an appropriate audit and report back its findings. This will be determined based on the individual case needs and proportionate for the learning involved.

Joint Borough Safeguarding Adult Reviews

Safeguarding Adult Reviews held jointly with other Boroughs will adopt the SAR Guidance of the Borough hosting the review. Learning for TASPb from these reviews will be facilitated by the TASPb Learning and Development Sub Group

No Further Action

In some cases, it may be appropriate to take no further action following a Screening Panel. For example, there will on occasion be cases where the Adult and family were not known to services within a safeguarding context and there was no reason why they should have been. In these cases there will be no safeguarding practice to review.

9. Conducting a SAR

The Care Act is not prescriptive how LSAB should conduct a SAR.

In all cases when it has been agreed that a SAR will be undertaken:-

- The Business Support Unit arrange a SAR Panel Meeting
- An author for the SAR Report will be appointed.
- Chronologies will be requested from all organisations identified as having knowledge of the Adult involvement
- Discussion will take place to confirm whether there is any immediate action needed to ensure the Adults' safety and share learning appropriately.
- Organisations will consider the potential for identifying improvements to safeguard and promote the welfare of the Adult.

The SAR Panel will undertake SARs on behalf of the TASPb. The SAR panel will have delegate authority to oversee the progress of the review. There will be a core membership, starting with representatives from the 3 Statutory Partners who have the ability to co-opt additional members on a case by case basis dependent on the nature and context of the case. Once a decision has been made to conduct a review, the chair and members of the SAR Panel are responsible for preparing the draft Terms of Reference (ToR), which should be proportionate to the circumstances of the case.

The ToR may need to be revisited as the review progresses and as new information is identified. The review panel chair will agree any amendments to the ToR.

As part of the terms of reference, the Chair should appoint lead individuals or agencies who will act as a:

- Designated advocate for engaging with family members and friends.
- Contact point for responding to media interest about the review in conjunction with Tameside Council's corporate communications team.

Please note: All contact with the Coroner must be sent through Tameside Council legal department.

The SAR panel chair should as far as possible ensure that the review process is a learning exercise in itself for all those involved in the case.

The SAR Panel will moderate the work of the SAR as the review progresses.

The SAR Panel will also:

- Quality assure all safeguarding learning reviews,
- Co-opt professionals onto to the panel as appropriate.
- Sign off the final report/learning review prior to presentation at TASPb.

Consideration should be given to the skills and expertise required to effectively chair a SAR and in relation to the nature of the specific case in focus. The identified individual should have, as a minimum, the following appropriate core skills:

- Strong leadership and ability to motivate others.
- Expert facilitation skills and ability to handle multiple perspectives and potentially sensitive and complex group dynamics.
- Collaborative problem solving experience and knowledge of participative approaches.
- Ability to find and evaluate best practice.
- Good analytical skills and ability to manage quantitative and qualitative data.
- Knowledge of safeguarding adults.
- Ability to write for a wide audience.
- An understanding of the complexity of the health and social care arrangements and an awareness of issues which are complex or of national importance such that a national review may be appropriate.

The SAR panel chair will establish an agreed timetable of SAR panel meetings in accordance with the required timescales of the review and set specific parameters, including timescales for the completion of chronologies, conversations and any other learning event which includes further exploration of practitioners' views.

The SAR panel chair will maintain contact with the Safeguarding Business Manager of all parallel review or investigation processes and to ensure that any coordination and joint commissioning arrangements are effective.

The chair of the SAR panel should ensure that regular updates are obtained regarding services being provided by any agency to meet the safeguarding or other needs of individuals who are subject of the review.

Where there is an on-going criminal investigation, the SAR panel chair will ensure that early and regular contact is made with the senior investigating officer to ensure

appropriate processes are being followed. This relates particularly to any planned interviews with family members, practitioners and managers and must take into account that any one of these people may be a potential witness or even defendants in a future criminal trial.

Practitioner Event

To inform a SAR, a Practitioner event may be hosted. This event is to provide an opportunity for practitioners to be involved in contributing to the Overview Report.

Additional information will be sent to Practitioner's when they are invited to the Practitioner Event.

Involvement of family members, friends, and other support networks

Referring Organisations should notify family that a Safeguarding Adult Referral is to be submitted to TASPb for consideration for a SAR. It is the responsibility of the referring organisation to also share the outcome of the SAR meeting.

Family members can offer a unique perspective into how the delivery of services and involvement of agencies were viewed and responded to. It is essential that the SAR panel have opportunities to listen to family experiences and perspectives and that these contribute meaningfully to the final report.

Family members can include:

Siblings

Parents

Carers

Grandparents

Other significant family members identified from the Family Association Network/
Genogram.

As a minimum, family members should:

- Be notified of the SAR process, what that means for them and how they can access support – including impact of media coverage.
- Be supported to contribute to the review process – either in writing, by meeting with the reviewer, sharing views via a third party or by other means identified by the SAR panel.
- Be included in feedback about the learning identified by the SAR Panel
- Be informed and prepared for the publication of the report in a timely manner – again including the likelihood of media interest.
- Be provided with a read only copy of the report which family members can review and comment on prior to publication but not retain; where possible any relevant comments should be incorporated into the final version – A 'hard' copy of the report should not be provided until the report is in the public domain.

10. The final overview report

The SAR overview report brings together the learning and themes identified from the review and will analyse and comment on the effectiveness of practice and the systems used to safeguard and promote the welfare of the Adult.

The chair of the review panel has responsibility for collating the report and the report should:

- Provide a brief overview of what happened and the key circumstances, background and context of the case. This should be concise but sufficient to understand the context of the learning and recommendations.
- An analysis of any systemic or underlying reasons why actions were taken or not in respect of matters covered by the report
- A critique of how agencies worked together and any shortcomings in this.
- Whether shortcomings identified are features of practice in general
- What would need to be done differently to prevent harm occurring to an Adult in similar circumstances
- Be written in a succinct and focused manner with the emphasis on recognising and sustaining good practice as well as identifying how and where practice can be improved in the future.
- Identify action that agencies or services have already undertaken in response to learning and what else needs to happen to ensure learning is embedded.
- Form a conclusion as to the effectiveness of local practice to safeguard and promote the welfare of the Adult.

The report should also:

- Have clearly framed questions that the review seeks to answer.
- Have an executive summary of no more than 2 A4 pages.
- State clearly learning points and steps for learning.
- Be written in such a way that it can be published with minimal redaction.

The SAR overview report should firstly be presented to the SAR Panel. This provides an opportunity for the Chair and SAR panel to quality assure the document, reference the identified learning and ensure an opportunity for the findings to be challenged where necessary. The report should already have identified areas of learning and the author/chair should have had access to relevant past/current action plans so that recommendations/actions can be put into the context of wider learning across the partnership.

It is the responsibility of the review panel to work with the author and chair to develop an action plan which takes account of the wider learning improvement cycle. Once agreed the chair of the review sub group should present the report to the TASP.

It will be the responsibility of the review panel to identify and agree how practice challenges or recommendations from the SAR will be responded to and what action is needed by individual agencies or from a multi-agency perspective.

11. Action plans

A draft action plan should include:

- A timeline for publication of the report should be developed and where possible a date identified.
- Action taken to share the findings of the report with the family members.
- Practitioners who contributed to the review and learning event should have been briefed about the content of the final report and should already be aware of the findings, as the process of the review is an important element of the, learning which will be more effective if those involved are partners in the process.
- As far as possible, this principle should be applied to family/carers/friends who have participated but it is understood that this will be on a case by case basis.
- How it will share the lessons learned, and practice impact with the wider workforce in the Tameside area.

12. Learning from SAR

The value of SARs is in the learning derived from them. As much effort should be spent on acting on recommendations as on conducting the actual review. Recommendations should be SMART: Specific, Measurable, Achievable, Realistic, and Timed.

The following should help to secure maximum benefit from the review:

- Conduct the review in such a way that the process is a learning exercise.
- Consider what information needs to be disseminated (how and to whom) in the light of a review.
- Be prepared to communicate both examples of good practice and areas where change to practice is required.
- Focus recommendations on a small number of key areas with specific and achievable proposals for change and intended outcomes.
- Ensure robust monitoring of the resultant action plan to ensure identified changes/improvements are implemented and embedded.
- Communicate with the local community and media to raise awareness of the positive work of services working with Adults.
- Make sure staff and their representatives understand what can be expected in the event of a SAR.

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

13. Timescales

The expectation of the TASPБ is that the SAR report and learning is available no later than 6 months after the decision to initiate a review is made. This is to ensure that all learning remains relevant to current practice. Therefore, the partnership will endeavour to produce a concluded review within 6 months. There may be challenges to this, such as criminal proceedings or Coronial processes. Should these impact on the review process, then steps will be taken to share information and continue the review as far as possible without damaging these other processes nor limiting the review itself. Any early identified actions will be commenced to avoid delay where service / multi agency working practices can be improved.

14. Communication/Media Strategy

The chair of the SAR Panel in consultation with the SAR Panel will consider appropriate publication of the report on a case-by-case basis. Discussions about publication will be held with the individual(s), their family or carers (where appropriate) and if there are arrangements made by the TASPБ Business Manager to upload the report onto the TASPБ web site informing TASPБ and referring to the National Repository.

Media and communication issues will usually be co-ordinated by the council's communications team. This will be done in collaboration with the communications teams of the other agencies involved, alongside agreed representatives of the partnership.

15. Scrutiny & Challenge

Under Care Act (2014), the criteria for Safeguarding Adult Review (SAR) offers greater flexibility for partners to consider how learning is best generated within a new safeguarding arrangement.

Safeguarding Quality Markers should be used from initiating the SAR process and TASPБ should consider how effective the arrangements have been in this context when signing off the Report.

Where a professional is unsatisfied with decisions or processes in relation to reviews then they should contact their TASPБ representative in their organisation in the first instance to discuss their concerns. If the TASPБ representative agrees that these need to be escalated further, the Safeguarding Business Manager will be contacted to arrange a meeting with the TASPБ Chair and Statutory Partners.

Where a complaint is received from a member of the public, about a decision or review of the TASPb this will initially be responded to by the Safeguarding Business Manager in consultation with the Statutory Partners and the TASPb Chair, with a written response within 28 days of receipt.

If the complainant is unsatisfied with the response, they should contact the Safeguarding Business Manager who will arrange for their complaint to be considered by the most appropriate person. For example, if it is about decisions by partner agencies then the Independent Chair may be asked to mediate the concerns.

All written complaint responses will include details of how to contact the Local Government Ombudsman.

The Safeguarding Adult Business Manager will ensure that a record is kept of complaints received, responded to and those referred to partner agencies. Complaints and copies of responses will be securely retained in accordance with the principles of data protection legislation and the TASPb retention policy.

16. Accountability

The SAR Panel will monitor the implementation of the agreed proposal and notify TASPb at the quarterly meetings. The SAR Panel will seek assurance that the learning process is timely and lessons learnt are cascaded across the partnership.

Appendix A: SAR Referral Form

CONFIDENTIAL WHEN COMPLETED

This referral form [Safeguarding Adult Review referral form](#) is used to notify Tameside Safeguarding Adults Partnership Board that there may be a case for consideration for a SAR.

Professionals should discuss the case with their agency designated safeguarding lead and TASP representative, to determine which learning and support process is required before submitting the form.

Forms should be returned via email to: protectadult@tameside.gov.uk

SAFEGUARDING ADULT REVIEW TIMEFRAME

DAY		DEADLINE
Day 1	Referral Received by the Safeguarding Business Unit <ul style="list-style-type: none"> • checks referral detailed, appropriate, signed off by line manager and quality assured by agency's Safeguarding Lead • Safeguarding Business Unit send to Statutory Agencies and confirms which organisations are to be contacted to attend the Screening Panel and submit Chronologies • Statutory Leads will confirm within 48 hours if additional organisations are to be contacted to attend the Screening Panel and submit Chronologies 	48 hours
Day 3	Business Unit invites representatives to Screening Panel and circulates templates to key agencies to screen requesting: <ul style="list-style-type: none"> • Chronology re involvement • Analysis of significant events • Implications for practice & outcomes for individual Agencies have 14 days to respond	
Day 14	Chronologies returned from organisations and Business Unit collates all agency returns into one document	
Day 16	Collated document and referral paperwork sent to Screening Panel members	
Day 18- Day 21	Screening Panel meet to screen referral	
Day 24	Business Support completes minutes of Screening Panel and sends to Screening Panel Chair for agreement	
Day 25	Chair of Screening Panel approves minutes	
Day 26	Passed to Independent Chair for sign off	
Day 28	Independent Chair sends to Business Unit decision to support discussion at Screening Panel	

Day 28	Statutory Leads notified of confirmation of TASPB Independent Chairs Decision	
Day 28	If required Business Unit will arrange to meet with Statutory Leads to confirm TOR for a Safeguarding Review to be completed within 6 months from the date of the Screening Panel	
Day 30	Statutory Partners meet to agree TOR for the SAR if the criteria is met	
Day 31	TOR shared with TASPB	
Day 32	Arrangements start to commission an Independent Author to complete the review within 6 months of the date of the SAR agreed by the Panel	
Day 33	Arrangements agreed to start to notify family/adult of the SAR and involve them in the process	
Day 63 onwards	Business Unit arranges meetings to support the SAR and the completion within 6 months of the date of the SAR agreed by the Panel	
Day 93 onwards	Business Unit makes arrangements to Publish SAR on the National Repository and co-ordinate actions in response to a media strategy	

