

## **Northamptonshire Safeguarding Adults Board**

### **Local Safeguarding Adult Review (SAR) Protocol Supporting Guidance**

#### **Appendices**

**The guidance includes a selection of sample tools to support the SAR Panel and are produced for simplicity to provide clarity about the relevant process  
The guidance should be read in conjunction with the Northamptonshire SAR Protocol**

## Contents

<b>Appendix 1</b> .....	<b>3</b>
Making a Safeguarding Adult Review Referral .....	3
SAR Referral Form - Form A .....	4
<b>Appendix 2</b> .....	<b>5</b>
IMR Template - Form B .....	6
Example Chronology - Form C .....	10
<b>Appendix 3</b> .....	<b>11</b>
Guidance For Conducting Interviews .....	11
<b>Appendix 4</b> .....	<b>12</b>
Template Letter A - Notice of a Safeguarding Adult Review .....	12
Template Letter B - Independent Chair & Author Letter Setting Out the Process .....	13
<b>Appendix 5</b> .....	<b>14</b>
Roles & Responsibilities of Individuals Involved .....	14
<b>Appendix 6</b> .....	<b>15</b>
Terms of Reference .....	15
<b>Appendix 7</b> .....	<b>16</b>
Safeguarding Adults Overview Report .....	16
<b>Appendix 8</b> .....	<b>21</b>
Composite Action Plan .....	21
<b>Appendix 9</b> .....	<b>22</b>
Safeguarding Adult Review Checklist .....	22
<b>Appendix 10</b> .....	<b>24</b>
Further Information .....	24

## Northamptonshire SAB: Safeguarding Adult Review (Appendices)

### Appendix 1

#### **Making a safeguarding adult review referral and deciding if the referral should be subject to a safeguarding adult review**

The format for requesting a Safeguarding Adult Review is set out in **Form A**. The completed request must be sent in the first instance, in a confidential way to the NSAB Business Manager.

*Please do not copy and paste information from other forms, unless it is fully explained and all required detail completed.*

**Email to:** Suzanne Binley – [NSAB.NCC@WestNorthants.gov.uk](mailto:NSAB.NCC@WestNorthants.gov.uk)

**By Post to:** Suzanne Binley  
NSAB Business Manager  
Northamptonshire Safeguarding Adults Board  
One Angel Square, Angel Street, Northampton NN1 1ED

All requests will be assessed by the NSAB Safeguarding Adult Review Sub Group in accordance with the Northamptonshire Safeguarding Adult Board (NSAB) Protocol for conducting Safeguarding Adult Reviews (SARs).

#### **Content of the request:**

1. Name of the person submitting the request for a Safeguarding Adult Review.
2. Position/designation of person making the request.
3. Agency/organisation of the person making the request (if applicable).
4. Agency contact details, to include address, telephone number and e-mail.
5. Name and address of the person with care and support needs.
6. The person's date of birth and date of incident.
7. What criteria under section 44 of the Care Act 2014 does the referrer believe is met?
8. Brief details of the issue to include:
  - a. Name of service providers involved.
  - b. The Local authority involved.
  - c. Name of the safeguarding adults' co-ordinating manager/or the Chair of any strategy meeting or safeguarding adults case conference (if known)
  - d. What type of abuse has occurred?
  - e. Has a section 42 enquiry been carried out? If so, provide details of the person undertaking the enquiry.
  - f. Any other supporting information.

**Please note that Form A should not exceed 3 sides of A4 paper.**

**If additional information is required, you will be contacted by the Business Office.**

**Northamptonshire SAB: Safeguarding Adult Review (Appendices)**
**Referral form for case discussion by safeguarding adult review sub group - form a**

This form should be completed when a vulnerable adult dies or is seriously harmed (including death by suicide) and where **substantial** abuse or neglect is known or suspected to be a factor in their death.

The individual completing this form (if they are employed by an organisation that is part of the NSAB) should consult with their agency's representative before completion to ensure that a referral has not already been made and that the grounds appear to be met.

<b>1. Name of the referrer</b>	<b>2. Role of the referrer</b>
<b>3. Agency name</b>	<b>4. Agency address</b>
<b>5. Telephone number</b>	<b>6. Email address</b>
<b>7. Name of the person with care and support needs</b>	<b>8. Address of the person concerned</b>
<b>9. The person's date of birth</b>	<b>10. The date of the incident</b>
<b>11. What criteria under <u>section 44 of the Care Act 2014</u> does the referrer believe is met in this case? See Appendix 1 below.</b>	
<b>12. Provide a brief description of what happened and your concerns</b>	
<b>13. Has a s. 42 enquiry been authorised or undertaken for this case? If so, provide the date and details of the person who is undertaking/undertook the enquiry including contact information:</b>	
<b>14. Any other supporting information including any other investigation, or views of the family:</b>	
<b>Signed</b>	<b>Date</b>

Once completed, this form should be sent to NSAB Business Office for the attention of:

Suzanne Binley  
 Business Manager  
 Northamptonshire Safeguarding Adults Board  
 One Angel Square, Angel Street, Northampton, NN1 1ED  
 Email: [nsab.ncc@WestNorthants.gov.uk](mailto:nsab.ncc@WestNorthants.gov.uk)

## Northamptonshire SAB: Safeguarding Adult Review (Appendices)

### Appendix 2

#### Template forms for completing an individual management report and chronology

##### Introduction

The following forms B and C are templates that combine to form an Individual Management Review report (IMR). The IMR details an agency's involvement and sets out their relationship to the person(s) under consideration.

- These templates are to be fully completed by each agency who has been involved with the person(s) subject to the SAR, and who has been asked to do so by the SAR Panel. They record the decisions, actions taken and services provided to the person(s) who is subject of a Safeguarding Adult Review.
- The aim of the IMR is to look openly and critically at individual and organisational practice to see whether the case indicates that changes could and should be made and, if so, to identify how those changes will be brought about.
- Remember to keep the individual subject to the SAR at the centre of the IMR; include their wishes and outcomes and how they were supported by your organisation.
- The findings from the IMR should be endorsed by the senior responsible officer within the organisation who has commissioned the IMR and who will be responsible for ensuring that recommendations are acted upon.
- The IMR provides a chronology of agency involvement and brings together the overall conclusions from the involvement with that agency.

**All Individual Management Reviews should be submitted using the font Calibri and font size 11.**

**The completed IMR should be returned to: [NSAB.NCC@WestNorthants.gov.uk](mailto:NSAB.NCC@WestNorthants.gov.uk)**

**Northamptonshire SAB: Safeguarding Adult Review (Appendices)**

**IMR Template - Form B**

**Safeguarding Adult Review – Individual Management Review**

<b>Details of who is completing the IMR</b>	<b>Please complete in full below</b>
<b>Agency</b>	
<b>Author</b>	
<b>Author's Signature</b>	
<b>Date</b>	
<b>Sign Off by Agency Manager</b>	
<b>Date</b>	
<b>Date of First Submission to SCR Panel</b>	
<b>Date of revision</b>	
<b>Date of Final Submission</b>	

**Northamptonshire SAB: Safeguarding Adult Review (Appendices)**

No.	Item	Page No.
1.	Front sheet and Authorisation for IMR	
2.	Contents	
3.	Introduction	
4.	Safeguarding Adult Review Process	
5.	Methodology	
6.	Scope	
7.	Brief Family History	
8.	History of Professional Involvement	
9.	Analysis and Appraisal of Practice	
10.	Key Learning Points and Emerging Issues	
11.	Conclusions	
12.	Findings and Recommendations	
	Appendix 1: Process Chart	
	Appendix 2: Terms of Reference and Scope of the Review	

## **Northamptonshire SAB: Safeguarding Adult Review (Appendices)**

### **1. Introduction**

*This should comprise a short precis of the agency completing the report and of their involvement with the patient.*

### **2. SAR Process**

The Safeguarding Adult Review (SAR) Sub Group met on **xx.xx.xxxx** and recommended that the threshold had been met to undertake a SAR in accordance with the Care Act 2014, under section 44 (x):

**Quote to be added.**

This recommendation was endorsed by the Chair of Northamptonshire Safeguarding Adult's Board (NSAB) on **xx.xx.xxxx**.

**Include name** was appointed Independent Chair of the SAR Panel.

**Include name** was appointed as Independent Author.

### **3. Methodology**

The methodology used for this SAR was a **blended approach**, taking elements of the process and coverage set out in the Care Act 2014, and combining this with the focus on learning and public accountability. This has been done to build on current arrangements and experience for producing IMRs and obtaining a secure chronology and robust individual analysis by each agency involved, and adding the greater involvement of practitioners and clinicians, and encouraging reflection and learning from the circumstances and context of the case.

Each agency involved has been required to produce an Individual Management Review, with the direction that this should have a clear focus on the issues and likely areas for learning set out in the Terms of Reference. Rather than interview staff in the traditional way, a SCIE systemic approach by the IMR Author and the Lead Reviewer (if required) and were aimed at encouraging reflection on practice and performance. Another feature of the methodology was greater collaboration with practitioners; with a multi-agency briefing at the start of the process and a practitioner's event to discuss emerging findings.

<b>Role of Individual</b>	<b>Agency/Organisation Employing the Individual</b>	<b>Nature of Contact (meeting, interview, telephone call, e-mail, correspondence etc.)</b>	<b>Date(s) of Consultations</b>

### **4. Scope**

The Terms of Reference and scope for the SAR are attached as an Appendix. The timeframe for the SAR is from **xx.xx.xxxx** to **xx.xx.xxxx**.

However, if there is any historic information prior to the start date that authors consider relevant to this review, please include details.

### **5. Brief family history**

*Please provide an outline including protected characteristics for the individual involved in the SAR.*

### **6. History Of Professional Involvement**

*Please outline, with dates, the involvement of staff from your agency during the period under review.*

## **Northamptonshire SAB: Safeguarding Adult Review (Appendices)**

### **7. Analysis And Appraisal Of Practice**

*Please analyse and appraise the practice of staff involved during the period under review. Try to identify key practice episodes and appraise the practice of the staff from the agency. A SAR is not about apportioning blame, but it is necessary to appraise and analyse accordingly. Think of the 'WHY?' Any questions and contributory factors that may have influenced both good and less than good practice.*

*Use your own headings to describe what issues or key practice episodes you are analysing and appraising.*

### **8. Key Learning Points and Emerging Issues**

*Outline how the issue manifested itself in this case, and try to identify whether the issue was an isolated situation, or whether it represents an underlying systemic pattern. If so, how widespread or prevalent is it? What are the implications for safeguarding practice?*

### **9. Conclusions**

*Add the conclusions to your findings.*

### **10. Findings And Recommendations**

#### **Appendix 1: Process Chart**

**To be added.**

#### **Appendix 2: Scope Of The Review**

**To be added**

## Example Chronology - Form C

Chronology For **Add Individual's Name**

Date	Time	Agency	Communication within Agency	Communication external Agency	Response/Outcome	Comments
01.01.0001	00:00	In full				

**Appendix 3**
**Guidance For Conducting Interviews**

It may be helpful for the IMR writer/author to use the following format when conducting interviews to assist with compiling the IMR report:

<b>Details of Contributor</b>	<b>Please complete below</b>
Full name:	
Qualifications:	
Designation:	
Time in post:	
Employing body:	
Employing address	
Home Address: (where appropriate)	
Previous employment:	
Employer Dates & Posts held:	
Description of role in relation to particular case:	

**Matters to be covered in interviews:**

This should be used in conjunction with the chronology of the case to check the facts, discuss the interviewee's specific participation, and the timescale of their involvement.

Explore the following with the interviewee:

- a. Their knowledge of the history of the case and the adult at risk(s) prior to the interviewee's involvement.
- b. What where the wishes and feelings of the adult at risk.
- c. Their specific involvement in the case.
- d. Their knowledge of their agency's policy and procedures in relation to social care and safeguarding adults.
- e. Their knowledge of identifying injuries in relation to abuse; their understanding of the psychological effects of abuse upon adults at risk; service user engagement techniques; and their role in relation to safeguarding adults' meetings.
- f. The methods used to relate to and communicate with other professionals in the case.
- g. Their record keeping.
- h. The supervision received by the interviewee.
- i. The interviewee's feelings about the case; the adult at risk and/or the adult at risk's carer(s)/family/friend(s), and how those feelings were dealt with in supervision.
- j. The range of training both internal and external that the interviewee attended within the last 2 years, including:
  - (a) With hindsight, would the interviewee do anything differently now?
  - (b) What lessons has the interviewee learnt from the case, if any?
  - (c) Does the interviewee believe their agency could/should learn anything from the case and if so what?

**Appendix 4****Template Letter A Initial Notice of a Safeguarding Adult Review**

Dear [insert name]

**NOTICE OF A SAFEGUARDING ADULT REVIEW**

*Insert name of adult at risk*

**Date of Birth:** **xx.xx.xxxx**

**Date of Death:** **xx.xx.xxxx**

A decision has been made that the above named person is to be made subject of a Safeguarding Adult Review (SAR).

On behalf of the Chair of Northamptonshire Safeguarding Adults Board (NSAB), I am writing to formally request that you take action to ensure that your agency's records in respect of this person are immediately secured to guard against potential loss or interference, and to enable preparation of the SAR.

A SAR Panel will be convened shortly to agree the Terms of Reference of the SAR and the focus of the Independent Management Review/chronology or detailed questionnaire. Once these issues have been resolved we will communicate with you again on the next steps.

I would be grateful if you would confirm by return, the name of the lead contact in your organisation with which the SAR Panel Independent Chair/Author should make contact with.

If you have any further questions please contact Suzanne Binley, Business Manager on 01604 365681 or email: [Suzanne.binley@WestNorthants.gov.uk](mailto:Suzanne.binley@WestNorthants.gov.uk)

Yours sincerely

**Chair**  
**Safeguarding Adults Review Sub Group**  
**Northamptonshire Safeguarding Adults Board**



**Northamptonshire SAB: Safeguarding Adult Review (Appendices)**

**Template Letter B Initial Independent Chair & Author Letter Setting Out the Process**  
**(Letter Can be Adapted)**

Dear **insert name**

**Re: Safeguarding Adult Review in relation to: xxxxxxxx xxxxxxxx Date of Birth: xx.xx. xxxx**

You were recently contacted by Northamptonshire Safeguarding Adults Board (NSAB) regarding a Safeguarding Adult Review (SAR) relating to the above named person.

I have now been appointed as the Independent Chair and Author of this SAR, and as such I am writing to request that your agency participate in the SAR Panel that is being established. Your name has been given as the point of contact for your agency.

The purpose of this SAR is not to apportion blame, but to establish whether there are any issues as to how agencies worked together in relation to the inter-agency policy and procedures, and to identify any lessons to be learned. It is my intention to ensure that the SAR process is clearly focused and will encourage a good exchange of information and constructive dialogue and outcome.

My intention is that the initial SAR Panel will have its first meeting in the week beginning **xx.xx.xxxx**. At this meeting we will confirm the Terms of Reference of the SAR and agree the process for gathering agency information such as Individual Management Reviews (IMRs) or chronologies. This will inform the SAR report which will be presented to NSAB together with a draft composite Action Plan to address any recommendations that the SAR identifies.

Please contact me by **[insert contact details]** if you would like to discuss this further. In the meantime, I look forward to working with you on this SAR.

Yours sincerely

**Independent Chair  
Safeguarding Adult Review Panel  
Northamptonshire Safeguarding Adults Board**

## Appendix 5

### Roles & Responsibilities

#### Chair of NSAB

- Retain strategic oversight of the SAR process.
- Support NSAB to fully consider the merits of a referral.
- Assist in navigating issues that are problematic.
- Enable NSAB to understand the findings of the SAR.

#### Chair of NSAB SAR Sub Group

- Arrange Sub Group consideration.
- Refer to NSAB.
- Act as an intermediary between SAR Panel and NSAB.
- Senior point of reference for SAR Panel oversight.
- Strategic Composite Action Plan.

#### Head of Adult Safeguarding

- Enable practical delivery of the SAR Panel process.
- Practical point of reference.
- Address/respond to all issues directly only those by exception to SAR Sub Group Chair.
- Deputise for SAR Sub Group Chair as appropriate.

#### Independent Chair SAR Panel

- Lead overview of SAR review.
- Link to relevant agencies.
- Write SAR Overview report.
- Propose recommendations for the SAR Composite Action Plan.
- Present to NSAB.

## Appendix 6

### Safeguarding Adult Review considerations for Terms of Reference

A SAR is convened in accordance with NSAB's Safeguarding Adults Review Protocol.

The Terms of Reference for a SAR will be specific to the circumstances of each individual case but should consider:

- The 6 Principles of Safeguarding (see paragraph para 14.4 *Care and Support Statutory Guidance*).
- The care arrangements in place for the individual.
- If any of the care or support contributed in any way whatsoever to the individuals' death or their significant harm.
- Whether all appropriate practices and professional standards were followed by staff assigned to the individual's care.
- If there was sufficient co-ordination amongst all agencies involved.
- Any learning from this situation and make recommendations to improve future working practices.

## Appendix 7

The following template is the suggested format to be used for the SAR Overview Report.

The prompts set out in bullet points are some potential ideas and issues to be covered, if appropriate, but are not exhaustive and additional information should be provided as required and necessary.

### Northamptonshire Safeguarding Adults Board

#### Safeguarding Adults Overview Report

Name of adult at risk	
Date of birth	
Date of death	
Age at time of incident	

## Contents

	Page No.
<b>1. Introduction</b>	
1.1 Brief overview of the circumstances that led to this review	
1.2 Statutory duty to conduct a Safeguarding Adults Review	
1.3 Northamptonshire SAB decision to conduct a review	
1.4 Terms of Reference for the review	
1.5 Other Investigations	
<b>2. Review Methodology</b>	
2.1 The review model	
2.2 Individual management reviews	
2.3 Panel, discussion and evaluation of evidence	
2.4 Participation by family members	
2.5 Quality markers	
<b>3. Who was XX</b>	
3.1 Sources of information	
3.2 A pen portrait - note protected characteristics	
<b>4. Key Episodes and Chronology of Events</b>	
<b>5. Themed Analysis</b>	
5.1 Key issues to include where relevant:	
a) Person-centred approach	
b) Mental capacity and self-neglect (as necessary)	
c) Mental and physical health	
d) Learning disability (as necessary)	
e) Inter-agency working and effective communication	
f) Safeguarding	
g) Professional standards and practice	
h) Commissioning	
i) Good practice	
j) Learning	
<b>6. Conclusion</b>	
6.1 Conclusions to include all items listed in 5.1 above.	
<b>7. Recommendations</b>	
<b>8. Appendices</b>	
Appendix 1 – Glossary of acronyms used in this report	
Appendix 2 – Single agency recommendations	
Appendix 3 – References	

## Overview Report – Template Guidance for the Independent Author

### 1. Introduction

- a. Provide an overview and standalone summary of the circumstances that led to the review.
- b. State whether the SAR has been conducted as either a statutory review under Section 44 (1) of the Care Act 2014, or a discretionary review under Section 44 (4) Care Act 2014 or other type of review as agreed by NSAB.
- c. Confirm the SAR has been undertaken in line with NSAB's SAR Protocol, the reasons for conducting the review, the SAR criteria used and the date the decision was made to undertake a SAR.
- d. The SAR report should include:
  - i. The date the SAR commenced, details of the commissioner (usually the Chair of NSAB), SAR Panel member organisations, and details of the report author.
  - ii. State the dates the SAR Panel met and the agreed Terms of Reference (ToR). The ToR can be included as an appendix to the report.
  - iii. List the contributors to the SAR and the nature of their contributions (e.g. management report by social care, serious incident report from health agency, interview with staff members, detailed chronology, practitioner event or focused interviews etc.).
  - iv. Cite the contribution of family members and any other participants.
  - v. Identify the key issues within the SAR.
  - vi. Set out how the involvement of staff and the adult/family/friends/carers and how this was facilitated and supported (e.g. advocacy).
  - vii. Include any communication with the Care Quality Commission (CQC).
  - viii. Comment upon the quality of the evidence provided and whether any action was required.
  - ix. Provide an explanation for any delay in completing the SAR in relation to the SAR framework and Terms of Reference.
- e. Clarify that the SAR is not intended to investigate the case or apportion blame, but to learn lessons and make recommendations to improve practice, procedures and systems and ultimately improve the safeguarding and wellbeing of adults in the future. Also, state if there were any parallel investigations in place at the time of the review.

### 2. Review Methodology

- a. State the methodology adopted for the review (see pages 10-15 of the SAR Protocol for further information).
- b. Confirm whether a practitioners' event was held.
- c. Detail the input from the Independent Management Reviews, chronologies, the SAR Panel discussion and the evaluation of evidence.
- d. Include any involvement from family members.

### 3. The Person

Provide sources of information and a pen portrait of the person(s) in question. Include a pictorial display of the adult's relationship to family members (if this adds benefit), extended family and household and any care services provided. Details provided should be brief and anonymous (as appropriate).

Include the adult's protected characteristics as outlined in the Equality Act 2010.

### 4. Case Chronology

Provide a summary timeline of key events (not a detailed chronology) and any agency involvement indicating incidents or issues that affected the adult's life including the family/carer/relevant organisations/ professionals and others who have contributed to the review process. Note specifically the occasions where the adult was seen and where their wishes were sought and expressed.

# Northamptonshire SAB: Safeguarding Adult Review (Appendices)

## 5. Key Episodes

- a. Detail key episodes that led to the incident/maltreatment and who was believed to be involved/the perpetrator of the abuse. This should include, where appropriate, care placement, any deprivation of liberty and Deprivation of Liberty Safeguards (due to change to Liberty Protection Safeguards in the future), best interest's meetings, and any factors potentially leading to the adult's abuse or death.
- b. Provide a summary of what relevant information was known to agencies and professionals involved including reference to carers, perpetrator (where applicable) and the home circumstances of the adult at risk.

## 6. Themed Analysis

- a. Provide an introduction to your analysis.
- b. Include issues relating to mental capacity, mental health, inter-agency working, inter-agency communication and safeguarding in your analysis.

## 7. Conclusions

- a. Provide an introduction to the conclusions.
- b. Include specific areas documented in the themed analysis. Show clearly how and why events occurred, decisions were made and actions were taken or not taken.
- c. Explain what actions were taken by professionals and how were involved in the events at the time of the incident(s) and in the period leading up to incident(s).
- d. Explore the range of contributory factors, systems and conditions that played a part in causing the abuse, neglect and/or death.
- e. Consider whether different decisions or actions may have led to an alternative course of events.
- f. Consider how system/process conditions would have needed to be different to facilitate the different actions or decisions that would have been required.
- g. Highlight any missed opportunities.
- h. Highlight examples of good practice.
- i. Provide analysis of the collated information in general and specifically.

## 8. Recommendations

- a. In the opinion of the SAR Panel, summarise what the key themes and patterns were in the system arising from the SAR and what lessons can be drawn from the case.
- b. Translate the lessons into recommendations where agencies will need to provide assurance to NSAB to improve practice, process, partnership working, outcomes and safeguarding to avoid similar incidents happening again.
- c. Recommendations should be few in number and SMART - specific, measurable, achievable, relevant, and time-based. They should be 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 and resources.
- d. Recommendations should be divided into:
  - i. **Review** – practice that should already be happening.
  - ii. **New** – actions that need to be introduced and implemented.
  - iii. **Local/National** - If there are lessons for national, as well as local policy and practice, these should also be highlighted.

**Multi-Agency Composite Action Plan**

1. The Independent Author and SAR Panel will provide a proposed set of recommended actions for discussion, adaption and approval by NSAB.
2. The composite action plan should support the implementation of the recommendations identified in Section 8 of the report.
3. The actions identified should be multi-agency in nature, requiring the combined action of a number of partners in order to achieve them.
4. Single-agency actions may be identified from the Independent Management Reviews where these are vital to the implementation of the recommendations.
5. The action plan should conclude with evidence as to how the plan has been reviewed to determine if the outcomes have been achieved.

## Appendix 8

## Safeguarding Adult Review: Composite Action plan [insert name]

Recommendation	Action to Address Recommendation	Assigned Lead Agency and Lead Officer	Progress and Evidence Commentary	RAG Rating/ Date When Completed
<p><i>Write the specific recommendation from the SAR Panel exactly as worded, adding further rows as required.</i></p> <p><b>Recommendation 1:</b></p>	<p><i>Add any additional comments or points of clarification that enable the reader to be clear what is required.</i></p>		<p><i>This is the 'live' commentary and update of progress that shows the reader (and SAR Sub Group) progress against the recommendation.</i></p>	
<b>Recommendation 2:</b>				
<b>Recommendation 3:</b>				

## Appendix 9

### Safeguarding Adult Review [SARS] Checklist

Supporting dialogue about the principles of good practice.

This checklist aims to support commissioners and reviewers to commission and conduct high quality reviews. Covering the whole process, the list provides a consistent and robust approach to SARs. It is based predominately on established principles of effective SARs as well as SAR practice experience and expertise, and ethical considerations. It is also based on the Six Principles of Safeguarding that underpin all adult safeguarding work:

**Empowerment - Prevention - Proportionate - Protection - Partnership - Accountable**

#### Setting up the Review

No.	Step	Process
1.	<b>Referral</b>	The case is referred for a SAR consideration with an appropriate rationale and in a timely manner.
2.	<b>Partnership Engagement in Commissioning a SAR</b>	Sufficient information is gathered on which to base a decision about whether to have a SAR and to determine the nature of the SAR that is required and whether it makes the criteria. The rationale for these decisions is clear, defensible and reached in a timely fashion. Reference to Care Act 2014 and Making Safeguarding Personal. There is transparency among SAB members about the decision making process and outcome.
3.	<b>Engaging relevant people to shape the review</b>	The person/relevant adult/family members/network are told what the SAR is for, how it will work, and the parameters, and are treated with respect. They will inform the Terms of Reference.
4.	<b>Clarity of Scope and Partnership buy in</b>	The Board is clear and transparent, from the outset, that the purpose of the SAR is organisational learning and improvement and acknowledges any factors that complicate this goal. The scope needs to be clear and clarity around partnership buy in regarding, for example, in the submission of agency information, that all partners are aware they need sign off on their contribution to the process at Chief Officer level. Whatever the methodology selected, if the criteria are met then there is clarity that the review constitutes a SAR.
5.	<b>Commissioning</b>	The decisions about the commissioning of the SAR take into account a range of relevant factors and are made with input from NSAB members and in conjunction with the NSAB Chair. The methodology will be proportionate to the presenting circumstances.

Running the Review

No.	Step	Process
6.	<b>Management of the Process</b>	The SAR is effectively managed and achieves the requirements of independence and ownership of the findings by the Board. It runs smoothly, is concluded in a timely manner and with available resources.
7.	<b>Parallel processes</b>	Where there are parallel processes the SAR is managed to avoid duplication of effort, prejudice to criminal trials, unnecessary delay and confusion to all parties. Any multi-borough review requires clarity on who leads and good governance arrangements agreed at the outset.
8.	<b>Assembling information</b>	The SAR gains sufficient information to understand professional practice in the case, its context and relevance today. This includes chronologies from all involved organisations.
9.	<b>Practitioners involvement</b>	The SAR enables practitioners and managers from relevant agencies and organisations to have a constructive experience of taking part in the review.
10.	<b>Person/Family involvement</b>	The SAR is informed by the person/family knowledge and experience relevant to the period under review and drives the process appropriately (Integrating the Making Safeguarding Personal approach). To ensure person/family/network engagement.
11.	<b>Analysis</b>	The SAR analysis is transparent and rigorous. It evaluates and explains professional practice in the case to illuminate routine challenges and constraints to practitioner efforts to safeguard adults.

Outputs, Outcomes and Impact from the Review

No.	Step	Process
12.	<b>The Report</b>	The report has the voice of the person throughout and their voice is heard. It reflects the six core safeguarding principles set out in the Care Act 2014. The report clearly identifies the analysis and findings of the SAR that are key to making improvement. Findings reflect the explanations for professional practice that the analysis has evidenced. The Board uses communication channels for cross boundary learning however, there may be boundaries other than geographical.
13.	<b>Improvement action</b>	The Board enables robust discussion by agencies of what action should be taken in response to the SAR report. There is an opportunity for a review of the review process itself to capture anything that went particularly well or any learning for a future review.
14.	<b>Board written response</b>	The Board agrees a written response ready for publication that explains, clearly and succinctly, what action should be taken in response to the SAR report and evaluating the impact on the SAB Strategic Plan. The SAR is reported in the SAB annual report.
15.	<b>Publication</b>	The Board considers the impact of publishing the SAR report and response and decides how best this can be achieved.
16.	<b>Learning</b>	There is learning from SARs within, between and outside of the SAB. How will the SAB be assured that the intended learning had taken place including the implementation and evaluation of impact? Consideration to be given to feed any learning into the ADASS online repository resource.

## Appendix 10

### Further Information

[Northamptonshire SAR Protocol](#)

[The Care Act 2014](#)

[Care and Support Statutory Guidance October 2016 \(issued under the Care Act 2014\)](#)

[Learning Together \(Social Care Institute of Excellence\)](#)