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|  |  |
| --- | --- |
| **Adult’s initial/s:** |  |
| **Date of referral:** |  |
| **Date of initial case discussion:** |  |

**Referral form:** **Consideration of case for Safeguarding Adults Review (SAR) or Multi-Agency Review (MAR)**

**This form consists of the following sections:**

[Criteria for referring cases for a SAR 2](#_Toc874585)

[SECTION 1 (To be completed by the referring officer) 3](#_Toc874586)

[SECTION 2 (to be completed by agencies other than the referring agency) 6](#_Toc874587)

[SECTION 3 (to be completed by the Safeguarding Adults Review subgroup) 7](#_Toc874588)

[To be completed by the Chair of the Safeguarding Adults Board 8](#_Toc874589)

[Appendix 1 – Safeguarding Adults Reviews - Care and Support Statutory Guidance Issued under the Care Act 2014 9](#_Toc874590)

# Criteria for referring cases for an SAR[[1]](#footnote-1)

1. 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—
   1. 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
   2. condition 1 or 2 is met.
2. Condition 1 is met if—
   1. the adult has died, and
   2. 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—
   1. the adult is still alive, and
   2. the SAB knows or suspects that the adult has experienced serious abuse or neglect.
4. An 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—
   1. identifying the lessons to be learnt from the adult’s case, and
   2. applying those lessons to future cases.

The Safeguarding Adults Review process is a statutory duty and agencies have a legal requirement to provide information under Data Protection legislation. However agency information management and consent policies must be followed when doing so.

The Safeguarding Adults Review Subgroup considers every referral on the basis of whether it meets the criteria for a Safeguarding Adults Review. The subgroup needs as much information as possible to enable members to make a proportionate decision as to how to respond to a referral, ensuring, if the case is accepted for a review, that maximum learning is achieved for the Safeguarding Adults Board.

The completed form should be sent by secure email to:

[Jody.watts@peterborough.gov.uk](mailto:Jody.watts@peterborough.gov.uk)

In some circumstances a case may not meet the criteria to undertake a Safeguarding Adult’s Review but agencies consider that there is still significant multi-agency learning that arises from the case. In these situations the partnership can agree to undertake a Multi-Agency Review (MAR). A MAR will look at the lessons learnt in a case but takes place outside of a statutory process. It is not bound by a form of methodology or timescales. The methodology for each case will be decided on a case by case basis.

**Referral processes flow chart**

# SECTION 1 (To be completed by the referring officer)

1. Please complete SECTION 1 only. The objective of this section of the form is to convey as much information that is readily available at the time of the referral. If information is unavailable do not delay in making the referral. Additional information can be made available later.

**1.1 Referrer**

|  |  |  |
| --- | --- | --- |
| **Name** | **Agency & designation** | **Email, address, phone number** |
|  |  |  |
| **Signed** | | **Dated** |
|  | |  |

**1.2 Details of adult concern**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Adult:** |  | | |
| **Date of birth:**  (DD/MM/YYYY) |  | | |
| **Date of death (if applicable):** (DD/MM/YYYY) |  | | |
| **Name of GP (if known)** |  | | |
| **Home address:** |  | | |
| **Have criminal proceedings been instigated** | Yes | No | Not known |
| *please give details* | | |
| **Are there any parallel proceedings?** | Yes | No | Not known |
| *please give details* | | |

**1.3 Notifiable Incidents**

|  |  |  |  |
| --- | --- | --- | --- |
| Has the case been notified to the CQC as a Serious Incident? | **Yes** | **No** | **N/A** |

**1.4 Family composition/significant others**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Relationship to Adult** | **DoB**  **DD/MM/YYYY** | **Address** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**1.5 Other known agencies involved**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Agency** | **Contact Details** | **Are they still involved?** |
|  |  |  |  |
|  |  |  |  |
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**1.6 Reasons for making the referral.** (please include why you consider the case meets the criteria for a SAR or a Multi-Agency Review).

|  |
| --- |
|  |
| Do you think this case meets the criteria for a SAR or a MAR |

**1.7 Summary of events**

Please outline events and circumstances which triggered the referral: Refer to Chapter 14 of [Care and Support Statutory Guidance](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/315993/Care-Act-Guidance.pdf#page=217)*.*  This is to help establish if the case meets the Safeguarding Adults Review criteria and does not need to be a detailed analysis of involvement at this stage.

|  |
| --- |
|  |

**1.8 Chronology of key dates**

Please use the chronology for outlining key events which will help to establish whether the case meets the Safeguarding Adults Review criteria. This should include key events but DOES NOT need to be a detailed chronology at this stage.

| **Date of event DD/MM/YYYY** | **Time of event (where appropriate)** | **Description of event** |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

NB Agencies are reminded of the need to secure their files as soon as they become aware that a Safeguarding Adults Review might take place.

|  |
| --- |
| Once you have completed SECTION 1 of the form, please ring the Safeguarding Boards office on **01733 863745** then email the completed form to: [**jody.watts@peterborough.gov.uk**](mailto:jody.watts@peterborough.gov.uk) |

End SECTION 1

# SECTION 2 (to be completed by agencies other than the referring agency)

Please provide your agencies involvement surrounding the events and circumstances relating to the referral: Refer to Chapter 14 of [Care and Support Statutory Guidance](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/315993/Care-Act-Guidance.pdf#page=217)*.*  This is to help establish if the case meets the Safeguarding Adults Review criteria and does not need to be a detailed analysis of involvement at this stage.

|  |  |  |  |
| --- | --- | --- | --- |
| Agency |  | | |
|  | | | |
| **Name** |  | **Dated** |  |
| **Job Role** |  | **Contact Email/Number** |  |

|  |
| --- |
| Once you have completed SECTION 2 of the form, please email the completed form to: [**angela.harbour@peterborough.gov.uk**](mailto:angela.harbour@peterborough.gcsx.gov.uk) |

End SECTION 2

# SECTION 3 (to be completed by the Safeguarding Adults Review subgroup)

The objective of this section of the form is to determine whether SAB should consider undertaking a safeguarding adults review.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Details of panel** | | | | | |
| **Date of panel:** | |  | **Chair of panel:** |  | |
| **Members of panel present:** | |  | | | |
| **Case discussion: details of case discussion at panel meeting to include consideration of other learning and review mechanisms** | | | | | |
|  | | | | | |
| **Decision / recommendation** | | | | | |
| Was the SAR Meeting quorate?  **Yes  No**  **Comments** | | | | | |
| Was the recommendation unanimous?  **Yes**  **No**  **Comments/reasons for dissent/who?** | | | | | |
| 1)It was agreed that this case;   1. Meets the threshold for a Safeguarding Adults Review 2. Does not meet the threshold for a Safeguarding Adults Review   **Reasons:**  2) It was agreed that an alternative form of reviewshould be recommended   1. Multi-agency Review 2. Domestic Homicide Review 3. Single Agency Individual Management Review 4. Multi-Agency Audit   *Definition of terms*  *Review: Is an evaluation designed to identify potential service delivery and procedural improvements.*  *Audit: The process of systematic examination carried out to assess how successfully processes have been implemented.*  **Reasons:**  3) It was agreed that there are no multi-agency issues.  **Reasons:**  4) Any further action required? | | | | | |
| Decision fed back to referral agency? | | | | | |
| Yes | by whom | | | | Date |
| No |  | | | |  |

# To be completed by the Chair of the Safeguarding Adults Board

The decision in section 3 was discussed by the Safeguarding Adults Review subgroup on [date] and the following type of review / action has been recommended.

|  |  |  |  |
| --- | --- | --- | --- |
| My decision is that a Safeguarding Adults Review:  1) should take place for the following reasons:  2) should not take place for the following reasons: | | | |
| **Name** |  | **Dated** |  |
| **Signed** |  | **Organisation** |  |

End SECTION 3

# Appendix 1 – Safeguarding Adults Reviews - Care and Support Statutory Guidance Issued under the Care Act 2014

14.122. SABs must arrange a SAR when an adult in its area dies as a result of abuse or neglect, whether known or suspected, and there is concern that partner agencies could have worked more effectively to protect the adult.

14.123. SABs must also arrange a SAR if the same circumstances apply where an adult is still alive but has experienced serious neglect or abuse. SABs are free to arrange for a SAR in other situations where it believes that there will be value in doing so. This may be where a case can provide useful insights into the way organisations are working together to prevent and reduce abuse and neglect of adults, and can include exploring examples of good practice.

14.124. The adult who is the subject of the SAR need not have been in receipt of care and support services for the SAB to arrange a review in relation to them.

14.125. SARs should reflect the six safeguarding principles. SABs should agree Terms of Reference for any SAR they arrange and these should be published and openly available. In addition, the SAB and the Chair of the SAR should always come to a decision as to whether the information should be anonymised or not.

14.126. SARs should seek to determine what the relevant agencies and individuals involved in the case might have done differently that could have prevented harm or death. This is so that lessons can be learnt from the case and those lessons applied to future cases to prevent similar harm occurring again. Its purpose is not to hold any individual or organisation to account. Other processes exist for that, including, criminal proceedings, disciplinary procedures, employment law and systems of service and professional regulation, such as the Care Quality Commission and the Nursing and Midwifery Council, the Health and Care Professions Council, and the General Medical Council.

14.127. It is vital, if individuals and organisations are to be able to learn lessons from the past, that reviews are trusted and safe experiences that encourage honesty and sharing to obtain maximum benefit from them. If individuals and their organisations are fearful of SARs their response will be defensive and their participation guarded and partial.

14.128. The process for undertaking SARs should be determined locally according to the specific circumstances of individual circumstances. We do not believe a onesize-fits-all approach is an appropriate response. The focus must be on what needs to happen to achieve understanding, remedial action and, very often, answers for families and friends of people who have died or been seriously abused or neglected. The recommendations and action plans from a SAR need to be followed through by the SAB.

14.129. When the SAB has decided to arrange a SAR it should appoint one or more suitable individuals to lead the SAR. The SAB should have evidence that those who are appointed are sufficiently skilled and experienced in adult safeguarding matters. The lead reviewer(s) will chair the SAR. The lead reviewer(s) should be independent of the SAB and the organisations involved in the case.

14.130. The SAB should ensure that there is appropriate involvement in the review process of professionals and organisations who were Involved with the adult.

14.131. The SAB should aim for completion of a SAR within six months of initiating it. If this is not possible (for example, because of potential prejudice to related court proceedings) every effort should be made while the SAR is in progress to (i) capture points from the case about improvements needed; and (ii) take corrective action. Findings from SARs

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

14.133. SAR reports should:

* provide a sound analysis of what happened, why and what action needs to be taken to prevent a reoccurrence;
* be written in plain English;
* contain findings of practical value to organisations and professionals.

**Information**

14.134. In order to carry out its functions SABs will need access to information that a wide number of partners may hold. Some of these partners will be statutory, such as the NHS and the police. Others will not be, such as private health and care providers.

14.135. SABs are responsible for commissioning SARs. The purpose of SARs is to identify and apply lessons learnt from cases where there is reasonable cause for concern about how the SAB, its members or other relevant organisations worked together in any particular case, so as to prevent risks of abuse or neglect arising in the future.

14.136. In the past, there have been instances where the withholding of information has prevented organisations being fully able to understand what “went wrong” and so has hindered them identifying, to the best of their ability, the lessons to be applied to prevent or reduce the risks of such cases reoccurring.

14.137. An SAB may request a person to supply information to it or to another person. The person who receives the request must provide the information provided if:

* the request is made in order to enable or assist the SAB to do its job;
* the request is made of a person who is likely to have relevant information and then either–
  + the information requested relates to the person to whom the request is made and their functions or activities or
  + the information requested has already been passed on to another person subject to this requirement.

1. Care Act 2014 Section 44 <http://www.legislation.gov.uk/ukpga/2014/23/section/44/enacted> [↑](#footnote-ref-1)