

# Guidance Paper 6 Cumbria Safeguarding Adults Board (CSAB)

November 2014

Cumbria Safeguarding Adults Board

#### **Guidance Paper 6**

#### Cumbria Safeguarding Adults Board (CSAB)

### Safeguarding Adults Review Procedure Introduction

#### Purpose of a Case Review

The purpose of having a case review is to:

- Identify learning from a case.
- To review the effectiveness of procedures (both multi-agency and those of individual organisations)
- To inform and improve local inter-agency practice
- To improve practice by acting on learning (developing best practice)

The focus of all SARs 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.

#### A Case Review is **not:**

- The method by which current allegations of abuse are investigated.
- A method to identify issues capability or performance within a single agency.
- A substitute for internal agencies or other statutory review processes used to investigate serious incidents.
- A substitute for single agency mechanisms for reflective practice.
- A substitute for single agency complaints procedures.

Safeguarding Adult Reviews (SARs) are not part of any disciplinary enquiry or process, but information which emerges during the course of the review may indicate that disciplinary action should be taken under established procedures. Alternatively, reviews may be conducted concurrently with disciplinary action. In some cases (e.g. alleged institutional abuse) disciplinary action may be needed to safeguard other adults. Where appropriate the CSAB may make referrals to the Disclosure and Barring Service as a result of information which has emerged during the course of the review.

The Safeguarding Adults Review (or other Case Review processes) may overlap with other required reviewing processes. Where there are possible grounds for both a Safeguarding Adults Review and a Domestic Homicide Review (DHR) then a decision should be made at the outset by the two decision makers as to which process is to lead and who is to chair with a final joint report being taken to both commissioning bodies.

#### Criteria for undertaking a Safeguarding Adults Review (SAR)

- The Cumbria Safeguarding Adults Board (CSAB) has a statutory responsibility to conduct a safeguarding adults review (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 at risk.
- The CSAB must also arrange a SAR if the same circumstances apply where the adult is still alive but has experienced serious abuse or neglect.
- The SAB can arrange for a SAR in other situations where it believes that there will be value in doing so
  - o 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

The CSAB has agreed to delegate the management of SARs to the Case Review Group (CRG)

- The CRG has clearly defined Terms of Reference agreed by the SAB
- 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
- SARs will reflect the six safeguarding principles:

#### **Empowerment**

Personalisation and the presumption of person led decisions and informed consent

#### **Prevention**

It is better to take action before harm occurs

#### **Proportionality**

Proportionate and least intrusive response appropriate to the risk presented

#### **Protection**

Support and representation for those in greatest need

#### **Partnership**

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

#### **Accountability**

Accountability and transparency in delivering safeguarding

- The process and methodology for undertaking SARs is determined by the CRG according to the specific circumstances of the case.
- The CSAB has agreed four different approaches, each represents a different way of reviewing a case according to the circumstances. Each of the different approaches requires a varying level of independence and provides more options in safeguarding adults at risk. This will ensure that learning is disseminated and acted upon in a timely manner.

#### Initiating a SAR

- A referral for consideration for a Safeguarding Adults Review should be made using the Referral Form (see Appendix 1).
- A staff member who believes a Safeguarding Adults Review is warranted should discuss their concerns in relation to the case in question, with their CSAB representative. There must also be consideration given to requests to convene a Safeguarding Adults Review from the Coroner, MPs, Elected Members and other interested parties including family members.
- The referrer should complete the form with as much detail as possible to support the decision making process with specific reference to the way in which they believe the criteria have been met. When an agency submits a referral form, a brief chronology of key points should be included this should include sufficient detail for the Case Review Group to make a decision. It is also important to include details of any other agencies that the referrer is aware are currently in contact with, or have been in contact with the individual. It is possible that an external referral for example from a member of the public may be made, in these circumstances a traditional chronology of key points is not mandatory but may help the referrer explain how they feel the criteria for a Safeguarding Adults Review has been met.
- This form should be submitted to the CSAB Board Manager, using the contact details provided on the referral form. The CSAB Board Manager will then share this information with the independent Chair of the CSAB
- The Independent Chair will decide if the case warrants initial discussion at the Case Review Group (CRG).
- In anticipation of any decision made by the Case Review Group, agency's case files should be secured immediately, (if they haven't already been) when information is requested following initial referral to the Case Review Group. If the decision is made that the criteria for a Safeguarding Adults Review is not met, and no other review process will be undertaken by the CSAB, agencies who have contributed to the decision making process will be notified to amend access to case files as appropriate within each agency.
- If the CSAB requests a person to supply information to it, or to some other person specified in the request, the person to whom the request is made must comply with the request if the CSAB is undertaking a Safeguarding Adults Review i.e. the criteria have been met at consideration.

For further guidance on information requests in relation to Safeguarding Adults Reviews, please see Care Act 2014 - www.legislation.gov.uk/ukpga/2014/23/contents/enacted, (Part I, Section 45)

The process of gathering information for the consideration meeting is as follows:

#### Process of gathering information for the meeting to consider referrals

Case referral received by Board Manager (BM) using template form & including referring agency's involvement.

BM checks that the information within the referral is complete & notifies Coroner (where appropriate).

BM sends letter on behalf of Case Review Group Chair in confidence to agencies involved, requesting a summary and nature of their involvement with the individual. Information including a brief overview / history of service involvement and care delivered (chronology) should be returned to BM within 7 working days. Individual agency records should be secured.

Meeting scheduled by BM & Administrator within timescales (14 days of referral receipt). If the referrer is not a standing member of the Case Review Group they will be invited to attend to present their referral information.

Information provided to Case Review Group members by BM for meeting at least 3 days in advance. (All documents password protected & sent securely)

- Details of incident leading to referral,
- Referrer's view in relation to criteria
- Detail of their agency involvement
- Detail of other agencies known to be involved

Information will be requested from CSAB Member Agencies via their Board Member – it is the Member's responsibility to follow individual notification / governance procedures in relation to SARs within their organisation.

Other agencies identified as having involvement with the case will also be contacted for relevant information.

#### At Case Review Group meeting:

- 1. Group Review the information provided for consideration.
- 2. As a matter of course, information should be provided as a written report, however it is anticipated that some verbal information may be supplied for consideration in exceptional circumstances.
- 3. Discussion / decisions made and documented.
- 4. Agree next steps and feedback to be provided to agencies.

#### The Case Review Group (CRG)

The Case Review Group is made up of representatives nominated by Board Members and includes:

- Cumbria County Council Health and Care Services
- Clinical Commissioning Group
- Cumbria Constabulary
- Probation
- NHS Trusts in Cumbria

The function of this group is fully described in the Terms of Reference for the Group.

The group may be required to meet at short notice if a potential case for Safeguarding Adults Review needs to be discussed.

The Case Review Group will consider all the information which has been gathered following the completion of the referral form to ascertain if it is felt that the criteria for a Safeguarding Adults Review has been met. Potential Outcomes from this discussion are as follows:

- I. The group feel that the criteria for undertaking a Safeguarding Adults Review have been met. The Case Review Group will:
- Make a recommendation to Independent Chair for approval to undertake a Safeguarding Adults Review (by completing Appendix 3). This recommendation should include an initial Terms of Reference for the Review, methodology for undertaking the review, proposed documentation to be produced, plans for family / individual involvement and any risks identified.
- Draft initial terms of reference these should reflect the six safeguarding principles Empowerment, Prevention, Proportionality, Protection, Partnership & Accountability. These terms of reference should then be agreed by the CSAB, should be published and openly available.
- Identify timescales for completion The CSAB 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.
- Propose a methodology for completing a review 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.
- Identify membership of group who will undertake the review will be proposed
- Consider any early requirements in relation to communication plan for family, provision of advocacy support for the individual at the centre of the review or any potential media interest or other risk areas as appropriate.
- Agree what documentation is expected at the end of the review for example, overview reports, executive summaries, lessons learned documents etc.
- Notification shared with Coroner, where appropriate (by Independent Chair, via BM)
- Notification shared with Care Quality Commission (CQC) where appropriate, (by Independent Chair, via BM)
- Notification sent to involved agencies to secure records for this case by Independent Chair (via BM)
- Full chronologies requested from agencies involved with the individual by BM.
- Board member's notified of intention to conduct a Safeguarding Adults Review in order that member agencies can utilise their internal governance mechanisms and share this information where appropriate within their agency by BM

The local authority must arrange, where appropriate, for an independent advocate to represent and support an adult who is the subject of a Safeguarding Adult Review where the adult has 'substantial difficulty' in being involved in contributing to the process and where there is no other appropriate adult to assist. A person who is engaged professionally to provide care or treatment for the adult in question cannot be an advocate.

The adult must also consent to being represented and supported by the advocate (or where the adult lacks capacity, the local authority must consider it to be in that adult's best interests to be represented and supported by the advocate).

- Notification shared with Care Quality Commission (CQC) where appropriate, (by Independent Chair, via BM)
- Notification sent to involved agencies to secure records for this case by Independent Chair (via BM)
- Full chronologies requested from agencies involved with the individual by BM.
- Board member's notified of intention to conduct a Multi-Agency Review in order that member agencies
  can utilise their internal governance mechanisms and share this information where appropriate within
  their agency by BM
- 2. Further information required requests sent by BM to specific agencies and meeting reconvened.
- 3. Criteria not met & no other review recommended Independent Chair & Coroner notified where appropriate.

In all cases, CSAB agencies (and others) who have been contacted to supply information for consideration should be contacted to notify them of the outcome from decision making.

#### Methods of Review Review and analysis of records

- This methodology may require that each agency involved with the individual in question produce a full chronology of their involvement, and an Internal Management Review (IMR) Report. (see appendix)
- The aim of the IMR should be to look openly and critically at individual and organisational practice and at the context in which people were working to see whether the case indicates that improvements could and should be made and, if so, to identify how these changes should be brought about. IMR Authors for each agency identified should not have been directly involved with the adult or family or be the immediate line manager of the practitioners involved.
- IMR authors should review case records for their agency and may also discuss with staff their involvement with the individual, family / carers. Where staff are interviewed by those preparing management reviews, a written record of such interviews should be made and this should be shared with the relevant interviewee. Individuals preparing management reports should ensure provision is made for staff care and support within their agency. If the review finds that policies or procedures have not been followed, relevant staff or managers should be interviewed in order to understand the reasons for this.
- Both chronologies and IMRs should be produced using the CSAB templates and guidance which contains details of what should be considered in each section.

#### Significant Incident Learning Process (SILP)

EThe Case Review Group (CRG) will invite the key agencies and professionals involved in an identified case to a half or full day event to examine the case together.

Agencies will be asked to provide chronologies of events within an identified time band, one facilitator will chair the event and another will write up the learning.

An external facilitator may be used if the complexity of the case means it is necessary to do so. The CRG will agree and provide written terms of reference for such a review and a timescale for completion.

This process will involve operational staff and their managers who would own the summary of learning at the end of the process, leading to these being disseminated more quickly at an operational level.

A second event may take place to review how the agreed actions had been met and how the learning was disseminated within agencies.

A summary of the learning and any action plans will be shared with the CSAB in the form of a written report by the Chair of the CRG.

#### Peer Reviews

The CRG will identify an individual from another Safeguarding Adults Board to review the multi-agency working in an identified case as part of a reciprocal arrangement. The CRG will agree and provide written terms of reference for any such review and a timescale for a response.

The review will be shared with the CSAB in the form of a written report provided by the identified individual.

#### Individual Agency Reviews

There are a number of reviewing processes undertaken around safeguarding cases within individual agencies represented on the Safeguarding Adults Board.

An example would be the Serious Untoward Incident process undertaken by NHS Trusts, and it is appropriate for the Safeguarding Adults Board to have an overview of these.

When an individual agency is conducting an investigation of this kind which involves a safeguarding issue, the CRG should be advised of this to enable them to assess whether there may be transferable learning, or whether another level of review is needed.

The CRG may also ask an agency to conduct a review into a particular case and forward a written report to the CRG.

The CRG will agree and provide written terms of reference for any such review and a timescale for a response.

The CRG will share this report with the CSAB in the form of a written report provided by the Chair of the CRG

#### **Annual Report**

All Safeguarding Adults Reviews conducted within the year should be referenced within the annual report along with relevant service improvements.

#### **Appendix**

#### **Templates**

Letter requesting that a case be considered for a review

#### **Request for Case Review consideration**

To be sent to the Chair Cumbria Safeguarding Adults Board

Dear

Re: Case Review Request

In Line with the CumbriaSafeguarding Adults Board Case Review Procedures, I wish to request that the case of: *Insert Adults Name be considered for a case review.* 

Adults Name (insert details)

Adults DOB (insert details)

Adults Address (insert details)

It is felt that the case of Insert Adults Name meets the criteria for consideration for a case review due to the information in the form attached.

Yours sincerely insert your name, role, agency and contact details

#### Report Template





#### **Referral for Case Review Group**

This form to be returned to irene.cooper@cumbria.gov.uk

Address: Cumbria County Council, County Offices, Kendal LA9 4RQ

All sections should be completed using the information held by the agency.

This will be collated and presented to the Case Review Group.

#### I. Adult's details

Name	DOB	
DOD (if applicable)	Date of incident	
Gender	Age	
Ethnicity	Religion	
Relevant family - name, DOB, relationship	Relevant Family - name, DOB, relationship	
Address of Adult		
Address where death or incident took place		

#### 2. Referral details

Date of referral	
Name of referrer	
Agency	
Address	
Telephone No	
Email	

3	. A	gencies	vou	know	to	be	invo	ved
	• •	generes	, ou					1100

Agency/Professional	Name, address and telephone number	Date of first contact	Date of most recent contact
4. Your agency involven	nent with the adult		
	imstances of the incid	lent (also include if any ent)	y other review is

#### 6. Please indicate whether you feel the grounds for a Safeguarding Adults Review have been met:

- A Safeguarding Adults Board 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 I or 2 is met.
- (2) Condition I 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) 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).

#### For completion by Case Review Group Chair

Date to be heard at Case Review Group:
Further information required from:

#### Meeting Name Agenda



Date: Time: Venue:

#### **Subject**

#### I Apologies

#### 2 Consideration of xxxxxxx for Safeguarding Adults Review

- Confirm details of adult and family
- Agency Information & consideration to criteria

#### 3 Decision to recommend a Safeguarding Adults Review?

Draft initial terms of reference including:

- Identify timescales
- Identify methodology for completing review (including requirement for independent chair / facilitator recruitment)
- Key Issues to be explored
- Identify membership of group who will undertake the review (referred to as the Review Group).
- Agree what documentation is expected at the end of the review for example, overview reports, executive summaries, lessons learned documents etc.

Consider any parallel review processes when establishing terms of reference:

- Will the case give rise to other parallel investigations of practice e.g. into the health or social care provided, multi-disciplinary suicide reviews or a domestic homicide review where a family member has been killed?
- If so, how can a coordinated or jointly commissioned review process address all the relevant questions that need to be asked, in the most effective way and with minimal delay?
- How can a NHS Serious Untoward Incident investigation into the provision of healthcare be coordinated with an SAR?
- What are the arrangements for coordinating and liaising with those involved?
- What problems may emerge in terms of confidentiality and sharing information and how will these be addressed?
- What are the implications of any different or challenging timescales?
- How will the SAR Terms of Reference and processes fit in with those for other types of reviews e.g. for homicide, mental health?
- Are timescales for Coroner's Inquiry and/or any criminal investigations (if relevant) known and will revised timescales be likely?
- Who will and how is it best to liaise with the Coroner's office and/or CPS to ensure that relevant information can be shared without incurring significant delay in the review process.
- Has the Coroner issued any advice and how with this be address in the SAR?
- Establish a communication plan for family:
- How should the adult (where the review does not involve a death) and other family members and relatives contribute to the SAR? They should be involved and contribute to the process.

- Are there any known factors which may affect the involvement of any family members?
- Are there issues around timing which may affect dialogue?
- Who will be responsible for facilitating the contribution of family member?
- What resources with the required for this process?
- Which agency and named lead in the agency will take responsibility for coordinating the contacts with the family?

#### Consider any potential media interest:

- How should any public, family and media interest be managed before, during and after the review?
- How should surviving children (where appropriate given their age and understanding) and family members be informed of the findings or the SAR?
- Is there a communications strategy / media strategy?
- Consider any legal advice required
- Decision to notify Care Quality Commission (CQC) recorded
- Agencies required to produce full chronologies and secure records identified
- Issues of Staff Support
- 4 Decision not to recommend an SAR?
- 5 Any other Business
- 6 Date and time of the next meeting

# Multi-Agency Policy and Procedures 2014

### Terms of Reference for Case Review in respect of Adult XXXX



#### I. Adult's details

	T	<del> </del>
Review Group Members	Agency:	Representative
Time period to be reviewed	enquiries extend, and what is the cut What is the relevance of selecting th family history can be summarised)	os be reviewed – i.e. how far back should -off point? Is time period? (Remember even complex cormation will help better to understand the
Key issues identified	What specific issues or questions do Are there any unusual factors in this Are there any failings which appear of implementing change need to be take Do there appear to be any gaps in m	case, what are they? bvious at this stage – do early decisions about en?
Methodology for undertaking review	to what degree of independence they What methods will be used to under Other review process considerations What documentation is expected at What will be published / how will the Which organisations and professiona and submit reports or otherwise cor	take the review and the rationale for this the end and who will complete this? e reports be anonymised? Is will be asked to contribute to this review
Ethnicity, Religion, Diversity / Equality Considerations		around ethnicity, religion, diversity or cial consideration? If not, explain why not?
Date case review agreed		
Date case review agreed		
Completion due date		

# Multi-Agency Policy and Procedures 2014



safeguarding adults at risk a cumbria partnership

Agency:

Date completed:

	Day	Time	Source of Information	Subject of recording	Event description, actions and outcomes	Expected Practice/ Standards	Individual Seen (y/n)
Enter the date dd/mm/yy ONLY	Enter the day eg: mo, tu,we	Enter the time in 24 hour format, e.g. 17:56 ONLY. If no time is available enter 00:00 and note why in Event Description	e.g. data systems, hard file, interview, etc.	e.g. Family member,	Detail the event, any observations noted, reasons for decisions taken and action take/not taken with reasons	own ss and what net	Simply state Y or N

## Cumbria Safeguarding Adults Board Individual Management Review Guidance



Please Note: When completing the review on the attached template, the notes in blue are there to provide support and guidance to authors. These must be deleted before your management report is submitted to Cumbria Safeguarding Adults Board (CSAB).

When a Safeguarding Adults Review (SAR) is to be held, and an agency will be submitting an Individual Management Review Report, these will only be accepted using the following format and templates.

Agencies will receive a letter giving two dates for submission;

- A date for submission of a completed comprehensive family composition and chronology
- A subsequent date for submission of the remainder of the review report, including analysis and recommendations for action.

The letter will provide contact details for the return of this information.

Where the SAR Chair and its members consider that an Individual Management Review Report is not of sufficient quality to aid the analysis and learning required for a SAR, these will be returned for revision to the agency involved. This will be referred to in the Overview Report.

#### STRICTLY CONFIDENTIAL

#### INDIVIDUAL MANAGEMENT REVIEW REPORT

**Author:** (Please insert Name and Designation of report author here. You also need to use this section to state what you role is, how this equips you to undertake this review, and clarify that you do not have any operational involvement in the case)

**Countersigned:** (Please insert name and designation of person signing off the report on behalf of the agency - usually the Lead Director for Safeguarding within the organisation)

**Date:** (please insert date the report was submitted to CSAB Administrator or Manager)

#### Section | Introduction

This is an example introduction to the report. You do not have to use these phrases exactly, but this example introduction sets out the rationale for an Individual management review report.

This individual management review report of (insert NAME OF ORGANISATION here) is produced in accordance with Cumbria Safeguarding Adults Board procedure for conducting a SAR. It will form part of a multi-agency SAR overview report.

This report has been prepared following a review of the care/services provided to the vulnerable adult. Its purpose is to look openly and critically at individual and organisational practice to see whether the case indicates changes could and should be made, and if so, to identify how those changes will be brought about.

We have included what we consider to be relevant to the terms of reference for this SAR. The following sources of information regarding (insert Name of Subject(s) here) have been used to inform the report:

Please list those that your agency has used to compile your report here Make sure you delete any that do not apply to your agency. The following are examples of sources of information:

- (i) Chronology compiled from Adult Health/Patient Records (e.g. Care Home records)
- (ii) Consultation notes made by named Adult Protection professionals
- (iii) General Practitioner notes
- (iv) Social Worker Records
- (vii) Interviews with: (Job title, not the name of the person)

Etc.....

The current draft terms of reference for the SAR are as follows. These have been taken into account in the completion of the management review report. However, it is noted that these are currently draft only, and will be finalised at the initial meeting of the SAR Group.

Draft terms of reference for the SAR will be inserted here when this template is sent out to you.

#### Section 2 Family Composition

The CSAB Administrator will produce an outline family tree using the information you provide in this section. This will be confirmed and agreed by the SAR Group and included in the Overview Report.

The focus of the report must be the adult at risk unless your agency has clear reasons for focussing on another person e.g. the person responsible for the harm, or a relative.

<b>SUBJE</b>	ECT
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D.O.B:

D.O.D (if applicable):

Address: Ethnicity:

#### **FAMILY COMPOSITION**

Mother: Partner: Date of Birth: Date of Birth:

Address: Ethnicity:

Father: Child:

Date of Birth:

Address:

Ethnicity:

Date of Birth:

Address:

Ethnicity:

Other addresses on file:

Other household members/significant others (including grandchildren etc):

Name:

Date of Birth:

Relationship to subject

Name:

Date of Birth:

Relationship to subject

Please add additional people to this list as needed

#### Section 3 Comprehensive Chronology

Please note: You will be required to submit a completed chronology template BEFORE the other sections of the report.

Construct a comprehensive chronology of involvement by the agency and/or professional(s) in contact with the vulnerable adult and family over the period of time set out in the review's terms of reference using the key below. Briefly summarise decisions reached, the services offered and/or provided to the vulnerable adult and family and other action taken.

**Date:** Use dd/mm/yy format.

Time: Use 24hr clock

**Source of information:** State whether information from interview with staff, case notes, supervision notes etc.

**Subject of recording:** State who the entry relates to ie subject, partner, child, sibling etc. Use initials for the subject, family members etc

**Event deSARiption:** Briefly summarise what action was taken by whom, and what the outcomes was. NB DO NOT refer to workers by name. For clarity use SWI, SW2 for Social Workers involved or HVI, HV2 for Health Visitors etc. Where there is no contact by your agency for a significant amount of time during the period of the review, this should be explained in the chronology

**Expected practice/standards:** State whether there were existing procedures or standards relating to actions/interventions taken and whether these were followed. Use this section to highlight good practice, and where there is an absence of procedures or established practice.

**Relevance to terms of reference:** Identify whether entry is relevant to the terms of reference for the SAR, make note of particular terms of reference the entry relates to, making comments if appropriate. This will inform the subsequent sections of your report and aid discussion at the SAR Group

Date	Time	Source of information	Subject of recording	Event deSARiption, action and outcome	Expected practice/ standards	Relevance to terms of reference

#### Section 4 Analysis

The author must review the information in the comprehensive chronology and produce a report. All abbreviations and acronyms should be fully explained.

The report must consider how the services offered took account of the individual needs of the vulnerable adult and family, and were sensitive to their racial, cultural, linguistic and religious identity. Does your agency collect this information? Does your agency use this information in assessments? Have you any evidence that these have been taken account of in the delivery of a service to the vulnerable adult and their family?

Practice at individual and organisational levels must be openly and critically analysed against national and local statutory requirements, professional standards and current procedural guidance. Your analysis should reflect willingness by your agency to challenge practice and address wider agency responsibility.

Good practice should be highlighted and areas for change in practice must be clearly identified. Where practice has changed from that detailed in the chronology ie new service or revised procedures, this should be explained in the management report.

Analysis must always relate to the **terms of reference and the time period** at the beginning of the document. Using these as headings may be a good way to construct your report.

#### Additional considerations to support analysis

Consider the events that occurred, the decisions made, actions taken and actions not taken. Where judgments were made or actions taken that indicate that practice or management could be improved, try to get an understanding not only of what happened, but why. Consider specifically: -

- When and in what way were the vulnerable adult's wishes and feelings heard and addressed? Was this information recorded? How was this responded to by your agency? Did your agency listen to the vulnerable adult? This is particularly important to include in your review report
- Were practitioners sensitive to the needs of the vulnerable adults in their work, knowledgeable about potential indicators of abuse or neglect and about what to do if they had concerns about a vulnerable adult?
- Did the organisation have in place policies and procedures for safeguarding and promoting the welfare of vulnerable adults and acting on concerns about their welfare? If not, this needs to be addressed in your report. Were these adhered to? If not, why not?
- What were the key relevant points/opportunities for assessment and decision making in this case in relation to the vulnerable adult and family? Do assessments and decisions appear to have been reached in an informed and professional way?
- Did actions accord with assessments and decisions made? If not, why not?
- Were the assessments/actions completed within timescales?
- Were appropriate services offered/provided or relevant enquiries made in the light of assessments?
- Where no assessments were made, or actions taken the report needs to provide a rationale as to why this happened
- Were senior managers or other organisations and professionals involved at points where they should have been?

#### Section 5 What do we learn from this case?

As part of critical analysis section, the author will identify specific lessons which his/her agency can learn from the case. These can include areas of good practice identified, as well as ways in which practice can be improved.

For example; have lessons from this case been identified for the way in which the organisation works to safeguard and promote the welfare of vulnerable adults? Is there good practice to highlight as well as ways in which practice can be improved? Are there implications for ways of working: training (single and multi-agency), management and supervision, working in partnership with other organisations, resources?

This section will inform the subsequent section on recommendations for action.

#### Section 6 Recommendations for Action

#### Recommendations for Action using the action plan template

Individual agency recommendations for action contained in this report will be considered by the SAR Group for inclusion in the Overview Report. The SAR Group may also recommend further actions for your agency to be included in the Overview Report. Any individual agency recommendations not included in the Overview Report are expected to be acted on within individual agency governance arrangements.

Recommendations for action must flow from the previous 'What do we learn from this case?' section. Recommendations must be included in the Action plan template and the template fully completed in order to be clear about;

What action should be taken by whom and by when? What outcomes should these actions bring about and how will the organisation evaluate whether they have been achieved?

# Multi-Agency Policy and Procedures 2014

## Agency Action Plan

Named Person (Please specify only if different from the Lead Person)

Lead Person Name Position Phone Email Address

No	Recommendation	Key Actions	Evidence	Key Outcome	Date
-					
7					
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4					

### SAR Single-agency Action Plan Guidance notes

**Action Plan** It needs to be SMART - Specific, Measurable, Achievable, Realistic and have

Timescale - and outcome focused.

**Recommendation** As they appear on the SAR Overview Report.

**Key Actions** Please indicate the action or serious of actions you will be taking to achieve

the outcomes. Actions need to be clear, rigorous and fit for purpose. For example: deliver training, develop new policy, introduce new standards,

review working practices, etc.

**Evidence** Please specify which type of evidence you will provide to the Board that

shows that the actions are being undertaken.

For example: correspondence, minutes of meetings, new policy, training

delivery material, etc.

**Key Outcomes** Please indicate any expected and intended outcomes for service users and/or

service delivery that will result from the 'Key Actions' taken.

For example: increased number of multi-agency referrals and staff awareness of procedures, quicker access to services, attendance patters improved for

identified children, reduction of young offenders, etc.

**Date** The date by which actions will be completed.

**Note** The CSAB is very keen to develop a proactive, appropriate and effective

means to grasp experiences and lessons learned from SARs in order to achieve improved working practice and positive outcomes for children and young people in Cumbria. Please also note that if you have any other comments or feedback regarding your agency's implementation of the SAR recommendations or this Monitoring Process, we would be very happy to

receive them.

For any further guidance on the above, please contact Cumbria Safeguarding Adults Board at the following addresses:

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