**Case File Audit: Safeguarding – Quality Standards Tool**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Team** | | | **Name of Practitioner** | | **Name of Auditor** | **Customer ID** | | | | **Date of Audit** | |
|  | | |  | |  |  | | | |  | |
| **Part A – Audit**  **RED** *Quality Standards are not met.*  **AMBER** *There are some gaps in the case file which need addressing in the longer term and some learning or development may be required by the practitioner.*  **GREEN** Quality *Standards are met and there are no issues to report.* | | | | | | | | | | | |
|  | **Quality Standard** |  | | **Lines of Enquiry** | | | **R** | **A** | **G** | | **Comments** |
| **1** | **Making Safeguarding Personal** | **1a** | | If the Adult At Risk (AAR) had substantial difficulty engaging in the safeguarding process were they supported by an appropriate family member, friend or independent advocate? | | |  |  |  | |  |
| **1b** | | Was the AAR or their representative asked about their outcomes, and were these recorded and met? | | |  |  |  | |  |
| **1c** | | Have any safeguarding specific mental capacity assessments been completed in line with the MCA Code of Practice and is there evidence of appropriately made Best Interests Decision(s)? | | |  |  |  | |  |
| **1d** | | Was the AAR or their representative kept involved and informed of the safeguarding process throughout? | | |  |  |  | |  |
| **2** | **Information Gathering** | **2a** | | Has consent to share information been appropriately obtained from the AAR? | | |  |  |  | |  |
| **2b** | | Is there evidence that all relevant lines of enquiry have been fully pursued? | | |  |  |  | |  |
| **2c** | | Is there evidence of involvement from other parties where their views and input have been clearly recorded? | | |  |  |  | |  |
| **3** | **Risk Management** | **3a** | | Are risks identified, assessed and appropriately managed at the earliest opportunity? | | |  |  |  | |  |
| **3b** | | Has the Safeguarding Adults plan been reviewed and updated through the safeguarding process? | | |  |  |  | |  |
| **4** | **Decision Making** | **4** | | Is there clear evidence for decisions made throughout the safeguarding process? | | |  |  |  | |  |
| **5** | **Partnership Working** | **5a** | | Is there evidence that information which is of public interest has been identified and shared with all relevant parties? | | |  |  |  | |  |
| **5b** | | Is there evidence that the outcome of the safeguarding process has been communicated to all relevant parties? | | |  |  |  | |  |
| **6** | **Recording** | **6** | | Does all the safeguarding case recording meet the required standards? | | |  |  |  | |  |
| **Total:**  **Outstanding:** **13 GREEN** outcomes  **Good: 9-12 GREEN** outcomes with **1-4 AMBER** outcomes  **Satisfactory:** **6-8 GREEN** outcomes with **5-7 AMBER** outcomes  **Requires Improvement:** **6 or less GREEN** outcomes or **1 or more RED** outcome | | | | | | |  |  |  | | **Quality Rating:** |

|  |  |  |
| --- | --- | --- |
| **Part B – Feedback to practitioner:** | | |
| **Feedback given by:** | **Date:** | **Sign:** |
| **Summary of feedback to practitioner:** | | |
| **Suggestions to improve future case file records:** | | |

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| **Part C – Actions for Case File**  ***Only complete part C below if significant concerns or risks were identified which require urgent or immediate actions address. This will involve reallocation of the case back to the practitioner.*** | | | | |
| **Actions** | | **By Who** | **By When** | **Complete?**  **✔** |
| **1** |  |  |  |  |
| **2** |  |  |  |  |
| **3** |  |  |  |  |
| **4** |  |  |  |  |
| **5** |  |  |  |  |