

# Adult Safeguarding Case File Audit Tool

Client ID:	
Person completing the Audit:	
Allocated Worker:	
Team:	
Date Audit Completed:	

Audit to be completed on all work carried out in the last 12 months.

## SECTION 1 - Getting the basics right.

Case File Audit Questions	Fully	Partially	Not at all	N/A	Comments
Is the address on home page current and up to date?					
Are the demographic details for the person correct and up to date? (including gender, ethnicity, first language, and date of birth)					
The service user group field records the person's <b>Primary Support Reason</b> , (which is the main reason the person has approached the Council for care.) Is there <b>one current</b> primary support reason recorded and open?					
Has the case been clearly allocated or deallocated properly?					

## SECTION 2 - Screening

Case File Audit Questions	Fully	Partially	Not at all	N/A	Comments
Does the screening episode clearly identify the vulnerable adult's desired goals or outcomes, and define what they wanted to achieve as part of the safeguarding intervention?					

Are the Action(s) already taken to protect victim clearly identified?					
Are the description of events clear and concise so that someone unfamiliar with the case could pick it up easily?					
Are the location(s) of abuse (tick box) identified and correct?					
Are the type(s) of abuse (tick box) identified and correct?					
Are any vulnerable adults and/or children who may be residing in the vulnerable adults' dwelling clearly identified? Have the appropriate team services been informed? (ie children's services)					
Have all the details of the 'source of harm' been clearly identified and recorded, so that someone unfamiliar with the case could pick it up easily? (ie name, address, or organisation the perpetrator works for)					
Have the referrer's (source) details been recorded accurately and fully?					
Were the person's needs captured and is the evidence to support them clear?					
If the person lacks capacity, has a Mental Capacity Act Assessment been done?					
Has the 'risk level' been identified correctly?					
If applicable, if the case has been concluded at the screening stage is this decision correct?					
Were all major risks or concerns reasonably identified? were these responded to appropriately?					
Overall, is the Screening process clear, succinct and factually relevant?					

Is the rationale for decisions arising from the screening/discussion clear, accurate and provides detailed reasoning?					
Are you satisfied that the screening episode has been completed within a reasonable timeframe, based upon the merits of the case?					

## SECTION 2 - Strategy Meeting

Case File Audit Questions	Fully	Partially	Not at all	N/A	Comments
Has a Strategy meeting been completed for this person? (if not please select "n/a" for all remaining questions)					
Is the description of the incident clear and concise so that someone unfamiliar with the case could pick it up easily?					
Are the summary of concerns clear and concise so that someone unfamiliar with the case could pick it up easily?					
Is the date of the Strategy Meeting recorded?					
Are all details within the Management Outcome and rationale section recorded?					
Is there sufficient detail in the Strategy meeting episode to enable someone who is unfamiliar with the case to pick it up easily?					
Are you satisfied that the strategy meeting episode has been completed within a reasonable timeframe, based upon the merits of the case?					

## SECTION 3 - Case Conference & Reviews

Case File Audit Questions	Fully	Partially	Not at all	N/A	Comments
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Has a Case Conference been completed for this person? (if not, please select "n/a" for all remaining questions)				
Is the description of the "actions taken" clear and concise so that someone unfamiliar to the case could pick it up easily?				
Have the risks/needs been clearly identified?				
Are all details within the Management Outcome and rationale section recorded?				
Is there sufficient detail in the Case Conference episode to enable someone who is unfamiliar with the case to pick it up easily?				
Are the outcomes of the Case Conference clear, detailed and concise?				

#### SECTION 4 - Case conclusion

Case File Audit Questions	Fully	Partially	Not at all	N/A	Comments
Is their evidence to show the case achieved 'meaningful improvement' for the individual? (ie protect them from harm, or improve their current situation)					
Did the case (from start to finish) clearly identify the vulnerable adult's desired goals or outcomes; define what they wanted to achieve as part of the safeguarding intervention, and detail why/how these were met?					
were we able to meet the vulnerable adult's desired outcome?					
Overall did the investigation identify the risks to the vulnerable adult, and detail the actions taken to protect them in a clear concise way?					

Were the Rationale/ reason for decision(s) clear, factual and concise?				
Is there evidence to show that the vulnerable adult was involved/ informed throughout their case?				
If there were any major risks or concerns identified, were these responded to appropriately?				
Looking at this case in hindsight. Should it have been raised for investigation at an earlier date? (ie should the alert have been raised sooner)				

Recommendations	Final Comments
Detail any good practice which could be shared to other practitioners	
Detail any recommendations to pass on to the practitioners. (ie what could have been done better.)	