

# Adults Social Services 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?					
Are the details of the relevant carer/relative/person recorded in full, under the "relationships" field in the home page? Is their relationship description clearly identified?					
Has the case been clearly allocated or deallocated properly?					
Are you satisfied with the 'general upkeep' of the information on the 'home page'?					
Are all case notes concise, easy to read, easy to follow, and in chronological order?					

## SECTION 2 - Assessments

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Case File Audit Questions	Fully	Partially	Not at all	N/A	Comments
Is there any evidence to suggest that the person was involved within their own assessment?					
Are the 'presenting issues' Under section 2 - "Presenting needs / diagnosis and medication" of the assessment recorded in sufficient detail, to enable someone who is unfamiliar with the case to pick it up easily?					
Have all risk factors been identified within the assessment in sufficient detail, so that someone who is unfamiliar with the case could pick it up easily?					
Was a reablement service offered to the person?					
If a Reablement service was not offered, should it have been?					
When deciding the outcomes, is there evidence that the practitioner used the person's existing support network to meet identified needs?					
Is there evidence that the practitioner was sensitive to the person's cultural needs or preferences?					
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?					
If applicable, has the Health Condition been recorded correctly?					
If applicable, was an advocate offered or arranged for the person?					
Overall, is the Assessment clear, succinct and factually relevant?					
Does the Assessment clearly identify the person's desired goals or outcomes?					
Is the outcome recorded correct? (eg if the outcome recorded is "Early cessation of service due to life event - long term services needed" is this actually the case?					
Is it clear that the Care Act eligibility criteria was met?					

## SECTION 2 - Carers

Case File Audit Questions	Fully	Partially	Not at all	N/A	Comments
Is there evidence that the practitioner tried to identify a main carer?					
If identified, is there evidence that the Carer was offered an assessment?					
If the Carer accepted is there evidence that a Carer Assessment was carried out?					
If the Carer declined the offer of an assessment are the reasons why recorded?					
Is there sufficient detail in the person's records to enable someone who is unfamiliar with the case to pick it up easily?					
If a carer has been identified have their details been recorded? (including gender, ethnicity, date of birth and contact details)					
Is the carer 'linked' correctly to the cared for person on Mosaic?					

## SECTION 3 - Reviews

Case File Audit Questions				Answer	Comments
Has a review been completed within the last 12 months for this person? (if the person is new to the Council or did not require a review please select "n/a" for all remaining questions)					
Is the Review holistic i.e. does it take account of the person, their support network, their physical environment, their engagement with the community?					
Were Reablement services offered as part of the review?					
Did the review focus around delaying and reducing the need for long-term or complex care and support?					
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?					
Overall, is the Review clear, succinct and factually relevant?					
Does the Review clearly identify the person's desired goals or outcomes?					
Is the outcome recorded correct? (eg if the outcome recorded is "Change in setting - Move to nursing care," is this actually the case?					

#### SECTION 4 - Finance

Case File Audit Questions				Answer	Comments
Is there evidence that the person was advised that they would be financially assessed?					
Is there evidence that the option of a Direct Payment was discussed and offered?					
Has every effort been made to offer the most cost effective service, which also meets the person's needs fully?					

#### SECTION 5 - Safeguarding

Case File Audit Questions				Answer	Comments
Has a safeguarding referral already been raised for this person?					
If not, is there any evidence to suggest that a safeguarding referral should have been made, as a result of the person's assessment or review?					
If there were any major risks or concerns identified, were these responded to appropriately?					

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