**Croydon Adult Social Care: Case file Audit Tool 2023** 

Quality Assurance and continuous improvement is not an additional activity but an integral part of everyday practice. Case file audits are a part of this process and provide an opportunity to pause and reflect on practice – are residents being supported in the right way, at the right time and how is Adult Social Care making a difference to people’s lives.

This document has been developed with reference to the work completed by the London Principal Social Workers network (endorsed at October 2022 London ADASS branch meeting) and is based on PSWs experience, skills and knowledge, current legislation, policy, and practice. By providing questions that could be used for case file auditing it is intended to provide support for overseeing “quality assurance and improvement of social work practice…”

Internal audits are completed in accordance with statutory legislation including: The Care Act 2014; The Mental Capacity Act 2015 The London Multi-Agency Adult Safeguarding Policy and Procedures, April 2019, Mental Health Act 1983, and Croydon Adult Social Care local procedures including safeguarding protocols and procedures.

This short audit tool is to be used in reference to the Croydon Health, Wellbeing and Adult Social Care procedures – TriX

***Key:*** *Y = Yes. N= No N/A = Not applicable*

|  |  |
| --- | --- |
| **Auditor:** | **Date:**  |
| **Audit period:** |
| **Adult’s name:**  | **LAS no:**  |
| **Social Worker/ Practitioner:** | **Yes** | **No** | **N/A** | **Comments if needed** |
| **Social Work Team Manager:**  |
| **Criteria** |
| **Proportionality -** In making decisions is clear evidence of applying the Care Act Criteria, considering risk? |  |  |  |  |
| **Safeguarding Adults and Domestic Abuse –** If identified, was action taken to make the adult safe? Was there evidence of SAM oversight and direction? |  |  |  |  |
| Has the referrer been updated? (In line with GDPR and confidentiality). |  |  |  |  |
| **Well-being, anti-discriminatory practice, and inclusion -** Is the voice of the adult clear within the records (views, wishes and interests)? Was the adult treated with respect and dignity and their life phase and protected characteristics under the equality act (2010) considered? |  |  |  |  |
| **Strengths based practice -** Does the Good Conversation/assessment clearly evidence strengths-based practice, including desired outcomes and how they will be met?  |  |  |  |  |
| **Connections -** Is there evidence of contact with the adult/s network? Have any informal carer’s need been identified and acted on?  |  |  |  |  |
| **Criteria** | **Yes** | **No** | **N/A** | **Comments if needed** |
| **Mental Capacity -** Is there evidence that the mental capacity of the adult was considered? |  |  |  |  |
| If the adult lacks capacity was a Best Interest Assessment completed? |  |  |  |  |
| **Multi -Agency working -** Is there evidence of discussion with other agencies where relevant? |  |  |  |  |
| **Risk** – is there any evidence of identifying and working with risk? |  |  |  |  |
| **Recording –** Are case records up to date, clear and have relevant assessments**?** |  |  |  |  |
| Is there any evidence of professional curiosity and analysis? |  |  |  |  |
| Is there any evidence or reference to legal frameworks, social work theories or research to inform practice? |  |  |  |  |
| **Case transfers and closure** – Are professional actions and decisions evidenced, justifiable and clearly recorded? |  |  |  |  |
| **Supervision and Management Oversight-** Is there evidence of regular supervision and management oversight in case records? |  |  |  |  |
| Summary  |  |  |  |  |
| **Overall, this case has been graded as: Outstanding/Good/Requires *improvement/*inadequate** |
|  **Evidence for grading:** |
|  **Auditor Comments: *Include*** *strengths and areas for learning and development* |
| **Date and summary of Feedback meeting with practitioner**:  |
| **Critical reflection by the practitioner** - *reflective model can be used for their CPD* |
| **Summary of agreed actions following individual feedback meeting** |  |  |  |  |
| **What needs to happen, when and by who?** |
| **Date of review if needed** |
|  **Wider Organisational learning**  |  |  |  |  |
| **Are there any emerging themes or organisational /systems strengths or learning from this audit? If no, what action is being taken e.g., Feedback to Quality Assurance Group, request for moderation, link with Learning and Development** |
| **For Moderation Board only – not all cases will be moderated.** |  |  |  |  |
| **Date of moderation**  |
| **Comments and actions following moderation**  |
| **Review date if needed and date audit added to LAS** |