**Croydon Comprehensive 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 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*

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| **Auditor:**  | **Date:**  |
| **Adult’s name:**  | **LAS no:**  |
| **Social Worker/ Practitioner:** | **Yes** | **No** | **N/A** | **Comments if needed** |
| **Social Work Team Manager:**  |
| **Criteria** |
|  |  |  |  |  |
| 1. **Use of the Care Act (Eligibility)**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Is there evidence that the 3 questions that determine an adult’s eligibility under the Care Act 2014 were asked in the following order:Do the adult’s needs arise from, or are they related to, a physical or mental impairment or illness?Because of those needs, is the adult unable to achieve two or more of the outcomes listed in the regulations? Consequently, is there, or is there likely to be, a significant impact on the adult’s well-being? |  |  |  |  |
| Where an adult was deemed eligible, were the answer to all 3 questions above yes? |  |  |  |  |
| 1. **Wellbeing, anti-discriminatory practice and inclusion**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Is the voice of the adult clear within the records e.g., their views and wishes described/the assessment captured the story and character of the person?  |  |  |  |  |
| Was information communicated in a way that was accessible to them? |  |  |  |  |
| Is there evidence of anti-discriminatory practice, so that the adult had driven their assessments and plans, was treated with respect and dignity and their life phase, age, race, culture, pregnancy, gender reassignment, sex, marriage and civil partnership, disabilities and beliefs were all considered in the interventions and case work? |  |  |  |  |
| Is there any evidence of improved or sustained health and wellbeing outcomes since the social work and care interventions began?*Please note this question pertains only to the time period of the review.* |  |  |  |  |
| 1. **Strength-based Practice**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Does the adult have a clearly recorded strengths-based care/support plan in place? |  |  |  |  |
| Does the support plan evidence co-production and desired outcomes?  |  |  |  |  |
| Does it clearly state how desired outcomes are to be achieved for the Adult?  |  |  |  |  |
| Does it state who is responsible for achieving the desired outcomes?  |  |  |  |  |
| Is there a planned review date? |  |  |  |  |
|  Is there evidence that there was on going contact with the adult?Has any action been taken to support/review the adult since  They became known to social services. |  |  |  |  |
|  Were the actions taken in a timely and flexible way? |  |  |  |  |
|  Is there evidence that the support planning and action taken was  proportionate to the presenting need? |  |  |  |  |
| 1. **Connections with others, friends, family and wider community**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
|  Has a person-centred – whole family / life approach been taken? Is  there evidence of information and involvement regarding the  person’s support network (friends, family including children, carers,  neighbours)? and interests they have in the community to support  their wellbeing e.g., walking in the park) – with the person’s consent?  |  |  |  |  |
|  Is there evidence that there has been any discussion about interests  the adult has in the community to support their wellbeing e.g.,  meeting friends, going to church.  |  |  |  |  |
|  Has the referrer been updated/kept informed? |  |  |  |  |
| 1. **Economic Wellbeing and Housing**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Has the person been signposted or helped to get finance and welfare benefits advice? |  |  |  |  |
| Are financial/charging discussions and actions taken clearly recorded? e.g., seeking support from client finance support team, and check 117 status. |  |  |  |  |
| Where concerns or issues have arisen, does the practitioner check matters have been resolved before the case is closed? |  |  |  |  |
| 1. Care and Support Planning
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Where care needs have been identified, is there a clearly recorded care and support plan that is being followed for the adult and was it formulated with them? |  |  |  |  |
| Does the Conversation clearly evidence; agreed areas where support is required, agreed intervention(s), agreed outcomes and information provided on preventing /delaying future needs from arising? |  |  |  |  |
| 1. **Informal Carer/s**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
|  Is the voice of the carer clear in the assessment and is there evidence  that the carer has been offered a carer’s assessment? |  |  |  |  |
|  Is there evidence of on-going contact with the adult’s network with  the person’s consent.  |  |  |  |  |
| 1. **Partnership working**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Is there evidence of appropriate partnership working to link the adult with appropriate support of specialist services e.g., health, voluntary services. |  |  |  |  |
| 1. **Supported Decisions and Mental Capacity matters**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Is there a record of what support was offered to the adult to enable them to decide where they may have difficulty? Was equipment or an advocate considered? |  |  |  |  |
| Is it evidenced that mental capacity of the adult was considered and recorded, where there was a concern about their ability to make a particular decision.  |  |  |  |  |
| If the person lacks capacity, were Best Interest arrangements considered? |  |  |  |  |
| 1. **Working with risk**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Have the risks been identified with the adult, assessed, and is there clear evidence of proportionate risk management with mitigating action where possible?  |  |  |  |  |
| 1. **Safeguarding Adults and Domestic Abuse**

*Prompt: The Six Principles are: Prevention, Protection, Participation, Proportionate, Accountability, Empowerment and Accountability* | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Is there evidence of the six principles of safeguarding being followed, with a safety outcome for the adult that has made them safer or stopped the abuse?  |  |  |  |  |
| Was there any concerns about domestic abuse in this case while you were working with it? |  |  |  |  |
|  Is there evidence of effective and timely supervisory and Safeguarding Adults Manager (SAM) discussion, oversight & direction? *Including meeting notes & supervision notes? Legally defensible practice?* |  |  |  |  |
| 1. **Recording**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Is it clearly evidence that consent to share information has been discussed and explained to the person? |  |  |  |  |
| Are case records up to date and clear with all relevant assessments such as Carers Assessments, Care Reviews or Mental Capacity Assessments been completed promptly without unnecessary delay, or where there was a delay has this been explained? |  |  |  |  |
| Is there clear evidence of professional curiosity i.e., has the worker explored what is happening for the adult, rather than making assumptions about what is happening or accepting things at face value? This can also evidence communication skills. |  |  |  |  |
| Is there evidence of analysis? |  |  |  |  |
| Is there any evidence or reference to legal frameworks, social work theories or latest research informing the social work practice? |  |  |  |  |
| 1. **Case Transfer and Closure**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
| Are professional actions and decisions evidenced, justifiable and clearly recorded – particularly in relation to decisions, risk, safeguarding and capacity decisions. |  |  |  |  |
| 1. **Supervision and Management Oversight**
 | **Yes** | **No**  | **N/A** | **Comments if needed** |
|  Is there evidence of regular management input in decision-making or  when changes occurred like risks increased?  |  |  |  |  |
|  Is there evidence of regular appropriately recorded case supervision /Multi-Disciplinary  Discussions on the electronic case record evidencing any direction provided, decisions  taken  |  |  |  |  |
|  Has clear rationale been recorded for all decisions?  |  |  |  |  |

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| **Summary** |
| Overall, this case has been graded as **‘Outstanding Standard/ Good Standard / Requires improvement Standard / Inadequate Standard****Evidence for grading:****Auditor comments**:*Include strengths and areas for individual learning and development.* |
| **Date of Feedback Meeting with practitioner:** *Please note - check with team manager/supervisor before arranging Feedback Meeting* |
| **Summary of Feedback Meeting** |
| **Critical Reflection by the practitioner** (a reflective model might be useful and can be used for your CPD) |
| **Summary of Agreed Actions following individual Feedback Meeting**: |
| What needs to happen:  |
| Who will make it happen:  |
| By what date: |
| Date Audit added to LAS: |
| Date of review if needed |
| **Wider Organisational Learning** |
| Are there any emerging themes or organisational/systems strengths or learning from this audit**:**  |
| If so what action is being taken**:** *e.g., feedback to the Quality Assurance Group; Request for Moderation; Link with Learning and Development Group* |
| **Audit Completion** |
| Date added to LAS (if not being moderated):  |
| **MODERATION PANEL USE ONLY** |
| Is this audit being moderated**:** Date moderation completed: |
| Comments and actions following moderation: |
| Review date if needed: |
| Date added to LAS**:**  |

*Ref:* *London Principal Social Workers network – ADASS endorsed October 2022.*