

Audit Checklist June 2019

This checklist should be read in conjunction with the Audit Requirements and Guidance (May 2019)

This checklist is to assist in regards to Quality Audits and will be revised in line with policy

Question?	Answer
Should I Quality Audit a closed case?	<p>No – ask for a different case to be selected for you</p> <p>All cases closing should have a compliance audit undertaken by the area SFM. If you find one that has not been completed alert the area Service Manager</p>
What if the case is due to close after I have met with the practitioner?	<p>Ensure that when you meet with the practitioner you alert both them and the SFM of any actions. These will need to be completed prior to closure</p> <p>Auditors will therefore need to ensure that audits are completed timely after the conversation to ensure that this does not hold up case progression</p>
Can I close the case without any actions of a Quality Audit being undertaken?	<p>No</p> <p>SFM's need to ensure that appropriate actions are completed prior to closure</p> <p>If a SFM accepts that a case is closing without actions being undertaken – they need to explain rationale for this in the compliance audit which should be undertaken prior to closure (as per policy)</p>
I am completing a second re audit on a RI or Inadequate case and there has been no progression – what shall I do?	<p>Complete the Re Audit Tool with your information and grading, with clear timescales for actions</p> <p>Complete the Audit Outcome with the information and send to the Service Manager</p>
I am completing a third re audit on a RI or Inadequate case and there has been no progression – what shall I do?	<p>Complete the Re Audit Tool with your information and grading, with clear timescales for actions</p> <p>Complete the Audit Outcome with the information and send to the Assistant Director</p>