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**AUDIT 1 MANDATORY AUDIT**

**ADULT SAFEGUARDING AUDIT DATA**

**Collection tool**

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| **Client ID** |  | **Audit Completed by** |  |
| **Local Authority** |  | **Date Audit Completed** |  |
| **Team** |  |  |  |
| **Worker** |  |  |  |

Questions should be answered: Y = yes, N = no, OB = on balance, NA = not applicable, NK = not known

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| **Incident Date** |  | **Part 1 Opened** |  | **Part 1 Ended** |  |
| **Type of Abuse** |  | **Part 2 Opened** |  | **Part 2 Ended** |  |
| **Location of Abuse** |  | **Record of Alleged Perpetrator** |  | **Have local timescales been adhered to?** |  |

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| **Presenting Incident** |
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| 1. **Has the response adhered to principle of Empowerment? –** *Please describe areas of best practice/learning identified.* | |
|  | **Add RAG Rating here** |

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| 1. **Has the response adhered to principle of Protection –** *Please describe areas of best practice/learning identified.* | |
|  | **Add RAG Rating here** |

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| 1. **Has the response adhered to principle of Partnership? –** *Please describe areas of best practice/learning identified.* | |
|  | **Add RAG Rating here** |

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| 1. **Has the response adhered to principle of Proportionality? –** *Please describe areas of best practice/learning identified.* | |
|  | **Add RAG Rating here** |

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| 1. **Has the response adhered to principle of Prevention? –** *Please describe areas of best practice/learning identified.* | |
|  | **Add RAG Rating here** |

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| 1. **Has the response adhered to principle of Accountability? –** *Please describe areas of best practice/learning identified.* | |
|  | **Add RAG Rating here** |

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| 1. **Is the outcome of investigation predominately to mitigate risks or supporting the individual to safeguarding themselves?** |
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| 1. **Auditor confirmation – answer Yes/No/N.A** | |
| **Principles of Making Safeguarding Personal considered throughout audit?** |  |
| **Mental Capacity Act considered throughout audit?** |  |
| **Advocacy considered through audit?** |  |
| **Feedback from individuals has been sought?** |  |
| **Input from family/friends/carers has been sought were appropriate?** |  |
| **Service User involvement considered throughout audit?** |  |
| **Has there been feedback to the referrer?** |  |
| **Is the quality of recording satisfactory?** |  |
| 1. **Strengths identified in the audit:** | |
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| 1. **Areas for development identified in the audit:** |
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| 1. **Systems comments or issues noted:** |
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**Audit Action Plan**

Highlight key areas of learning to be addressed, these can be actions for individuals/teams or the partnership.

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| **Learning** | **Action** | **Responsibility** | **Deadline** |
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**Criteria**

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| **Rating scale** | **Standard** | **Rag rated** |
| 1 | If all the criteria on the audit standard question is met in full 100% a score of 1 is assigned. | Achieved standard |
| 2 | If 50% or of the criteria on the standard question is met than a score of 2 can be assigned. | Partly achieved standard |
| 3 | If 50% of the criteria on the audit standard question is not achieved on than a rating of 3 must be assigned | not met the standard |

**Standard 1 Empowerment**

People being supported and encouraged to make their own decisions and informed consent. *“I am asked what I want as the outcomes from the safeguarding process and these  
directly inform what happens.”*

1. Has it been identified whether the individual has Mental Capacity in relation to the Safeguarding issued and if they lack capacity, has the reasoning for this been clearly articulated and evidenced? Have the 5 key principles of MCA been followed?
2. Decisions that service users lack capacity to consent, demonstrate compliance with application of the diagnostic and functional tests
3. Has the individual been consulted and asked for their views and desired outcomes?
4. Has advocacy been considered?
5. If advocacy is required has an appropriate advocate been identified and contacted and asked for a view and desired outcome?

**Standard 2 Protection**

Support and representation for those in greatest need. *“I get help and support to report abuse and neglect. I get help so that I am able to take part in the safeguarding process to the extent to which I want.”*

1. Does initial response within first 48 hours (Part 1) demonstrate risks and protective factors have been fully considered?
2. Have procedural timescales at Part 1 been adhered to (decision within 2 working days of referral)?
3. Is the decision at the end of Part 1 appropriate, clear, well-articulated and evidenced?
4. If ending at Part 1 is there a clear protection plan in place or if progressing to Part 2 is there an Interim Safety Plan in place?
5. If progressed to Part 2, has a full risk assessment been completed and is it appropriate?
6. Is there adequate detail in the assessment and safeguarding plan to evidence the assessment undertaken and the rationale for decisions made / actions taken?
7. Has the individual been safeguarded and is there a robust protection plan in place?
8. Has transferrable risk been considered and responded to and is this evidenced?
9. If the alleged perpetrator is a vulnerable adult, have their needs been addressed?

**Standard 3 Partnership**

Local solutions through services working with their communities. Communities have a part to play in preventing, detecting and reporting neglect and abuse. *“I know that staff treat any personal and sensitive information in confidence, only sharing what is helpful and necessary. I am confident that professionals will work together and with me to get the best result for me.”*

1. Has the funding Authority been notified if not host LA funded or self-funded individual?
2. Has Care Governance/ Commissioning been notified?
3. If the allegation constitutes a possible criminal offence, has the matter been reported to Police and have they been consulted with regard to any strategy?
4. Were relevant agencies consulted and appropriate information shared (and if no strategy meeting, were these recorded as strategy discussions)?
5. Was a strategy meeting convened at the appropriate time?
6. Were relevant agencies represented, including service users view?
7. Was the discussion and outcomes / action plan clearly recorded?
8. Is there evidence of a coordinated multiagency response?
9. Were the multi-agency discussions throughout the enquiry of good quality?

**Standard 4 Proportionality**

The least intrusive response appropriate to the risk presented. *“I am sure that the professionals will work in my interest, as I see them and they will only get involved as much as needed.”*

1. Has the approach been proportionate i.e. least intrusive possible whilst fully discharging Duty of Care?

**Standard 5 Prevention**

It is better to take action before harm occurs. *“I receive clear and simple information about what abuse is, how to recognise the signs and what I can do to seek help.”*

1. Has the individual previously been subject to a safeguarding referral in the last 12 months?
2. Has this investigation identified any learning from previous investigations?
3. Has the individual’s carers needs been considered and appropriate action taken?

**Standard 6 Accountability**

Accountability and transparency in delivering safeguarding. *“I understand the role of everyone involved in my life and so do they”*

1. Has the referrer been informed of the outcome of the investigation?