



Auditor's Name	
Auditor's Job Role	
Telephone Number	
Email Address	
Date of audit	

Service User's Name	
Framework ID	
Enquiry episode ID	
Date of enquiry	
Safeguarding Manager's Name	
Date completed SG Training	
SAIO Name	
Date completed SG Training	
Team	
Referrer details	
Method of Referral	

Brief Summary of the concerns raised:

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1	The Enquiry	Yes	No
1.1	Was the enquiry completed correctly and comprehensively, with relevant information? (Were all necessary fields completed?)		
1.2	Has the adult at risk (or their representative) been informed that a referral has been made and have they given their consent?		
1.3	Was the adult at risk's desired outcomes clearly identified at the point of referral?		

Comments on the enquiry episode and any feedback to MASHO required. (if required)

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Choose Grade – RED ☐ AMBER ☐ GREEN ☐

2	Information Sharing/Gathering	Yes	No
2.1	Was the enquiry passed for information sharing?		
If YES:			
2.2	Was the RAG rating and decision to gather information congruent with the risk presented?		
2.3	Was there a clear rationale and detail about what information was required from partners and why?		
2.4	Was all information gathered presented in the relevant section of the form? (including that from ASCHPP and information gathered from Framework)		
If NO:			
2.5	Was the decision not to gather information congruent with the risk presented?		
2.6	Was all other information gathered, outside of the formal process, presented in the relevant section of the form?		
Comments on information sharing/gathering and any feedback to ASWP/SW required. (if required)			
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>			

3	Decisions and Actions	Yes	No
3.1	Was the decision and reasons for the decision presented in the relevant section of the form?		
3.2	Are the reasons for the decision congruent with the risk presented and the information gathered?		
3.3	Have all relevant additional actions been identified within the relevant section of the form?		
3.4	Was the referrer informed of the decision to proceed or not to proceed?		
Comments on the decisions and actions and any feedback to ASWP/SW required. (if required)			
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>			

4	Initial Discussion	Yes	No	N/A
4.1	Was there a record of an initial discussion which considered the points detailed on framework?			

4.2	Were the level of discussions/meetings and agreed actions congruent with the level of risk presented and did they involve the relevant people/agencies?			
4.3	Did the initial discussion include details of how the individual would be engaged with, or evidence of why this was not possible?			
4.4	Was the need for a Mental Capacity assessment and Best interests decision considered/carried out?			
4.5	Was the need for an Advocate considered/accessed?			
Comments on the quality of the initial discussion.				
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>				

5	Section 42 Enquiry	Yes	No	N/A
5.1	Was there a discussion with the adult (or their representative) about their desired outcomes and how to achieve these?			
5.2	Were the adult's (or their representative's) desired outcomes clearly recorded and relevant, in line with the concerns raised?			
5.3	Was there a clear action plan recorded, detailing how the adult's outcomes would be achieved?			
5.4	Were other enquiries, in addition to the outcome focused work, congruent with the level of risk presented and undertaken by relevant agencies?			
5.5	Were running records used effectively and comprehensively, in line with local authority recording protocols?			
5.6	If a 'safeguarding officer's investigation report' was completed, was this recorded fully and was it congruent to the level of risk presented?			
Comments on the quality of the enquiries				
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>				

6	Other Enquiries	Yes	No	N/A
6.1	Did the Local Authority 'cause others' to make enquiries on their behalf?			

6.2	Were all appropriate actions taken by other organisations?			
Comments on the quality of any other enquiries.				
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>				

7	Safeguarding Protection Plan	Yes	No	N/A
7.1	Was a safeguarding protection plan required?			
7.2	If yes, was the 'safeguarding protection plan' recorded correctly and comprehensively and was it congruent to the level of risk presented?			
Comments on the quality of the Safeguarding Protection plan				
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>				

8	Manager's Summary and Case Closure	Yes	No	N/A
8.1	Was a manager's summary completed correctly and comprehensively?			
8.2	Was the case closed in a timely manner and using the correct framework outcomes?			
8.3	Does the manager's summary analyse the work undertaken and detail clear reasons for the decisions made?			
8.4	Were the actions identified and recorded in the action plan all completed?			
8.5	Is there evidence to show that the adult at risk's outcomes were met?			
Comments on the quality of the Managers Summary and Case Closure				
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>				

9	Safeguarding Protection Plan Review (where relevant)	Yes	No	N/A
9.1	Was the safeguarding protection plan review episode completed correctly			

<input type="checkbox"/> and comprehensively?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments on the Safeguarding Protection Plan Review			
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>			

10	Multi-agency/ Partnership Approach	Yes	No	N/A
10.1	Is there evidence to show all appropriate agencies were involved in the safeguarding process at all stages?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.2	If required was a joint investigation undertaken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.3	Did partner organisations attend strategy meetings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.4	If yes, was their meaningful participation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.5	Were appropriate referrals made to other organisations i.e. QMMT, CQC, Health, Trading Standards, Police?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments regarding the Multi-agency/partnership approach				
Choose Grade – RED <input type="checkbox"/> AMBER <input type="checkbox"/> GREEN <input type="checkbox"/>				

11	Effectiveness and overall quality of the work undertaken	Yes	No	N/A
11.1	Was the adult at risk or their representative supported, encouraged and empowered to make their own decisions and give informed consent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments <i>Consider 'I' Statement – I am asked what I want as the outcomes from the safeguarding process and these directly inform what happens</i>				
11.2	Were all necessary and appropriate steps taken to prevent abuse or neglect from occurring again in the future?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments <i>Consider 'I' Statement – I receive clear and simple information about what abuse is, how</i>				

to recognise the signs and what I can do to seek help

11.3 Was the response proportionate with the concerns raised?

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Comments Consider 'I' Statement – 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

11.4 Has the safeguarding intervention helped the adult at risk to be safer and to achieve recovery and resolution?

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Comments Consider 'I' Statement – 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

11.5 Was there effective partnership working and information sharing both with other professionals and with the adult at risk or their representatives?

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Comments Consider 'I' Statement – 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 results for me

11.6 Were the roles and purpose of those involved clear and was this clearly explained to the adult at risk or their representative?

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Comments Consider 'I' Statement – I understand the role of everyone involved in my life and so do

they

11.7 Was consideration given to the adult at risk's age, disability, ethnicity, faith or belief, gender, identity, language, race and sexual orientation? And was appropriate support provided based on this?

Comments

Choose Grade – RED ☐ AMBER ☐ GREEN ☐ GOLD ☐

Summary of Audit findings *You may wish to reflect on good practice as well as areas where process or practice could be improved.*

Overall Grade: Please select below an overall grade

RED – There was no evidence of any meaningful involvement from the adult at risk (or their representative) and their desired outcomes were not identified or met. Appropriate steps were not followed to prevent abuse and the response was not proportionate. There was no evidence of effective partnership working with other professionals or the adult at risk.

AMBER – The intervention was proportionate and people and organisations worked together effectively to manage the risks and reduce/prevent the abuse or neglect. However there was no evidence that the involvement from

the adult at risk (or their representative) was meaningful and their desired outcomes were only partially identified or met.	
GREEN – The best outcome for the adult at risk was achieved, taking into account views, wishes and feelings and as much as possible he/she was made safer. People and organisations worked together effectively to prevent and stop risks and experience of abuse or neglect.	
GOLD - The involvement from the Local Authority evidenced exemplary practice in which making safeguarding personal was fully and clearly embedded. There was a high standard of partnership working where required both with the adult at risk and/or their representative and other relevant organisations. The response was fully proportionate and the adult at risk's outcomes were fully met.	

Action Plan: Please complete the below action plan for any outcomes that need to be fed back for improvement or positive feedback.

Outcome (Drop Down List of options see below)	Person to receive Feedback	Feedback to be given by
<ol style="list-style-type: none"> 1. Positive Feedback 2. No consent gained and no appropriate reason given 3. Action taken was not proportionate 4. Section 42 enquiry was not appropriate 5. Limited multi-agency working 6. Issues with recording i.e. lacking detail or recording in the incorrect place 7. Risk to the adult has not been reduced 8. Adult not asked their outcomes and had no involvement 9. Adult has limited involvement that was not meaningful 10. Adult was asked outcomes but no evidence there were taken account of or met 11. No protection plan 12. No review scheduled 13. Work completed by MASH was not in line with their role 14. Errors in the completion of the form by MASH 15. Information was not done or was not appropriate 16. Other (Needs a box to give details) <p>N.B Need to be able to choose more than one outcome.</p>	<ol style="list-style-type: none"> 1. MASHO 2. MASH SW 3. MASH ASWP or Manager 4. Safeguarding Investigation Officer 5. Safeguarding Manager 	<ol style="list-style-type: none"> 1. Line Manager 2. Group Manager