

MCA Compliance Records Audit

One form to be completed for each patient (identified as a result of the screening questions) for each decision.

Ward.....Month.....Patient Number:

Decision for which doubts about capacity have been raised/ proforma completed

	√		Comments (<i>Record the detail behind anything you are unsure about</i>)
Capacity			
1. Is it explicitly recorded that efforts were made to provide information to the patient about the particular decision (e.g. documented discussion, involvement of interpreter etc)?	Yes		
	No		
2. Are the grounds for doubting the patient's capacity in relation to the decision explicitly recorded?	Yes		
	No		
3. Has a capacity assessment proforma been completed for the decision in question? (<i>If a proforma is completed but it is not clear which decision this is in relation to then tick 'Y' but answer 'N' to Q5</i>)	Yes		
	No – <i>Please go to Q6</i>		
4. Which proforma has been used?	Single page		
	Full document		
	Consent form 4		
5. Are all sections of the proforma completed appropriately (i.e do responses actually answer the questions asked)?	Yes – <i>Please go to Q14</i>		
	No - <i>please go to Q6 (use both the proforma and records to answer following questions)</i>		
6. Is it explicitly recorded that a capacity assessment was undertaken? (<i>will be 'Y' where a proforma completed for decision</i>)	Yes		
	No		
7. Is it explicitly recorded that the capacity assessment relates to this specific decision?	Yes		
	No		
8. Is it clear what the impairment of or disturbance in the functioning of the mind or brain is that may affect capacity?	Yes		
	No		
9. Is it explicitly recorded whether the patient was found to lack capacity for the decision?	Yes		
	No – <i>Please go to Q11</i>		
10. Was the patient found to lack capacity?	Yes		
	No – <i>Please go to Q13</i>		
11. Is it explicitly recorded which of the stage 2 components the patient was unable to do (understand, retain, weigh-up or communicate)?	Yes		
	No		
12. Is it explicitly recorded why the assessor believed the patient was unable to do one or more of the components of stage 2?	Yes		
	No		
13. Is it clear who completed the assessment (name(s) and job title(s))? (<i>Please write job title in comments box</i>).	Yes		Job Title(s):
	No		
14. Is the assessment dated?	Yes		
	No		

Best Interests		
15. Has a best interests proforma been completed for the decision in question?	Yes	
	No – <i>Please go to Q18</i>	
16. Which proforma has been used?	Single Page	
	Full document	
	Consent Form 4	
17. Are all sections of the proforma completed appropriately (i.e. do the responses actually answer the questions asked)?	Yes – <i>Please go to Q25</i>	
	No – <i>Please go to Q18 (use both the proforma and other records)</i>	
18. Is it explicitly recorded that consideration was given to the patient's best interests (<i>will be 'Y' where a proforma has been used</i>)?	Yes	
	No	
19. Is it explicitly recorded that consideration has been given to the existence of a valid and applicable advance decision to refuse treatment (ADRT)?	Yes	
	No	
20. Is it explicitly recorded that consideration has been given to the existence of a Lasting Power of Attorney?	Yes	
	No	
21. Is it explicitly recorded that consideration has been given to the existence of a court appointed deputy?	Yes	
	No	
22. Is it explicitly recorded who was consulted, and how (meeting, telephone calls, written input etc), in order to determine best interests?	Yes	
	No	
23. Is it explicitly recorded exactly what care/ treatment/ placement was considered to be in the patient's best interests at the end of the process?	Yes	
	No	
24. Is it explicitly recorded what the main factors were that influenced this determination?	Yes	
	No	
25. Is it explicitly recorded who undertook/will be undertaking the care/ treatment or made/ will be making the final decision about placement (name and job title)? (<i>Please record job title in the comments box</i>)	Yes	Job title:
	No	
Overall		
26. Is there documentary evidence of consideration of delaying care/ treatment/ decision whilst capacity is enhanced?	Yes	
	No	
27. Is it explicitly documented that the outcome of the process was explained (as far as possible) to the patient and any family/ carers?	Yes	
	No	
28. Is there anything else of note about the assessment and best interests process surrounding this decision that may benefit from further scrutiny/ provide a sample for further audit (e.g. apparent dispute over capacity/ best interests, involvement of IMCA, potential DoL, ADRT in place, LPA/Deputy in place, MHA more appropriate)	Yes – <i>Please provide details in the comments column</i>	
	No	
29. Are there other decisions for which a proforma has been completed or the words 'capacity', 'best interests', 'understand', 'retain', 'weigh-up', or 'communicate' used?	Yes – <i>Please complete further audit form for each specific decision</i>	
	No	