



south ayrshire
health & social care
partnership

Social Work Case File Audit Policy February 2022



Contents

| | |
|---|----|
| Introduction | 3 |
| 1. Standards | 5 |
| 2. Tools | 6 |
| 3. Analysis | 8 |
| 4. Review | 9 |
| 5. Learn | 9 |
| 6. Impact | 10 |
| Forms and Guidance | 12 |
| Appendix 1 – Audit Schedules | 13 |
| Appendix 2 – Casefile Audit Template | 24 |
| Appendix 3 – Audit Evaluation Learning Tool | 31 |

Document Information

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Introduction

This Case File Audit Policy applies to all social work services across South Ayrshire Health and Social Care Partnership (HSCP).

Having a scheduled case file audit process in place will enable us to critically reflect on both social work practice and case recording. It is a part of our broader quality assurance processes and supports our ambition of continuous improvement. The requirement to analyse, review and learn from our current practice is a shared responsibility across all social work staff and management.

Carrying out regular audit of social work case files is one way of embedding a culture of continuous learning. The purpose of carrying out regular audit is to gather evidence that demonstrates the work we do and the decisions we make, achieve the best outcome for individuals and families who access our services. What we are aiming to achieve as an organisation from the audit process is the assurance that we are delivering an effective service.

This Case File Audit Policy will set out the objectives and standards we will work through to inform our approach to audit. It will also include a schedule of audit activity by designation alongside tools the HSCP will use to assess, reflect and learn and evaluate our current practice. Central to our learning will be the focus on how individuals and their families are being supported in the right way at the right time. We will achieve this by focusing on both the quality of practice recording and any evidence and feedback around what difference our intervention has made. The schedule of audit activity and associated tool has been designed to identify both strengths and areas that require improvement.

The Case File Audit Tool linked to this policy will cover key areas of practice recording including assessment and case file recording, managing risk, the delivery of support and support to carers. Throughout, we will also look for evidence of the views and involvement of individuals and families that we work alongside.

The following **key principles** are essential to the success of carrying out case file audits and are relevant across all of our quality assurance activity:

1. Culture

Develop a positive culture towards audit and quality assurance that is 'blame free' recognising the importance of learning to improve both practice and the experience for individuals and families who access social work services. This includes evidencing and sharing good practice where things have gone well along with identifying areas for improvement as a learning organisation.

2. Commitment

Audit and quality assurance activity should be seen and accepted as an important part of day-to-day business and given due prominence at all levels of the HSCP with a commitment to planned schedules of activity to maintain momentum.

3. Clarity

At all levels of the HSCP, we will ensure everyone understands their role and responsibilities in relation to audit and quality assurance and this will be reflected at both a practice level and throughout our governance structures.

4. Consistent

Ensure all audit quality assurance activity follows a scheduled programme and is designed in a way that improves service delivery at a team level, outcomes for individuals and their families and is aligned with the wider HSCP strategic objectives. This includes ensuring that casework audit activity compliments the work of the Child and Adult Protection Committees, the Social Work Governance Board and the Health and Care Governance Board.

5. Continuous

Ensure all existing governance arrangements have a means to regularly monitor quality assurance activity, share good practice with a focus on continuous improvement of social work services. Actively identifying areas for development, putting actions in place to make improvements which can then be monitored, reviewed and evaluated.

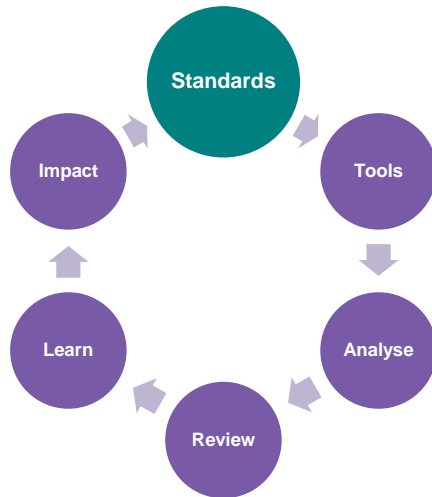
6. Co-production

Ensure we work together across all service areas in a clear, defined way that is consistent and supports the development and improvement of social work services in South Ayrshire and is based on the feedback we gather from our audit and quality assurance activity.

There are six key stages in this framework, each stage is set out to inform our approach to case file audit activity and provide both a scheduled and structured approach around how we will carry out, analyse and learn from having a casefile audit process in place.

| | |
|------------------|--|
| Standards | what standards are we aiming to achieve? |
| Tools | how will we use a case file audit tool to evaluate our practice against these standards? |
| Analysis | what do the results of using those Quality Assurance tools tell us? |
| Review | how well are we doing, what are our strengths, areas for improvement? |
| Learn | what have we learned from our audit process and how do we feed this back into practice improvements? |
| Impact | what are the outcomes for those who use our services? |

1. Standards



The Care Inspectorate and Healthcare Improvement Scotland utilise the Health and Social Care Standards (HSCS) as a framework when carrying out their inspections and quality assurance functions. This framework supports them to make decisions about statutory care and health services. The HSCS are generic and can be applied to a diverse range of services including children and families, care at home for adults and more generally the delivery of social work services. The Standards have been designed with a clear focus on how to achieve and deliver high quality care and support.

The Standards can be used to complement relevant legislation and promote best practice across all social work services. They are based on human rights and wellbeing and throughout they have a clear focus on achieving outcomes. The HSCP apply across planning, commissioning, assessment, review and delivery of all statutory and non-statutory social work services. Using the standards as a baseline for our both our audit and wider self-evaluation activity will provide us with a framework that will require us to look for relevant evidence and as an organisation to better understand the needs of the people using our services. As set out in our strategic plan, it will also ensure we have a culture of continuous quality improvement by providing a structured approach to assess our performance, and based on this, identify opportunities for improvement.

What are the Standards?

The 'standards' are set out as headline outcomes which set out the care and support a person can expect. The headline outcomes are:

- 1: I experience high quality care and support that is right for me.
- 2: I am fully involved in all decisions about my care and support.
- 3: I have confidence in the people who support and care for me.
- 4: I have confidence in the organisation providing my care and support.
- 5: I experience a high-quality environment if the organisation provides the premises.

Each headline outcome includes a range of descriptive statements underneath that explain what is required to achieve the outcome in practice. Not every descriptor will apply to every service. A full overview of the HSCS can be found [here](#).

The Standards are underpinned by five key principles: ***dignity and respect, compassion, be included, responsive care, and support and wellbeing***. The principles themselves are not standards or outcomes, they reflect the way that individuals accessing social work services should expect to be treated.

2. Tools

The assessment tool we will use in this Case File Audit Policy can be found in Appendix 1.

In addition to using the case file audit tool, thematic audit and self-evaluation activity should be carried out by teams and driven by Senior Managers to support wider quality assurance and multi-agency learning as necessary.

Progress reports on case file audit activity including any improvement plans will be submitted/reported to the HSCP Performance and Audit Committee on a quarterly basis.

All self-evaluation activity should be reviewed by the relevant service managers with the findings of these processes and any improvement plans shared with the Social Work Governance Board on a six-monthly basis. Improvement plans must also consider complaints and general feedback from individuals, families and their carers.



Casefile Audit

Case file audits will provide analysis and reflection of how we deliver front-line social work practice. Effective audit will enable us to evaluate the quality of practice recording, the quality of social work with the individual, management oversight of the audit process and evidence around the views, experiences and outcomes set out for the individual.

The HSCP intends to:

- Work to a clear schedule designed to evaluate both the recording and delivery of social work practice. Identify good practice alongside priorities for learning and improvement.
- As necessary, we will also have a programme of thematic audits on issues such as Adult and Child Protection when a wider multi-agency approach may be required. We will also respond as necessary when any key concerns are raised around specific areas of service delivery that require to be evaluated.

Roles and Responsibilities

Team Leaders

- All Team Leaders will undertake case file audits on a specific number of files per quarter (as specified in Appendix 1)

Service Managers

- All Service Managers will undertake audits on a specific number of files per quarter (as specified in Appendix 1)

Senior Managers (Children's Services)

- All Senior Managers will undertake audits on a specific number of files per quarter (as specified in Appendix 1)

Head of Service

- Head of Service to review Audit findings quarterly

All Auditors will:

- Ensure that the audit tools are fully completed and the overall findings including areas for improvement are recorded in the (see Appendix 2 - Case File Audit Assessment Tool)
- Ensure any follow-up actions or concerns are notified and shared with the individual worker and relevant line manager within 48 hours;
- Offer feedback including a shared reflective discussion with the worker on casework subject to audit.
- Include, as necessary, any specific actions, when relevant into their Team Plan.

Leadership Groups

- The Social Work Governance Board will consider the findings of case file audits on a quarterly basis, highlighting key learning points and identifying actions for workforce or training and development as necessary.
- The Performance and Audit Committee will also consider audit findings and the progress of any Improvement Plans on a quarterly basis.

Audit of Supervision Records

Supervision is a fundamental aspect of delivering a professional social work service. It provides an opportunity for frontline practitioners to have scheduled protected time with their manager to talk through the impact work has on a personal level, as well as exploring decision making, case recording and competence in delivering an effective service.

The quality and regularity of supervision is essential for social workers' professional development, it provides a forum to critically reflect and develop. The focus of effective supervision should include consideration around what we are doing, why we are doing it, and whether it is improving the outcomes for the individual.

There is a direct link between case file audit and the content and quality of supervision records. In particular, the focus on discussing challenging pieces of work and reflection on case recording.

The schedule set up for case file audit includes a requirement for service/senior managers to evaluate a sample of supervision records for their respective area. This may include looking at:

- Regularity of supervision (monthly records)
- Evidence of analysis and discussion of complex/specific casework in relation to (ASP, CP)
- Evidence around feedback and quality of relationship with individuals/families.
- Evidence of social and emotional support provided.
- Discussion around the quality of case file recording
- Impact on practice outcomes for individuals.
- Links to PDR and any professional development opportunities.

Team Leaders

- Team Leaders will undertake supervision on a monthly basis with staff in line with the current supervision policy.

Service Managers

- All Service Managers will undertake supervision audits on a specific number of files per quarter as specified in their audit schedule (Appendix 1)

Senior Managers (Children's Services)

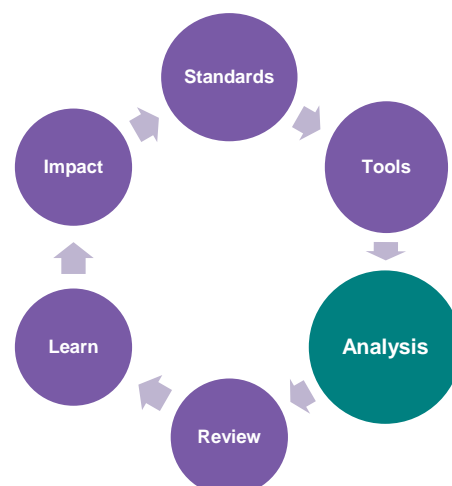
- All Senior Managers will undertake supervision audits on a specific number of files per quarter as specified in their audit schedule (Appendix 1)

Head of Service

- Head of Service to review with Service Managers the quality of the Supervision Audit findings quarterly and feedback to Team Leaders.

3. Analysis

In line with the audit schedule, all completed audit tools should be analysed and saved on the personal drive of the individual who carried out the audit (Team Leader). Any aspects of good practice or areas for improvement identified should be discussed with the practitioner who completed the relevant casefile and should also be collated to inform the overall findings from the respective service area.



As the quarterly audit schedule is in progress, Team Leaders and Service Managers should begin to discuss the findings and agree both strengths and areas for improvement. This may include:

- Identifying individuals who need either additional support, direction, guidance and/or training
- Themes that need bringing to the attention of Senior Managers and Heads of Service, other parts of the HSCP or partners to support practitioners (e.g., changes to procedures, guidance, resources and training).

4. Review

Once the Team Leader has completed their quarterly audit schedule; this will enable the Service/Senior Manager to complete their own audit schedule. The Service/Senior Manager should carry out their audit requirements by reviewing the cases that have already been audited by the Team Leader and providing feedback as required.

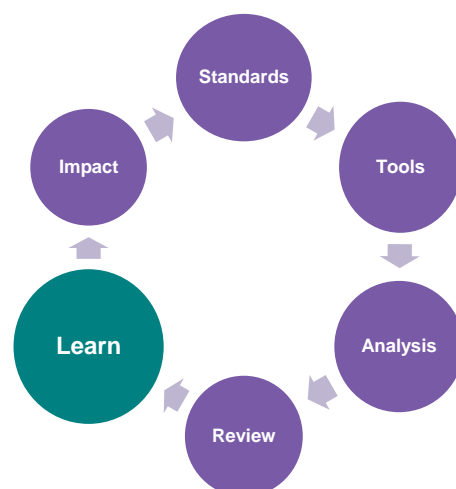
The review of the Team Leaders audit findings should be carried out in a supportive manner with any differences of opinion discussed openly and honestly. The purpose of this review of the initial audit findings and the way any observations and differences of opinion are communicated will have a significant impact on the quality and value of the audit process.



5. Learn

One of the key benefits of having a scheduled audit process in place is to create a reflective learning experience for both practitioners and managers at all levels of the HSCP.

Once the schedule is completed, the learning stage includes completing and submitting the Evaluation and Learning Summary (Appendix 3). The Summary is simply an overview of each area and includes both strengths and areas for improvement.



The broader learning from audit may also deliver themed findings across teams and this will be picked up when all of the audit learning tools (Appendix 3) are returned to the designated SharePoint site. The reports received from each team will be reviewed and reported quarterly by the Quality Assurance Officer and Planning and Performance Co-ordinator.

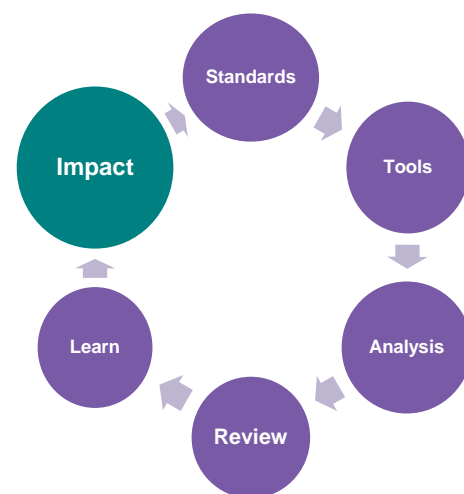
Themes, including any practice development requirements, will be shared with the HSCP practice development lead officer as required.

6. Impact


Delivering a social work service that makes a positive impact to individuals and their families is the fundamental aim of this audit policy. Assessing both the quantitative and qualitative delivery of our service delivery and identifying strengths along with areas of improvement is a starting point achieving this goal.

We will also be looking to evidence in all our assessment and engagement activity with individuals and families who use our services around how their views are central to our practice.

This Case File Audit Policy is underpinned throughout by the principle of shared accountability across the HSCP. The impact we want to achieve is to analyse and improve both our social work practice and the outcomes for individuals and families.



Process



1. Team Leaders, Service Managers and Senior Managers carry out their audit schedule detailed in Appendix 1

2. Team Leaders complete 12 case file audits per quarter using the Case File Audit Template at Appendix 2 for each audit.

3. Team Leaders save the completed Case File Audit Templates in their own personal folder as evidence of audits being completed as these may be requested in the future as evidence during any inspection process.

4. Carefirst- when a case is chosen for audit, the Team Leader put an audit classification on the system.

5. Team Leaders should complete one Audit Evaluation Learning Tool to summarise the overall findings from the completed case file audits at the end of each quarter. Team Leaders consider how they perceive their service is working, how they know this, what is working well and what needs to improve.

6. Service Managers should sample the audits completed by Team Leaders in line with their own Audit Schedule at Appendix 1)

7. Service Managers should then review the Audit Evaluation Learning Tool (APP 3) completed by the TL to ensure it reflects their views on strengths and improvements required.

8. Service Managers and Team Leaders should then agree, and together, sign off the Audit Evaluation Learning Tool before uploading this to the SharePoint page.

9. The Quality Assurance Officer and Planning and Performance Coordinator will review the submitted Audit Evaluation Learning Tools.

10. The Quality Assurance Officer and Planning and Performance Coordinator will report on the overall findings from the Audit Evaluation Learning Tools to the Social Work Governance Board and to Performance and Audit Committee quarterly.

Forms and Guidance

Appendix 1 – Audit Schedules

Appendix 2 – Case File Audit Assessment Tool

Appendix 3 – Audit Evaluation and Learning Summary

Appendix 1 – Audit Schedules

CHILDREN'S SOCIAL WORK SERVICES - LOCALITIES

AUDIT SCHEDULE

SPONSOR – MARK INGLIS

TEAM LEADER AUDIT AND ASSURANCE PLAN:

SNR MANAGERS – JACKIE HAMILTON & GARY HOEY

*Anne Shanks; David Reid; Fional Dalziel; Yvonne Kilday; Pauline McPherson;
Dawn Swan*

BUSINESS SUPPORT – MARY TIMPANY Student's grade

| PURPOSE | ESSENTIAL QUESTIONS | RESOURCES |
|--|---|---|
| To assure ourselves, and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services. | <ol style="list-style-type: none"> 1. Is there evidence of critical reflection 2. Is there evidence of analysis to support conclusions 3. Is there evidence of decision making | CI File Reading Guidance IRISS Social Work Writing |

| JANUARY – MARCH 2022 | APRIL – JUNE 2022 | JULY – SEPTEMBER 2022 | OCTOBER – DECEMBER 2022 |
|--------------------------|--------------------------|--------------------------|--------------------------|
| 3 Child Protection Cases | 3 Child Protection Cases | 3 Child Protection Cases | 3 Child Protection Cases |
| 3 Looked After Cases | 3 Looked After Cases | 3 Looked After Cases | 3 Looked After Cases |
| 3 Children in Need Cases | 3 Children in Need Cases | 3 Children in Need Cases | Service User Survey |
| 3 Chronologies | 3 Chronologies | 3 Chronologies | |
| JANUARY – MARCH 2023 | APRIL – JUNE 2023 | JULY – SEPTEMBER 2023 | OCTOBER – DECEMBER 2023 |
| 3 Child Protection Cases | 3 Child Protection Cases | 3 Child Protection Cases | 3 Child Protection Cases |
| 3 Looked After Cases | 3 Looked After Cases | 3 Looked After Cases | 3 Looked After Cases |
| 3 Children in Need Cases | 3 Children in Need Cases | 3 Children in Need Cases | Service User Survey |
| 3 Chronologies | 3 Chronologies | 3 Chronologies | |
| JANUARY – MARCH 2024 | APRIL – JUNE 2024 | JULY – SEPTEMBER 2024 | OCTOBER – DECEMBER 2024 |
| 3 Child Protection Cases | 3 Child Protection Cases | 3 Child Protection Cases | 3 Child Protection Cases |
| 3 Looked After Cases | 3 Looked After Cases | 3 Looked After Cases | 3 Looked After Cases |
| 3 Children in Need Cases | 3 Children in Need Cases | 3 Children in Need Cases | Service User Survey |
| 3 Chronologies | 3 Chronologies | 3 Chronologies | |

CHILDREN'S SOCIAL WORK SERVICES – LOOKED AFTER CHILDREN

TEAM LEADER AUDIT AND ASSURANCE PLAN

Andrew Craig; Elaine Mullin; Lizette van Zyl

AUDIT SCHEDULE

SPONSOR – MARK INGLIS

SNR MANAGER – JACKIE HAMILTON & GARY HOEY

BUSINESS SUPPORT – MARY TIMPANY Student's grade

| PURPOSE | | ESSENTIAL QUESTIONS | | RESOURCES | | | |
|--|--|---|--|---|--|--|--|
| To assure ourselves, and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services. | | <ol style="list-style-type: none"> 1. Is there evidence of critical reflection 2. Is there evidence of analysis to support conclusions 3. Is there evidence of decision making | | CI File Reading Guidance IRISS Social Work Writing | | | |
| JANUARY – MARCH 2022 | | APRIL – JUNE 2022 | | JULY – SEPTEMBER 2022 | | OCTOBER – DECEMBER 2022 | |
| 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews Foster Carer Survey | |
| JANUARY – MARCH 2023 | | APRIL – JUNE 2023 | | JULY – SEPTEMBER 2023 | | OCTOBER – DECEMBER 2023 | |
| 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews Foster Carer Survey | |
| JANUARY – MARCH 2024 | | APRIL – JUNE 2024 | | JULY – SEPTEMBER 2024 | | OCTOBER – DECEMBER 2024 | |
| 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews | | 8 Case Files 4 Assessments / Reviews Foster Carer Survey | |

CHILDREN'S SOCIAL WORK SERVICES – COMMUNITY BASED SERVICES

MANAGER AUDIT AND ASSURANCE PLAN

Ian Scott; Steve Purcell; Ann Allan

AUDIT SCHEDULE

SPONSOR – MARK INGLIS

SNR MANAGER – JACKIE HAMILTON & GARY HOEY

BUSINESS SUPPORT – MARY TIMPANY

| PURPOSE | ESSENTIAL QUESTIONS | | | RESOURCES |
|--|---|---|---|---|
| To assure ourselves, and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services. | <ol style="list-style-type: none"> 1. Is there evidence of critical reflection 2. Is there evidence of analysis to support conclusions 3. Is there evidence of decision making | | | CI File Reading Guidance IRISS Social Work Writing |
| JANUARY – MARCH 2022 | APRIL – JUNE 2022 | JULY – SEPTEMBER 2022 | OCTOBER – DECEMBER 2022 | |
| ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES YOUNG PEOPLE/FAMILY SURVEY | |
| JANUARY – MARCH 2023 | APRIL – JUNE 2023 | JULY – SEPTEMBER 2023 | OCTOBER – DECEMBER 2023 | |
| ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES YOUNG PEOPLE/FAMILY SURVEY | |
| JANUARY – MARCH 2024 | APRIL – JUNE 2024 | JULY – SEPTEMBER 2024 | OCTOBER – DECEMBER 2024 | |
| ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES | ALL RESIDENTIAL CARE FILES or; 12 FAMILY SUPPORT FILES YOUNG PEOPLE/FAMILY SURVEY | |

CHILDREN'S SOCIAL WORK SERVICES – LOCALITIES/LOOKED AFTER CHILDREN

SERVICE MANAGER AUDIT AND ASSURANCE PLAN

Martin McAdam; Liz Paterson; Aileen Barker

AUDIT SCHEDULE
SPONSOR – MARK INGLIS
SNR MANAGER – JACKIE HAMILTON & GARY HOEY
BUSINESS SUPPORT – MARY TIMPANY Templates: TBC

| PURPOSE | ESSENTIAL QUESTIONS | | | RESOURCES |
|--|--|------------------------------|---|---|
| To assure <u>ourselves</u> , and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services. | <ol style="list-style-type: none"> 1. Is there evidence of safe decision making? 2. Is there evidence of Service Manager support or Supervision in complex cases? 3. Are you satisfied with the quality of recording? | | | CI File Reading Guidance IRISS Social Work Writing |
| JANUARY – MARCH 2022 | APRIL – JUNE 2022 | JULY – SEPTEMBER 2022 | OCTOBER – DECEMBER 2022 | |
| 3 CASE FILES | 3 CASE FILES | 3 CASE FILES | 3 CASE FILES | |
| 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | |
| 1 SUPERVISION RECORD | 1 SUPERVISION RECORD | 1 SUPERVISION RECORD | 1 SUPERVISION RECORD SERVICE USER SURVEY | |
| JANUARY – MARCH 2023 | APRIL – JUNE 2023 | JULY – SEPTEMBER 2023 | OCTOBER – DECEMBER 2023 | |
| 3 CASE FILES | 3 CASE FILES | 3 CASE FILES | 3 CASE FILES | |
| 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | |
| 1 SUPERVISION RECORD | 1 SUPERVISION RECORD | 1 SUPERVISION RECORD | 1 SUPERVISION RECORD SERVICE USER SURVEY | |
| JANUARY – MARCH 2024 | APRIL – JUNE 2024 | JULY – SEPTEMBER 2024 | OCTOBER – DECEMBER 2024 | |
| 3 CASE FILES | 3 CASE FILES | 3 CASE FILES | 3 CASE FILES | |
| 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | 2 SOCIAL WORK ASSESSMENTS | |
| 1 SUPERVISION RECORD | 1 SUPERVISION RECORD | 1 SUPERVISION RECORD | 1 SUPERVISION RECORD SERVICE USER SURVEY | |

CHILDREN'S SOCIAL WORK SERVICES - COMMUNITY

SERVICE MANAGER AUDIT AND ASSURANCE PLAN

Linda Given

AUDIT SCHEDULE

SPONSOR – MARK INGLIS

SNR MANAGER – JACKIE [HAMILTON](#) & GARY HOEY

BUSINESS SUPPORT – MARY TIMPANY Templates: TBC

| PURPOSE | | ESSENTIAL QUESTIONS | | RESOURCES | | | |
|---|--|--|--|---|--|-------------------------|--|
| To assure ourselves , and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services. | | <ol style="list-style-type: none"> 1. Is there evidence of safe decision making? 2. Is there evidence of Service Manager support or Supervision in complex cases? 3. Are you satisfied with the quality of recording? | | CI File Reading Guidance IRISS Social Work Writing | | | |
| JANUARY – MARCH 2022 | | APRIL – JUNE 2022 | | JULY – SEPTEMBER 2022 | | OCTOBER – DECEMBER 2022 | |
| 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | |
| 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | |
| 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | |
| | | | | | | SERVICE USER SURVEY | |
| JANUARY – MARCH 2023 | | APRIL – JUNE 2023 | | JULY – SEPTEMBER 2023 | | OCTOBER – DECEMBER 2023 | |
| 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | |
| 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | |
| 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | |
| | | | | | | SERVICE USER SURVEY | |
| JANUARY – MARCH 2024 | | APRIL – JUNE 2024 | | JULY – SEPTEMBER 2024 | | OCTOBER – DECEMBER 2024 | |
| 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | | 2 RESIDENTIAL FILES | |
| 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | | 2 FAMILY SUPPORT FILES | |
| 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | | 2 SUPERVISION RECORDS | |
| | | | | | | SERVICE USER SURVEY | |

CHILDREN'S SOCIAL WORK SERVICES

AUDIT SCHEDULE

SPONSOR – MARK INGLIS

SENIOR MANAGER AUDIT AND ASSURANCE PLAN

HOS – MARK INGLIS

JACKIE HAMILTON AND GARY HOEY

BUSINESS SUPPORT – MARY TIMPANY

| PURPOSE | | ESSENTIAL QUESTIONS | | RESOURCES | | | |
|---|--|--|--|---|--|-------------------------|--|
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| JANUARY – MARCH 2022 | | APRIL – JUNE 2022 | | JULY – SEPTEMBER 2022 | | OCTOBER – DECEMBER 2022 | |
| 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | |
| 1 COMMUNITY FILE | | 1 COMMUNITY FILE | | 1 COMMUNITY FILE | | 1 COMMUNITY FILE | |
| 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | |
| | | ANNUAL REPORT TO SWGB | | | | SERVICE USER SURVEY | |
| JANUARY – MARCH 2023 | | APRIL – JUNE 2023 | | JULY – SEPTEMBER 2023 | | OCTOBER – DECEMBER 2023 | |
| 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | |
| 1 COMMUNITY FILE | | 1 COMMUNITY FILE | | 1 COMMUNITY FILE | | 1 COMMUNITY FILE | |
| 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | |
| | | ANNUAL REPORT TO SWGB | | | | SERVICE USER SURVEY | |
| JANUARY – MARCH 2024 | | APRIL – JUNE 2024 | | JULY – SEPTEMBER 2024 | | OCTOBER – DECEMBER 2024 | |
| 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | | 2 SOCIAL WORK FILES | |
| 1 COMMUNITY FILE | | 1 COMMUNITY FILE | | 1 COMMUNITY FILE | | 1 COMMUNITY FILE | |
| 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | | 1 SUPERVISION RECORD | |
| | | ANNUAL REPORT TO SWGB | | | | SERVICE USER SURVEY | |

JUSTICE SOCIAL WORK SERVICES

TEAM LEADER AUDIT AND ASSURANCE PLAN:

LAUREN MCCLINTOCK; BRENDA DONNACHIE; MARK GAFFNEY

AUDIT SCHEDULE

SNR MANAGER – JACKIE HAMILTON

BUSINESS SUPPORT – ROCHELLE
MCCARTNEY

SPONSOR – MARK INGLIS

SERVICE MANAGER – LOUISE SHEARER

Templates: Report and Case File Audit

PURPOSE

To assure ourselves, and the governance structures, that professional standards are being maintained.
To ensure individuals are in receipt of ethical Social Work services.

ESSENTIAL QUESTIONS

1. Is there evidence of critical reflection
2. Is there evidence of analysis to support conclusions
3. Is there evidence of decision making

RESOURCES

[CI File Reading Guidance](#)
[IRISS Social Work Writing](#)

JANUARY – MARCH 2022

5 SW COURT REPORTS

3 CPO/UW REVIEW/BREACH REPORTS

2 PAROLE REPORTS

2 THROUGH-CARE FILES

APRIL – JUNE 2022

5 SW COURT REPORTS

3 CPO/UW REVIEW/BREACH REPORTS

2 HOME LEAVE REPORTS

6 CPO CASE FILES

JULY – SEPTEMBER 2022

5 SW COURT RECORDS

3 CPO/UW REVIEW/BREACH REPORTS

2 PAROLE REPORTS

2 THROUGH-CARE FILES

OCTOBER – DECEMBER 2022

5 SW COURT REPORTS

3 CPO/UW REVIEW/BREACH REPORTS

2 HOME LEAVE REPORTS

6 CPO CASE FILES

SERVICE USER SURVEY

JANUARY – MARCH 2023

5 SW COURT REPORTS

3 CPO/UW REVIEW/BREACH REPORTS

2 PAROLE REPORTS

2 THROUGH-CARE FILES

APRIL – JUNE 2023

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6 CPO CASE FILES

SERVICE USER SURVEY

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2 HOME LEAVE REPORTS

6 CPO CASE FILES

JULY – SEPTEMBER 2024

5 SW COURT RECORDS

3 CPO/UW REVIEW/BREACH REPORTS

2 PAROLE REPORTS

2 THROUGH-CARE FILES

OCTOBER – DECEMBER 2024

5 SW COURT REPORTS

3 CPO/UW REVIEW/BREACH REPORTS

2 HOME LEAVE REPORTS

6 CPO CASE FILES

SERVICE USER SURVEY

ADULT SOCIAL WORK SERVICES - LOCALITIES

TEAM LEADER AUDIT AND ASSURANCE PLAN:

Julie Mitchell/Jacqueline Campbell, Shirley Speirs, Kirsty Frew, David Robertson, Melissa Davidson, Mark Halpin

AUDIT SCHEDULE

SPONSOR – BILLY MCLEAN

SERVICE MANAGERS:

LIZ ROY & LISA MCALPINE

BUSINESS SUPPORT – ELSABETH
MCLATCHIE

Templates: Report and Case File Audit

PURPOSE

To assure [ourselves](#), and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services.

ESSENTIAL QUESTIONS

1. Is there evidence of critical reflection
2. Is there evidence of analysis to support conclusions
3. Is there evidence of decision making

RESOURCES

[CI File Reading Guidance](#)

[IRISS Social Work Writing](#)

JANUARY – MARCH 2022

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

APRIL – JUNE 2022

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

JULY – SEPTEMBER 2022

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

OCTOBER – DECEMBER 2022

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

SERVICE USER SURVEY

JANUARY – MARCH 2023

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

APRIL – JUNE 2023

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

JULY – SEPTEMBER 2023

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

OCTOBER – DECEMBER 2023

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

SERVICE USER SURVEY

JANUARY – MARCH 2024

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

APRIL – JUNE 2024

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

JULY – SEPTEMBER 2024

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

3 ASSESSMENTS OR REVIEWS

OCTOBER – DECEMBER 2024

3 OLDER ADULT CASES

3 ADULT CASES

3 VULNERABLE ADULT/ASP CASES

SERVICE USER SURVEY

ADULT SOCIAL WORK SERVICES - COMMUNITY

TEAM LEADER AUDIT AND ASSURANCE PLAN

Alison Welshman; Ian Catteril

AUDIT SCHEDULE

SPONSOR – BILLY MCLEAN

SERVICE MANAGERS:

SANDRA RAE & SHARON HACKNEY

BUSINESS SUPPORT – ELSABETH
MCLATCHIE

Templates: Report and Case File Audit

PURPOSE

To assure ourselves, and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services.

ESSENTIAL QUESTIONS

1. Is there evidence of safe decision making?
2. Is there evidence of the individuals views being considered?
3. Is there evidence of Supervision supporting the decisions or outcomes?

RESOURCES

[CI File Reading Guidance](#)
[IRISS Social Work Writing](#)

JANUARY – MARCH 2022

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

APRIL – JUNE 2022

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

JULY – SEPTEMBER 2022

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

OCTOBER – DECEMBER 2022

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS
SERVICE USER SURVEY

JANUARY – MARCH 2023

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

APRIL – JUNE 2023

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

JULY – SEPTEMBER 2023

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3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

OCTOBER – DECEMBER 2023

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS
SERVICE USER SURVEY

JANUARY – MARCH 2024

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

APRIL – JUNE 2024

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

JULY – SEPTEMBER 2024

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS

OCTOBER – DECEMBER 2024

6 ADULT CASES
3 VULNERABLE ADULT/ASP CASES
3 ASSESSMENTS OR REVIEWS
SERVICE USER SURVEY

ADULT SOCIAL WORK SERVICES – SOCIAL CARE

REGISTERED MANAGER AUDIT AND ASSURANCE PLAN

Isobel Penman; Shona McTaggart

AUDIT SCHEDULE

SPONSOR – BILLY MCLEAN

SERVICE MANAGER: HELEN BROWN

BUSINESS SUPPORT – ELSABETH
MCLATCHIE

Templates: Report and Case File Audit

| PURPOSE | ESSENTIAL QUESTIONS | | | RESOURCES |
|--|--|------------------------------|--------------------------------|---|
| To assure <u>ourselves</u> , and the governance structures, that professional standards are being maintained. To ensure individuals are in receipt of ethical Social Work services. | <ol style="list-style-type: none"> 1. Is there evidence of safe decision making? 2. Is there evidence of Service Manager support or Supervision in complex cases? 3. Are you satisfied with the quality of recording? | | | CI File Reading Guidance IRISS Social Work Writing |
| JANUARY – MARCH 2022 | APRIL – JUNE 2022 | JULY – SEPTEMBER 2022 | OCTOBER – DECEMBER 2022 | |
| 6 CASE FILES | 6 CASE FILES | 6 CASE FILES | 6 CASE FILES | |
| 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | |
| 3 CHRONOLOGIES | 3 CHRONOLOGIES | 3 CHRONOLOGIES | 3 CHRONOLOGIES | |
| | | | SERVICE USER SURVEY | |
| JANUARY – MARCH 2023 | APRIL – JUNE 2023 | JULY – SEPTEMBER 2023 | OCTOBER – DECEMBER 2023 | |
| 6 CASE FILES | 6 CASE FILES | 6 CASE FILES | 6 CASE FILES | |
| 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | |
| 3 CHRONOLOGIES | 3 CHRONOLOGIES | 3 CHRONOLOGIES | 3 CHRONOLOGIES | |
| | | | SERVICE USER SURVEY | |
| JANUARY – MARCH 2024 | APRIL – JUNE 2024 | JULY – SEPTEMBER 2024 | OCTOBER – DECEMBER 2024 | |
| 6 CASE FILES | 6 CASE FILES | 6 CASE FILES | 6 CASE FILES | |
| 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | 3 ASSESSMENTS OR REVIEWS | |
| 3 CHRONOLOGIES | 3 CHRONOLOGIES | 3 CHRONOLOGIES | 3 CHRONOLOGIES | |
| | | | SERVICE USER SURVEY | |

ADULT SOCIAL WORK SERVICES

SERVICE MANAGER AUDIT AND ASSURANCE PLAN

LIZ ROY; LISA MCALPINE; SANDRA RAE; SHARON HACKNEY; HELEN BROWN

AUDIT SCHEDULE

SPONSOR – BILLY MCLEAN

BUSINESS SUPPORT – ELSABETH
MCLATCHIE

Templates: Report and Case File Audit

PURPOSE

To assure ourselves, and the governance structures, that professional standards are being maintained.
To ensure individuals are in receipt of ethical Social Work services.

ESSENTIAL QUESTIONS

1. Is there evidence of safe decision making?
2. Is there evidence of Service Manager support or Supervision in complex cases?
3. Are you satisfied with the quality of recording?

RESOURCES

[CI File Reading Guidance](#)

[IRISS Social Work Writing](#)

JANUARY – MARCH 2022

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE

APRIL – JUNE 2022

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE
ANNUAL AUDIT REPORT TO SWGB

JULY – SEPTEMBER 2022

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE

OCTOBER – DECEMBER 2022

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE
SERVICE USER SURVEY

JANUARY – MARCH 2023

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE

APRIL – JUNE 2023

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE
ANNUAL AUDIT REPORT TO SWGB

JULY – SEPTEMBER 2023

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE

OCTOBER – DECEMBER 2023

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE
SERVICE USER SURVEY

JANUARY – MARCH 2024

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE

APRIL – JUNE 2024

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE
ANNUAL AUDIT REPORT TO SWGB

JULY – SEPTEMBER 2024

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE

OCTOBER – DECEMBER 2024

2 CASE FILES
1 ASSESSMENT
1 SUPERVISION MINUTE
SERVICE USER SURVEY

Appendix 2 – Casefile Audit Assessment Tool

Section 1: Introduction

This is a generic Social Work case file audit tool which includes both quantitative and qualitative questions covering key areas of practice. It has been designed in line with the audit policy to enable us to reflect and learn about the quality of our practice. The tool should be used in a proportionate way based on the case type and the information available to the file reader. Comments should be added to support reflection and learning and should include both strengths and areas for improvement.

The open style questions throughout this audit tool require the file reader to use their practice knowledge and professional judgement to grade the quality of practice recording of social work practice.

The grading matrix used for this is as follows:

Excellent: The record of information in the case file is robust, evidenced-based and the quality of practice has significant strengths.

Good: The record of information in the case file is clear and well-structured with some areas of development and improvement identified.

Adequate: The record of information in the case file has some strengths that just outweigh the weaknesses and several areas for development and improvement have been identified.

Unsatisfactory: The record of information in the case file has significant weaknesses in critical areas with significant areas requiring improvement.

Section 2: Basic Information

| | |
|------------------------|--|
| 2.1 Date of audit | |
| 2.2 Date of last audit | |
| 2.3 Name of person | |
| 2.4 Care First ID | |

| | |
|---|--|
| 2.5 Allocated Worker | |
| 2.6 Name of File Reader | |
| 2.7 Name of Service/Senior Manager | |
| 2.8 Service area | |
| 2.9 What is the case type/client category? | |
| Section 3: Case Notes, Chronology and Assessment | |
| 3.1 Are the case notes on file, up to date and easy to follow? | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 3.2 Does the chronology include all significant events and are these clear and easily understood? | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 3.3 Is there an up-to-date assessment or review of current needs in the file? | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 3.4 Are the individual's outcomes recorded in the assessment and easy to understand? | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 3.5 Are the individual's views clearly recorded and considered throughout the assessment? | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 3.6 Is there evidence of collaboration with other professionals/disciplines and has this contributed to the assessment? | YES <input type="checkbox"/> NO <input type="checkbox"/> |

| | | |
|--|--|-----------|
| 3.7 Is there evidence of advocacy being offered to the individual? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 3.8 Have any issues regarding capacity been addressed including (if applicable) contact with relevant legal proxies? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| Overall, can you rate the quality of case notes? | Excellent <input type="checkbox"/> Good <input type="checkbox"/> Adequate <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> | |
| Overall, can you rate the quality of chronology? | Excellent <input type="checkbox"/> Good <input type="checkbox"/> Adequate <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> | |
| Overall, can you rate the quality of assessment? | Excellent <input type="checkbox"/> Good <input type="checkbox"/> Adequate <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> | |
| Please summarise Strengths: | | |
| Please summarise Areas for development: | | |
| 4. Assessment and Management of Risk | | |
| 4.1 (a) Is this case currently subject to either Adult Support and Protection or Child Protection procedures? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 4.1 (b) Is there a risk management or protection plan on file and does it cover all of the identified risks? | YES <input type="checkbox"/> NO <input type="checkbox"/> | |

| | | |
|--|--|-----------|
| 4.2 Are there risks identified in the assessment? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 4.3 Does the assessment include analysis of how all risks identified will be managed effectively? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 4.4 Is there evidence that other professionals/disciplines have been consulted and informed the assessment and management of risk? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 4.5 Are the views of the individual or their representative evident within the assessment and management of risk? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| Overall, can you rate the quality of social work practice in relation to assessment and management of risk? | Excellent <input type="checkbox"/> Good <input type="checkbox"/> Adequate <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> | |
| Please summarise Strengths: | | |
| Please summarise Areas for development: | | |
| 5. Care Plan | | |
| 5.1 Is there an up-to-date care and support plan in place? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |

| | | |
|---|--|-----------|
| 5.2 Does the care and support plan set out clearly how the individual's outcomes will be met? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| Overall, can you rate the quality of social work practice in relation to the care plan? | Excellent <input type="checkbox"/> Good <input type="checkbox"/> Adequate <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> | |
| Please summarise Strengths: | | |
| Please summarise Areas for development: | | |
| 6. Delivery of Support | | |
| 6.1 To what extent do you consider that the support being provided to this individual meets their needs/outcomes? | Completely <input type="checkbox"/> Mostly <input type="checkbox"/> Partly <input type="checkbox"/> Not at all <input type="checkbox"/> | |
| 6.2 Is there any direct feedback around the impact of support available from the individual/family? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 6.3 Is there evidence that health and social care support of this individual is subject to regular review? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 7. Carers | | |

| | | |
|--|--|-----------|
| 7.1 Is there a carer/young carer who provides a substantial amount of care to the individual? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 7.2 From the case records, is there evidence of a carers assessment being offered? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 7.3 Has a carer assessment been completed? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| 7.4 Has any support been provided as a result of a carers assessment has led to improved outcomes for the carer? | YES <input type="checkbox"/> NO <input type="checkbox"/> | Comments: |
| Overall, can you rate the quality of social work practice in relation to support for carers? | Excellent <input type="checkbox"/> Good <input type="checkbox"/> Adequate <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> | |
| In respect of the identification and any support provided to carers please summarise: Key strengths | | |
| Areas for development | | |
| 8. General Observations | | |

| | | |
|--|--|--|
| | | |
|--|--|--|

| | | |
|--|--|-------|
| Signed (Team Leader): | | Date: |
| Signed (Service/Senior Manager at review): | | Date: |

Appendix 3 – Audit Evaluation and Learning Summary

| |
|------------------------------|
| Name and designation: |
| Date: |
| Service Area: |

Considering each area that has been covered in the casefile audit process, please provide a succinct narrative outlining how your service is working in each area.

You should consider the following key points:

- what is working well?
- how do you know this?
- what areas you have identified for improvement?

The information you provide should reflect your overall audit findings and include any evidence around the positive impact and outcomes on those accessing social work services. The information provided in this report will be used to report to the relevant governance meetings.

| Case Notes, Chronology and Assessment |
|--|
| How is your service doing in respect of case recording? How do you know this? What are the key strengths? |
| What areas have you identified for improvement? What are you doing to achieve these improvements? |

| Assessment and Management of Risk |
|---|
| How is your service doing in respect of the assessment and management of risk? How do you know this? What are the key strengths? |

What areas have you identified for improvement? What are you doing to achieve these improvements?

Care Planning

How is your service doing in respect of effective Care Planning? How do you know this? What are the key strengths?

What areas have you identified for improvement? What are you doing to achieve these improvements?

Delivery of Support

Is the delivery of support to individuals having a positive impact for individuals and their families? How do you know this? What are the key strengths?

What areas have you identified for improvement? What are you doing to achieve these improvements?

Carers

How is your service doing in respect identifying and supporting carers? How do you know this? What are the key strengths?

What areas have you identified for improvement? What are you doing to achieve these improvements?

Summary of priorities

Having completed the quarterly audit, what are the three key priorities for what you need to do improve or do differently?

(For example, what are the priority next steps or areas for improvement you need to take forward to improve the quality of care and outcomes for people?)

1.

2.

3.

Please use the final part of this evaluation form to provide any final comments or reflections on the audit process.

| |
|----------------------------------|
| Team Leader comments: |
| Signature: |
| Service/Senior Manager comments: |
| Signature: |

On completion this form should be uploaded to the following SharePoint site

The reports will then be analysed and reported on at the Social Work Governance Board and Performance and Audit Committee.