Case File Review Procedure

Person responsible for this Policy:	Head of Student Advice and Wellbeing
Who the Policy applies to:	Student Advice Employees
Date issued	April 2021
Date to be reviewed:	April 2022

Contents

What is the purpose of file review?

1. The purpose of the Student Advice case file review is to check the quality of advice given to clients/service users and to provide feedback to case handlers that promotes learning and continuous improvement in the provision of advice and guidance.

2. The Student Advice case file review system will ensure:

   a. That clients have received the highest quality advice and guidance;
   b. That advice and guidance has been tailored to the individual needs of the client;

c. Members of staff are compliant with CUSU's policies and procedures;
d. That appropriate case management practices have been observed;
e. That the client has received access to high quality resources and further support if needed, and;
f. That the appropriate risk assessments have been conducted for 'at risk' clients.

Who will be reviewing files?

3. Case files will be randomly selected and referred for review by an Administrative Assistant on a weekly, monthly and quarterly basis depending on the position of the reviewee.

4. Files will be sent for review and feedback from a more senior colleague, i.e. the files of a Student Advice Coordinator will be reviewed by a Student Adviser.

	WEEKLY	MONTHLY	ANNUALLY
Student Advice Coordinators	Student Advisers	Department Head	Managing Director
Student Advisers		Department Head	Managing Director
Head of Department			Managing Director

5. Student Advice Coordinators will always receive one review with feedback from a Student Adviser per week. All case handlers will receive one review with feedback from the Head of Service per month. All member of staff will receive a review with feedback from a Managing Director on the basis of their reviews annually.

How will files be reviewed?

6. Upon a file being selected and referred for review, a reviewer will follow the Case File Review Checklist, detailed below. A template form will be completed, sent to the reviewee and lodged in a central Case Review Folder. Written feedback will be provided to the reviewee through the template and the option for a follow up conversation will be given.

How many files will be reviewed and how often?

7. *Student Advice Coordinators:* will have one case file reviewed per week by a Student Adviser. Some Coordinators will also be subject to case supervision, depending on experience.

8. *All Staff:* will have one case file reviewed per month by the Head of Department.

9. For advice staff returning to the role after a period of absence, for example secondment or maternity, the Head of Department may decide to temporarily increase the frequently of review.

File selection

10. Files will be selected at random. Only case files which have been marked 'CLOSED' are eligible for review. Where possible cases will be selected from the previous month, in order for the reviewer to examine the full case management process. Where this is not possible the reviewer, working with the Administrative Assistant should adjust the sample to ensure the correct amount of file are reviewed.

Where will reviews be stored?

11. File Reviews will be stored centrally to enable Head of Department to carry out a written annual review of file review outcomes. If it not deemed appropriate to store copies of File Reviews on the relevant client case file e.g. where there are staff development issues, in addition to a central copy a note should be made on the relevant file.

Corrective Actions

12. In some cases, it may be appropriate to take corrective actions to ensure clients have received the appropriate quality of service expected from the department. Corrective actions may be required where the reviewer believes:

    a. A client appears to have received incorrect or inaccurate advice and guidance, which if acted upon would result in material detriment to the client;
    b. A case handler has incorrectly identified the important issues presented by the client;
    c. The client has not been made aware of all the significant options they have available to them, possibly leading them to make uninformed choices, and/or;
    d. New information, or a change in the legislative, regulatory or practical environment has come to light which may impact the interests of the client.

How are staff informed of corrective action, and how is this checked?

13. If corrective action is identified as a result of the File Review, the reviewer should discuss the situation with the reviewee and agree a course of action. The action required will depend on what is needed to rectify the identified issue, but may include an update email from the case handler to the client and/or an escalation to the Head of Student Advice & Wellbeing.

14. The reviewee will be given a deadline to address the remedial action. The deadline will depend on the urgency of the corrective action required, but should be no longer than 14 days.

15. A record of corrective actions should be logged on the Case Review Check List. When the corrective action has been completed, both the adviser and reviewer must sign and date the File Review Checklist.

Feedback and monitoring

16. File review outcomes from reviews will be used in giving feedback to individuals within their supervision one to one meetings.

17. A summary of feedback from reviews will also be used to give feedback to individuals within their appraisal. Where an individual performance is found to consistently fall below the standard set by the organisation remedial action should be taken and recorded.

18. File Review outcomes should be collated with a view to identifying any quality issues, training needs or trends; these maybe adviser specific or across the advice team and fed back to the Managing Director in the annual Student Advice Quality Review.

Case File Review Checklist – Student Advice

Reviewer Name	*<Admin Assistant>*	Reviewee Name	*<Admin Assistant>*
Client Name	*<Admin Assistant>*	Student Number	*<Admin Assistant>*
Date of Initial Contact	*<Admin Assistant>*	Date of Last Contact	*<Admin Assistant>*
Advice Contact(s)	Email / Digital ☐	Telephone ☐	In-Person ☐
AQS Consent	Yes ☐ No ☐	Cross Referenced	Yes ☐ No ☐

Recorded Primary Case Category	*<Admin Assistant>*	
Case Themes Identified	*<Admin Assistant>*	
Reviewer consider this accurate?	Yes ☐	No ☐
Explanation:		

Conflict of Interest Check Completed?	Yes/No or Not Applicable (i.e. did not fall within risk category)	*<Admin Assistant>*
Conflict risk added to Register of Conflicts?	Yes/No or Not Applicable (i.e. did not fall within risk category)	*<Admin Assistant>*

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1	Comprehensive & Orderly Case-notes	Was the reviewer able to find all relevant records of initial contact, correspondence, emails, telephone transcripts, and records of consultations? Clear and orderly recording?	Yes ☐ No ☐ Unclear ☐
	Explanation:		
2	Client Issue(s) Correctly Identified	Did the case handler appropriately investigate, extrapolate and identify the client's primary issue, as well as any ancillary issues of which we would want them to be aware?	Yes ☐ No ☐ Unclear ☐
	Explanation:		
3	Correct High Quality Advice Given	Did the case handler provide the correct advice, in response to the issue(s) presented by the client? Were appropriate options given, to empower the client to address their situation?	Yes ☐ No ☐ Unclear ☐
	Explanation:		
4	Comprehensive Options Range Explained	Was the advice and guidance from the case handler of the highest possible quality? Did the case handler identify and communicate all reasonable options to the client?	Yes ☐ No ☐ Unclear ☐

	Explanation:		
5	Clear and Client Focused Communication	If written, were the client communications clear, with correct spelling and grammar? Was the language simple/appropriate considering the abilities and circumstances of the client?	Yes ☐ No ☐ Unclear ☐
	Explanation:		
6	Policies and Procedures Followed	Were all Student Advice Policies and Procedures followed? Where the correct forms/pathways used and recorded? Was a referral / risk assessment made and recorded appropriately?	Yes ☐ No ☐ Unclear ☐
	Explanation:		
7	Peer Support / Checks Conducted	If the case was complex, did the case handler seek a second opinion, supervision of advice and/or was appropriate research conducted prior to the formulating of the advice?	Yes / NA ☐ No ☐ Unclear ☐
	Explanation:		
8	Excellent Features	What was good/excellent about the interaction between the case handler and the client? The case handler should be proud of this?	
	Explanation:		
9	Improvements / Points to Consideration	Were there any areas of possible improvement? Is there any additional information we would have given the client? Are there alternative approaches to consider?	
	Explanation:		

Corrective Action(s) Required	Deadline	Date Completed	Reviewer Check
	__ / __ / ____	__ / __ / ____	__ / __ / ____
	__ / __ / ____	__ / __ / ____	__ / __ / ____
	__ / __ / ____	__ / __ / ____	__ / __ / ____
	__ / __ / ____	__ / __ / ____	__ / __ / ____

File Reviewer Signature:	
Date:	

Adviser/Caseworker Signature:	
Date:	