



**START WITH
STRENGTHS**

Adult Social Care: Supervision Audits

Guidance for Adult Social Care
Managers completing Supervision
Audits

Version: 1.0

Date Issued: September 2019

Team: Service Development and Assurance

Protective Marking: Internal

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1. Introduction

- 1.1. The aim of the supervision audit process is to ensure front-line practitioners receive consistent, supportive supervision, providing constructive feedback, reflection on practice, forward planning and consideration of their wellbeing.
- 1.2. This guidance document should be used to assist Operations Managers or designated managers to complete supervision audits. The audits will require the involvement of both supervisory managers and practitioners who provide a range of interventions with customers, such as assessment, reablement support, care planning, reviewing and safeguarding.
- 1.3. Non-practitioner roles working within Adult Social Care do not fall within the remit of the supervision audit process which has a primary focus on Social Care practice.

2. Background

- 2.1 The benefits of effective practice supervision across Adult Social Care are that it:
 - develops and maintains knowledge and skills, by reflecting on experiences and receiving constructive feedback.
 - supports progression of case work through solution focused discussions, joint decision making and forward planning.
 - ensures a focus on training needs, learning and development and future career progression.
 - provides opportunities for discussions around personal issues or challenges.
 - ensures that the strengths based support model and new ways of working are embedded into practice.
- 2.2 The supervision audit tool helps to build an understanding of the support practitioners are receiving through supervision, by seeking a considered opinion of those directly involved and by evaluating supervision records. Ultimately, learning and improvement could lead to better customer outcomes that matter to them.
- 2.3 Although there is consideration of the practice of the supervisee, the focus of the audit is very much on establishing the quality of supervision provided by the supervisor and identifying strengths and any areas for improvement.
- 2.4 In making an evaluation of the quality of supervision being received by practitioners, this should be considered against the [Adult Social Care Supervision Guidance](#).
- 2.5 The supervision audit tool will be accessible on the IT platform, 'Citizen Space' and offers the opportunity to save information gathered which supports the staged process of the audit.

3. Supervision audit process

- 3.1 The supervision audit process involves analysis of a selected practitioner's experience of supervision which has been completed by their current supervising manager. The components of the [supervision audit tool](#) are as follows:
- A. Consideration of the volume of supervision received by the practitioner over a 12 month period.
 - B. Analysis of two sets of supervision records of the practitioner.
 - C. Meeting with practitioner to seek a viewpoint on their experience of current supervision. (Optional for the practitioner).
 - D. Meeting with the supervising manager about learning gained from steps A-C.
- 3.2 The audits which will cover the components outlined in 3.1 will be completed by the auditor for their own management team. This approach will help ensure continuity, as the manager will already have oversight of the practitioners in the supervisor's team.
- 3.3 The random selection of a minimum of two sets of supervision records will be made by the auditor manager having been provided by the supervisor with a list of dates of supervision during the preceding year. It is suggested that consecutive months are chosen, so that consideration can be given to any concurrent themes or actions which emerge and whether these are being addressed or monitored.
- 3.4 The supervisor will ensure that records are retained securely and are made accessible to the auditor who is completing the audit. It is acceptable for supervising manager to have a discussion with the supervisee and redact sensitive information that it is felt is a reflection of the practitioner's personal circumstances, before passing the two selected records to the auditor. The supervising manager will need to highlight to the auditor that this has been done to maintain confidentiality. The original supervision record will remain unchanged.
- 3.5 The supervision audit process provides the opportunity for the practitioner to give the auditor an opinion about their experience of current supervision. The practitioner is at liberty to decline the opportunity, however, in these circumstances this should not be taken as a negative statement about the practitioner's experience of supervision and their supervisors practice. The auditor will need to indicate this to both supervisee and supervisor.
- 3.6 The auditor, over the duration of a 12 month period, will have one randomly selected practitioner from each of their own management team's supervisory group for whom to complete an audit. For example, if the auditor supervises 6 Team Leaders, 6 supervision audits will be completed over a 12 month period and would have involved 6 practitioners. The selections will be made through the use of a Microsoft spreadsheet. Once the random selections are made, auditors will be informed via an email from the Service Development and Assurance Team and the link to the spreadsheet will be shared with them.

- 3.7 The auditor will notify the practitioner who has been randomly selected for supervision audit and Team Leader, at the point they are ready to start the supervision audit.
- 3.8 The auditor matched against the Team Leaders/Seniors will be identified on the spreadsheet. Once an audit has been completed, the auditor will note this on the shared spreadsheet by identifying date completed. The spreadsheet will support the monitoring of progress throughout the year.
- 3.9 If the selected practitioner leaves employment or changes to another Line Manager, then another practitioner will be selected. It will be the auditor's responsibility to delete the employee who has left, so that the formula behind the spreadsheet makes a new random selection. Any new staff will be added to the spreadsheet. Once all practitioners have received a supervision audit, the process will then be repeated.
- 3.11 Where the auditor has serious concerns about aspects of the manager's supervision practice, to such an extent that performance and capability procedures are being considered or actioned, the auditor may decide to complete additional audits to support this process, or be requested to do so by the Service Manager, Operations Manager or Human Resources.
- 3.12 If a supervisor disagrees with any of the findings of the supervision audit, these can be documented on the supervision audit tool. The auditor will seek to address any concerns in the first instance. However, there may be circumstances where the auditor will need to consult with a Service Manager or Operations Manager who will provide guidance.
- 3.13 If auditor needs to refer to a customer on the audit document, initials only will be used (or the customer's Mosaic number) to retain confidentiality.
- 3.14 The supervision audits will be held on Citizen Space for a maximum of one year after the close of the reporting period. Auditor's will ensure that a copy of the supervision audit is retained on the supervising manager's supervision folder.

4. Moderation process

- 4.1 Service Managers or Operations Managers will randomly select one of the audits completed by each of the auditors they supervise, through the use of the spreadsheet. The moderation will evaluate consistency and whether the audit is of sufficient detail and quality, this will then be documented on the moderation document.
- 4.2 The outcome of any moderation will be discussed in the auditors 1:1 supervision meeting and documented on their supervision records.

5. Quality assurance and reporting

- 5.1 The supervision audit process will provide a measure of whether practitioners are receiving both consistent and effective supervision as outlined in 2.1. Consideration will be given as to whether the content of supervision reflects the Supervision Guidance (Adults) and that it falls in line with the supervision agreement.
- 5.2 The process is intended to provide the opportunity for individual learning for supervisors to support continuous improvement. However, the lead officer for this work stream in the Service Development and Assurance (Adults) team will give consideration to any themes which emerge from completed audits which could support organisational learning and development. Any learning will be anonymised and reported back to the Adult Social Care senior management team, along with data which will give some indication of frequency of the supervision being received.
- 5.3 Information gained will be cross referenced with information gathered from case file audits and practice observations. The monitoring of progress and learning from all three quality assurance tools will be consolidated into one report for the management team on a regular basis by the lead officer in the Service Development and Assurance (Adults) team. Reports will be available on the intranet.