Joint inspection of adult services

Integration and outcomes

Record Review Template v1.1

28 May 2024

**JOINT INSPECTION OF ADULT SERVICES v1.1**

**RECORD REVIEW TEMPLATE**

**Sections:**

1. GENERAL INFORMATION
2. FILE BUNDLE
3. INTEGRATED TEAM ARIOUND THE PERSON: TEAMS & ROLES
4. KEY PROCESSES
	1. Access
	2. Early Intervention and prevention
	3. Rehabilitation/reablement/intermediate care
	4. Assessment
	5. Planning for care, support and treatment
	6. Service Delivery
	7. Unplanned care, support and treatment
	8. Reviews
	9. Incapacity
5. COVID-19 RESPONSE
6. NATIONAL HEALTH AND WELLBEING OUTCOMES
7. UNPAID CARERS

Link to record review guidance: [Record\_review\_template\_working\_guidance\_v1.2.docx](https://careinspectoratecloud.sharepoint.com/%3Aw%3A/r/sites/StrategicScrutiny/Strategic%20Scrutiny%20Documents/Current_Scrutiny_Activity/Adults/Methodology/FINAL-DOCS_Mental_Health/06.Review%20of%20%20Records/Record_review_template_working_guidance_v1.2.docx?d=wbf71b5c8686542a981920a7bc3d0c0e6&csf=1&web=1&e=yx5Mpa)

|  |  |
| --- | --- |
| **1** | **GENERAL INFORMATION** |
| 1.1 | Name of case file reader |  |
| 1.2 | Date file read |   |
| 1.3 | Sample number |  |
| 1.4 | Partnership area | * Aberdeen City
* Aberdeenshire
* Angus
* Argyll & Bute
* Clackmannanshire & Stirling
* Dumfries & Galloway
* Dundee City
* East Ayrshire
* East Dunbartonshire
* East Lothian
* East Renfrewshire
* Edinburgh, City of
* Falkirk
* Fife
* Glasgow City
* Highland
* Inverclyde
* Midlothian
* Moray
* Na h-Eileanan Siar
* North Ayrshire
* North Lanarkshire
* Orkney Islands
* Perth & Kinross
* Renfrewshire
* Scottish Borders
* Shetland Islands
* South Ayrshire
* South Lanarkshire
* West Dunbartonshire
* West Lothian
 |
| **2** | **FILE BUNDLE** |
| 2.1. A | Identify the files/records in the integrated file bundle | **Social Work Assessment and Care Management*** Occupational therapy (LA)
* Social worker
* Care Manager (LA)
* Mental Health Officer
* N/A
* Other (please specify)

**……………………………………..** |
| 2.1.B | Identify the files/records in the integrated file bundle | **NHS** * Community mental health team
* Community learning disability team
* Community mental health nurse
* District/ general community nursing
* Specialist nursing
* GP/doctor
* Occupational therapy (NHS)
* Physiotherapy
* Speech and language therapy
* Psychology
* Psychiatry
* Dietician
* Hospital (general/medical)
* Hospital (psychiatric)
* N/A
* Other – please specify:

**………………………………………** |
| 2.1.C | Identify the files/records in the integrated file bundle | **Provider*** Care at home, community housing support or community support worker
* Care home or supported accommodation
* Reablement, rehab or intermediate care
* Community based activities
* Respite
* N/A
* Other – please specify

**……………………………………..** |
| **3** | **INTEGRATED TEAM AROUND THE PERSON: TEAMS & ROLES**  |
| 3.1 | Are there any formally constituted integrated teams working with the person?(Tick all that apply) | * Community reablement team
* Community rehabilitation team
* Community mental health team (adults)
* Community mental health team (older adults)
* Discharge to assess team (or similar)
* Hospital rehabilitation team
* Integrated locality team
* Intermediate care team
* No
* Other - please specify:

**………………………………………** |
| 3.2 | Is there evidence that different professionals understand what each other does (i.e. professional role, duties and statutory responsibilities)? | * Yes
* No
* Partial
 |
| 3.3 | Is there evidence of shared values, purpose, language and mutual respect across partnership staff working with the person? | * Yes
* No
* Partial
 |
| 3.4 | Is there evidence of effective information sharing? | * Yes
* No
 |
| 3.5 | Are there any people/roles who should be working as part of the integrated team around the person who aren’t doing so? | * No
* Yes (please specify

**……………………………………….** |
| 3.6 | Are you able to identify a key worker from the person’s records? | * No (go to 3.8)
* Yes (please specify who has keyworker role):

**…………………………………….** |
| 3.7 | Which organisation is the key worker employed by?  | * NHS
* Local Authority
* Voluntary/third sector
 |
| 3.8 | Rate the quality of integrated practice in achieving good outcomes for people | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| **4** |  **KEY PROCESSES** |
| **4.1** | **Access** |
| 4.1.1 | Where did the person access the system? | * Local Authority designated point of access
* Designated integrated point of access
* Primary care/GP
* Hospital
* Police
* N/A (Go to 4.2.1)
* Other – please specify
 |
| 4.1.2 | To what extent did the person have a seamless experience of accessing services? | * Completely
* Mostly
* Partly
* Not at all
* N/A
 |
| 4.1.3 | Rate the overall effectiveness of the access process. | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 4.1.4 | Please note any additional comments on access:  | Free text |
| 4.2 | **Early Intervention & Prevention** |
| 4.2.1 | Is there evidence of any early interventions or preventative activities being offered?  | * No (Go to 4.3)
* Yes (please describe):

**…………………………………………** |
| 4.2.2 | Were the activities offered timeously? | * Yes
* No
* Not known from file bundle
 |
| 4.2.3 | How would you rate the overall effectiveness of early intervention or prevention activities coordination? | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 4.2.4 | Please note any additional comments on early intervention and prevention | Free Text |
| **4.3** | **Rehabilitation/Reablement/Intermediate Care** |
| 4.3.1 | Has the person received any time limited interventions to help regain or improve their wellbeing or functioning?  | * Yes
* No (go to 4.4.1)
* N/A (go to 4.4.1)
 |
| 4.3.2 | Is the approach to reablement/rehabilitation : | * Owned by individual agencies
* Co-ordinated/shared
* Fully integrated
 |
| 4.3.3 | Rate the overall effectiveness of integrated rehabilitation, reablement and intermediate health and social care. | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 4.3.4 | Please note any additional comments on rehabilitation, reablement or intermediate care: | Free text |
| **4.4** | **Assessment** |
| 4.4.1 | Have assessments been provided in the person’s records? | * Yes
* No (go to 4.5.1)
* N/A (go to 4.5.1)
 |
| 4.4.2 | How long did the person wait for an assessment from point of approaching the HSCP for help?  | * Less than 2 weeks
* 3-6 weeks
* 7-12 weeks
* 3-6 months
* More than 6 months
* N/A
* Not known from file bundle
 |
| 4.4.3 | Was the assessment | * Owned by individual agencies
* Co-ordinated/shared
* Fully integrated
* Not known from file bundle
 |
| 4.4.4 | Please rate the effectiveness of the collaborative approach to assessment across HSCP staff | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 4.4.5 | Please note any additional comments on the collaborative assessment approach:  | Free text |
| **4.5** | **Planning for care, support and treatment** |
| 4.5.1 | Have care support and treatment plans been provided in the person’s records? | * Yes
* No (go to 4.6.1)
 |
| 4.5.2 | Is the care/ support/ treatment plan | * Owned by individual agencies
* Co-ordinated/shared
* Fully integrated
* Not known from file bundle
 |
| 4.5.3 | Where appropriate, were options for self-directed support discussed and promoted with the person? | * Completely
* Mostly
* Partly
* Not at all
 |
| 4.5.4 | Were treatment and health interventions discussed, explained and options offered where relevant? | * Yes
* Partial
* No
* Not known from file bundle
 |
| 4.5.5 | Is there evidence of the person being supported to use strategies to support self-management of their condition? | * Yes
* Partial
* No
* N/A
* Not known from file bundle
 |
| 4.5.6 | Is there an up to date and meaningful future care plan in place which all partners are aware of? | * Yes
* Partial
* No
* Not known from file bundle
 |
| 4.5.7 | Is there a multi-agency contingency/emergency plan in place and known to the person and all team members? (Cross reference to carers section) | * Yes
* Partial
* No
* Not known from file bundle
 |
| 4.5.8 | Have risk assessments been provided in the person’s records? | * Yes
* No (Go to 4.5.10)
 |
| 4.5.9 | Are the risk assessments | * Owned by individual agencies
* Co-ordinated/shared
* Fully integrated
* Not known from file bundle
 |
| 4.5.10 | Rate the quality of integrated care, support and treatment planning?   | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 4.5.11 | Please note any additional comments on planning care, treatment and support:  | Free text |
| **4.6** | **Service delivery** |
| 4.6.1 | Were service providers included as partners with HSCP assessment staff and the person in planning service delivery? | * Yes
* No
* Partially
* NA
 |
| 4.6.2 | Is there evidence that information sharing across the integrated team is (assessors and providers) effective? | * Always
* Often
* Sometimes
* Rarely
* Never
 |
| 4.6.3 | Are community supports part of the support plan (e.g. faith/worship groups, leisure centre, community clubs, befriender)? | * Yes
* No
* NA
 |
| 4.6.4 | Was there any delay in providing formal services? | No Yes (please specify which service)**………………………………………….** |
| 4.6.5 | Please note any additional comments on service delivery: | Free text |
| **4.7** | **Unplanned care, support and treatment** |
| 4.7.1 | If there is a change of circumstances requiring an emergency response, is there a timely and co-ordinated multi-agency response? | * Yes
* No
* NA (go to 4.8.1)
 |
| 4.7.2 | Does the integrated response prevent emergency respite or hospital admission? | * Yes
* No
* N/A
* Not known from file bundle
 |
| 4.7.3 | Rate the effectiveness of the integrated emergency response .  | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 4.7.4 | Please note any additional comments on unplanned care, support and treatment: | Free text |
| **4.8** | **Reviews** |
| 4.8.1 | Have reviews been provided in the person’s records? | * Yes
* No (go to 4.9.1)
* NA (go to 4.9.1)
 |
| 4.8.2 | Are the reviews: | * Owned by individual agencies
* Co-ordinated/shared
* Fully integrated
* Mixed
* Not known from file bundle
 |
| 4.8.3 | Did reviews take place frequently enough to respond to the person’s needs and circumstances? | * Yes
* Partially
* No
* Not known from file bundle
 |
| 4.8.4 | Are formal services adjusted as the person becomes more or less independent and/or outcomes are achieved?  | * Yes
* Partially
* No
* NA
* Not known from file bundle
 |
| 4.8.5 | Were appropriate arrangements put in place for the person and their carer (if appropriate) to be involved in the review? | * Yes
* Partially
* No
* NA
* Not known from file bundle
 |
| 4.8.6 | How would you rate the overall effectiveness of integrated reviews? | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 4.8.7 | Please note any additional comments on reviews:  | Free text |
| **4.9** | **Incapacity** |
| 4.9.1 | Is there evidence that the person lacks capacity? | * Yes
* No (go to 5.1)
* Not known from file bundle (go to 5.1)
 |
| 4.9.2 | Please comment on the effectiveness of the processes for responding to incapacity | Free text |
| **5** | **COVID-19** |
| 5.1. | Has the person experienced any significant impacts as a result of the Covid 19 pandemic? | NoNot known from file bundleYes (please describe):**………………………………………..** |
| **6** | **NATIONAL HEALTH AND WELLBEING OUTCOMES** |
| 6.1.1 | Outcome 1: People are able to look after and improve their own health and wellbeing and live in good health for longer. | * Completely
* Mostly
* Partly
* Not at all
* Not known
 |
| 6.1.2 | Outcome 2: People, including those with disabilities or long-term conditions, or who are frail, are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community.  | * Completely
* Mostly
* Partly
* Not at all
* Not known
 |
| 6.1.3 | Outcome 3: People who use health and social care services have positive experiences of those services, and have their dignity respected. | * Completely
* Mostly
* Partly
* Not at all
* Not known
 |
| 6.1.4 | Outcome 4: Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services | * Completely
* Mostly
* Partly
* Not at all
* Not known
 |
| 6.1.5 | Outcome 5: Health and social care services contribute to reducing health inequalities.  | * Completely
* Mostly
* Partly
* Not at all
* Not known
 |
| 6.1.6 | Outcome 7: People who use health and social care services are safe from harm.  | * Completely
* Mostly
* Partly
* Not at all
* Not known
 |
| **7** | **UNPAID CARERS** |
| 7.1.1 | Is there an unpaid carer who provides care and support to the person?  | * Yes
* No (takes you to the end of the survey – you won’t be able to use the back button)
 |
| 7.1.2 | Has the carer been offered an Adult Carer Support Plan? | * Yes
* No (go to 7.1.6)
* Not known from file bundle (go to 7.1.6)
 |
| 7.1.3 | Has the carer accepted the offer of an Adult Carer Support Plan?  | * Yes
* No (go to 7.1.6)
* Not known from file bundle (go to 7.1.6)
 |
| 7.1.4 | Has an Adult Carer Support Plan been completed? | * Yes
* No (go to 7.1.6)
* Not known from file bundle (go to 7.1.6)
 |
| 7.1.5 | Please rate the quality of the adult carer support plan  | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 7.1.6 | Please detail which support(s) the carer was provided with or signposted to: | * Advice about self-management
* ​​Advice relating to nutrition and/or fluids
* ​​Care at home
* ​​Condition specific advice and information
* ​​Counselling
* ​​Day services
* ​​District/ general community nursing
* ​​GP/doctor
* ​​Financial advice/support
* ​​​Occupational therapy (NHS)
* ​​​Occupational therapy (LA)
* ​​​Peer support
* ​​​Physiotherapy
* ​​​Psychology
* ​​​Respite service
* ​​Social worker
* ​​​Support worker
* ​​Telecare
* ​​Training on meeting care needs
* ​​Carers centre
* No support provided
* Not known form file bundle
* Other (please specify)
 |
| 7.1.7 | Were all the self-directed support options discussed with the unpaid carer? | * Yes
* No
* NA
 |
| 7.1.8 | Is there an emergency support plan in place should the carer be unable to continue their caring role?   | * **​​**Yes
* ​​​No
* ​​​Not known from file bundle
 |
| 7.2 | Outcome 6: People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and well-being. | * **​​**Completely
* ​​Mostly
* ​​Partly
* ​​Not at all
* Not known
 |
| 7.3.1 | Is there evidence that the unpaid carer is regarded as an integral member of the team around the person?   | * Yes (go to 7.3.3)
* No
* Not known from file bundle (go to 7.3.3)
 |
| 7.3.2 | Is this because:  | * the person didn’t want the carer to be fully involved?
* the team around the person did not make enough effort to involve the carer?
* the carer didn’t want to be fully involved?
* Other (please specify)
 |
| 7.3.3 | Please rate the effectiveness of the integrated response to the unpaid carer | * Excellent
* Very good
* Good
* Adequate
* Weak
* Unsatisfactory
 |
| 7.4 | Please describe any impacts on the carer as a result of the Covid 19 pandemic   | Free text |
| 7.5 | Please note any additional comments on integrated practice with carer(s):  | Free text |