

Supervisor Form 1

Caseworker Capacity Assessment¹

Purpose of the form: This helps supervisors to understand the extent of newly recruited caseworker's attitude, knowledge and skills. It contains minimum competency standards for all caseworkers providing client-centred Protection Case Management services. The results of the assessment should inform the capacity building and development actions that a supervisor provides in individual and group supervision sessions.

How to administer the form:

Before

The Supervisor should

Step 1: Organise an individual supervision session in a comfortable and private space. The supervisor should set aside between 2-3 hours for this assessment or if it is preferred, this process can be broken down into 2 or 3 separate sessions.

During

The Supervisor should

Explain the purpose of the assessment to staff and ask staff to answer honestly and be self-reflective. This will be most helpful in identifying areas where staff can benefit from further coaching and staff development.

The supervisor can say: *"This form has been developed to capture some of the key standards that are expected of a protection caseworker. We don't expect you to be an expert and have perfect answers from the very beginning. It takes time to understand Protection Case Management guiding principles and how to apply them with clients. During our first weeks together, this assessment will determine the areas where we can provide you with more technical support. After the assessment, we will continue working together to build your knowledge and skills. After a few months, we will revisit the assessment to see how you are progressing."*

Client code: _____

During

The Supervisor should

Step 3: Explain the form is divided into three sections (attitudes, knowledge and skills). Explain that **the attitude assessment is a self-administered assessment** where the caseworker will be given 20 minutes alone to answer these questions. Once this has been completed, **the knowledge and skills assessment will be administered through a verbal interview with the supervisor.** Explain that notes will be taken in order to remember their responses. Invite the caseworker to raise any questions about the form or the process to ensure they feel comfortable. **The supervisor should ask the questions on the questionnaire in order and give the caseworker time to explain/describe their answer.** Allow the caseworker to speak openly and ask clarifying questions. Supervisors are encouraged not to provide answers, but should respond if there are some alarming issues that require immediate discussion and direction. For the attitude scale, simply mark the scoring and don't ask for further elaboration.

Once the assessment is complete, the supervisor and caseworker should discuss what are the suggested priorities in each area for technical capacity building and development.

If the staff member does not meet, or only partially meets, the required attitudes, knowledge and skills, it may not be appropriate for them to work with persons at heightened risk until they undergo personal reflection of the harmful values and/or beliefs, or review the way Protection Case Management services should be delivered. If this is the case, supervisors will need to handle this conversation carefully and sensitively.

After

The Supervisor should

During regular individual supervision sessions, the supervisor should refer back to the capacity assessment in order to provide ongoing coaching to the caseworker. If several caseworkers need guidance in the same area, the supervisor can organise a training or development session during group supervision. The supervisor should also arrange shadowing sessions for the caseworker to observe the application of guiding principles in practice.

After approximately 3-6 months, the supervisor should re-assess the caseworker to determine their progress and continuous development needs.

Part one: Protection attitudes and scoring

This is made up of 15 statements to assess personal beliefs and values. The scale can measure their attitudinal readiness for working directly with persons at heightened risk and highlight areas for further learning and training.

Statements	Does the caseworker:				Caseworker's response and notes from discussion	Development priority?
	Strongly agree	Agree	Disagree	Strongly disagree		
1. People with developmental disabilities and mental health conditions have something to offer the community and should be able to move freely.	4	3	2	1		
2. Violence can sometimes be a person's own fault and is justified.	1	2	3	3		
3. People of all political and religious beliefs and values have the right to express them and live in safety and dignity.	4	3	2	1		
4. People who experience traumatic events cannot recover or become productive members of society.	1	2	3	3		
5. A caseworker should always consider a person's opinion and wishes when making a decision that will affect them.	4	3	2	1		

Part one: Protection attitudes and scoring

Statements	Does the caseworker:				Caseworker's response and notes from discussion	Development priority?
	Strongly agree	Agree	Disagree	Strongly disagree		
6. It is acceptable for caregivers to make decisions and provide consent on behalf of a person with developmental disability or an older person because they know best.	1	2	3	3		
7. Violence within a household is a family matter and should be handled within the family.	1	2	3	3		
8. Services should always be designed with persons with permanent disabilities in mind.	4	3	2	1		
9. Retaliation from community members against former combatants is acceptable.	1	2	3	3		
10. Men don't experience mental health concerns.	1	2	3	3		

Part one: Protection attitudes and scoring

Statements	Does the caseworker:				Caseworker's response and notes from discussion	Development priority?
	Strongly agree	Agree	Disagree	Strongly disagree		
11. It is my job to determine whether a client is telling the truth.	1	2	3	3		
12. Poor people often say that they have been excluded from assistance or don't have support so that they can get attention or money.	1	2	3	3		
13. If a person can't answer the question properly or needs time, he/she is making up the case.	1	2	3	3		
14. Locking someone up with a disability or mental health concern is normal in some situations.	1	2	3	3		
15. A former member of an armed group should not be accepted for Protection Case Management.	1	2	3	3		

Part one: Protection attitudes and scoring

Statements	Does the caseworker:			Caseworker's response and notes from discussion	Development priority?
	Strongly agree	Agree	Disagree		
<p>Total score (supervisor should sum the total score in each column and then add these together for the total score)</p>					
<p>The below scores should be used as a guide but are not definitive:</p> <p>50-60: Scores in this range indicate that the caseworker has a person at-risk friendly attitude – they have positive beliefs and values for working with people at heightened risk. However, you can still consider supporting the caseworker on certain issues as needed.</p> <p>35-50: Scores in this range indicate some troubling attitudes that may be harmful to clients. Managers and supervisors should use their discretion in allowing staff to work on cases and may want to consider “coaching” the staff person before they work independently with the person at-risk.</p> <p>34-0: Scores in this range indicate that an individual is not ready to work with person at risk. Managers and supervisors should work independently with an individual who scores below 34 to address negative beliefs and attitudes, and identify immediate actions to address these gaps.</p>					
Actions to be taken	Supervisor:			Caseworker:	

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>1. What are the guiding principles for working with people at heightened risk?</p>	<ol style="list-style-type: none"> 1. Respect confidentiality and its limitations 2. Promote client safety and security 3. Everyone is entitled to human rights equally and without discrimination 4. Participation: Clients should be supported to make their own decisions, their views and opinions should be respected 5. Empowerment: I should look to enhance a person's strengths and capacities for coping 6. Do not harm 7. Client-centred approach 		
<p>2. What can be possible consequences of violence for a person</p>	<ol style="list-style-type: none"> 1. Physical harm such as injury or disability 2. Psychological harm such as mental health problems (depression, anxiety, low self-esteem, isolation, hopelessness) 3. Difficulty trusting people and maintaining relationships 4. Difficulty accessing services 5. Stigma 		

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>3. What are the limits to confidentiality when working with persons at heightened risk?</p>	<ol style="list-style-type: none"> 1. If there are mandatory reporting laws in place 2. If the client is at risk of harming themselves 3. If the client is at risk of harming another person (possible homicidal) 4. If a person has been legally assessed to lack capacity for consent and all possible steps have been taken to support informed consent process with him/her 5. Where the client is a child and is at risk of harm we must act in the child's best interest 		
<p>4. Why might it be difficult for someone to leave an abusive situation?</p>	<ol style="list-style-type: none"> 1. Has nowhere safe to go 2. No economic resources of their own. Dependant on the abuser economically 3. Has hope that things will change 4. Is scared no one will provide care or support 5. Worried about breaking up the family 6. Worried what people in the community will say (stigma) 7. Unable to independently move or voice their concerns due to barriers 		

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>5. When and how should a caseworker obtain informed consent/assent?</p>	<p>When:</p> <ol style="list-style-type: none"> 1. Before the identification meeting - prior to intake into Protection Case Management services for permission to hear the persons story, record and take notes 2. After the identification meeting - prior to intake into the Protection Case Management services to request for permission to participate in services 3. For referrals to other services providers <p>How:</p> <ol style="list-style-type: none"> 1. Address any barriers identified for informed consent with the client 2. Ensure the client fully understands the Protection Case Management process 3. Ensure that the client fully understands confidentiality - including how their information will be collected, stored and shared 4. Ensure the client fully understands the limits to confidentiality 5. Ensure the client fully understands their options and the potential risks and benefits of them 6. Provide time for any questions 7. Ask the client whether they wish to proceed by signing/ verbal consent 		

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>6. What are the possible consequences of sexual violence on men?</p>	<ol style="list-style-type: none"> 1. HIV/AIDS or other STIs 2. Mental health problems (depression, anxiety, other) 3. Stigma 4. Relationship problems 5. Isolation in community 		
<p>7. What are some of the reasons a client may not want to report violence or tell you their story?</p>	<ol style="list-style-type: none"> 1. Fear of retaliation from the perpetrator 2. Fear or worry that no one will believe them 3. Shame 4. Self-blame 5. Lack of transportation 6. Lack of money to pay service fees 7. Do not trust the authorities or service providers 8. Believe agencies only support certain people like children 		
<p>8. What are the steps of Protection Case Management?</p>	<ol style="list-style-type: none"> 1. Identification and registration 2. Risk assessment 3. Case action planning 4. Safety planning 5. Implementation of the case action plan 6. Follow up and monitoring 7. Case closure 8. Protection Case Management service evaluation 		

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>9. What body language can you use to make the client feel more comfortable (for example, how you are sitting)?</p>	<ol style="list-style-type: none"> 1. Sit face to face with client, but not at a desk 2. Make eye contact appropriately according to local customs 3. Keep a calm and relaxed body posture 4. Lean in toward the client as she/he speaks 5. Nod your head to show understanding 6. Keep a warm and friendly disposition 		
<p>10. What are some things you can do to create trust and show respect to a client during your meeting?</p>	<ol style="list-style-type: none"> 1. Give full attention to client e.g. don't take phone calls 2. Don't interrupt give time to talk and don't be in a rush 3. Use respectful language which mirrors the clients 4. Don't promise anything you cannot do 5. Give complete and honest information 6. Follow through - do what you say you will do 7. Don't tell them what they "should" do, give information to help them make their own choice 		

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>11. Describe how you should start your first meeting with the client (introduction, identification).</p>	<ol style="list-style-type: none"> 1. Greet the client 2. Introduce yourself, role and agency, as well as anyone else present 3. Create a private and safe space 4. Assess any immediate risk to personal safety and security 5. Address any barriers to participation 6. Explain the Protection Case Management process and the person's rights (can stop, refuse to answer, ask any questions) 7. Explain confidentiality and its limits, including data protection 8. Explain any potential risks or benefits 9. Understand the persons general situation 10. Identify whether the person is at risk of/has experiences a rights violation 11. Determine the risk-level 12. Ask permission to proceed either for intake into Protection Case Management services or to conduct a quality referral only 		

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>12. What are some key considerations when developing a case plan?</p>	<ol style="list-style-type: none"> 1. Develop within two weeks of the risk assessment 2. The client should drive the process of setting their goals 3. We should build on the client's strengths 4. Content of case plan should reflect the clients risk assessment 5. Should set specific, time-bound actions outlining who is responsible for what 		
<p>13. How can a caseworker support a client-centred approach to Protection Case Management ultimately support the client's empowerment process?</p>	<ol style="list-style-type: none"> 1. View people as rights claimants and support them to access their rights 2. Listen to the client's opinions and requests without judgement and action their wishes 3. Assess a person's individual and environmental risk-factors and protective-factors to a violation and address these 4. Support clients to draw on their protective factors e.g. resilience, strengths and resources inherent within them, as well as their household or community to build the action plan 5. Provide full information to the client of the types of services available, how to access them, and possible risks 6. Where appropriate, safe, and requested by the client, support the families/household's commitment to the outcomes, goals and tasks outlined in the case plan 		

Part two: Protection Case Management knowledge

Knowledge questions	Possible correct responses	Caseworker's response and notes from discussion	Development priority?
<p>14. What are key healing statements you can use with clients?</p>	<ol style="list-style-type: none"> 1. I believe you 2. You are not to blame 3. I am here to support you 4. What you are feeling is a very normal reaction to this situation 5. I am sorry you are in this situation/this happened to you 		
<p>15. What are the main criteria for knowing when to close a case?</p>	<ol style="list-style-type: none"> 1. Goals within the case plan have been met as much as possible and follow up is complete 2. The client explains that they are able to address on-going challenges now themselves 3. The child and family relocate and the case file can be closed or transferred as appropriate 4. The client is transferred to another case management stream e.g. due to relocation 5. No client contact for more than a specific period (i.e. 2 months) 6. The death of a client 		

Part two: Protection Case Management knowledge

Where a caseworker is able to answer most of these questions with the possible correct responses or similar responses (such as 5 criteria per answer), it indicates that the member of staff meets the core Protection Case Management requirements and is able to work independently with persons at-risk (with ongoing supervision). If a caseworker provided 3 criteria or less and/or was completely unable to answer some of the questions, this indicates that a capacity building plan should be in place and, where necessary, one on one mentorship and training, and staff shadowing.

Overall final evaluation

Actions to be taken:

Supervisor signature:

Caseworker signature:

Part three: Protection Case Management skills

This form is intended to guide a **process** of learning, allowing a caseworker to put their knowledge and attitude to practise. It is not an evaluation of the caseworker's performance. These questions can guide a discussion or role play. It lists skills associated with good Protection Case Management practice and describes the correct answers/approach to look for. The form is for the supervisor only and is intended to help the coaching process as it provides a structured method to identify in which topics/issues caseworkers need support the most.

Please note: It is very important that the form itself and the written comments are not shown to the caseworker (so as not to make them nervous). Supervisor should take notes separately. Once the supervision session is finished, document their feedback on the form.

Skills questions	Listen & hook for responses	Caseworker's response and notes from Discussion	Development priority/ continued support needed?
<p>1. Show how you would introduce yourself to a potential client in your first meeting.</p>	<ol style="list-style-type: none"> 1. Introduces themselves warmly, indicating their role and agency 2. Asks the person what their name is 3. Checks the space and asks whether the client feels comfortable, private and safe 4. Checks whether there are any immediate safety concerns 5. Asks whether they need any support to fully participate in the meeting 		

Part three: Protection Case Management skills

Skills questions	Listen & ñook for responses	Caseworker's response and notes from Discussion	Development priority/ continued support needed?
<p>2. Show how you would use your body language to help a client feel safe and comfortable.</p>	<ol style="list-style-type: none"> 1. Uses appropriate eye contact 2. Mirrors the words and phrases you use 3. Stays calm and comforting throughout the interaction 4. Uses a short and gentle voice 5. Friendly facial expressions 6. Leans towards you when speaking 		
<p>3. Show how you would explain confidentiality and its limits to the client.</p>	<p>Explains that confidentiality means: the conversations together will not be shared beyond the discussions they have, except some exceptions e.g. for safety reasons if a client gives reason that they may hurt themselves or someone else.</p>		
<p>4. Explain what you would do if a client walks-in and starts to talk about what happened immediately.</p>	<ol style="list-style-type: none"> 1. Let the client finish what they are saying, but do not ask further questions 2. Politely let them know that you understand that they are in distress and that you would like to listen and help 3. Explain that before you can do that you need to explain a few things which are important for them to know. 		

Part three: Protection Case Management skills

Skills questions	Listen & ñook for responses	Caseworker's response and notes from Discussion	Development priority/ continued support needed?
<p>5. How should a caseworker respond if a client becomes hostile or angry during an interview?</p>	<ol style="list-style-type: none"> 1. Remain composed and calm 2. Do not raise voice 3. Attempt to calm the person down, attempting to determine what is causing the anger and recognise their feelings 4. Give the person space and time to think 5. Be alert for possible aggression and 6. leave the situation if it feels unsafe 7. Carry a cell phone and use it where appropriate 8. If needed and advised by a supervisor, conduct interviews with a colleague to mitigate risks 		
<p>6. What are some important considerations when interviewing a client who has experienced abuse?</p>	<ol style="list-style-type: none"> 1. Do not push the client to speak about their experiences 2. Tell the client they can take their time 3. Do not ask heavy questions that might re-traumatize the client - they should speak to you about these issues when ready 4. Tell the client that you are here to help 		

Part three: Protection Case Management skills

Skills questions	Listen & ñook for responses	Caseworker's response and notes from Discussion	Development priority/ continued support needed?
<p>7. How can a you demonstrate empathy and respect for clients</p>	<ol style="list-style-type: none"> 1. Pay attention to verbal and nonverbal cues 2. Determine what is important to the client 3. Show a genuine desire to understand their situation 4. Keep an open mind 5. Create an environment of respect and acceptance 6. Listen for an acknowledge difficult feelings and encourage honest discussions 		
<p>8. Can you demonstrate, with a few questions, how you would start a discussion with a client about their experience?</p>	<p>Use an open tell, explain or describe question. Examples: <i>Tell me about what brought you here today</i> <i>Id like to hear about what brought you here today</i> <i>Would you like to tell me about what happened?</i></p>		
<p>10. Can you show me how you would assess safety and create a safety plan?</p>	<ol style="list-style-type: none"> 1. Ask the client how safe they feel at home or in the community 2. With the client, identify strategies and resources in the client's life that can help reduce risk 3. Use safety assessment or suicide assessment as needed 		

Part three: Protection Case Management skills

Skills questions	Listen & ñook for responses	Caseworker's response and notes from Discussion	Development priority/ continued support needed?
<p>11. Can you explain to me how you would come up with a coping skills plan with a client?</p>	<p>1. Examples include asking the client who they talk to when they feel lonely or scared. Have the client, or yourself, write a list of the people they feel comfortable with.</p> <p>2. Identify the activities the client enjoys and the feelings associated with those activities. Build on the information gathered from the psychosocial assessment.</p> <p>3. Based on the client's answers, help them come up with a plan to talk and spend time with the people they identified, including doing the activities that make them feel better. Explain that they can use this plan whenever they feel [insert appropriate feeling].</p> <p>4. Ask the client if there is anyone they would like to share their plan with who can help remind them of it.</p>		
<p>Actions to be taken:</p>	<p>Supervisor signature:</p>	<p>Caseworker signature:</p>	

Endnotes

1 This form has been adapted from the Child Protection Case Management Supervision Package developed by the Child Protection Case Management Task Team

Supervisor Form 2

Session Observation¹

Purpose of the Form: This should be used as a guide for the supervisors when observing the provision of Protection Case Management services by a caseworker. This form is part of the regular coaching and feedback should be provided in individual supervision sessions.

Before

The Supervisor should	The caseworker should
<ul style="list-style-type: none">• Discuss the process with the caseworker so that they feel reassured about the exercise, allowing the caseworker to ask any questions and raise any concerns they have in advance of the scheduled observation exercise• Schedule an observation with an appropriate case in advance with the caseworker• Be familiar with the client's case file ahead of joining a meeting and any issues that may arise• Ensure that consent has been obtained for the visit	<ul style="list-style-type: none">• Schedule the interviews or meetings with a client with an appropriate case. The caseworker should obtain the clients informed consent/assent• Eventual risks or concerns associated with the observation should be discussed with the client. If no concern is underlined and the client provides consent, then the observation can take place

Client code: _____

During

The Supervisor should	The caseworker should
<ul style="list-style-type: none">• Allow the caseworker to take the lead• Don't interrupt the caseworker unless it is necessary• Explain that you will be taking notes about the caseworker's practice and let the client see the notes if they are interested• Take notes according to the observation tool, highlighting specific examples for areas of improved or good practice that can be praised afterward• Fill the observation tool, making sure that concrete examples are noted	<ul style="list-style-type: none">• Introduce the client to the supervisor and remind them why the supervisor is joining the visit• Lead the session with the client as though the supervisor is not present

After

The Supervisor should	The caseworker should
<ul style="list-style-type: none">• Complete the observation tool, including constructive and positive feedback• Shortly after the session, have an individual supervision session with the caseworker to provide feedback from the observation	<ul style="list-style-type: none">• Participate in an individual supervision session with the supervisor and share reflections/feelings about the observation• Ask any questions that may exist from this specific session or technical areas that the supervisor can provide more guidance on

Case number

Date

Caseworker code

Supervisor

Mark which stage of the CM process you are observing:

Identification & registration	
Risk assessment	
Action plan	
Implement action plan	
Follow up, monitoring	
Closing	

Areas of Observation	Examples (Did the caseworker...)	Examples observed and comments for the caseworker
<p>1. Preparation</p> <p>Demonstrate proper planning and organization for the session including making any adjustments for participation</p>	<ul style="list-style-type: none"> • Ensure the available background information was gathered and adjustments/considerations were made prior to the session to ensure full participation of the client • Select an accessible, comfortable, safe and private location based on the client's preference • Have a clear objective/goal for the session 	

Areas of Observation	Examples (Did the caseworker...)	Examples observed and comments for the caseworker
<p>2. Introduction Introduce the session appropriately to the client, create a comfortable and safe space</p>	<ul style="list-style-type: none"> • Introduce themselves by name, role and organisation in a way that the client could understand • Explain to the client the purpose of the interaction in a simple and clear way 	
<p>3. Address barriers Makes adjustments to overcome barriers if not already done so/new barriers identified</p>	<ul style="list-style-type: none"> • Assess the any barriers to the client's full participation including for informed consent • Involve the client to agree upon ways to address barriers including for communication 	
<p>4. Confidentiality Protect the client's confidentiality through data protection and their informed consent</p>	<ul style="list-style-type: none"> • If completing an intake or referring the case, obtain the clients informed consent/assent by explaining the Protection Case Management/referral process and the client's rights, as well as confidentiality, including data protection protocols, and limits of confidentiality (e.g. mandatory reporting policies, potential risks and benefits) • Keep all documents secure • Take notes and document the case only once obtained informed consent 	

Areas of Observation	Examples (Did the caseworker...)	Examples observed and comments for the caseworker
<p>5. Communication Engage using effective communication techniques that are age, gender, disability and diversity appropriate</p>	<ul style="list-style-type: none"> • Body posture remains open and facing the client, keeping eye contact but remaining respectful of local customs • Use active listening skills • Mirror language used by the client and keep eye contact • Stay calm and comforting throughout the interaction • Ask open-ended questions • Use reframing and summarising • Reflect on what the client has shared • Check-in regularly with the client to ensure that they're accurately understanding 	
<p>5. Trust Seek to establish or maintain trust, create a healing relationship</p>	<ul style="list-style-type: none"> • Greet the client warmly • Give full attention • Use healing statements such as: <i>you for sharing your story with me, you can take your time, I understand you are feeling (frustrated, angry, sad, etc.), it is a very normal reaction for someone in your situation etc.</i> • Avoid interrupting the client • Listen before asking questions • Provides relevant and accurate information in response to questions • Avoid making promises that cannot be fulfilled • Not distracted by forms and note taking 	

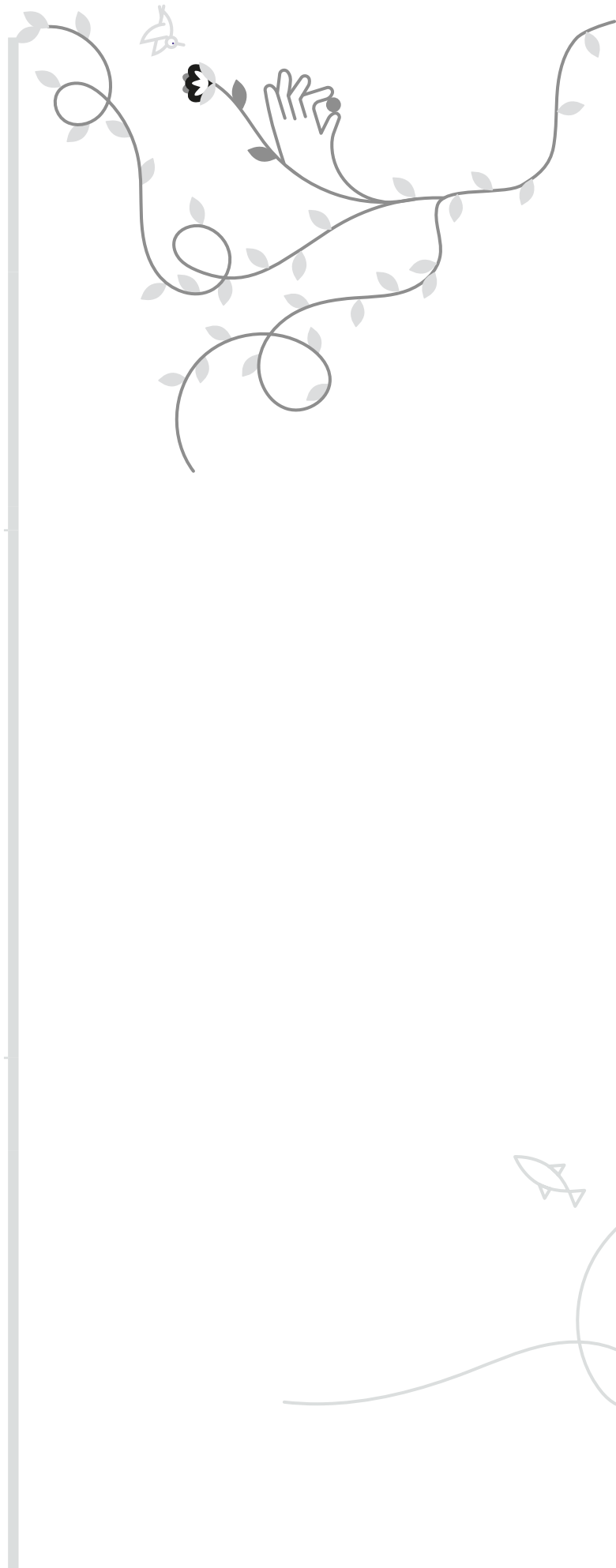
Areas of Observation	Examples (Did the caseworker...)	Examples observed and comments for the caseworker
<p>6. Client-centred Seeks to draw on the client's strengths, promotes client's participation and seeks to understand their wishes</p>	<ul style="list-style-type: none"> • Give full attention • Invite the client to express their own opinions and feelings throughout the session • Communicate with the client using non-judgmental language • Respect the clients wishes • Support the client's strengths and capacities through the development on the action plan and its implementation • Be sensitive when arranging services, speaking and listening, and acknowledge the client may have experienced trauma • Give the client time to make decisions and allow them to pause or stop the session at any time • Develop the action plan together 	
<p>7. Safety Assess the client's safety and other immediate needs</p>	<ul style="list-style-type: none"> • Assess the immediate safety needs (if applicable) • Assess the client's sense of personal safety in the home and community • Review the safety plan (if applicable) with the client 	

Areas of Observation	Examples (Did the caseworker...)	Examples observed and comments for the caseworker
<p>8. Closing Close the session appropriately</p>	<ul style="list-style-type: none"> • Summarise what happened during the session with the client and thank them for their participation • Ask if the client has any questions • Agree with the client in a simple and clear manner what will happen next and when • Ensure that the client is aware of how to contact the caseworker (if necessary) 	

Actions to be taken:

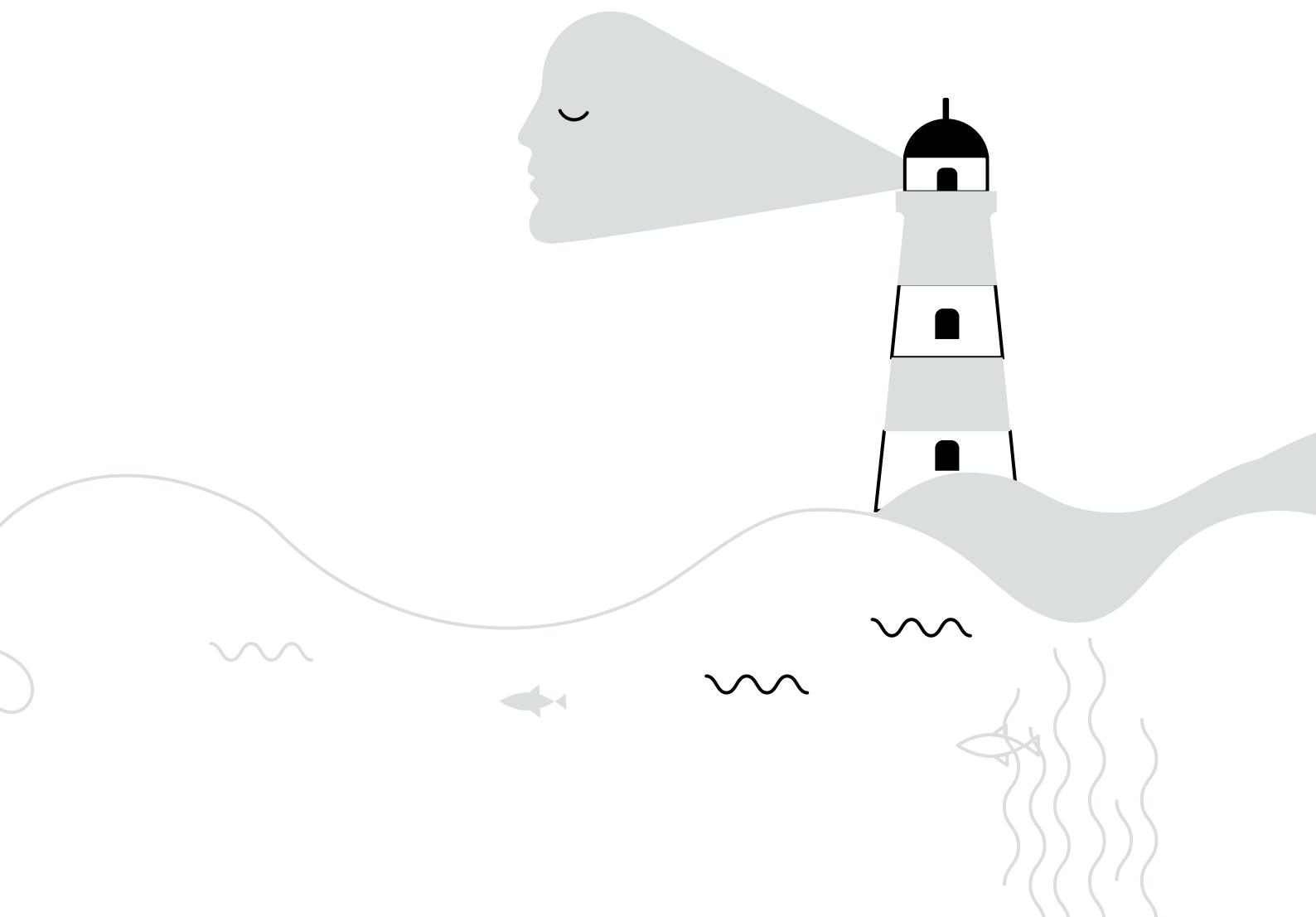
Supervisor signature:

Caseworker signature:



Endnotes

1 This form draws heavily from the observation form in the Child Protection Case Management Supervision and Coaching Training Package, 2018, The Alliance for Child Protection in Humanitarian Action, Case Management Task Force



Supervisor Form 3

Shadowing¹

Purpose of the Form: To be used by a caseworker as a guide while watching an experienced caseworker or supervisor interact with a client. Reflections and discussions of shadowing sessions should occur in individual supervision sessions.

Before

The Supervisor should	The caseworker should
<ul style="list-style-type: none">• Discuss the shadowing process with the caseworker so that they understand the purpose of the exercise, allowing the caseworker to ask any questions and raise any concerns they have in advance of the scheduled shadowing exercise• Arrange a shadowing visit with an appropriate case and ensure that informed consent occurs with the client• Ensure that consent was obtained for the visit	<ul style="list-style-type: none">• Attend Protection Case Management training.• Be familiar with the client's case file ahead of joining a meeting

During

The supervisor/senior caseworker should	The caseworker should
<ul style="list-style-type: none">• Introduce the client to the caseworker and remind them why they are joining the visit• Explain that the caseworker might be taking notes about the supervisor's practice and let the client see the notes if they are interested	<ul style="list-style-type: none">• Not interrupt the supervisor/senior caseworker• Take notes to apply theory to practice• Fill the shadowing tool, making sure that concrete examples are noted

After

The Supervisor should	The caseworker should
<ul style="list-style-type: none">• Shortly after the session, have an individual session with the caseworker to discuss the shadowing session• Some questions that the supervisor should ask include: hat did you observe during the session?;; What did you learn?; What went well?; What might you do differently?; Do you have any questions?	<ul style="list-style-type: none">• Complete the shadowing tool, including questions for the supervisor• Participate in an individual supervision session with the supervisor, and share reflections and observations from the shadowing session• Ask any questions that may exist from this specific session or technical areas that the supervisor can provide more guidance on

Date

Caseworker code

Supervisor

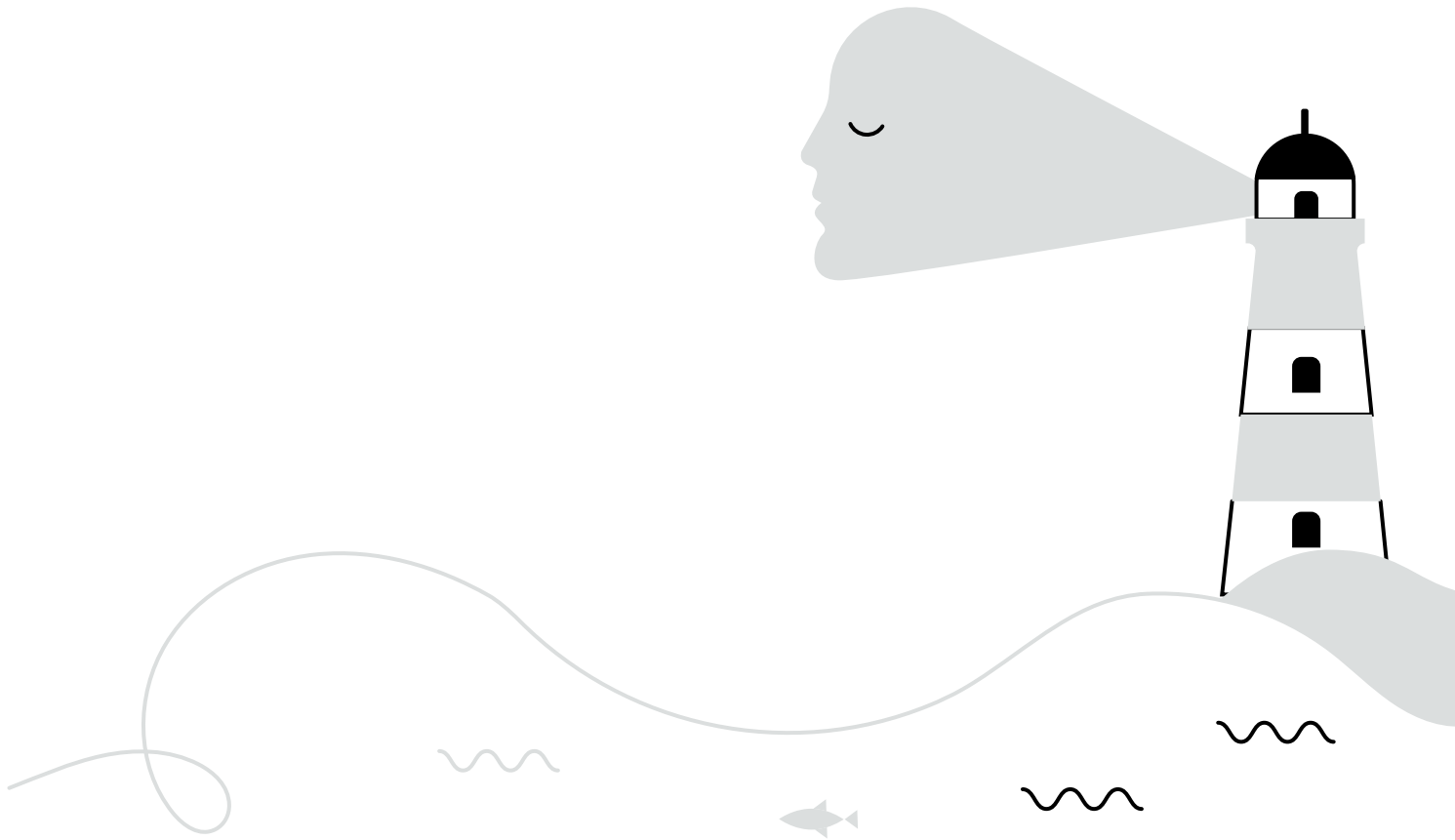
Identification & registration	
Risk assessment	
Action plan	
Implement action plan	
Follow up, monitoring	
Closing	

Areas of observation during the meeting	List examples observed and questions for the supervisor
<p>1.Preparation Demonstrate proper planning and organisation for the session including making any adjustments for participation</p>	
<p>2.Introduction Introduce the session appropriately to the client, create a comfortable and safe space</p>	
<p>3. Address barriers Makes adjustments to overcome barriers if not already done so or new new barriers have been identified</p>	
<p>4. Safety Assess the clients safety and other immediate needs</p>	
<p>5. Confidentiality Protect the clients confidentiality through data protection and their informed consent</p>	
<p>6. Communication Engage using effective communication techniques that are age, gender, disability, and diversity appropriate</p>	
<p>7. Trust Seek to establish or maintain trust, create a healing relationship</p>	
<p>7. Client-centred Seeks to draw on the client's strengths, promotes clients participation, and seek to understand their wishes</p>	

Areas of observation during the meeting	List examples observed and questions for the supervisor
8. Closing Close the session appropriately	
Actions to be taken	Caseworker

Endnotes

1 This form draws heavily from shadowing form in the Child Protection Case Management Supervision and Coaching Training Package, 2018, The Alliance for Child Protection in Humanitarian Action, Case Management Task Force



Supervisor Form 4

Case File Checklist Tool¹

Purpose of the Form: This tool should be used as a guide for supervisors to review a single case. This tool is part of regular coaching, and feedback should be provided in individual supervision sessions. It can also be used to review multiple case files independently and, where common trends are observed (i.e. mistakes or misunderstandings), these can be addressed in group sessions.

Identification & registration	
Risk assessment	
Action plan	
Implement action plan	
Follow up, monitoring	
Closing	

General documentation	Y/N/NA	Comments/recommendations
1 Paper documentation for each case is stored in its own individual file		
2 Case files are clearly labeled with the individual case code		
3 Each step in the case management process that occurred thus far has a corresponding form		
3 All relevant sections of the forms are filled out completely and accurately according to the status of the case		

Identification	Y/N/NA	Comments/recommendations
1 The clients age, gender and disability bio-date have been correctly captured		
2 Barriers to participation have been assessed and measures are in place to address these		
3 Information captured in the identification demonstrates correct identification of the violation type(s)		
4 The risk level determination appears correct		
5 Informed consent/assent to collect, store and share information has been obtained from the client		

Assessment	Y/N/NA	Comments/recommendations
1 The risk assessment was carried out within 1 week of the identification (or based on the risk level or in accordance with timelines agreed upon in country)		
2 The assessment comprehensively described the risk factors and protective factors for the client		
3 Both immediate risks and longer term needs are captured		

Case action planning and safety planning	Y/N/NA	Comments/recommendations
1 The case plan was completed within 2 weeks from the completion of the assessment (or based on risk level or according with timelines agreed upon in country)		
2 The actions within the case plan are realistic and address the identified risks in the assessment		
3 The case plan was developed with the client		
4 Goals are specific, measurable, action-oriented and time-bound (SMART) as much as possible		
5 Roles and responsibilities of different actors required to reach the goals in the case plan are clearly defined		
6 If a client indicates they are at risk currently, there is a complete safety plan		
7 Safety plan was realistic and aligns with identified risks		
8 Safety plan was complete within 24-48 hours of the risk being identified		

Implementation of the case plan	Y/N/NA	Comments/recommendations
1 Client has been linked with relevant and available services according to their case plan and informed consent/assent has been taken		
2 Appropriate steps taken to ensure referrals are safe and only include 'need to know' information		
3 Where required, mental health and psychosocial support (MHPSS) has been provided and referrals completed		
Follow up and review	Y/N/NA	Comments/recommendations
1 Follow up was conducted regularly according to case plan		
2 Review of case plan was carried out at least once every three months with client		
3 Based on the review, the case plan is adjusted accordingly		
Case closure	Y/N/NA	Comments/recommendations
1 The reason for the closure is clearly documented		
2 Documentation indicates that: <ul style="list-style-type: none"> • The client discussed readiness and agreed to close the case • Contact information was given in the event the client wants to re-access services 		

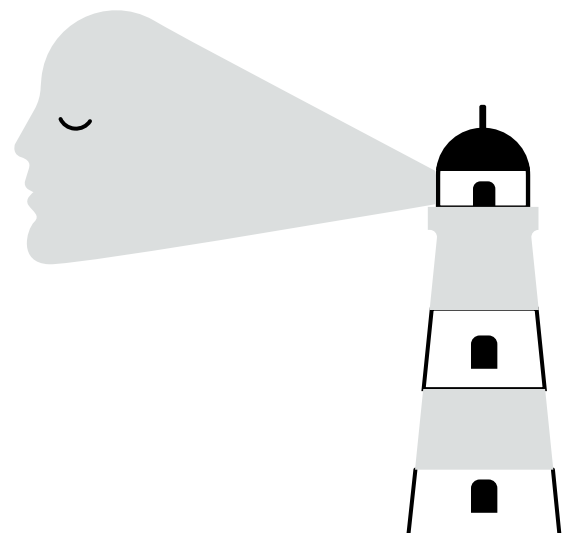
Case closure	Y/N/NA	Comments/recommendations
3 Approval of the supervisor was sought prior to closing the case		
4 A client feedback survey was requested/conducted		
4 A follow up visit was planned with the client to conduct a visit within 3 months after the case was closed		

Actions to be taken

Supervisor:	Caseworker:
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Endnotes

1 This form has been adapted from the case audit file in the Child Protection Case Management Supervision and Coaching Training Package, 2018, The Alliance for Child Protection in Humanitarian Action, Case Management Task



Supervisor Form 5

Case Discussion¹

Purpose of the Form: This should be used by a supervisor to facilitate a collaborative dialogue with a case worker during an individual or group supervision session to analyse a case and explore potential options and ways forward.

If a case is discussed in a group setting, it is important that the supervisor ensures the caseworker is prepared and comfortable sharing in front of their peers. In order to maintain confidentiality, the discussion should occur in a private space without using identifying information and according to the “need to know” principle. No details related to the case should be discussed externally.

The questions under each header are suggested, but can be adapted. At times, it could be helpful to use a flipchart to draw out the client’s situation as presented by the caseworker.

Identification & registration	
Risk assessment	
Action plan	
Implement action plan	
Follow up, monitoring	
Closing	

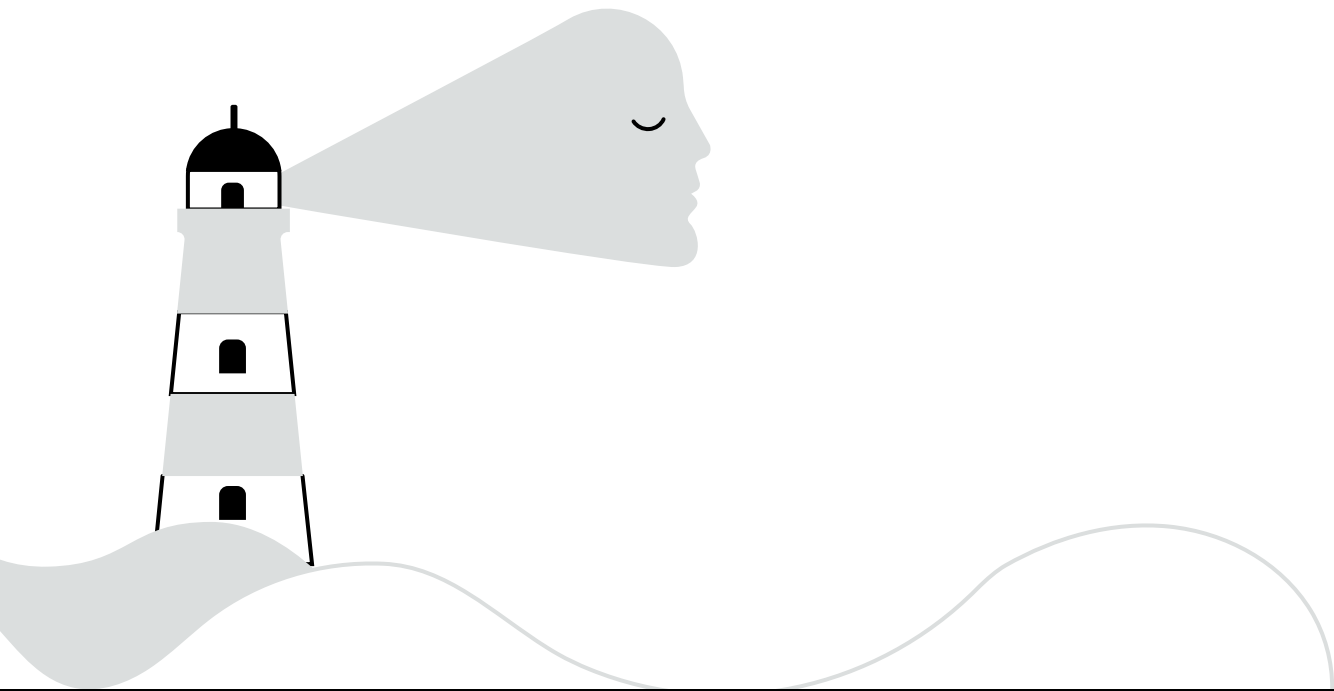
Background: client Information – prompts	Notes from discussion
<ul style="list-style-type: none"> • Referral source and date • Clients gender, age, nationality, disability status • Protection status (i.e. IDP) • Type of residents (i.e. urban/rural) • Living arrangement (i.e. living with whom) 	
Current situation/protection concerns	
<ul style="list-style-type: none"> • Describe the main protection issue in the case, including any specific abusive or violent incidents, if applicable. • Are there immediate safety concerns? If yes, from where/who? Who can provide immediate protection to the client (explore network and resources)? • How does the client view their situation? What are the client’s priorities? • What are the roles and attitudes of their close social circle? Are they supportive? How is the relationship with the client? Is anyone implicated? • Is the client at risk of further abuse or violence? • Are other household, community, group members experiencing, or at risk of, abuse? • Does the client have other needs and/or risk-factors that make the case higher risk? • What are the strengths or resources for the client? Do they have access to, either internally or through their family, or broader community? • What does the client see as possible ways forward? 	

Background: client Information – prompts	Notes from discussion
<p>Actions taken/challenges</p> <ul style="list-style-type: none"> • Briefly describe the work done on the case so far • Describe the safety plan, including the measures put in place • What services have been provided directly? • What referrals have been made? Has the client received those services? What was the quality of those services? • What have been some of the particular challenges (e.g. concerns, referrals, engagement)? • Questions to open a discussion – supervisor questions • What are the possible options to respond to the challenges with the case? • What are potential positive and negative effects of the options? • Are there contingencies that should be considered? • What are ideas and tips for bringing in people involved in the client’s life (if consent given), to lead to a positive change? 	
Good practices/learning points	Notes from discussion
<ul style="list-style-type: none"> • Highlight any particular good practices or successful approaches (e.g. client-centred, finding ways of enhancing collaboration, and motivations to change) • Highlight similar cases and responses taken 	

Identify next steps	Notes from discussion
<ul style="list-style-type: none"> • Agree on a way forward including any services to be provided, discussions to hold with the clients, or follow-up to be conducted by agencies (note the person responsible and timeline) • Highlight any broader advocacy issues 	
Actions to be Taken	
Supervisor:	Caseworker:

Endnotes

1 This form is adapted from the case discussion form in the Child Protection Case Management Supervision and Coaching Training Package, 2018, The Alliance for Child Protection in Humanitarian Action, Case Management Task Force



Record Form 1

Individual Supervision Meeting Record¹

Purpose of the Form: This should be used by a supervisor to facilitate a collaborative dialogue with a case worker during an individual or group supervision session to analyse a case and explore potential options and ways forward.

If a case is discussed in a group setting, it is important that the supervisor ensures the caseworker is prepared and comfortable sharing in front of their peers. In order to maintain confidentiality, the discussion should occur in a private space without using identifying information and according to the “need to know” principle. No details related to the case should be discussed externally.

The questions under each header are suggested, but can be adapted. At times, it could be helpful to use a flipchart to draw out the client’s situation as presented by the caseworker.

Identification & registration	
Risk assessment	
Action plan	
Implement action plan	
Follow up, monitoring	
Closing	

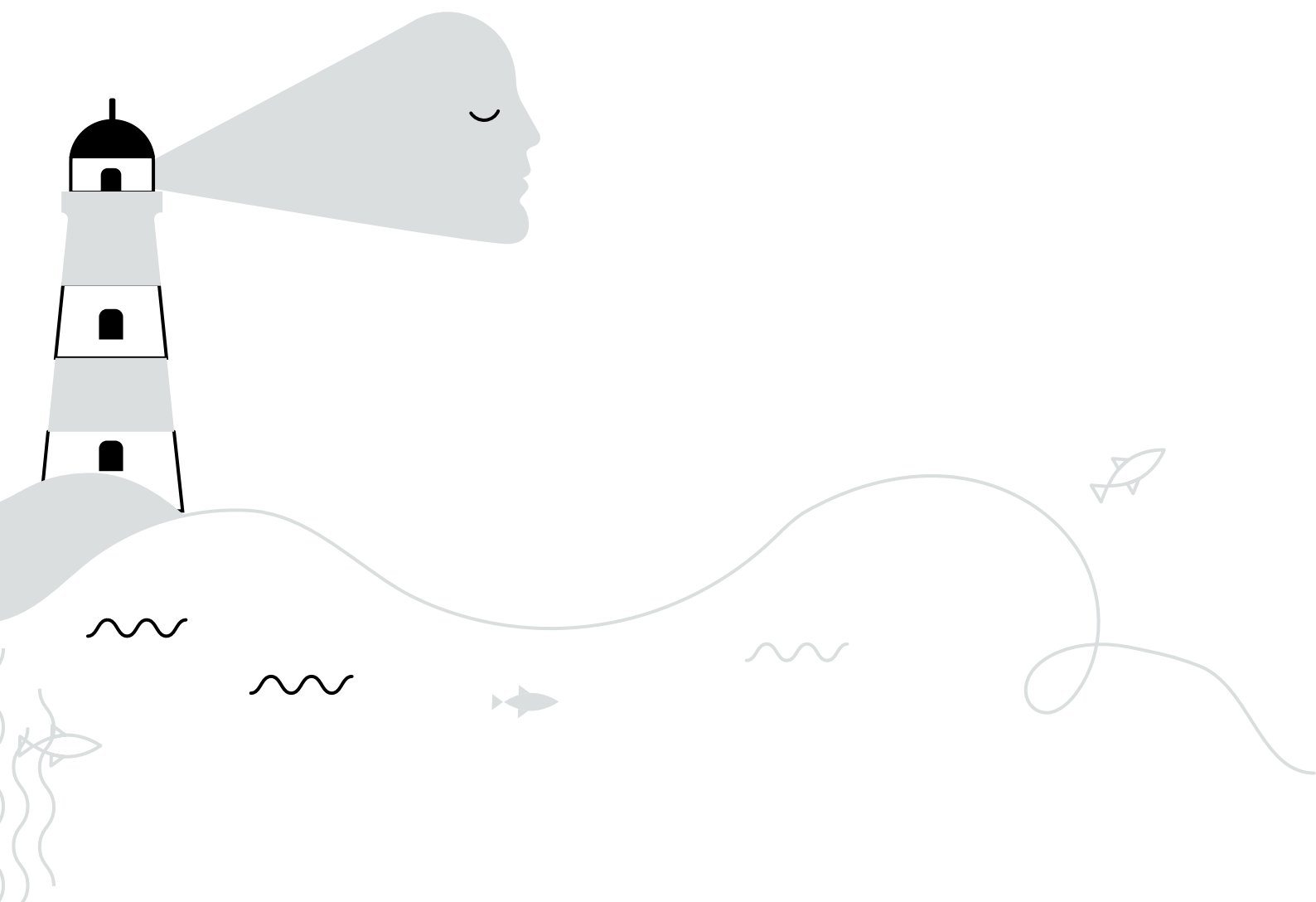
Supervision practices conducted this period		
# Shadowing visits	# Observation visits	# Case files reviewed

Agenda	Sample discussion questions	Notes from discussion
<p>Opening and check-in:</p> <ul style="list-style-type: none"> Review action points from the previous meeting and any challenges faced Set and agree upon agenda 	<ul style="list-style-type: none"> <i>How was the week/period for the caseworker? Are there issues that they would like to add to the agenda?</i> <i>What are the caseworker's priorities within the hour?</i> 	
<p>Administrative:</p> <ul style="list-style-type: none"> Review of current caseload <i>If appropriate use Supervisor Form 5: Case Discussion Tool</i> Other logistics, human resource, operations points for discussion 	<ul style="list-style-type: none"> <i>Are there any personal HR issues that should be discussed?</i> <i>How many new cases the caseworker has registered and the number of high-risk cases or cases requiring intensive actions or response?</i> <i>Are there any operational or logistical challenges that need to be addressed?</i> <i>What are some particular challenges the caseworker is facing? Would they like some feedback or guidance?</i> <i>What are some accomplishments with cases to be celebrated?</i> 	
<p>Development:</p> <ul style="list-style-type: none"> Attitudes Knowledge Communication Skills *Refer to <i>Supervisor Form 1: Caseworker Capacity Building Assessment</i> 	<ul style="list-style-type: none"> <i>Are there any skills or information that the caseworker would like to work on?</i> <i>What application of CM knowledge/skills from training or coaching is the caseworker implementing in their daily work?</i> 	

Agenda	Sample discussion questions	Notes from discussion
<p>Supportive:</p> <ul style="list-style-type: none"> • Check in with caseworker • Explore possible self-care strategies or support needed 	<ul style="list-style-type: none"> • <i>How is the caseworker feeling in their work?</i> • <i>Are there any triggers/ red flags that may be an indication of needing extra support or of potential burnout?</i> • <i>Any impact on self or personal life related to specific, high risk cases in particular?</i> 	
<p>Discussion of supervision practices utilised in the past week/period:</p> <ul style="list-style-type: none"> • Concrete and detailed feedback for caseworker on the exercise - positive and constructive 	<ul style="list-style-type: none"> • <i>What does the caseworker think about the shadowing, observation session or the case files selected and reviewed?</i> • <i>Does the caseworker have any questions or concerns?</i> 	
<p>Closing and action points:</p> <ul style="list-style-type: none"> • Agree on the main action steps to be taken, following the meeting and the agreed upon time frame for accomplishing these tasks. 	<ul style="list-style-type: none"> • <i>What are the caseworker's main priorities for improving practice and outcomes for the clients?</i> • <i>What are the supervisor's main priorities for the caseworker to improve practice and outcomes for the client?</i> 	
<p>Actions to be taken:</p>		
<p>Supervisor:</p>	<p>Caseworker:</p>	

Endnotes

1 This form is adapted from the Individual supervision record in the Child Protection Case Management Supervision and Coaching Training Package, 2018, The Alliance For Child Protection In Humanitarian Action, Case Management Task Force



Record Form 2

Group Supervision Meeting¹

Purpose of the Form: The supervisor can use this form to take minutes of meetings and to track progress made with caseworkers during group supervision meetings. It also assists the supervisor to facilitate a discussion with caseworkers about the functions of supervision.

Date

Caseworker code

Supervisor name

Agenda	Notes from discussion
<p>Welcome, opening and check-in</p> <ul style="list-style-type: none">• The supervisor greets the team (can use an icebreaker or energiser).• Agenda is reviewed and agreed upon by the team.• Establish or briefly review meeting "agreements" especially related to sharing of information.	



Agenda	Notes from discussion
<p>Administrative</p> <ul style="list-style-type: none"> • Supervisor shares reflections from the past week and provides updates on logistics, reporting, recruitment, etc. • Supervisor invites caseworkers to ask questions or share if they are facing any administrative or operational challenges in their work. • Caseworker check-in (each team member shares the following): <ul style="list-style-type: none"> • A success or positive experience from the week • Challenges that they have been experiencing • Anonymous review of: <ul style="list-style-type: none"> • Number of open cases • High-risk cases and some medium-risk cases [stagnating cases, complex protection issues, etc.] 	
<p>Development</p> <ul style="list-style-type: none"> • Based on the capacity building plans of the caseworkers, the supervisor can suggest potential topics for a team learning event (such as teach-back, guest speaker, or special events). • Caseworkers should be asked to share any learning opportunities they are aware of, or if they have a topic they wish to teach-back to the team. 	
<p>Supportive</p> <ul style="list-style-type: none"> • Track progress towards the goals. Discuss if the goals are still relevant. • Supervisor or caseworker can propose team-building activities or address team wellness issues they have noted since the last meeting. 	

Agenda	Notes from discussion
<p>Closing and action points</p> <ul style="list-style-type: none"> • Summary of the meeting, highlighting the action points raised and the expected timeframe. • Schedule for the following week. 	
<p>Actions to be taken by the supervisor:</p>	<p>Actions to be taken by caseworkers:</p>

Endnotes

1 This section draws heavily from the Case Meeting Record Form used in the Child Protection Case Management Supervision and Coaching Training Package, 2018, The Alliance for Child Protection in Humanitarian Action, Case Management Task Force

