

City of Bradford Metropolitan District Council

Case File Audit Moderation & Learning Guidance

The moderation of audits is essential to ensure quality and consistency in the auditing process. The moderation process allows the Quality Assurance (QA) & Audit Team to monitor the grading quality of all audits, whilst providing in-depth support for auditors who need it.

Moderation measures audits against the grading standards set by Ofsted in their ILACS guidance, and ensures the audit is of sufficient quality and detail to allow learning on the part of the practitioner.

Moderation is part of a learning process and aims to coach auditors to develop their practice and their understanding of the audit task.

Support for auditors

All auditors will routinely receive a copy of the guidance and an offer of support with the details of each monthly audit.

Newly appointed auditors will be contacted by the QA & Audit Officer by email, and offered training on the Bradford audit tool and a sample of completed audits to help them understand what is required.

Audits received that provide insufficient detail will be returned to the auditor with advice and support, in order that they can be completed to the required standard and resubmitted.

For details on how to complete Case file audits, please see the “Case File audit guidance”.

Choosing audits to be moderated

All audits will be reviewed by the Q&A and Audit Officer. Those of a good standard that are appropriately graded will have their grading confirmed.

The QA & Audit Officer will choose a 50% sample of monthly audits for detailed moderation. This will be based on the following criteria:

- First audit of a new auditor.
- Audits which appear to be unsuitably graded.
- Auditors who have struggled with audit quality and grading previously
- A sample of audits completed by proficient auditors to ensure quality is maintained.

Completing moderations

All moderations will be completed on the Audit Moderation Record.

Audits are measured on the rigour of the auditor's grading judgment and the quality of their audit. The moderator will identify areas of good practice and areas for development and will make recommendations for the auditor's practice. The moderator will also comment on the quality of practice in the case and recommend remedial actions if the auditor has not already done so. The moderator may also make recommendations that are for the audit team to take forward that are good learning points at an organisational level. The moderator will review the case file as well as the audit in order to ensure that information is correct and fully reported.

The moderator will assess the following:

- Audits acknowledge and comment upon the key elements of the case.
- Compliance has been measured through the Yes/No and n/a check box and the auditor has made a further comment about the quality of the task that has been carried out.
- The auditor has graded the audit using the criteria set out in the "Case file audit guidance" and provided a rationale for their grading.
- There is a clear action plan for the social worker and the team manager to enable them to bring the case file up to good.

Moderator feedback

Where audits are considered to be satisfactory, the moderator will advise the auditor by email and attach a copy of the moderation. The moderator will also send the Team Manager a copy of the moderation at the same time.

Where there are concerns about the audit or the grade has changed at moderation stage, the moderator will invite the auditor to a telephone discussion about the outcome of the moderation and provide guidance. Auditors are required to participate in this feedback. The moderation will not be sent onto the Team Manager until the discussion has taken place with the Auditor, unless this would create unreasonable delay in Team Managers becoming aware of necessary additional actions.

Sample audits can be provided where relevant, and auditors will be offered the option of their next audit being reviewed prior to submission, for additional guidance. A copy of the moderation will be emailed to the auditor.

A copy of the moderation will also then be sent to the team manager of the case.

A moderation report will be compiled for Heads of Service to enable them to provide further support to auditors who are struggling with audit quality.

Further concerns

If auditors do not respond to the offer of coaching and a further unsatisfactory audit is received, the moderator will detail the concerns about the audit and forward this to the auditor's manager, requesting that the concerns are discussed in supervision and an action plan be set. A further offer of coaching will be included in the email.

Identifying serious concerns on the casefile

The moderator may complete a full audit of the case themselves at any time if they become concerned that significant risks have been missed by the service and by the auditor.

Audit moderation record

Case ID	
Name of auditor	
Date of audit	
Name of moderator	
Date of moderation	

Original audit grading (tick as applicable)		Moderated grading (tick as applicable)	
Outstanding		Outstanding	
Good		Good	
Requires Improvement		Requires Improvement	
Inadequate		Inadequate	

Comment on the rigour of the grading:

Comment on the overall quality of the audit:

Comment on the overall quality of practice in the case:

Have the auditor's recommended actions been discussed in supervision and completed?

Recommendations:

1.	
2.	
3.	
4.	
5.	