

**Solution-Based Casework
Certification Assessment for Caseworkers and Case Planners
Case Record Review Tool**

Caseworker/Case Planner Assessed: _____

Reviewer's Name: ¹ _____

Date(s) of Review(s): _____

Division: _____ Program: _____ Office _____

Case Code: _____ (use non-identifiable case code to protect confidentiality)

Directions: Evaluate the 3 designated SBC cases worked on during the Implementation Phase. Check the box that best fits the Caseworker's level of performance based on what is in the Case Record. Provide comments where necessary to explain your ratings. Submit with recommendation for SBC Certification.

NOTE: *Case Record refers to everything that is available in the Assessment, Case Plan, and the Ongoing Case Notes*

A. Do They Understand Who is in the Family and What Actually Happened?					
Unsatisfactory (1)	Marginal (2)	Practicing (3)	Proficient (4)	Excelling (5)	No opportunity to observe the skill <input type="checkbox"/>
The record does not indicate SBC documentation.	The record has some SBC documentation, but it is not correct.	The record has most of the SBC documentation, and some of it is correct.	The record has all of the required SBC documentation and almost all of it is correct.	The record has all required SBC documentation and all of it is correct.	
A1 Identifying Family Members and Support Systems					
Is there a genogram in the case record that shows the family's membership and support system. Are there Case notes that describe the conversation with the Caseworker and the family regarding their support system.					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					

¹ SBC Certified Coach or SBC Certified Manager

A2 Tracking the Sequence					
Does the Case Record contain a step-by-step “story” of what actually happened regarding the everyday life of the family that led to the issue of abuse or neglect? Is there also a description of whose personal problems interfered with safety and/or adequate care and a description of the nature of those problems interfering with family safety and care?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
A3 Searching for Exceptions					
Does the Case Record describe times the family and its members were able to safely manage the issue(s) that were unsafe or neglectful?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
B. Can They Organize The Work?					
B1 Family Level Outcomes (Objectives)					
Are FLOs anchored in developmental challenges, written in everyday language, and do they address the priority safety concerns? Is each outcome written to specify what will be different, e.g.: <i>The family will use their ___ plan to ___ (description of the safety issue that they will manage).</i>					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
B2 Individual Level Outcomes					
Are ILOs anchored in the presenting problem and assessment, written in everyday language, and do they address the personal pattern of behavior that is putting the family’s safety and care at risk? Is each outcome written to specify what will be different, e.g. “Person’s name” will use his/her ___ plan to <i>(description of the personal behavior that they will manage)?</i>					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					

B4 Outcome Tasks (Outcome Steps)					
Do the Tasks of each outcome (objective) state a date for developing a plan to meet the outcome, what service will assist them with developing the plan, whom the plan will be shared, and that it will be documented and celebrated?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
B5 Child /Youth Well Being Outcomes (Objectives)					
If the children are in care, are their needs and outcomes described and documented? Are the outcomes written in everyday language and written to specify how the children’s needs will be met while they are in care?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
B5 Co-Creating Family Agreements					
Does the Case Record include documentation that the family was a partner in co-creating the Case plan (Family Agreement)?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
C. Are They Able to Develop and Work Specific Action Plans?					
C1 Developing Plans with Families					
Is there a co-developed <u>Specific Action Plan</u> in the Case Record for every FLO and ILO, and Child/Youth Outcome (if appropriate) and:					
(1) Are the plans Specific, Measurable, Accessible, Realistic and Time-Oriented (SMART)?					
(2) Do they include tasks that the family already does well (exceptions)?					
(3) Does the plan show direct correlation to improving the situation first tracked in the sequence of events?					
(4) Do they include plans for documenting and celebrating progress?					
If a service referral was required for a specific behavior plan, do Progress Notes document discussions with a provider about creating the plan to help the family or individual achieve the outcome?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					

C2 Helping Families Share Their Plans					
Is there a description in the Progress Notes about whom the family wants to share their plans with? Are there Progress Notes reflecting that the Caseworker insured that others were made aware of progress and change?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
C3 Helping Families Use Their Plans					
Are there Progress Notes describing how the Caseworker has helped the family to use their plans? Are there Progress Notes showing how the plans were modified if a task was not working and needed modification?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
D. Are They Able To Document And Celebrate Progress?					
E1 Documenting Progress					
Do Specific Action Plans or Progress Notes describe how the Caseworker helped the family monitor and document small steps of progress? Do Progress Notes depict how the Caseworker got others involved in noticing progress and capturing change? Do the Progress Notes document a discussion with the family what if progress is not being made?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Practicing 3 <input type="checkbox"/> Marginal 2 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					
E2 Celebrating Progress					
Do the Progress Notes indicate that the Caseworker took steps to celebrate small steps of progress, particularly early, but consistently through out the casework? Do the Progress Notes indicate the caseworker knows how to use Positive reinforcement and provide hope versus only noticing when things are going wrong?					
Unsatisfactory 1 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Marginal 2 <input type="checkbox"/>	Proficient 4 <input type="checkbox"/>	Excelling 5 <input type="checkbox"/>	No opportunity to observe the skill <input type="checkbox"/>
Rationale For Rating:					