

QAF Quality Assurance Regime – QA1

The table below conveys the suggested level of quality assurance to be undertaken within the Disclosure Unit.

Type of Quality Assurance Review	QA undertaken by (or equivalent)	Recommended (minimum) percentage to be checked
Completed Case review – QA of closed cases	QA Team/Disclosure Unit Supervisor/ Disclosure Unit Manager	*5%
<p><b>Description:</b> An end-to-end review of closed cases. A reasonably representative selection of cases should be reviewed. You should assess the accuracy of Hit recording (AT2) and the quality of the rationales supporting the entire decision-making process (AT3), up to and including the Chief Officer rationale for disclosure (where applicable).</p>		
Agent Review	QA Team/Disclosure Unit Supervisor/ Disclosure Unit Manager	*DU discretion
<p><b>Description:</b> The Disclosure Unit management are best-placed to assess to day-to-day need for (and frequency of) QA of individual agents. The percentage of such QA should be governed by experience; changes to practice; outcomes from Complete Case reviews etc.</p>		

All QA activity should be recorded; the date of the QA should be recorded, along with the name(s) of those individuals for whom feedback/remedial action is being recommended.

The outcome of the QA check should be recorded along with the resulting action/remedial activity (where appropriate). A simple spreadsheet is provided to demonstrate the minimum level of recording detail that is required.

QA records should be kept in accordance with your retention policy for QAF AT2/3 documents and made to SCU on request and during Compliance Visits to your Disclosure Unit.

You should review and evaluate the outcomes of your QA activity and determine whether SCU support would help to address what has been identified.

\*The QA carried out at 'DU discretion' should not contribute toward the routine QA percentage of Closed Cases