



Due Diligence Information:

This form has been devised by BABICM to support case managers with the information they might usefully provide to those from whom they receive referrals or instructions.

Case managers	
BABICM membership of case managers	<i>You may wish to list all case managers and whether they are members of BABICM and in which membership categories?</i>
Registration of case managers	<i>You may want to list your case managers and whether they have registration with professional bodies, such as HCPC/NMC/Social Work England/Scotland/Wales/BASRAT?</i>
Background checks of case managers	<i>This may include reference checks and enhanced DBS/PVG (Scotland) checks</i>
Clinical supervision of case managers	<i>You may want to provide a copy of your supervision policy or describe your process</i>
Training and development	<i>This may include your induction process. You may wish to use this section to demonstrate the standards of your workforce.</i>

Case management provider	
Nature of employment	<i>Do you use employed, self-employed case managers or both?</i>
Registration of company/service provider, if required	<i>You may wish to say if you are required to be registered with CQC/CIW/CIS? You may wish to say what regulated activities you complete. You may wish to include any current inspection rating level or inspection report.</i>
Type of client group you work with	<i>You may wish to say which client conditions you accept referral for? You may wish to say whether you work with both adults and children.</i>
Insurance details and level of indemnity	<i>You may wish to share information on whether you hold: Public liability Employer's liability Professional indemnity</i>
Policies and procedures	<i>You may wish to share details of your data protection procedure, your privacy policy and complaints procedure</i>



Safeguarding and risk management process	<p><i>You may wish to describe details of your safeguarding processes/procedures and how you manage safeguarding concerns.</i></p> <p><i>You may want to include details of your risk management process.</i></p> <p><i>You may wish to describe your process for covering cases in the event of sickness/holiday</i></p> <p><i>You may wish to share your policy or detail your processes for handling client events, such as incidents/accidents and near misses.</i></p>
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Standards of clinical practice	
Model or approach of case management	<i>You may wish to describe how you ensure that your clients wishes and goals are central to your work.</i>
Audits	<i>You may wish to discuss the audits you complete within your working practice.</i>
Record keeping	<i>You may wish to share your record keeping policy or describe how you keep client information safe and accurate.</i>

Employment/Supervision of support workers	
Employment status of support workers	<p><i>You may wish to say how you work with support workers? E.g. agency/direct employment</i></p> <p><i>Where you employ or manage directly employed support workers or work with self-employed support workers, you may wish to say what due diligence do you undertake?</i></p> <ul style="list-style-type: none"> • <i>DBS</i> • <i>References</i> • <i>Training record</i> • <i>Right to work in UK</i>
HR support	<i>You may wish to describe any employment law support offered, including how disciplinary/grievance processes would be managed.</i>
Payroll	<i>You may wish to say whether you offer payroll services.</i>
Insurance	<i>You may wish to describe insurance available</i>
Supervision and monitoring	<i>You may wish to describe your supervision process and how you monitor support worker intervention</i>
Training and development	<i>You may wish to describe your induction process.</i>



	<p><i>You may wish to describe what training support workers complete.</i></p> <p><i>You may wish to describe how development of support workers is approached.</i></p>
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Due diligence carried out on third parties	
Instruction of health and social care professionals to work with your client	<p><i>You may wish to note any checks you complete on health and social care professionals that you engage on behalf of your clients</i></p> <ul style="list-style-type: none"> • <i>Insurance</i> • <i>DBS</i> • <i>Professional registration</i> • <i>Other</i>
Instruction of other professionals	<p><i>You may wish to describe checks you complete on other professionals, such as personal trainers/tutors</i></p>
Care/nursing/support worker agencies	<p><i>You may wish to describe any checks you carry out on agencies</i></p> <ul style="list-style-type: none"> • <i>Registration/CQC/CIS/Care Inspectorate status</i> • <i>DBS confirmation</i> • <i>Training</i> • <i>Other</i>
Other workers	<p><i>You may wish to describe any checks you complete on other workers, e.g. cleaners/gardeners</i></p>