

Leeds City Council Children's Social Work Service
Case File Audit Framework

METHOD	→	IMPROVEMENT OUTCOME
---------------	---	----------------------------

CASE FILE CHECKS (Social Workers/Admin Support)	→	Well presented case files, maintained to the required standards
--	---	--

CASE FILE AUDITS	→	<ul style="list-style-type: none"> • Improved recording practice • Regulatory compliance • Corrective actions identified
-------------------------	---	---

SUPERVISION	→	<ul style="list-style-type: none"> • Management oversight of case files (including assessments) • Professional development and training needs identified • Corrective actions addressed
--------------------	---	--

1. Introduction

This Case File Audit Framework (CFAF) relates specifically to practice and record keeping in relation to Children and Young People with active involvement from the Children's Social Work Service. It should be viewed as a subsection of the Children's Social Work Service Quality Assurance Framework (QAF).

On the 30.07.2012 there were 5997 open case episodes representing children allocated to Social Work professionals across the local authority. The CFAF aims to ensure that the quality assuring of a representative sample of children's social work case file records is achieved in a systematic and measurable way.

Quality Assurance is an important role for every social care professional. Case file audits foster improved consistency in practice across the city and drive up the quality of the services provided to vulnerable children, young people and their families in Leeds.

It is recognised that the process of auditing can improve performance. "Where [case file] auditing takes place, the quality of case recording is pushed up" (*Recording With Care 1.23. 1999*). Consistent scrutiny of practice makes explicit the services' expectations of each practitioner and enables the manager to provide evidenced feedback about good or acceptable practice, or to address any unacceptable performance where it may be identified.

2. The aims of this Case File Audit Framework are:

- To examine records in paper case files, and those records on Frameworki, to arrive at a conclusion about the quality of practice.
- To ensure that case file records are quality assured in a manner in which data can be collated in order to address practice and recording activity.
- To ensure that case file records are maintained in accordance with Key Practice Standards (*Practice Standards Manual 2011, p. 9*).
- To quality assure assessments so that "All children and young people for whom the local authority has a responsibility will have a good quality social work assessment and analysis of their needs on their record that is produced within specified timescales." (*Practice Standards Manual p.30*).
- To ensure good planning for children.
- To quality assure management scrutiny.
- To ensure that National Minimum Standards, legislative requirements and departmental guidance and policies are maintained.
- To ensure that case file records demonstrate:
 - How children and their families are being supported in order to strengthen families (Families First Leeds)
 - How children are being supported in order for them to achieve the five outcomes, (including the three obsessions).
 - The use of restorative practice.
 - The achieving of the eleven priorities within the CYP Plan that are key to children and young people's well being (see Table 1 on next page).

Table 1. The Five Outcomes and Eleven Priorities

5 Outcomes	11 Priorities
CYP Are safe from harm.	<p>1. Help children to live in safe and supportive families.</p> <p>2. Ensure that the most vulnerable are protected.</p>
CYP Do well in learning and have the skills for life.	<p>3. Improve behaviour, attendance and achievement.</p> <p>4. Increase numbers in employment, education or training.</p> <p>5. Support children to be ready for learning.</p> <p>6. Improve support where there are additional health needs.</p>
CYP Choose healthy lifestyles.	<p>7. Encourage activity and healthy eating.</p> <p>8. Promote sexual health.</p>
CYP Have fun growing up.	<p>9. Provide play, leisure, culture and sporting opportunities.</p>
CYP Are active citizens who feel they have voice & influence.	<p>10. Reduce crime and anti-social behaviour.</p> <p>11. Increase participation, voice and influence.</p>

3. The quality assurance tools used include the following:

3.1 Case file checks conducted by Social Workers together with their allocated administrative support worker See Appendix A. This ensures that case files are well presented and maintained to the required standards should they be required for auditing by:

- Team Managers, Service Delivery Managers, Independent Reviewing Officers, Heads of Children’s Social Work Service, and the Chief Officer of the Children’s Social Work Service.
- The Children’s Performance Service
- OFSTED during unannounced inspections.

3.2 Case File Auditing

3.2.1 Team Managers remain central to ensuring that all work is undertaken to a good standard and will quality assure case file records by conducting case file audits:

- Upon receiving the case file of a child to be transferred to the team.
- Before transferring files to other teams.

3.2.2 Regular monthly auditing of case file records is undertaken by those with line management responsibility for service delivery. This includes the Chief Officer of the Children’s Social Work Service, Heads of the Children’s Social Work Service, Service Delivery Managers, Team Managers and Independent Reviewing Officers/LADO from the Integrated Safeguarding Unit.

- 3.2.3** Audit information is centrally collated to highlight the quality of professional practice and compliance with procedures and national minimum standards. This information provides objective and independent quality assurance to the agency's work.
- 3.2.4** The audit tool in Frameworki remains the key audit tool for all ongoing work. (See Appendix B). This produces profiles based on professional judgements of the standard of practice across five dimensions. It demonstrates the extent and shape of good practice across the service, and identifies those practice areas, localities and staff who may need support to bring their practice up to the standards set out in the Practice Standards Manual. There are plans for this audit tool to be adapted in order to improve the streamlining of the audit process when the new electronic recording system is introduced.
- 3.2.5** The audits scrutinise the previous 12 months of each case file record.
- 3.2.6** Newly appointed staff (performing an auditing role) are provided with training to use the PIP audit tool. The provision of further training will be available to ensure the clarification of consistent standards of quality assurance within the auditing role.
- 3.2.7** Administrative support staff will identify work spaces/IT equipment for the use of auditors. They will also ensure the availability of case file records at area offices and their return to the allocated Social Worker after completion of each audit.
- 4** Sample of Case files to be audited and recording of audits.
- 4.1** The Children's Performance Service produces monthly samples of cases to audit. (The Child Health and Disability Team self allocate cases for auditing). Auditors receive monthly emails with their sample contained in an attachment.
- 4.2** The audit consists of a random sample of cases which have not been audited during the previous twelve months. The full spectrum of cases is audited, though if the need arises it will be possible for Heads of Service to specify a theme of particular interest so that the sample can be drawn up accordingly.
- 4.3** Audits are recorded electronically on the Child Case File Audit Activity Plan on Frameworki in accordance with the practice improvement audit requirements.
- 5** The Auditors' roles:
- The Head of Children's Social Work will audit 1 case file record per month.
 - Heads of the Children's Social Work Service will audit 2 case file records per month. Area Heads of the Children's Social Work Service will re-audit cases from their own areas which three months earlier were awarded unacceptable overall judgement scores of one or two. The aim of these re-audits is to identify the level of practice improvement made. In addition,

Area Heads of the Children's Social Work Service may elect to audit case file records from their own areas, in order to address specific performance/practice issues which may arise.

- Service Delivery Managers will each audit 2 case files per month. In addition, SDMs may elect to audit case file records from their own area in order to address specific performance/practice issues which may arise. The sample of cases selected for SDMs to audit will be cross matched from other teams within their own localities.
- Team Managers will audit 2 case files per month. In addition, Team Managers may elect to audit their own team's case file records in order to address specific performance/practice issues which may arise. The sample of cases selected for Team Managers to audit will be cross matched from other teams within their own localities.
- Team Managers from the Integrated Safeguarding Unit will each audit 2 case files per month
- Independent Reviewing Officers from the Integrated Safeguarding Unit will each audit 2 case files per month.

6 The Children's Performance Service will:

- Prepare samples of case file records to be audited each month.
- Disseminate relevant information regarding the monthly samples to auditors.
- Collate city wide information regarding the audit outcomes, with the aim of identifying any underlying trends.
- Present quarterly reports to the Children's Senior Leadership Team. Where there are shortfalls in the service or new developments are identified to address unmet needs, these will be incorporated into an Action Plan suggesting further areas of work for SLT to consider.
- Quality assure a sample of audits.
- Address with Team Managers any concerns regarding individual practice issues in order to ensure appropriate resolution of such concerns.
- Address with Team Managers/Advanced Practitioners any general concerns regarding practice issues in order to ensure their appropriate resolution at team level.

7. Corrective actions.

Auditors record any necessary corrective actions for cases they have audited and cascade these electronically on Frameworki to the case holding Team Manager. This information is then drawn to the Team Manager's attention via Workload Manager.

On receiving the above notification, Team Managers discuss the required corrective actions with the allocated Social Worker during formal supervision.

The Team Manager will ensure that all corrective actions are undertaken in a timely manner and will record the date that the corrective actions were completed.

Corrective actions must be completed within fourteen days of their notification.

The Children's Performance Service analyse and report on any outstanding corrective actions fifteen days after their monthly expected completion date.

8. The Fostering and Adoption Service conducts case file audits in accordance with the requirements of the Fostering and Adoption Service Quality Assurance Framework. The audit tools used for the Fostering and Adoption Team audits differ from that used for area team case file audits. Only the case file records of active Foster Carers will be audited.
 - 8.1 A sample of Adopters' case file records are audited during the following periods:
 - Before going to Adoption Panel.
 - At the point of matching.
 - Six months after the child has been placed and every six months thereafter.
9. The Child Health and Disability Team (CHAD) Service Delivery Manager and Team Managers will each audit 2 case files per month from teams within the CHAD service area.
 - 9.1 A random sample of cross team cases will be selected and audited by the CHAD Team Managers. Where concern arises regarding safeguarding issues in respect of cases held by CHAD Social Workers, these cases will also be cross team audited.
10. The number of social work case file records to be allocated for auditing per annum will be:

By 24 IROs (LAC)	576
By 12 IROs (Safeguarding/reviewing)	288
By 2 LADOs	48
By 38.5 FTE Team Managers	924
By 13 SDM's	288
By HOS (including the Head of Children's Social Work).	108
Total	2232

- 10.1 The completion of the above number of audits would achieve the auditing of 37.2% of the case records of the 5997 open case episodes. NB. This is the number of audits expected of a full complement of established full-time equivalent posts. The capacity for auditing can be significantly affected by the rate of vacancies within these positions.

10.2 Each Fostering and Adoption Service auditor will audit four case records per month. The number of case file audits to be completed by the Fostering and Adoption Service per annum will be 432.

Audits by 4 Fostering Team Managers	192
Audits by 3 Adoption Team Managers	144
Audits by SDM /DSDM	96
Total	432

This will ensure the auditing of:

- 38.7% of the 496 registered L.C.C. Foster Carers' files.
- 70 approved Adopter's case files (on average) twice per annum.

10.3 The grand total of case file audits to be completed by the Children's Social Work Service per annum is: **2664**.

Appendix A

Information Standards: Check List of Essential Information for Children in Need (including Looked After Children and Children subject to a Child Protection Plan)

When checking case files, staff should consider the relevance of all the information below, ensuring anything relevant is accurate and up to date. This list has been revised in June 2011. Updates have been made to Section 9: Referrals to update referral outcome information. Section 11: Initial and Core Assessments to update information relative to a concurrent Strategy Discussion and to Section 12 to include the new Child Protection Process Activity Plan and expand information explaining the meaning of various outcome options for activities within the plan.

If you require further guidance on recording – consult the Framework Children’s Recording Guidance.

Check List Reference	Information Required	Information Fields used to Support Statutory Reporting
1	<p>All Children:</p> <p>Personal Details</p>	<p>Contact:</p> <ul style="list-style-type: none"> • Frameworki Ref No • Full Name – has to be full legal name • Aliases • Gender – use this to also show “unborn” • DOB • Expected date of birth (when appropriate) • DOD (when appropriate) • Ethnic Type • Ethnic Sub Type
2	<p>All Asylum Seeking Children:</p> <p>Immigration Status</p>	<p>Contact:</p> <ul style="list-style-type: none"> • Immigration Status (MUST include. To/From dates as status changes) • Home Office No
3	<p>All Children Current Address:</p> <p>(address where they are currently living this will be a key placement address for CLA) For CLA – address history must include address where child lived immediately prior to becoming looked after – the “To” date on this address will be date they became looked after.</p>	<p>Contact > Address:</p> <ul style="list-style-type: none"> • Full Address • Postcode • From Date • To Date (when move) • Comments – essential to support any particular info important to the current address <p>The postcode is submitted to DCSF.</p>

4	<p>All Children who are Young Carers:</p> <p>Relationship: Young Carer/Cared for by Young Carer</p> <p>NOTE: If a child has more than one relationship type with someone e.g. they are a young carer for their Mother and also a daughter. You must set up two Relationship Types to show each relationship separately. Young Carer/Cared For by Young Person and Daughter/Mother</p>	<p>Contact Screen: If a child is a Young Carer, there must be a Contact record for the person they care for. Their records must be linked via an appropriate Relationship Type. The Cared for person should have a full name, address, DOB as a minimum. The Cared for person may be an Adult Social Care Service User.</p> <p>Relationships:</p> <ul style="list-style-type: none"> • Young Carer (the child) : Cared for by Young Carer (the person the child cares for) • “From” &”To” dates as appropriate
5	<p>All Children who are privately fostered:</p> <p>Relationship: Privately Fostered Child/Private Foster Carer</p>	<p>Contact Screen: If a child is privately fostered, there should be a Contact Record for the Private Foster Carer and their record should be linked to the child they privately foster via Relationships:</p> <p>Relationships:</p> <ul style="list-style-type: none"> • Privately Fostered Child : Private Foster Carer • “From” &”To” dates as appropriate
6	<p>All Children:</p> <p>Relationships: Siblings, carer/parent and other significant relationships</p> <p>Siblings who are also active cases must have their own record, fully completed for all relevant work done with them</p>	<p>Contact: Where appropriate, significant people in a child’s life e.g. Parents, siblings, should have their own Contact record and be linked via Relationships.</p> <p>Relationships:</p> <ul style="list-style-type: none"> • Appropriate reciprocal relationship • “From” & “To” dates as relevant • Primary Carer: Tick this if the person linked to the child is their Primary Carer
7	<p>Any Child who is disabled:</p> <p>Disability Type</p>	<p>Contact > Health:</p> <ul style="list-style-type: none"> • Category: Disability • Sub Category: Select the defined Disability Health Tab • Disability Type <ul style="list-style-type: none"> • Start/Due date* = Condition Start date. <p>Plus, if appropriate (i.e. disability no longer relevant):</p> <ul style="list-style-type: none"> • Actual End Date = Condition Impact End Date <p>Record a new Disability Category for each Disability Type identified If there are any doubts about start dates leave it blank as long as the worker confirms the Disability Type is current and correct.</p>

8	<p>All Children who are of school age:</p> <p>School/College etc Attended</p>	<p>Contact > Education: Header Selection: Schools Attended</p> <ul style="list-style-type: none"> • School Name/Type • Date Started at the school • Date left the school • Tick if current school <p>Date Reason left</p>
9	<p>All Children</p> <p>Referral Details</p>	<p>Referrals:</p> <ul style="list-style-type: none"> • Referral Date • Primary Referral Reason – essential and added by Team Manager • Referral Method • Referral Agent and sub type • Primary Referral Outcome – this denotes the most important next action. Outcomes defining actions requiring a case episode for further work take precedent when several outcomes are to be recorded. Strategy Discussions to decide if S47 enquiries are required take precedent over all other outcomes. Initial assessments take precedent when a Strategy Discussion is not required. <p>If S47 enquiries are to be started: Primary Outcome : Hold Strategy Discussion Second Outcome: Initial Assessment</p> <p>If an Initial Assessment only is required (no Strategy Discussion) Primary Outcome: Initial Assessment</p> <p>The following outcomes should <i>never</i> be the Primary Outcome if a case episode to allow further work is to be opened.</p> <ul style="list-style-type: none"> • NFA • Info and Advice Given, • Re directed to other agency • Referred to other dept/agency <p>Log details of enquiry only</p>
10	<p>All Children :</p> <p>Case Episode Details</p> <p>See also 15 below for Case Closure</p>	<p>Case Episode:</p> <ul style="list-style-type: none"> • CIN code* • Case Episode Start Date • Case Episode End Date • Case Episode Status • Case Episode Closure Reason

	<p>The CIN code on the Case Episode can change over time if the reasons for working with a child change. The CIN code on Legal Status <i>must</i> be the CIN defined on the date the Child Started to be Looked After. The Legal Status CIN will never change as it reflects the CIN at a point in time.</p> <p>For CLA – ensure the Legal Status has ended before a case is closed.</p>	<ul style="list-style-type: none"> Care Team: Key worker**/Team <p><i>* Also, if CLA</i></p> <ul style="list-style-type: none"> CIN on the Legal Status (CIN at start of first Legal Status in a continuous episode of care) <p>** Key workers who are qualified social workers (registered with the GSCC) must have the QSW flag on their Employee Record ticked. Sys Admin should be asked to do this if the flag is not ticked.</p>
<p>11</p>	<p>All Children: Initial and Core Assessments</p> <p>All completed (status “Done”) Initials and Cores MUST have an Actual Start Date, Actual End Date and Outcome.</p> <p>Unless a Strategy Discussion to decide if a S47 Enquiry is required, the Primary Referral Outcome must be Initial Assessment whenever an Initial Assessment is required. In these circumstances “Hold Strategy Discussion” is the primary outcome and “Initial Assessment” is the secondary outcome. If S17 payments, info and advice etc are also offered, these must be secondary referral outcomes.</p>	<p>Case Episode > Activity Plan Child Assessment Process Activity Plan Core on an Open Case Activity Plan</p> <p>The following fields <i>must</i> be populated for all completed assessments.</p> <ul style="list-style-type: none"> Sub Type Actual Start date Actual End date Outcome <p>If the decision of a concurrent Strategy Discussion is to instigate a S47 enquiry, the Initial Assessment and Strategy Discussion will both end on the same date. (i.e. the Actual End Date of the deciding Strategy Discussion). The Outcome of the Initial Assessment will be “Core Assessment”. The Core Assessment also starts on this date as a S47 enquiry is carried out as part of a core assessment.</p>
<p>12</p>	<p>S47 Child Protection Process</p> <p>When a child enters the Child Protection Process, the Team Manager must create a Child Protection Process Activity Plan. If this happens following a referral of type “new”, the Team Manager must create the Child Protection Process Activity Plan and the Child Assessment Activity Plan as both processes run in parallel. The Primary Referral Outcome will be “Hold Strategy Discussion” & the second outcome will be “Initial Assessment”.</p>	<p>Case Episode > Activity Plan: Child Protection Process</p> <p>The following fields on each relevant activity within the Plan must be populated:</p> <ul style="list-style-type: none"> Activity Type: Sub Type: Actual Start date Actual End Date Outcome <p>The outcome of each activity determines the next step – see below for each activity.</p> <p>Secondary outcomes can be selected – if there is more than one outcome make sure</p>

	<p>Where a Strategy Discussion decides a S47 enquiry is required, the Initial Assessment is deemed as being completed at the same time. The S47 enquiry is held as part of a core assessment.</p> <p>If the decision to hold a Strategy Discussion is made on an open case, the Team Manager must create the Child Protection Process Activity Plan. If the Strategy Discussion decides a S47 enquiry is to be held, the Team Manager must also create a concurrent Core on Open Case Activity Plan as the S47 enquiry will be held as part of the core assessment.</p>	<p><i>those selected do not contradict each other. Also make sure that only the primary outcome auto generates the next activity (where the outcome is relevant for this to be required). You must not choose two outcomes that both generate a next activity in the Plan.</i></p>
<p>1. Strategy Discussion/Subsequent Strategy Discussion: Possible Outcomes</p>		
<p style="text-align: center;">▪ S47 Core Req'd book ICPC</p> <p>When this is a relevant outcome it <i>must</i> always be the primary outcome. Entering this outcome will generate the S47 Enquiry activity. If the Strategy Discussion started from a referral of type “new”, complete the Initial Assessment using the same Actual End Date as the Strategy Discussion. A S47 enquiry is always carried out as part of a core assessment. If the Strategy Discussion has been held on an open case, create a “Core on Open Case” Activity Plan using the Actual End Date of the Strategy Discussion as the Planned Start Date of the Core on Open Case Activity Plan.</p> <p>The Child Protection Process is still ongoing, any secondary outcome selected must not contradict the primary outcome – i.e. they must not show the Child Protection Process has ceased</p>		
<p style="text-align: center;">▪ Subsequent Strategy Discussion</p> <p>A further strategy discussion is required to decide if the case is to proceed to a S47 enquiry. A new activity “Subsequent Strategy Discussion will be auto generated.</p> <p>The Child Protection Process is still ongoing, any secondary outcome selected must not contradict the primary outcome – i.e. they must not show the Child Protection Process has ceased</p>		
<p style="text-align: center;">▪ Continue S17 as part of core</p> <p>Selecting this means the child protection process has finished. A core assessment is to start under S17 of the Children Act. No further activities will be generated under the Child Protection Activity Plan. This outcome cannot be used in conjunction with the outcome “S47 Req'd as part of Core book ICPC” or “Subsequent Strategy Discussion”.</p>		

	<ul style="list-style-type: none"> ▪ Child become looked after ▪ Child died ▪ Child moved abroad ▪ Child moved out of LA <p>These outcomes indicate the Child Protection Process has finished. These outcomes cannot be used in conjunction with each other or the outcomes “S47 Req’d as part of Core book ICPC” or “Subsequent Strategy Discussion”</p>
	<p>2. S47 Enquiry as part of core: Possible outcomes</p>
	<ul style="list-style-type: none"> ▪ Substantiated Child at Risk <p>This means an ICPC is required and an ICPC activity will be automatically generated.</p> <p>If the concerns are substantiated and the child is at risk but the situation is to be resolved by some other means and an ICPC is not required, do not choose the outcome “Substantiated Child at Risk” but select the outcome that best describes the alternative action to negate the ICPC. These will ensure that an ICPC activity will not be created in error. There are 3 reasons that could negate the need for an ICPC even though the S47 enquiry found concerns to be substantiated and the child at risk:</p> <ul style="list-style-type: none"> ▪ Child becomes looked after ▪ Child moves abroad ▪ Child moved out of LA
	<ul style="list-style-type: none"> ▪ Concerns Not Substantiated ▪ Substantiated – Not at Risk <p>These outcomes mean the Child Protection Process has stopped. An ICPC activity will not be created. If a secondary outcome is also selected make sure it supports the meaning of the primary outcome.</p>
	<p>3. Initial Child Protection Conference: possible outcomes</p>
	<ul style="list-style-type: none"> • Child Subject to CP Plan <p>This will generate the CPR Registration Activity under the CPR Tab to be updated by staff in CPU only</p>
	<ul style="list-style-type: none"> ▪ No CP Plan required

	The ICPC has been held and a Child Protection Plan is not required. If there is reason why the plan is not required which is defined by another outcome use it as a secondary outcome.	
	<p>ICPC reconvened</p> <p>If the ICPC has to be reconvened, use this as the primary outcome. A further "Reconvened ICPC" activity will be created which should be completed when the ICPC eventually takes place. Secondary outcomes can be used to show why the ICPC has to be reconvened. E.g. Education inquire.</p>	
13	<p>All Children receiving services</p> <p>Full details of all services will be required in the Care Plan.</p> <p>If you cannot find a Product Type to match a service, contact Sys Admin.</p> <p>Care plans can be started as early as the Initial Assessment.</p>	<p>Case Episode >Care Option/Care Plan Line Items:</p> <ul style="list-style-type: none"> • Product Line/Type/Sub Type • Start Date • End Date • Status – Active if service ongoing • Start Reason – essential for placements • End Reason – essential for placements • Key Placement (CLA key placements only) <p>Child receiving support under S17 (i.e. child is not CLA or CPP but case open beyond Initial assessment). As a minimum these children must have a care plan with a minimum service to show ongoing social work support:</p> <ul style="list-style-type: none"> • Product Line: ChildServ – Commis & SW > Assmt & Care Management > Social Worker* (*or other worker type if more appropriate) • Start Date: Normally date Initial Assessment Ends but can be an earlier date if appropriate (i.e. when Initial Started) <p>Child Looked After: These children must have a care plan. The majority will only have placement information in their care plan. They do not receive services under S17 and do not require a line item to show ongoing social work support.</p>
14	<p>All Children for whom relevant: SEN</p>	<p>Contact > Education:</p> <p>Header Selection: PEP and SEN Type: SEN Statement Sub Type: SEN or SEN Review</p> <ul style="list-style-type: none"> • Due Date • Planned Start • Actual Start

		<ul style="list-style-type: none"> Planned Completion Actual Completion Outcome Comments
15	<p>All Children for whom relevant: Transitions Plan</p> <p>(14+ with a SEN or 14+ and funded for inclusion)</p>	<p>Case Episode > Activity Plan :</p> <ul style="list-style-type: none"> Activity Type: Transitions Plan Sub Type: Transitions Plan Actual Start Date Actual End Date Status: Done
16	<p>All Children:</p> <p>Case Episode: Case Closure</p> <p>DO NOT USE the Case Closure Reason “NFA after assessment” unless the case is actually closing after the initial assessment.</p>	<p>Case Episode:</p> <p>To close the Case Episode:</p> <ul style="list-style-type: none"> End Date Status Case Closure Reason <p>When a case closes it should be checked for accuracy and completeness using the Essential Information Checklist. Use the Activity Type “Case File Check” to show this has been done.</p> <ul style="list-style-type: none"> Activity Type: Case File Check Sub Type: Check on case closure Outcome: Checked & Frameworkki updated OR Checked, no updating required
Additional Information for CIN who are Children Looked After		
17	<p>Children Looked After:</p> <p>Legal Status</p> <p><i>When a placement and legal status change at the same time make sure the Start/End dates tally on the Placement and Legal Status.</i></p> <p>Do not close the case episode whilst the Legal Status is ongoing.</p>	<p>Contact > Legal Status</p> <ul style="list-style-type: none"> Legal Type Start Date End Date Continuous Care Start Date Status CIN code (at start of first Legal Status) Start Reason End Reason

	The renewal of a legal status is not a change in legal status.	When a LS changes, the End Date of the ceasing LS <i>must</i> be the same as the Start Date of the new LS.
18	<p>Children Looked After: Placements:</p> <ul style="list-style-type: none"> • Key placements • Short breaks <p><i>When a placement and legal status change at the same time, make sure the Start/End dates tally on the Placement and Legal Status</i></p>	<p>Case Episode> Care Option/Care Plan</p> <ul style="list-style-type: none"> • Product Line: Children Looked After • Sub Type: As per placement • Start Date • End Date • Status • Start Reason • End Reason • Key Placement <p>The placement address must also be the current Address off the Contact.</p>
19	<p>Child Looked After: Missing</p> <p>Missing – In Refuge Or Missing – Whereabouts known Or Missing – Whereabouts unknown</p> <p>If a child is missing for more than 24 hours, the missing placement becomes their key placement.</p>	<p>Case Episode > Care Option/Care Plan</p> <ul style="list-style-type: none"> • Product Line: Children Looked After • Product Type: Other Child • Product Sub Type: <ul style="list-style-type: none"> ○ Missing – In Refuge ○ Missing - Whereabouts known ○ Missing - Whereabouts unknown • Start Date • End Date • Start Reason • End Reason
20	<p>CLA ceasing to be looked After for whom a Residence Order Made</p> <p>If the child is to continue to receive social work support once the RO is made, the case should remain open. The Care Plan should reflect the ongoing RO support. There is no need to show any on going payments (DCSF change of definition 09/10 CIN).</p>	<p>Contact > Legal Status:</p> <p>End the current Legal Status to show Child no longer looked after</p> <ul style="list-style-type: none"> • End Date: Date LS ends* and Residence Order Starts • End Reason: Residence Order Made <p><i>* Check the current key placement is also ended on this same date</i></p> <p>Create a Relevant Order for the Residence Order:</p> <ul style="list-style-type: none"> • Legal Type : Relevant Order

	<p>If the child does not require further active support from social workers and the only service is a regular payment, the Case Episode and everything within the CE should be closed. There is no requirement to show the payment in the care plan. The open Relevant Order off Contact shows the child is subject to an RO.</p>	<ul style="list-style-type: none"> • Start Date: Date Legal Status ended and the Residence Order Started • End Date: Blank whilst payments are ongoing/RO in place • Continuous Care Start Date: Blank • Status : Residence Order • Act: Children (1989) • Court: As appropriate • CIN code: Blank but ensure the CIN on the Case Episode is correct • Start Reason : Blank • End Reason: Blank <p>If ongoing social work support is continuing whilst the RO is in place, keep the Case Open and update the Care Plan with:</p> <p>Product line: Family Support Services > Other Family Support Services > Residence Order Support. Start Date: Date RO granted (as per Start Date on the Legal Type above)</p> <p>If there is no active involvement (payment only): Close the Care Plan and Case Episode but ensure Legal Type is recorded as open as above</p>
<p style="text-align: center;">21</p>	<p>Child where a Special Guardianship Order has been granted</p> <p>May be granted on a CLA ceasing to be looked after but also granted for children who have not been looked after</p> <p>If the child is to continue to receive social work support once the SGO is made, the case should remain open. The Care Plan should reflect the ongoing SGO support. There is no need to show any on going payments (DCSF change of definition 09/10 CIN).</p> <p>If the child does not require further active support from social workers and the only service is a regular SGO payment, the Case Episode and everything within the CE should be closed. There is no requirement to show the payment in the care plan. The open Relevant Order</p>	<p>Contact > Legal Status:</p> <p>If the SGO is being made as the Child ceases to be looked after: end the current Legal Status to show Child no longer looked after</p> <ul style="list-style-type: none"> • End Date: Date LS ends* and SGO starts • End Reason: Special Guardianship Order <p><i>* Check the current placement is also ended on this same date</i></p> <p>Create a Relevant Order for the Special Guardianship Order</p> <ul style="list-style-type: none"> • Legal Type : Relevant Order • Start Date: Date SGO Started (& LS ended if CLA ceasing to be looked after) • End Date: Blank whilst payments are ongoing/SGO in place • Continuous Care Start Date: Blank • Status : Special Guardianship Order • Act : Adoption and Children (2002) • Court : As appropriate

	<p>off Contact shows the child is subject to an SGO.</p>	<ul style="list-style-type: none"> • CIN code: Blank but ensure the CIN on the Case Episode is correct • Start Reason : Blank • End Reason: Blank <p>If ongoing social work support is continuing whilst the SGO is in place, keep the Case Open and update the Care Plan with:</p> <p>Product line: Family Support Services > Other Family Support Services > Special Guardianship Support. Start Date: Date SGO granted (as per Start Date on the Legal Type above)</p> <p>If there is no active involvement (payment only): Close the Care Plan and Case Episode</p>
22	<p>Child Looked After: Health Checks</p> <p>All Due, Completed and Cancelled</p> <ul style="list-style-type: none"> • HNA's, • Dental Checks • Development Assessment (DA) 	<p>Contact > Health: Category: Medicals</p> <ul style="list-style-type: none"> • Sub Category : Health Needs Assessment • Sub Category: Dental Check • Sub Category: Select appropriate DA date period <p>If the appointment took place complete as follows:</p> <ul style="list-style-type: none"> • Date Due • Actual Appointment Date • Actual Date Attended • Status – “Done” • Outcome – most relevant <p>If the appointment doesn't take place</p> <ul style="list-style-type: none"> • Date Due • Actual Appointment Date • Actual date Attended – Leave Blank • Status – “Cancelled” • Outcome – most relevant
23	<p>All Children Looked After who have been identified as having Substance Misuse issues</p>	<p>Contact > Health:</p> <ul style="list-style-type: none"> • Category: Substance Misuse • Sub Category : As appropriate • Date Identified • Where Identified

		<ul style="list-style-type: none"> • Date Intervention Offered • Intervention Offered <p>If Intervention Offered also record:</p> <ul style="list-style-type: none"> • Date Intervention Started • Intervention Type • Agency • Date Intervention Ended <p>Use free text in Comments & Substance Details Boxes as appropriate, at any stage of recording.</p>
24	<p>All Children Looked After – Strengths and Difficulties Questionnaire’s (SDQ’s)</p> <p>The carer of a CLA aged between 4-16, should be asked to complete an SDQ each year. The SW is responsible for ensuring the SDQ is done, the scores calculated and any action from the score taken. The Health LAC team will ask carers of children aged 4 - 9 to complete SDQ’s at the HNA on behalf of C&YP Social Care. The carers of all other CLA should be requested to complete the SDQ by the key worker, who will also calculate the score.</p>	<p>Contact > Health:</p> <ul style="list-style-type: none"> • Category: CLA Strengths and Difficulties • Sub category : Carer Completion • Due date: • Date SDQ sent/requested • Date SDQ returned • Status: “Done” if SDQ completed. • Outcome: “Scores calculated” (for completed SDQ’s) <p>For SDQ’s completed: Individual component scores – all 5 scores must be completed even though only 4 make up the “Total Score”</p> <ul style="list-style-type: none"> • Emotional Symptoms • Conduct Problems • Hyperactivity • Peer Problems • Pro social (excluded from the “Total Score”) • The Total Score: Defaults is the sum of individual scores for Emotional Symptoms + Conduct Problems + Hyperactivity + Peer Problems. Is used in the National Indicator. • Further action: Outcome that best defines the actions taken as a result of interpreting the total score
25	<p>Children in Need who are Looked After: PEP</p>	<p>Contact > Education:</p> <p>Header Selection: PEP and SEN</p> <ul style="list-style-type: none"> • Type: Personal Education Plan • Sub Type : PEP or PEP Review • Due Date • Planned Start

		<ul style="list-style-type: none"> • Actual Start • Planned Completion • Actual Completion • Outcome • Comments as appropriate <p>PEP's should be reviewed every 6 months. Set up the review PEP using a Due Date equivalent to the approximate time the review PEP is expected to be held.</p>
26	<p>Children Looked After who are a parent: (their child has been born)</p>	<p>Contact > Relationships: If a CLA is a parent, there must be a Contact record for both CLA and their child. Their records must be linked via an appropriate Relationship Type:</p> <p>Relationships:</p> <ul style="list-style-type: none"> • Appropriate reciprocal child/parent relationship • From: Their Child's Date of Birth <p>Child Service User:</p> <ul style="list-style-type: none"> • Tick the "Young Person a Parent"
27	<p>Children in Need who are Looked After: CLA Reviews:</p> <p>Including Participation in the Review</p>	<p>Case Episode > Activities</p> <ul style="list-style-type: none"> • Activity Type : Child Looked After Review • Sub Type: select as relevant • Due Date (used for monitoring) • Actual Start Date • Actual End Date (The timescale for the next review is calculated from this date) • Status • Outcome • Participation in review
28	<p>Children in Need who are Looked After: Care Plan Objective (Outcome)</p>	<p>Case Episode > Outcome: Category: Select Child Outcome: Status From Date To date Comments as appropriate</p>
29	<p>Young People aged 16 who are looked after and are employed, unemployed or in training.</p>	<p>Contact > Employment:</p> <ul style="list-style-type: none"> • Start Date • End Date (when appropriate) • Employment status Use to show their employed or unemployed status

<p style="text-align: center;">30</p>	<p>Young People who were looked after on 1st April in their 17th year: their situation as at their 19th Birthday</p> <p>Recorded normally by Pathway Planning and CART</p>	<ul style="list-style-type: none"> • Hours Worked as relevant for the selected "Period worked" • Period worked* as per the defined "Hours Worked". If unemployed use to show period(s) of unemployment • Training Scheme as appropriate if in training <p>Use Description and Comments to add extra information as relevant</p> <p>Case Episode > Activity Plan: Leaving Care Process (before 19th Birthday)</p> <ul style="list-style-type: none"> • Activity Type: Care Leaver Contact • Sub Types: Contact Method, Determine Accommodation Suitability, Determine Accommodation Type, Determine Main Activity, Make Contact <p>For each sub type:</p> <ul style="list-style-type: none"> • Actual Start Date • Actual End date • Outcome appropriate to the sub type
--	--	--

CYPSC ESCR Guide File Audit Recording

RECORDING CHILDREN'S FILE AUDITS

What does this document cover?


- Creating the activity of 'CYPSC File Audit'.
- Maintaining the activities within the plan.
- Recording and assigning corrective actions.

Creating the File Audit Activity Plan:

In order to evidence that a File Audit has been completed an Activity Plan must be created in the Case Episode.


Action		
Access the Case Episode/Activity Plans tab, Click New and proceed as follows:		
Field	Requirement Status	Description
Template	Mandatory	Select CYPSC File Audit from the drop down list.
Planned Date	Mandatory	Date of Audit
Frameworki will auto generate 6 activities of type CYPSC File Audit as follows: <ol style="list-style-type: none"> 1. Management Scrutiny 2. Practitioner Contact 3. Assessment and needs analysis 4. Planning for children 5. Recording Overall judgement of practice		

Maintaining the Activities within the Plan:

Action		
CYPSC File Audit Activities		
Field	Requirement Status	Description
Outcome	Mandatory	Record the score of the audit dimension. Click  and then click New and select an appropriate outcome from the drop down list: <ol style="list-style-type: none"> 1. No standards met unacceptable. 2. Partial standards met unacceptable. 3. Some standards met acceptable 4. Many standards met good 5. Most standards met excellent
Actual Start	Essential	Record the date the audit started.
Actual completion	Essential	Record the date the audit was completed.
Create a Note to list improvements and corrective actions needed by clicking New under the notes tab and then scrolling down the page to the large white Notes/description box.		

Recording and Assigning Corrective Actions.

If the outcome score selected for the activity sub-type of 'Overall judgement of practice' is 3 or less, Frameworki will generate an additional activity with a sub-type of 'Corrective Action'. Update the 'Corrective Action' activity and assigned to the Team Manager as indicated below:

Action		
CYPSC File Audit Activity sub-type of Corrective Action		
Access the Corrective Action activity from the Activity Plan tab.		
Click into the blue link of Activity type of CYPSC File Audit		
Field	Requirement Status	Description
Description	Auto	Auto generated and the Overall Judgement score will be entered e.g. 'Overall Judgement 3: Detail the Corrective Action'.
Employee	Mandatory	Click  . On the left will be a list of workers. Click query and enter the team manager's last name and first name and then click go. Highlight the team manager's name and click Add. Add the primary tick to the team manager's name and click ok.
Outcome	Mandatory	Leave Blank for Team Manager to complete following completion of the corrective action.
Actual Start	Essential	Leave Blank
Actual completion	Essential	Leave Blank
Create a Note to record any action you would like the Manager to take. Use menu and save record to save. Remember to use check description spelling button.		

NOTE: If the Overall Judgement outcome (score) is recorded as more than 3 but you feel that some corrective action is required the Activity of 'CYPSC File Audit – Corrective Action' can be manually created from the Case Episode/Activity Tab. **Remember** to amend the Planned completion date to allow 2 weeks for completion.

Action		
Create Activity of CYPSC File Audit Activity sub-type of Corrective Action		
Access the Case Episode/Activity tab, Click New and proceed as follows:		
Field	Requirement Status	Description
Type	Mandatory	Select CYPSC File Audit from the drop down list.
Sub-type	Essential	Select Corrective action from the drop down list.
Click into the blue link of Activity type of CYPSC File Audit		
Planned Completion	Auto default	Will auto default to today's date. Amend to allow 2 weeks for completion.
Assign the activity to the Manager and create a Note as indicated in above procedure.		

Any corrective action activities assigned to a manager will appear on their workload manager report. When there is 2 weeks or less to complete the activity, it will also appear on their home page. Once any actions have been complete, the activity should be updated by the manager with actual start, actual completion dates and an outcome. An additional note should be recorded to indicate what action has been taken.

Frameworki quick tips – for file auditors

Contact Summary Child

This view tab (in the Contact screen) reveals the following information connected to a child:

Recent requests and referrals	Case episodes	Active services
Relationships	Latest assessments and reviews	Latest decisions and summaries
Recent events	Legal status	Education

In each section, clicking on the relevant blue link will reveal more information.

Activities

There are two main screens you can view activities:

Contact – this will display every activity that has been created against requests, referrals and case episodes for a child.

Case Episode – this will only display activities that have been created during the period that the case has been opened.

Reading activities and activity notes in a single document

- Click on the 'Select for printing' button (above the list of activities) to add ticks in the 'include in actuate' column
- Click on the reports button (the 'washing machine') - above the Home screen tab
- Select the relevant option from the list that appears ('Case episode activity notes'/'Contact activity notes')

The activities (and associated notes) will now appear in a preview document. To see the activities in a more useable format, click on the print button.

Sorting activities in a list:

- To sort into alphabetical or numerical order, click on the relevant column heading. Another single click will reverse the order.

Filtering activities in a list:

- Click on the query button above the activity list. You can specify what you are looking for (e.g. select meetings in Type field). If you want to make the search more specific, click on Query Assistant for more search options.
- In the case episode activities list, you can use the filter activities button to group activities together. Click the filter button and select the appropriate criteria from the list that appears (e.g. decisions and summaries).

Assessments

To view/print the initial and core assessment in a single document:

- Click on the Assessments view tab (in the case episode)
- Click on the reports button (the 'washing machine') - above the Home screen tab
- Select the required assessment from the list
- The assessment details will now appear in a preview document. To see the details in a more useable format, click on the print button.

