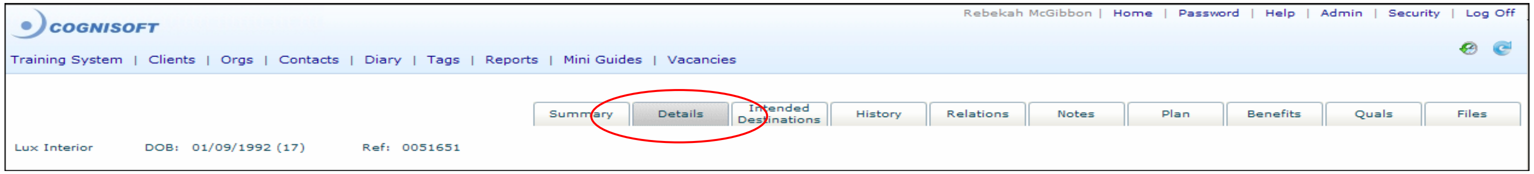
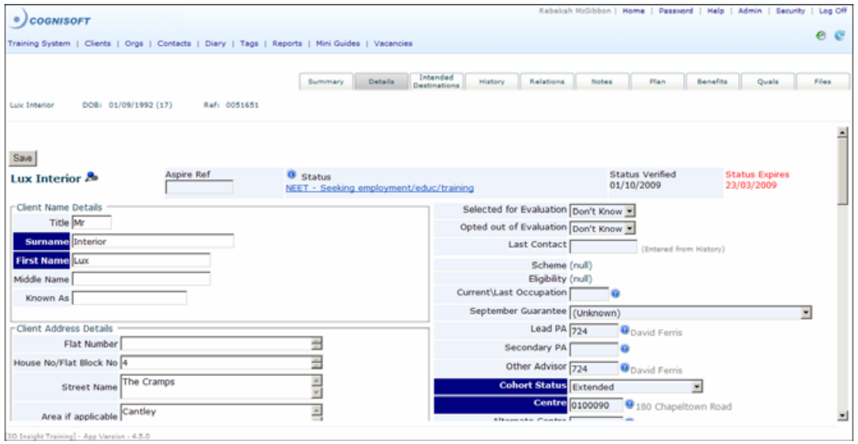
Auditing Client Records

The Details page – Guidance Section 1

The Details page is accessed by searching for, and opening up, a client record and then clicking on the Details tab.

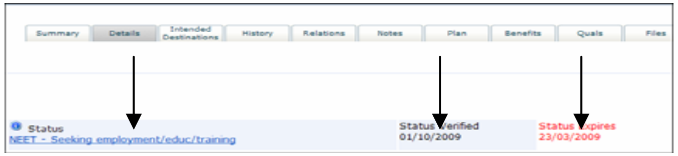


This will then open up a page that looks like this:

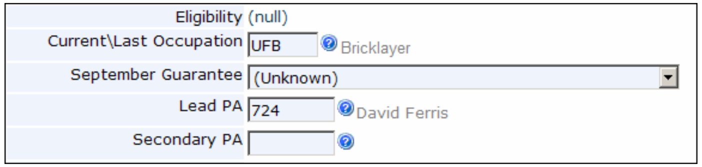


Now that you have the Details page open, you need to check the following…

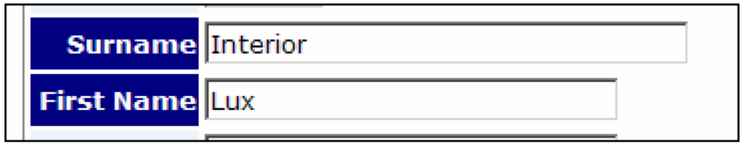
Status



Status is recorded through the History page but you should check on the top of the Details page that the status shown has not expired and also check when it was last verified.

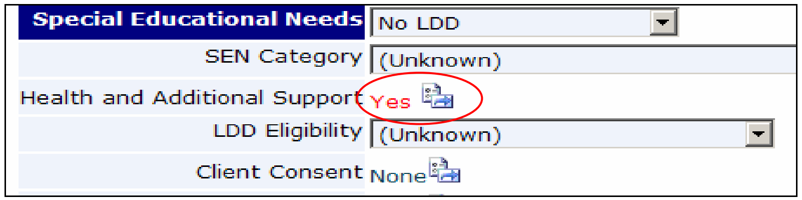


If the current status shows "Employment", check that the Current / Last Occupation field is completed. Also check that if a status of NEET – Teenage Parent is recorded that there is an Individual Circumstance recorded as well.



Date of Birth, Gender, Ethnicity, Address, Telephone Number

Check that all the appropriate fields are completed (particularly the mandatory ones in dark blue) where known.



Ensure that the telephone numbers listed are that of the client. Any contact numbers for family members need to go on the Relations page. Check that there isn't text in any of the number fields. Check that the Mobile Number is in the correct field.

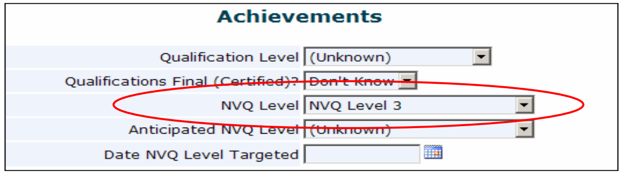
Health and Additional Support

This section needs to be completed for anyone with additional needs or health issues that may impact on the service delivery they receive and the choices they make. A YES indicated against this field shows that there is something recorded here.

Check that additional text can be found under the Health and Additional Support section on the Notes page.

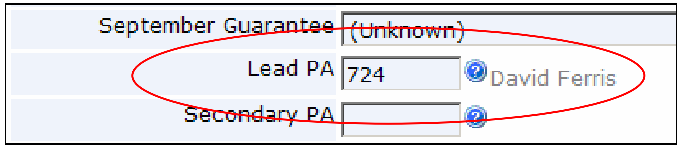
NVQ Level

This field is mandatory although it does not appear blue. This field must be completed and it is for recording the highest actual qualification the client has right now.
The Anticipated NVQ Level can be used to indicate qualifications that the client is working towards.



Lead PA

Check that the Lead PA field correctly reflects the person taking a lead role with the client.
Check that the Secondary PA field is filled in if appropriate.



Cohort Status

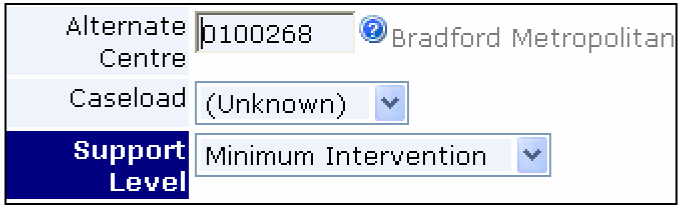
Check that the cohort status is correct for the client – check the Cohort Status mini guide if necessary.

Centre

The Centre should reflect the organisation that the Lead PA works for.

Alternate Centre

Only to be completed if the client is in the Secondary Cohort. The value in the field should reflect the local authority with primary responsibility. For further information about Primary and Secondary cohort, consult the Cohort Status Mini Guide.



Support Level

Check that there is the correct value in this field, especially if the Individual Circumstances field shows that there is a circumstance recorded. For further guidance as to what each of the support levels mean, refer to the Support Level Mini Guide.

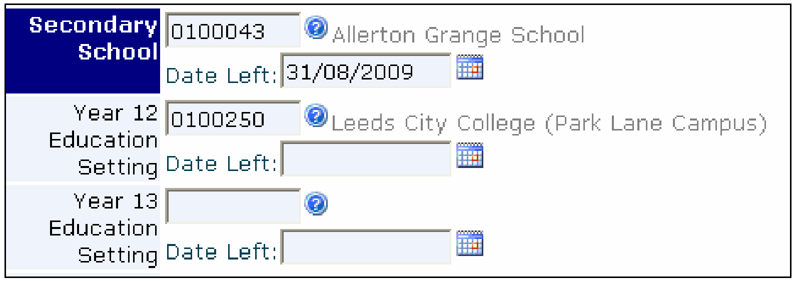
Assessment Tool

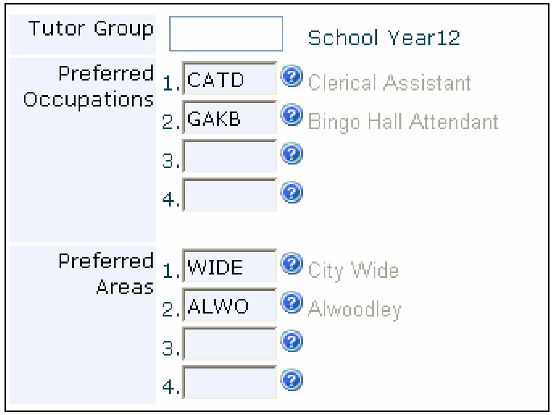
Check that an assessment has been completed for the client and if necessary that a review of the assessment has taken place. Particular emphasis is being placed on the completion of the Connexions Leeds Assessment for every client. Please refer to the Connexions Leeds Assessment Mini Guide.

Schools

Check that the Secondary School is completed and that, if appropriate, that the Date Left field has been completed for clients that have left Year 11.

Where applicable, check that the year 12, year 13 and year14/15 education establishments are completed and that Date Left fields are completed for each.





Occupations

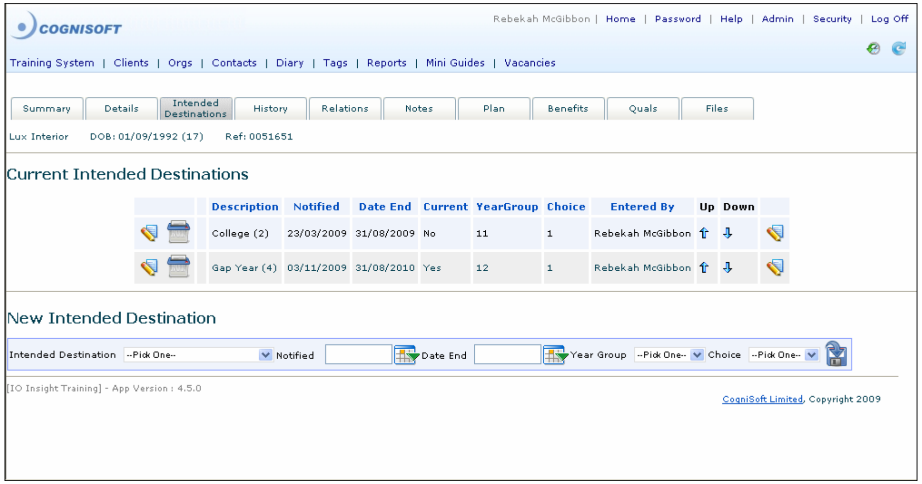
If the client has an employment status, is the Current Occupation field completed.

For clients that are in education, training or NEET, are there any occupation preferences completed for the client? Preferred Occupations and Preferred Areas need to be completed.

The Intended Destination page – Guidance Section 2

The Intended Destination page can be found by clicking on the Intended Destination tab on the client record.

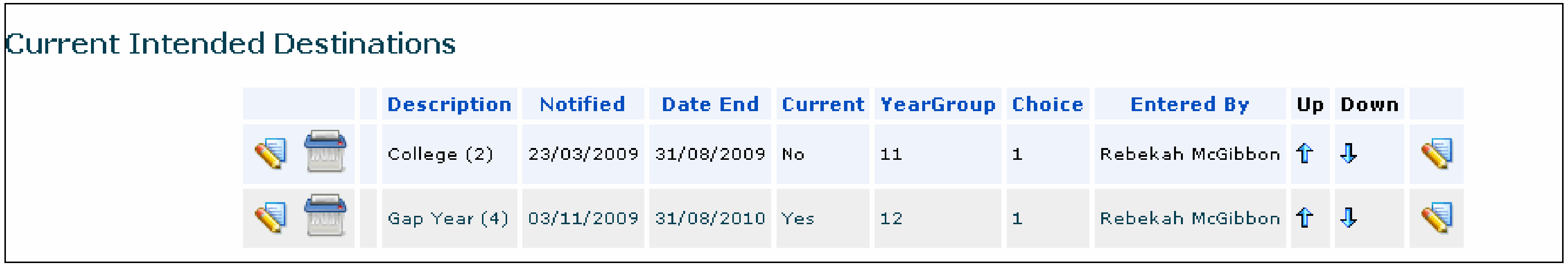
This will then open up a page that looks like the following:



Now that you have the Intended Destination page open, you need to check the following…
Intended Destination should be completed for **all Year 11, Year 12 and Year 13 students**. For Year 11 students, the destination needs to be recorded on the system before December to indicate what they intend to do post 16.
The DCSF now also ask that an intended destination is recorded for Year 12 clients as it is reported up along with the information from the September Guarantee field.
If the Intended Destination is a job, ensure the Preferred Occupations and the Preferred Area also needs to be completed on the client Details page.

Intended Destination, Notified, Date End, Year Group , Choice

All of these fields need to be completed in order for the system to recognise that a destination has been recorded. For further guidance on what each of these fields means, please refer to the Intended Destinations Mini Guide.

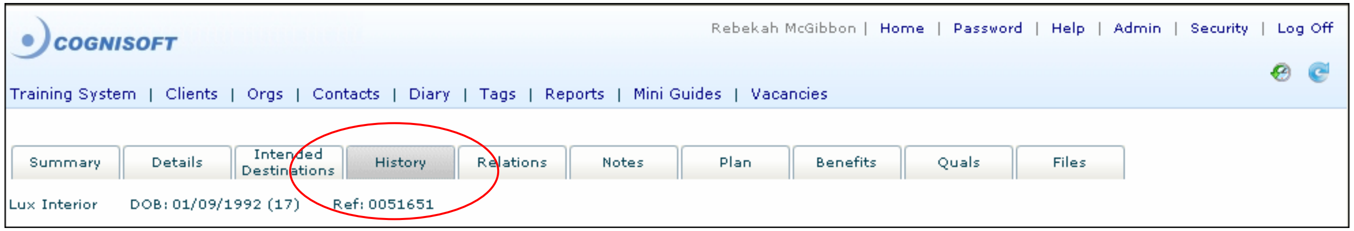


Current Intended Destinations

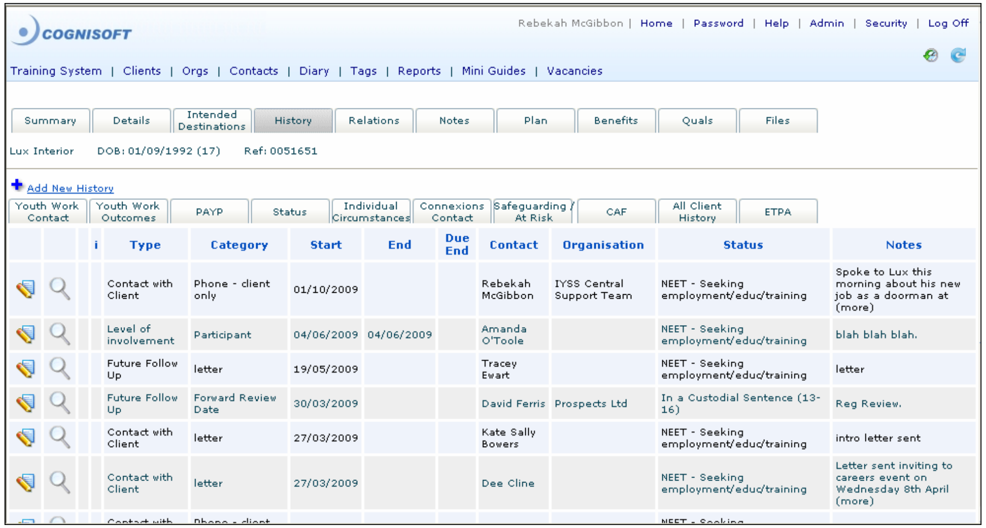
		Description	Notified	Date End	Current	YearGroup	Choice	Entered By	Up	Down	
		College (2)	23/03/2009	31/08/2009	No	11	1	Rebekah McGibbon			
		Gap Year (4)	03/11/2009	31/08/2010	Yes	12	1	Rebekah McGibbon			

The History page – Guidance Section 3

The History page can be found by clicking on the History tab on the client record.



This then will then open up a page that looks like this:

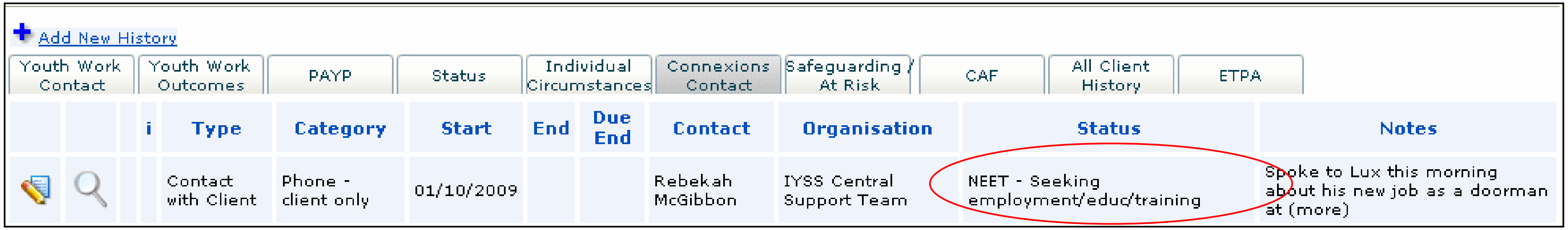


You can use the filters on the history summary to find the records you need. Below we use the Connexions Contact filter to show us just the Connexions Contacts.

Now that you have the History page open, you need to check the following. Check that any histories marked as Important merit this.

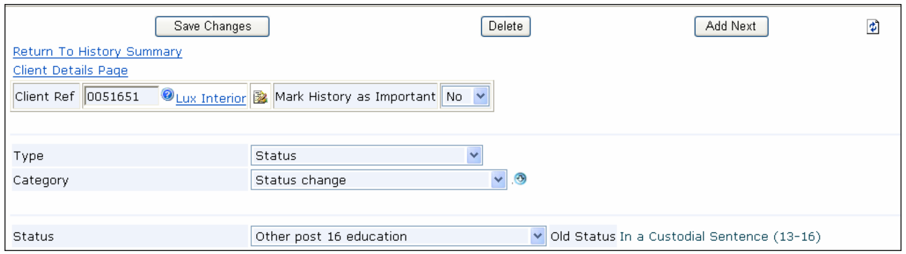
Status – Status Change / Verify

The Status column must show the clients current situation / status. Check against the wording in any surrounding contact histories that might suggest that this status is incorrect and need changing. In the example below, the client status is showing as NEET and yet in the text of the notes it indicates that they have employment as a doorman. This would indicate that the record was incorrect and a new status change would need to be recorded.



Check that the status has been verified, if necessary, showing as a verification of the old status.

Check that a Status Change does actually have a new status from what has been recorded before.



You have to do this by opening up a Status Change record using the Edit icon .

In this example we can see that the Status and the Old Status are different which is correct for a Status Change.

If the Status is an education status, temporary or fixed term employment or a training course, make sure that the Due End Date has been completed for that history record. In the example below, the client is in temporary employment with a definite end date so the Due End Date field is completed. For further information on Due End Dates on IO Insight, refer to the Due End Date Mini Guide.

Add New History

Youth Work Contact | Youth Work Outcomes | PAYP | Status | Individual Circumstances | Connexions Contact | Safeguarding / At Risk | CAF | All Client History | ETPA

		i	Type	Category	Start	End	Due End	Contact	Organisation	Status	Notes
			Status	Status change	01/10/2009		31/12/2009	Rebekah McGibbon	Allerton Grange School	Temporary Employment	This post is to cover the busy Christmas period and will ter (more)

Contacts

Read through the contact histories and look for information that should be being recorded in other, separate history records e.g. changes in status, individual circumstances, CAF, outcomes, safeguarding issues, intended destinations, status verifications.

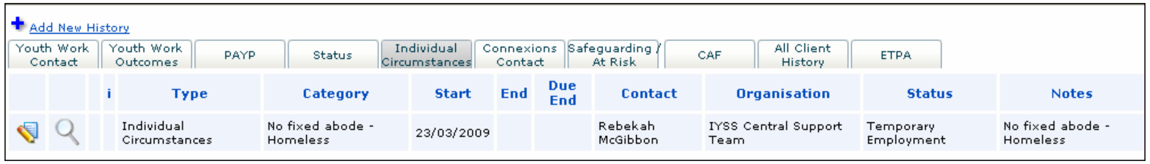
Add New History

Youth Work Contact | Youth Work Outcomes | PAYP | Status | Individual Circumstances | Connexions Contact | Safeguarding / At Risk | CAF | All Client History | ETPA

		i	Type	Category	Start	End	Due End	Contact	Organisation	Status	Notes
			Contact with Client	Phone - client only	01/10/2009			Rebekah McGibbon	IYSS Central Support Team	NEET - Seeking employment/educ/training	Spoke to Lux this morning about his new job as a doorman at (more)
			Contact with Client	letter	27/03/2009			Kate Sally Bowers		NEET - Seeking employment/educ/training	intro letter sent
			Contact with Client	letter	27/03/2009			Dee Cline		NEET - Seeking employment/educ/training	Letter sent inviting to careers event on Wednesday 8th April (more)
			Contact with Client	Phone - client only	23/03/2009			David Ferris		NEET - Seeking employment/educ/training	Follow up.
			Contact with Client	Phone - client only	23/03/2009			Rebekah McGibbon	Prospects Ltd	NEET - Seeking employment/educ/training	Homeless. Referred to housing.
			Contact with Client	Phone - client only	23/03/2009			David Ferris	Prospects Ltd	In a Custodial Sentence (13-16)	Parents are threatening to throw him out. Rang housing offi (more)

In the example, right, we can read in one of the contacts that the client is homeless. With this client, we would need to check that there was also an Individual Circumstance of No Fixed Abode - Homeless recorded as well. Check that if any other professionals have been referenced as working with the client in the text of the notes, that the PA has also recorded details of this person in the Relations tab e.g. name of worker, job type, organisation and contact telephone number.

Individual Circumstances



Add New History

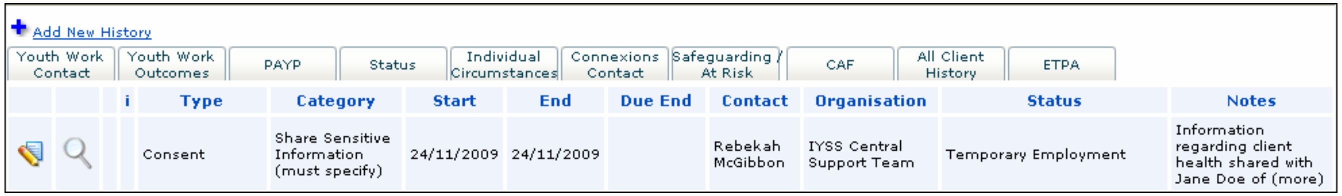
Youth Work Contact	Youth Work Outcomes	PAYP	Status	Individual Circumstances	Connexions Contact	Safeguarding / At Risk	CAF	All Client History	ETPA

		i	Type	Category	Start	End	Due End	Contact	Organisation	Status	Notes
			Individual Circumstances	No fixed abode - Homeless	23/03/2009			Rebekah McGibbon	IYSS Central Support Team	Temporary Employment	No fixed abode - Homeless

Check that there are individual circumstances recorded where applicable and that in particular, those that no longer apply have an End Date in the record.

This applies in particular to circumstances such as Pregnant, No Fixed Abode – Homeless. Check that if there are a number of circumstances recorded for the client that the Level of Need field on the Details page indicates the correct value.

Consent

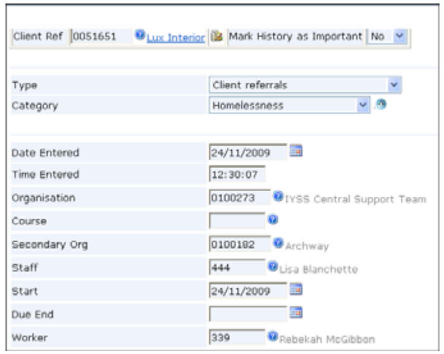


Add New History

Youth Work Contact	Youth Work Outcomes	PAYP	Status	Individual Circumstances	Connexions Contact	Safeguarding / At Risk	CAF	All Client History	ETPA

		i	Type	Category	Start	End	Due End	Contact	Organisation	Status	Notes
			Consent	Share Sensitive Information (must specify)	24/11/2009	24/11/2009		Rebekah McGibbon	IYSS Central Support Team	Temporary Employment	Information regarding client health shared with Jane Doe of (more)

There are different types of consent histories that can be added to a client record. There is a specific one for the permission to share sensitive data. Where you are recording consent to share sensitive data you must indicate when this will start and end as each instance of sharing sensitive data must be recorded separately.



Referrals

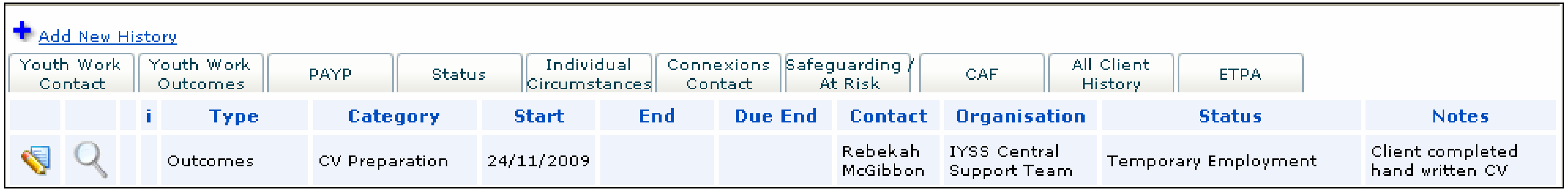
If it is clear from other history records that a referral was / should have been made, check that there is a Referral history record and that the Partner Organisation field is filled in with the details of the organisation that the referral was made to and if known, the staff member.

Vacancy Submission / Conclusion

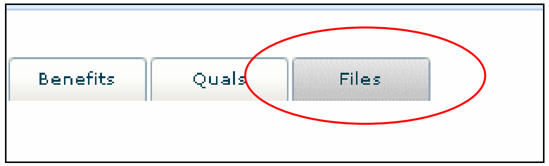
A Submission history should be recorded for any client matched to one of the vacancies on IO Insight. The Conclusion (or outcome) of that submission should also be evident. Check that there are two separate histories for the Submission and the Conclusion, as staff are commonly overwriting one with the other. This means that if we ran a report to see how many submissions we had done, it wouldn't show any…

Outcomes

If the notes in a contact history indicate that a CV has been drawn up or an action plan made, check that there is an Outcome history to match these.



If the Outcome history shows that a CV or Action plan has been completed, check that it has been attached in the Files section.

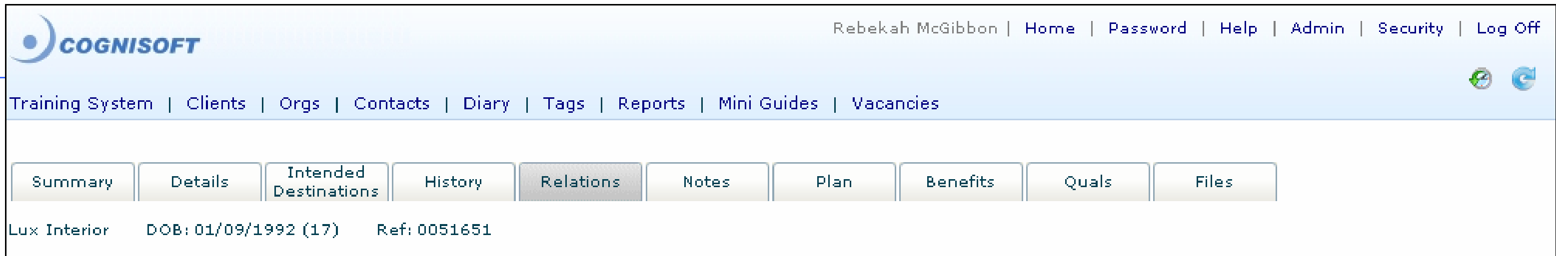


CAF Histories

If a CAF has been completed for the client, check that a CAF History has been recorded and that the CAF number has been recorded in the notes.

The Relations page – Guidance Section 4

The Relations page can be found by clicking on the Relations tab on the client record.



This then will then open up a page that looks like this:

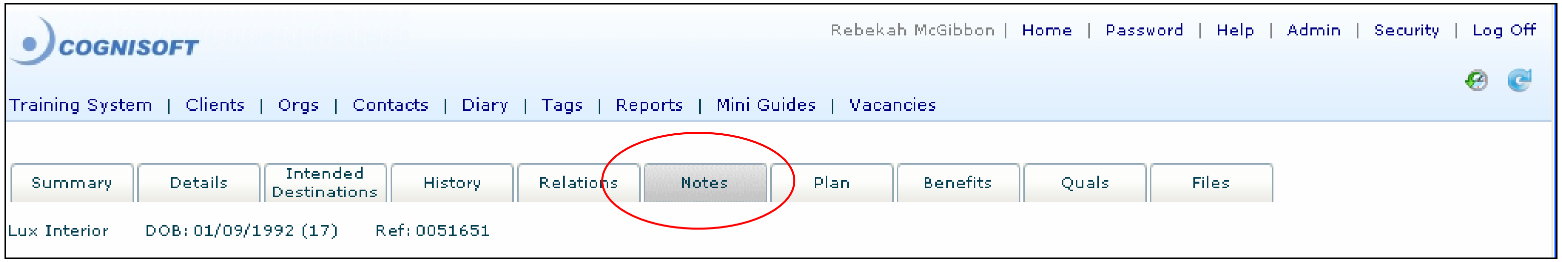
Now that you have the Relations page open, you need to check the following…

Firstname, Surname, Relationship, Telephone Numbers

This section should be being used for recording any details of family members or of other professionals who are working with the client. If the young person is looked after, it should contain the name of the social worker. The contact information on the Details page is that of the client. This is the page where you can make note of contact information for parents / carers and other professionals. As a minimum each entry should contain a Relationship, First Name, Surname and Telephone.

The Notes page – Guidance Section 5

The Notes page can be found by clicking on the Notes tab on the client record.

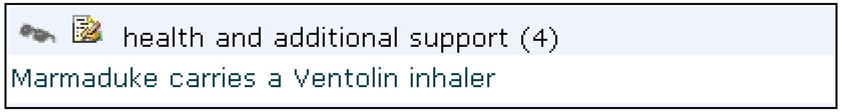


This then will then open up a page that looks like this:

Now that you have the Notes page open, you need to check the following…

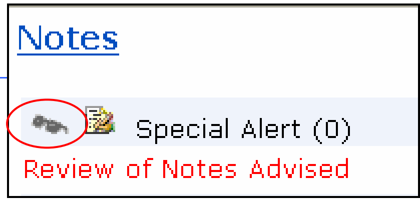
Health and Additional Support

There should be text in this section if health or additional support needs have been identified on the Details page.



Special Alert

Carefully examine the wording in this field to make sure that it is accurate and factual. If the client were to request a copy of their record, would you be happy with them reading what you have written in here? Where the notes are the opinion of another person, use speech marks to indicate this.



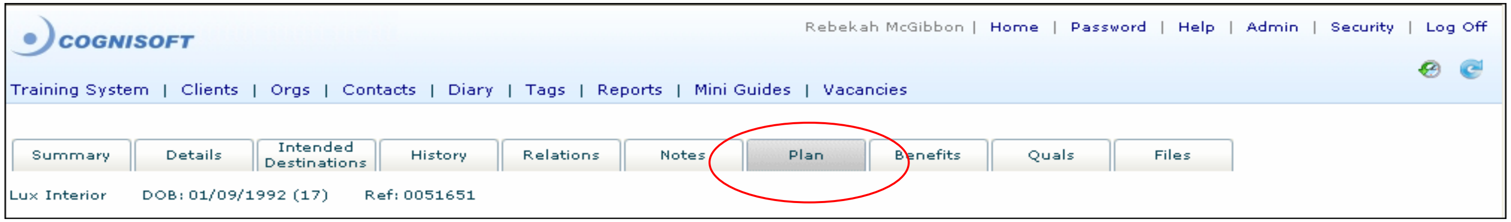
You can read the text by clicking on the sunglasses icon.

Personal Notes

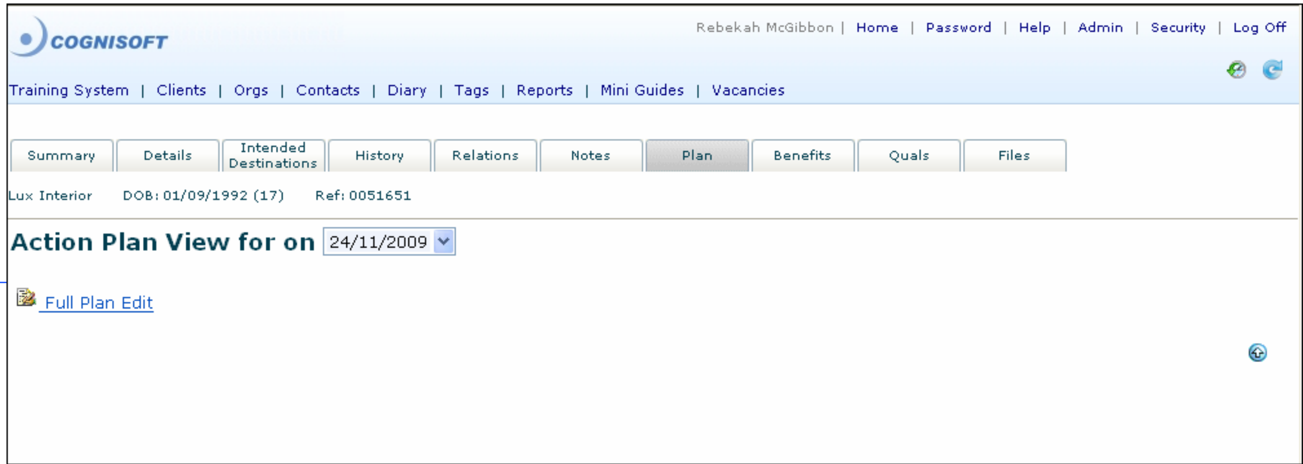
This section **should not** be used to record details of a client contact or notes of a highly sensitive nature as these notes cannot be marked as sensitive so are available for all system users to see. Check whether the information recorded here could have gone into a history record if worded differently.

The Plan page – Guidance Section 6

The Plan page can be found by clicking on the Plan tab on the client record.



This then will then open up a page that looks like this:



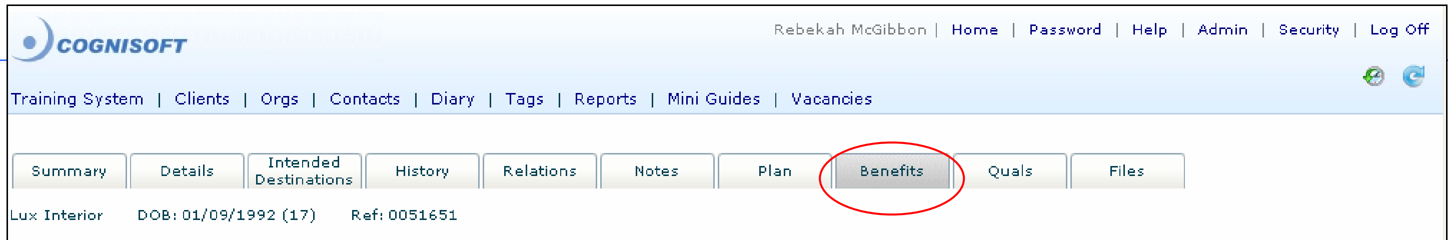
Now that you have the Plan page open, you need to check the following…

Click on Full Plan Edit. Ensure that all the plan fields are completed. Check that there is a timescale completed.

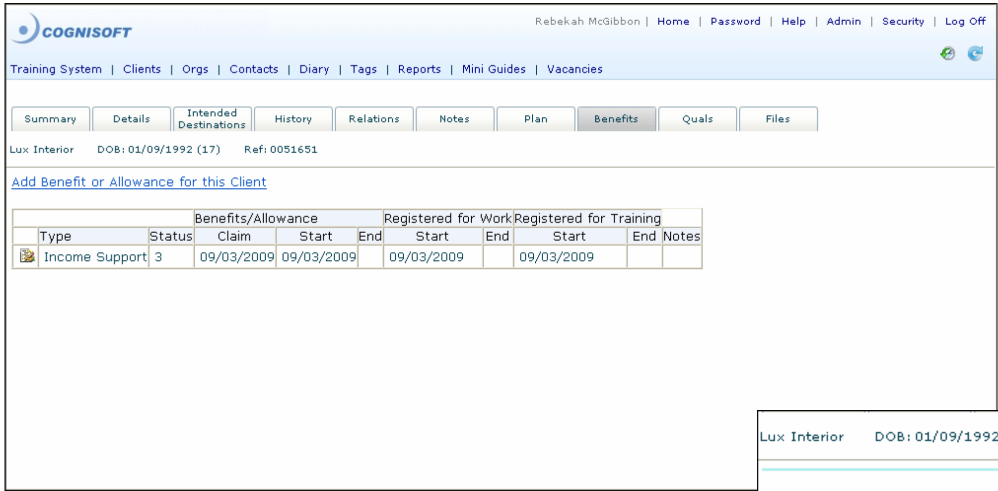
If there is nothing recorded in the Plan page, you may want to check the Files section to see whether a Word version of the Action Plan has been attached to the client record in this way.

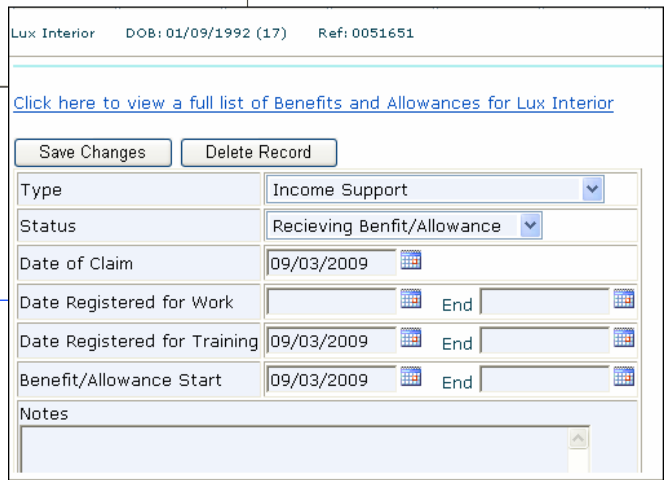
The Benefits Page – Guidance section 7

The Benefits page can be found by clicking on the Benefits tab on the client record.



This then will then open up a page that looks like this:





Now that you have the Benefits page open, you need to check the following…

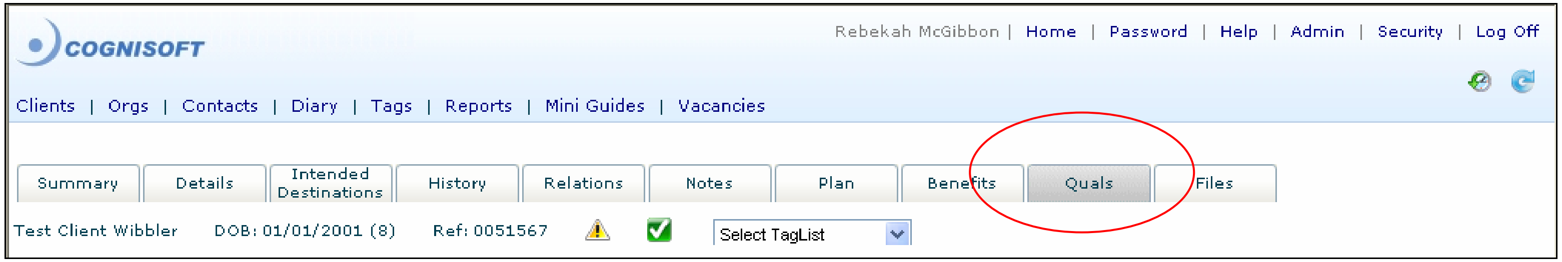
Type, Status,

Date of Claim, Date Registered for Work, Date Registered for Training, Benefit / Allowance Start

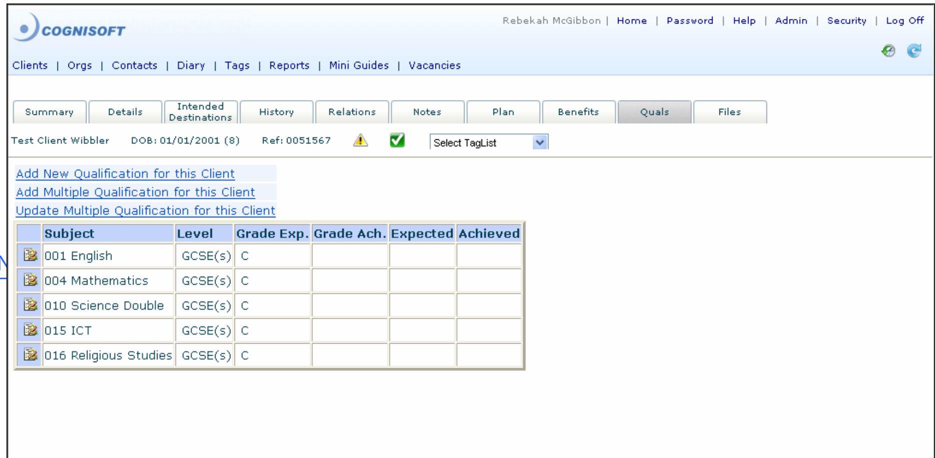
Ensure that if the client is in receipt of benefits that the Type, Status and Date fields are recorded and that any relevant notes have been recorded.

The Quals page – Guidance Section 8

The Quals page can be found by clicking on the Quals tab on the client record.



This then will then open up a page that looks like this:



Now that you have the Quals page open, you need to check the following…

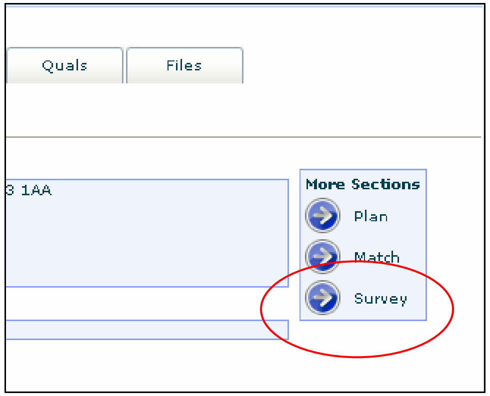
Subject, LevelGrade, Expected Grade, Achieved Grade, Expected Date, Achieved Date

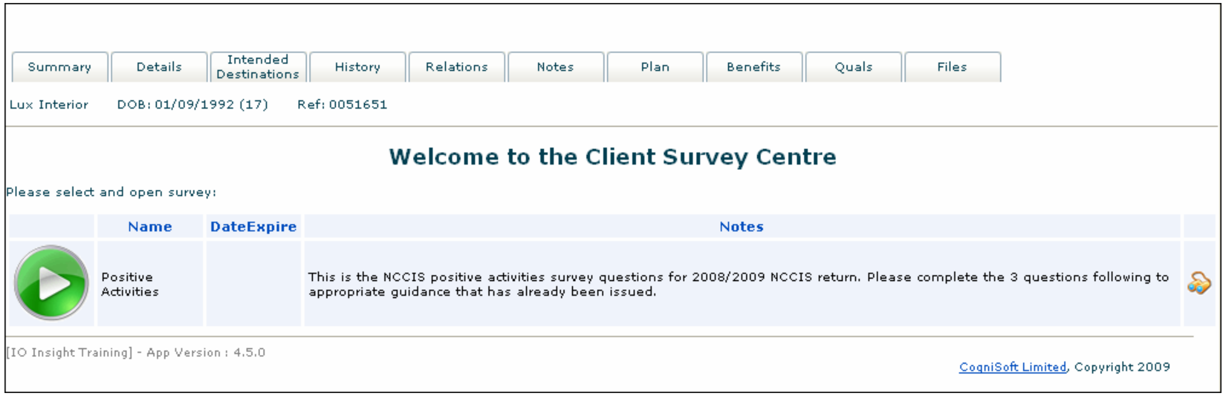
Ensure that the individual subjects show and that where known, the predicted and actual grades are recorded along with the dates that these were known.

The Survey Page – Guidance section 9

The link to the Survey page is found on the Summary page.

There is a link on the right hand side of the screen for the Survey page. Click the blue arrow icon and it will open a screen as below:





Positive Activities Survey

This survey needs to be completed for all Year 11 clients and for Year 10 clients if a choices exercise is carried out. Clicking on the green arrow will open up the survey page. Check that all the questions have been answered.