Auditing Client Records

The Details page – refer to Guidance Section 1

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
Status		• Status is recorded through the History page but you should check on the top of the Details page that the status has not expired and when it was last verified. • If the current status shows "Employment", check that the Current / Last Occupation field is completed. • If the current status is NEET – Teenage Parent, check that an Individual Circumstance has been recorded. • Check that if the current status is an education status, that the correct Education Setting has been recorded.	
Date of Birth		• Check that all the appropriate	

Gender Ethnicity Address Telephone Number		fields are completed (particularly the mandatory ones in dark blue) where known. • Ensure that the telephone numbers are for the client - any contact numbers for family members need to go on the Relations page. • Check that there isn't text in a number field etc. • Check that the Postcode field is correctly completed and not a 'nonsense' postcode.	
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. • Additional text can be added under the Health and Additional Support section on the Notes page.	
NVQ Level		• This field must be completed and it is for recording the	

		highest actual qualification the client has. • The Anticipated NVQ Level can be used to indicate qualifications that the client is working towards.	
Lead PA		• Check that the Lead PA 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 this field is correct. Refer to the Cohort Status Mini Guide for clarification.	
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. • Should reflect the local authority with primary responsibility.	

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 or if the client has a NEET Status or has Special Educational Needs recorded.	
Assessment Tool		• Check that an assessment has been completed for the client and if necessary that a review of the assessment has taken place.	
Schools		• Check that the Secondary School is completed. • Where applicable, check that the year 12, year 13 and year 14/15 education establishments are completed for clients in Further Education. • Check that Date Left fields are completed where appropriate. • Check that the Educational	

		Establishment recorded is correct for the year group.	
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?	

The Intended Destination page – refer to Guidance Section 2

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
Intended Destination Notified Date End Year Group Choice		• 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 is also completed on the client Details page.	

The History page – refer to Guidance Section 3

HISTORY TYPE	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
Status - Status Change / Verify		• This 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. • 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. • Check that if a Status Change has been recorded that there is a Contact history to go with it. • 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. • Check that any employment statuses have the Occupation field filled in.	

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. • Check whether any contacts that are highlighted as Important Histories warrant being highlighted as such. • 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		• Check that there are	

Circumstances		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 • Check that for circumstances such as Supervised by YOS / Pregnant / Looked After that the relevant worker details are recorded in the Relations tab.	
Consent		• 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.	
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. • Check that the details of the worker of the other agency is recorded in the Relations tab.	
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 the mini guide for further guidance.	
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. • Check that if an ES9 has been recorded that this is showing in the Benefits 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. • Keep an eye out to see anything in the surrounding notes that suggests that a CAF should be recorded.	

The Relations page – refer to Guidance Section 4

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
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 Notes page – refer to Guidance Section 5

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
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.	

Personal Notes		• Check what this section is being used for. Could the notes go in the History section if worded differently? Does this need to be accessed by other workers?	

The Plan page – refer to Guidance Section 6

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
Action Plan		• Ensure that all the plan fields are completed. • Check whether there is a plan attached in the Files section. • Check that the notes in the plan are in line with good practice for delivering IAG.	

The Benefits Page – refer to Guidance section 7

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
Type Status Date of Claim		• Ensure that if the client is in receipt of benefits that the Type, Status and Date fields	

Date Registered for Work Date Registered for Training Benefit / Allowance Start		are recorded.	

The Quals page – refer to Guidance Section 8

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
Subject Level Grade Exp Grade Ach Date Expected Date Achieved		• Ensure that the individual subjects show and that where known, the predicted and actual grades are recorded.	

The Survey Page – refer to Guidance section 9

FIELDS	EVIDENCED (TICK)	NOTES	MANAGER'S COMMENTS
Positive Activities Survey		• This survey needs to be completed for all clients. • Check that all the questions	

		have been answered	