

Version 1.1



CHILDREN, FAMILIES AND EDUCATION

CHILDREN'S SOCIAL SERVICES

RECORDING AND FILE MANAGEMENT

LEGISLATION, POLICY & PROCEDURE ON RECORDING AND FILE MANAGEMENT

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-	Policy Statement	Page 3
-	Legal Context	Page 3
-	Data Protection	Page 3
-	Sharing Information	Page 4
-	Access to Personal Information	Page 4
-	Third Party Information	Page 5
-	Purpose of recording Personal Information	Page 6
-	General Principles of Recording	Page 6
-	File Organisation:	Page 8
-	Duty and Initial Assessment teams	Page 8
-	Family Group Conferencing Service	Page 8
-	Adoption, Fostering and Respite Services	Page 8
-	Disabled Children's Teams	Page 8
-	Private Fostering	Page 8
-	Children's occupational Therapy	Page 9
-	Children's File Module Contents:	Page 9
-	Module 1 – Running Records	Page 10
-	Module 2 – Supervision	Page 10
-	Module 3 – Referrals	Page 11
-	Module 4 – Assessments, plans and reviews	Page 11
-	Module 5 – Child Protection	Page 11
-	Module 6 – Health and Education	Page 11
-	Module 7 – Correspondence	Page 12
-	Module 8 – Legal	Page 12
-	Module 9 – Administration	Page 12
-	Module 10 - Restricted	Page 12
-	Health and Safety	Page 13
-	Children's Personal Items	Page 13
-	Rough Notes	Page 14
-	Supervision and Quality Assurance	Page 14
-	Maintenance of Files	Page 14
-	Security	Page 15
-	Retention of Records	Page 15

POLICY STATEMENT

Quality case recording is an important part of the accountability of Children's Social Services towards children and their parents/carers, and is central to the provision of an effective service. It helps to ensure that Children's Social Services carries out its functions, including the assessment of need and delivery and management of services. It also provides a record for service users, whether as children, or adults, to assist them in making sense of their personal histories.

Children's Social Services operates an open-access policy to records, which reflects the open and shared nature of social work.

RELEVANT LEGISLATION AND GUIDANCE

The following provide the framework for children's records:

- The Children Act 1989
- Children Act 2004
- The NHS & Community Care Legislation 1990
- The Common law Duty of Confidentiality
- The Data Protection Act 1998
- The Caldicott Standards in Social Care
- The Human Rights Act 1998
- The Freedom of Information Act 2000
- Health and Social Care Act 2001
- Protection of Children Act 1999
- Arrangements for the Placement of Children Regulations 1991
- Working Together to Safeguard Children 2006
- Adoption Act 1976
- Adoption & Children Act 2002
- Replacement Children Act 1989, Guidance on Private Fostering
- Retention Guidelines for Local Authorities 2003
- Record Retention Policy v 5.0
- Kent and Medway Safeguarding Children Procedures
- KCC Information leaflet: Looking after your personal information
- Data Subject Access Request Procedures

DATA PROTECTION

The Data Protection Act 1998 (as amended) regulates the handling of information kept about an individual on a computer or in a manual filing system.

Personal information is defined in the Data Protection Act 1998 as information about a living person who can be identified from that information or other information held by the Authority, including any expression of opinion, and any indication of intentions.

The Data Protection Act requires that personal information is:

- obtained and processed fairly and lawfully;
- only disclosed in appropriate circumstances;
- is accurate;
- relevant and not held longer than necessary; **and**
- is kept securely.

SHARING INFORMATION

Both the Data Protection Act 1998 and the Human Rights Act require that we respect the individuals right to privacy and guard against the inappropriate disclosure of sensitive information.

Personal information about children and families held by professionals and agencies is also subject to a legal duty of confidence, and should not normally be disclosed without the consent of the subject. However, the law permits the disclosure of confidential information necessary to safeguard a child or children in the public interest: that is, the public interest of child protection may override the public interest of maintaining confidentiality.

The Data Protection Act 1998 allows for the disclosure of information without the consent of the subject in certain conditions, including for the purposes of the prevention or detection of crime, or the apprehension or prosecution of offenders, and where failure to disclose would be likely to prejudice those objectives in a particular case.

The Data Protection Act also makes clear that we have a duty to share personal information with external agencies involved in the care of the client, e.g. Health, Education, Voluntary Organisations etc., and our current Data Protection registration enables us to share information for these purposes.

Health and Local Authorities are also obliged to comply with the Caldicott guidelines, which require them to protect confidentiality and control access to personal information. It is important to share information for the purpose of delivering and improving service user care, and protecting the public but information that identifies an individual must only be shared when it is absolutely necessary, and various procedures and processes are recommended to ensure that personal information is securely and appropriately obtained, recorded, stored, used and shared.

The Caldicott Principles include:

- justify the purpose
- don't use personally identifiable information unless absolutely necessary
- use the minimum required
- access to personally identifiable information on a strict need to know basis
- everybody being aware of their responsibilities
- understand and comply with the law

This is often referred to the JAPAN test. The JAPAN test should be kept in mind when recording personal information:

- **J**ustified
- **A**uthorised
- **P**roportionate
- **A**uditable
- **N**ecessary

ACCESS TO PERSONAL INFORMATION

Members of staff must become familiar with the Directorate's Data Subject Access Request Procedures. Where Directorate staff are members of multi-agency Teams, they should familiarise themselves with the access to records arrangements of the host service and ensure that service users are informed.

Children's files will naturally include personal information relating to their parents, siblings and other family members who will have rights to that information.

The child and his/her family should be given the leaflet 'Looking after Your Personal Information' which will provide guidance on the following:

- That a file will be kept in which personal information will be stored
- Why the record will be kept
- What it will contain
- Who will have access to it
- Where it will be kept
- Their right of access to non-restricted information
- In what circumstances information may be disclosed
- The implications of personal health and third party information
- How long the record will be kept
- Their rights to seek a review of any decisions
- Their right to contribute their views to the records

Sharing the contents of records (other than exempted information) with children and their families as the record is compiled should reduce the need for individuals to seek formal access at a later stage.

Service users with sensory or communication difficulties will receive appropriate help in exercising their right of access to personal information.

Service users whose first language is not English will also receive appropriate help to access personal information.

THIRD PARTY INFORMATION

Any employee recording third party information has a responsibility to ensure the following:

- That the information provider is asked for their consent for their identity and the information they provide to be made accessible to the individual concerned;
- That the wishes of the third party towards revealing their identity and sharing information are recorded. Third party wishes must be respected – except in certain circumstances (e.g. the Courts may reveal third party identity. The need to protect the child takes precedence).
- Where third parties do not consent to their identity being revealed then names and other identifying features should be recorded in the 'Restricted Access' module of the file, but the substance of the information recorded in the non-restricted part of the file. A note to this effect should be made in the case notes.
- That they are aware that some information will be **exempted** from access and certain steps have to be taken before this can be shared, if at all, with service users, e.g. Third Party Information, personal health information (see Data Subject Access procedures);

PURPOSE OF RECORDING PERSONAL INFORMATION

Personal information is held to enable the Directorate to carry out its social services functions.

The key purposes of recording are to:

- Help to evidence the work by providing sufficient information to enable the Directorate to carry out its functions, including the assessment of need and delivery and management of services;
- Provide an essential tool for analysis and planning;
- Ensure accountability;
- Assist continuity throughout the period of involvement;
- Provide an essential performance monitoring tool;
- Provides relevant and accessible records of the Directorate's involvement for a service user to access upon request;
- Provide a record of the views and contribution of the child and his/her family;
- Provide a major source of evidence for the following:
 - Criminal and Children Act proceedings
 - Insurance/compensation claims
 - Serious Case Reviews
 - Public enquiries
 - Complaints
 - Audits

GENERAL PRINCIPLES OF RECORDING

What is recorded will depend upon the individual needs of the child and his/her family, the service being offered and the overall purpose of an intervention.

Discretion and judgement need to be applied when recording any information regarding a service user. However, the following principles must apply:

- The maintenance of records must be a high priority activity. All entries must be legible and **should** be typed;
- A child's file comprises all manual and electronic records (including those held elsewhere);
- The child and their families wishes and feelings should be clearly evidenced in all recording;
- Each case must have a named person, who is responsible for ensuring that a comprehensive case record is maintained. If for any reason a case is unallocated for a period it is the responsibility of the Team Leader/Practice Supervisor to ensure that the file is maintained;

- Records must be kept up to date with all recording completed within 4 weeks. To be admissible in court all recordings must be compiled as soon as possible after the event;
- Records should be written in plain language, which will be understood by service users. Professional jargon and technical language should be avoided. The language used in recording should be unambiguous;
- All entries must be signed by the recorder;
- Each recording must incorporate the date/time of visit/event as well as the date/time of the recording;
- Case records should also reflect positive information and/or achievements by the service user;
- Records of interviews and meetings must identify all who are present, particularly if an interpreter was involved;
- All decisions taken must be recorded. Decisions not to act, not to provide a specified service, or to withdraw a service, must also be recorded, with reasons;
- The practitioner must balance conciseness and the need to record sufficient information to ensure clarity of decision-making;
- Sources of information, judgements, assessments, and evaluations must be recorded;
- Information gathered for one purpose should not be used for another without the consent of the person who provided it;
- Facts should always be distinguished from opinions. Any disagreements should be noted and different views and/or versions set out. Any unverified information should be recorded as such. The following questions should be considered when recording:
 - Is the information factually correct?
 - If this is an opinion or judgement, have I made it clear?
 - Can I safely record what I have been told?
 - Would the service user share my opinions?
 - If not, what would the service user be saying?
- Records should be regularly scrutinised by Supervisors for accuracy and relevance of content – this also applies to electronic records,
- Information must be as accurate as possible and where it cannot be verified a note to that effect should be made on the file. Unverified information may need to be stored in the restricted access section of the file;
- The beginning and ending of case responsibility should be noted in the records.
- If a child and their family move to another area in Kent the child's file must be transferred with the child.
- If a child and their family move outside of the Kent boundary the relevant document should be copied and forwarded to the new Local Authority and the child's file retained within in Kent.

FILE ORGANISATION

The requirements regarding the organisation of files relate specifically to Teams that hold case responsibility for children or where there is ongoing involvement over a period of time.

The child's case file will always be in the name of the child and separate records must be kept for each child in the family. In addition, a separate file must always be kept for any child for whom adoption is the plan.

Some Teams may only have a brief or additional involvement with a child and his/her family and the organisation of such files may therefore need to be slightly different. Upon closure, all additional files should be returned and amalgamated with the main file wherever possible. This does not apply to CICA files, which will be held in Area offices.

The formal 10 module file set up will be used for all children's cases, with the following exceptions:

- **Duty and Initial Assessment Teams (including Out of Hours)** – these Teams receive a large number of requests for information or action that result in very limited interventions. Where this is clearly the case, it is not necessary to set up a formal file. A buff folder (without modules) should be used instead. Plastic wallets can be used to separate the key file sections, for example: child protection, correspondence, referrals etc. A Front sheet should always be completed and kept in the front of the file. It is important to ensure that the Guidance on Retention of files is considered and applied in relation to these cases.
- **Family Group Conferencing Service** - files for this service will be green and should not be merged with the child's files when the file is archived, but should instead, be secured alongside the child's file. These files have the following sections:
 - Risk Assessment
 - Family network and service providers list
 - Referral information
 - Contact recording (with co-ord hours)
 - Correspondence
 - Plans and reports
 - Child Protection/Confidential
- **Adoption, Fostering & Respite Services** (except for relinquished babies for whom Adoption holds case responsibility) – may not need to use all the modules as the files they hold on children are secondary.
- **Disabled Children's Teams** – Should use the formal 10 module file set up that is used for all children's cases, but may choose to have additional modules for Health and Education because of the bulk of documentation.
- **Private Fostering** – There should be an individual child record and not a family file which should be set out in accordance with all children's files. There should also be a separate individual file for each private foster carer. The private foster carer file should be made up with the following sections:
 - Case Notes (Running Records)
 - Supervision Notes
 - Referrals

- Assessments/Reviews (Carers assessment, H&S checklist, Annual review etc)
 - Complaints/Allegations
 - Training
 - Correspondence
 - Legal (Prohibitions, Restrictions, Disqualification's, Appeals)
 - Administration (change of circumstances forms, finance papers etc)
 - Restricted (references, written legal advice, medical checks etc)
- **Children's Occupational Therapy** - Files which contain information regarding a child's involvement with the Children's Occupational therapist should consist of a further file module: Major Adaptations. This module will enable the following paperwork to be stored within it:
 - Copies of OTB2 -clinical reasoning
 - Grant requests
 - Joint site meetings
 - Recommendations
 - Lift Trial Assessment recommendations /quotes
 - Ceiling track hoist quotes
 - OTB26's
 - Grant Support letters
 - Paediatric panel / County Housing adaptations panel
 - Specifications/ copy of plans
 - Domiciliary Charging
 - Grant approvals
 - Grant release

FILE MODULE CONTENTS

The following guidance on module contents replaces that contained in any earlier guidance.

Front inside cover of file: this is where basic information should be kept to ensure that it is easily accessible. The basic information will be contained in the following documents:

1. **A Front Sheet** – which contains key information should be completed as fully as possible with the service user and family and kept up to date. Non-current Front Sheet should be filed in the 'Assessment, Plans and Review' module of the file.
2. **A Chronology** – showing each significant change in a child's life will assist the reader in seeing the pattern of placements and other changes which the child experiences.
3. **A Genogram or Family Tree** – will provide the reader with a visual picture of the child and his/her family. Completing a family tree with a family is often a useful mechanism for working with families and in completing assessments and may be quite simple or more complex depending upon the case. A family tree is also an important part of identifying extended family members that could be involved in a Family Group Conference or providing alternative kinship care should the need arise.

Both the Chronology and Genogram should be stored in plastic see-through folders attached to the inside cover of the file.

4. **Service user's key documents** – certain key documents should be stored in a plastic wallet attached inside the front of the current file. These include:

- Passport
- Birth certificate
- NI cards
- Current legal orders

5. **Risk Assessment** – the current risk assessment relating to either the child or his/her parents should be kept in the front of the file and transferred to any new file that is set up. The risk assessment must be reviewed and updated regularly. The superseded risk assessment should be filed in the assessment and planning module.

6. Supervisors and Administrators Audit Tools

7. Transfers/Closure Summary Forms

Module 1 – Case Notes (Running Records) - provide a diary or index of all contact with the service user and interventions on their behalf and the following principles apply:

- Case notes (Running Records) should be typed and filed chronologically wherever possible.
- Entries should provide an index to the file by including reference to information held elsewhere on the file - e.g. information from other agencies, plans, reviews, legal material, supervision etc.
- Entries should always be preceded by the date of the contact or action in the left-hand column and the date that the information was recorded in the right-hand column.
- Staff and users accessing files need to know precisely who provided information to a file, therefore, entries should give a full name and the signature should be legible.
- The type of contact should also be recorded– e.g. HV (home visit), TC (telephone call), let (letter) etc. Again this helps the reader access the file quickly.
- Records should be kept up-to-date. A minimum standard set by the Directorate is that they are placed on a file within 4 weeks of the contact/action taking place. Good practice demands that case notes are written up on the day of the contact/action or as soon as possible afterwards in order to provide as good a service as possible to the service user.

Module 2 – Supervision records

- The Supervisor is responsible for ensuring that key elements of discussions that took place and decisions made during supervision are recorded, signed and filed in this module.
- Supervisors and social workers should take responsibility for ensuring that any decisions made outside of formal supervision meetings are recorded in this module and signed off by the Supervisor and social worker at the next meeting.

Module 3 – Referrals to Directorate

This module should contain all referrals received by the Directorate including any received from Out of Hours Service.

Module 4 - Assessments, Plans and Reviews

This module should contain the following:

- all information on planning, assessments and reviews including Directorate Forms and related reports, e.g. Directorate Assessments Forms, Plans and Reviews;
- arrangements for contact,
- arrangements for placements,
- approval for placements of looked after children in residential care,
- "Private Fostering" forms relating to the child and her/his placement,
- written agreements,
- Leaving care forms etc.
- Police Check Forms if cleared for access
- Non-current Front Sheets, Family Trees should be filed here.

Some reports filed in this module are likely to contain information on the child/young person's health and education. Specific reports regarding health and education, particularly those provided by other agencies should be filed in the Health and Education Module.

Reports from additional workers or services should be filed in this module. However, lengthy records from providers (e.g. day records, log book entries whole files etc.) should be noted on the Case Note (Running Record) as having been received and then filed as a separate volume to the main file.

Module 5 – Child Protection

All child protection documentation except for Case Notes (Running Records) and the Police check form (unless cleared for access) should be filed in this module.

In particular this module should contain:

- records of strategy discussions
- records of ABE interview plans
- reports for Child Protection Conferences
- Child/Young Person's Protection Plan
- SS590B's (used prior to the introduction of ICS)
- minutes of core group meetings
- minutes and correspondence relating to child protection conferences etc.

Module 6 – Health and Education

All files should contain as much information on the child's education and health as possible. All documents should be filed in this module, with a note made on the Case Note (Running Record) when they are received and filed. Clearly, there will be references to health and education of the child elsewhere on the file, particularly in reports and in plans and reviews. However, it is to this module that the reader accessing a file will look for the main source of information on health and education.

Special attention needs to be made to the legislation and guidance on Access to Personal Files before personal Health information can be released to an individual.

Module 7 – Correspondence

This module should contain all correspondence cleared for access including internal memoranda and e-mails relating to casework and correspondence.

The nature of correspondence received and sent should be noted on the Case Note (running records) as having been received or sent.

Module 8 – Legal

This module should contain all information relating to legal processes - all court papers for example:

- applications to courts,
- court reports,
- court notices,
- orders and summaries of court decisions,
- Children's Guardian reports (if cleared for access),
- Criminal Injuries Compensation Authority application forms and other supporting material.

Sometimes separate files are set up to support legal proceedings. When the proceedings are concluded this file should be checked to ensure that documentation is not duplicated. Any duplicate reports should be shredded. Then, if possible, the remaining documents should be incorporated into the main file. If they are too bulky the legal file must be kept with the child's file and the existence of this separate file recorded on the front of the main file.

All legal advice from the County's Legal Advisers should be filed in the Restricted Access Module, though reference should be made to the paragraph in the Department's "Procedures on Access to Personal Information" on "Legal Professional Privilege".

Module 9 – Administration

This module contains the business administration information relating to a service user. Staff and users are likely to look here for details of movements, changes of legal status, financial payments and authorisation and changes in circumstances.

Module 10 – Restricted Access

All information should be gathered and stored within an "open access" policy. Service users are likely to know all or most of the information which is kept on them, but some information will be subject to exemptions from the legislation governing service users access to personal files. These exemptions are set out in detail in the Department's procedures on "Access to Personal Information".

Information in this module should be kept to a minimum and care taken at all times when recording or filing information here to ensure that material cannot be shared with the service user.

The contents of this module should be reviewed regularly to ensure that the legislation is being appropriately applied.

When information is filed in this module reference to it should be made on the Case Notes (running records) - which, of course, could be accessed by the service user at some point.

A note should be made in the Case Note (Running Record) when information is cleared for access and moved to the non-restricted part of the file. Information from or about "Third Parties" will be filed in the restricted access module unless consent has been given for the information to be shared with the service user. Other information may also be restricted (e.g. if serious harm might accrue, or if crime is to be prevented). Adoption records are also exempt and "Legal Professional Privilege" also applies.

Generally, therefore, Restricted Access Modules should contain:

- information relating to Adoption records;
- written advice from the County's legal advisers including notes of telephone calls;
- case related supervision notes which cannot be shared with the service user
- any information not cleared for access;
- Records of Child Protection Conferences and meetings where family excluded (not the whole of the conference minutes if the family attend for part)

It is important to note that while Children's Guardians may have access to the Restricted Access module they may not have access to any advice from the County Legal advisers that it contains. If in doubt, consult with a Supervisor or senior staff member.

HEALTH AND SAFETY

Risk assessments should be completed for children or their parents where there is any indication of potential risk to workers. Where there are such concerns they should be recorded on the risk assessment that sets out the details of the risks and actions to be taken. This must be placed inside the front cover of the file.

Where concerns are identified which suggests a risk to members of staff these should be reported to the relevant line manager and a decision should be made as to whether this should be recorded on the electronic database as a hazard.

CHILDREN'S PERSONAL ITEMS

Many children, particularly children who are looked after for longer periods, will acquire items of personal information that need to be stored. These will include key documents such as passports, NI Cards, Birth Certificates and court orders. These should be stored in an envelope attached to the inside front cover of the file and should be transferred to any new file.

Some discretion needs to be applied to the recording and storage of other personal memorabilia such as photographs, school certificates and reports etc. if kept by the Directorate. Some might be stored in the Health & Education Module and others under Administration. Content may need to be considered when storing items such as newspaper cuttings.

Children who are looked after will be provided with an Information Pack for their own use within which they may wish to store some personal items such as photographs. The child will keep this folder.

All items should be recorded on the Case Notes (Running Records) and any changes noted for example, if a child takes personal possession of a passport or a NI card is given to a carer this should be noted.

ROUGH NOTES

All personal information should be regarded as confidential and care taken over security. Rough notes taken at interviews, conferences, at meetings and during telephone calls should normally be filed in the Case Note (Running Record) Module until transcribed and shredded. However, rough notes taken during investigation or during interviews and telephone calls may need to be retained until court proceedings are concluded.

Similarly, rough notes taken at conferences and meetings should not be shredded until members of the meeting have agreed the final version of the minutes of the meeting concerned.

SUPERVISION & QUALITY ASSURANCE

Line Managers and Supervisors are responsible for ensuring that recording meets the standards set out in this document and that files are kept up to date.

Files should be seen regularly by Supervisors and managers to ensure the quality and timeliness of recording and to record decisions made during supervision.

Supervisors must record that they have seen the file by noting their action within the Case Notes and signing and dating the recording.

An Administration checklist is available to help Supervisors ensure that file are being kept in accordance with minimum standards. The Supervisors checklist should also be completed to quality assure the intervention with a child and their family. Both checklists should be attached inside the front cover of the file.

Discussions made in respect of a case and decisions made in supervision must be recorded on the appropriate form, signed and dated by the Supervisor and then placed in the supervision module of the file concerned.

Decisions made in 'corridor' or informal supervision discussions must be recorded in the Supervision Module by the social worker/Supervisor and signed off by the Supervisor at the next meeting.

MAINTENANCE OF FILES

All files for children and their families must be buff. Outer covers should be replaced if worn. A file should not be allowed to become more than 3 inches or 8 cms thick. Once a file has reached this thickness a new file must be started and marked as such.

Files containing personal information should, therefore, be well maintained, and kept in good physical order.

SECURITY

It is the responsibility of the case holder to ensure that files are kept secure.

Files and other paperwork should not be left unattended on desks etc. overnight. A minimum standard is that all files containing personal information and any personal effects belonging to the individual service user should be secure and kept in a lockable room or purpose built lockable cabinet or safe.

Tracer systems should be set up locally in order to monitor the movements of files.

VDU's containing personal information should not be left unattended whilst in operation and should not be accessible to the sight of the general public.

Great care needs to be taken if files have to be taken from an office to other buildings. Staff should be absolutely certain that it is essential for files to be taken out, should exhaust all other ways of conveying personal information first and under no circumstances should files be left unguarded - for example in a car, even if locked.

A useful standard to apply is the level of security, which you might expect of files that contain personal information on yourself.

RETENTION OF RECORDS

Members of staff should familiarise themselves with the Directorate Guidance relating to the Retention of Records.

Private Fostering Administration Officers Checklist

Administration Officers should complete the administration checklist annually for each child and combined with the Practice Supervisors/Team Leaders audit tool, to ensure a full review of all cases open to the Children Social services Directorate. It should also be completed upon transfer/closure of a child's case. The child's paper file, as well as ICS, should both be referred to when completing the checklist.

Please indicate on the checklist where the evidence has been located on the child's file, either electronic – E, or Paper – P)

Name of Administration Officer completing:	Date of file audit:
Name of child:	Case Type: Private Fostering
District:	Name of Social Worker:

File Record	Yes	No	Comment
<p>1. Inside Front cover - Is there an up-to-date front sheet on file which identifies:</p> <ul style="list-style-type: none"> • Gender • Language • Ethnicity • Disability • Religion <p>Has the young person/parent/carer has been given a copy of:</p> <ul style="list-style-type: none"> • KCC Looking After Your Personal Information Leaflet; • Complaints Leaflet • Private Fostering folder and leaflets 			
<p>2. Structure & presentation of file - Is the following available on file or in ICS:</p> <ul style="list-style-type: none"> • Is there an up-to-date Chronology? • Is there a genogram/family tree? • Are the Case Notes (running records) typed? • Are Case Notes signed and dated? • Is there a completed private fostering checklist (PF18(a)) 			
<p>3. Referral & Allocation</p> <ul style="list-style-type: none"> • Is there a private fostering notification (either PF01(b), or PF02(b) (<i>May be on carers file</i>)?) • Is there a current referral? • Is the date of allocation clear? • Are the names of the allocated workers and responsible line manager clear? 			
<p>4. Assessment – Is the following available on file or in ICS:</p>			

<ul style="list-style-type: none"> • Initial assessment • Core Assessment • Has the responsible District Manager signed off the core assessments? 			
<p>5. Planning</p> <p>Are the following available on the file or in ICS:</p> <ul style="list-style-type: none"> • Is the Plan for the child/young person outlined in the initial and core assessment? • Is there a written agreement? • Is there a Risk assessment? 			
<p>6. Checks</p> <p>Are the following available on file or in ICS:</p> <ul style="list-style-type: none"> • Completed declaration regarding suitability to privately foster form PF01(c) (<i>see carers file</i>) • Is it clear that the carers and any other adults in the household have CRB checks (<i>see carers file</i>) • Have the school/education Department been informed that the child is in a PF arrangement (<i>where the child is school aged</i>) • Has the Health authority been informed that the child is in a private fostering arrangement? 			
<p>7. Review</p> <p>Are the following available on file or in ICS:</p> <ul style="list-style-type: none"> • Record of Annual reviews where the placement has lasted for over one year? • Are there records of visits to the child – (<i>visits should take place every 6 weeks during the first year and every 12 weeks thereafter</i>) 			
<p>8. Supervision and decisions -</p> <ul style="list-style-type: none"> • Is there a record of discussions and decisions made with the supervisor? • Are Case Notes (running records) signed off by the supervisor (either electronically or manually)? 			

January 2008

Children and Families Administration Officers Checklist

Administration Officers should complete the administration checklist annually for each child and combined with the Practice Supervisors/Team Leaders audit tool, to ensure a full review of all cases open to the Children Social services Directorate. It should also be completed upon transfer/closure of a child's case. The child's paper file, as well as ICS, should both be referred to when completing the checklist.

Please indicate on the checklist where the evidence has been located on the child's file, either electronic – E, or Paper – P)

Name of Administration Officer completing:	Date of file audit:
Name of child:	Case Type (CIN, CP, LAC, Private Fostering)
District:	Name of Social Worker:

File Record	Yes	No	Comment
<p>1. Inside Front cover Is there an up-to-date front sheet on file (or in ICS do the person details) identify:</p> <ul style="list-style-type: none"> • Gender • Language • Ethnicity • Disability • Religion <p>Is it evident that young person/parent/carer has been given a copy of:</p> <ul style="list-style-type: none"> • KCC Looking After Your Personal Information Leaflet; • Complaints Leaflet 			
<p>2. Structure & presentation of file - Are the following on file, or in ICS:</p> <ul style="list-style-type: none"> • Up-to-date Chronology? • Genogram/family tree • Are all records typed? • Are the running records signed and dated, or on ICS are the Case Notes signed off? • Does the current file include a copy of the: <ul style="list-style-type: none"> • Legal Order • Care Plan 			
<p>3. Referral & Allocation Are the following on file, or in ICS:</p> <ul style="list-style-type: none"> • Current referral? 			

<ul style="list-style-type: none"> • Is the date of allocation clear? • Are the names of the allocated workers and responsible line manager clear? 			
<p>4. Assessment Are the following on file, or in ICS:</p> <ul style="list-style-type: none"> • Initial Assessment? • Core Assessment? • Risk Assessment • Has the Team leader/Practice Supervisor signed off the initial and core assessments (either on the paper copy or on ICS)? 			
<p>5. Child in Need Are the following on file, or in ICS:</p> <ul style="list-style-type: none"> • Record of Child in Need meetings (<i>most recent required within the last six-month period</i>)? • A Plan for the child/young person? • Has a manager signed off the Plan? • Has the Plan been sent to parents/carers? • Has the Plan been sent to partner agencies? 			
<p>6. Child Protection Are the following on file or in ICS:</p> <ul style="list-style-type: none"> • Record of strategy Meeting Reports • Outcome of Strategy Meeting Reports • Child Protection Conference Report • Child Protection Conference Minutes • Child Protection Plan • Review of Child Protection Plan (<i>where child's name has been on the register for 3 months +</i>) • Child Protection agreement 			
<p>7. Looked After Children Are the following on file, or in ICS:</p> <ul style="list-style-type: none"> • Completed Essential Information Record (part 1 and Part) • Placement plan/agreement? • LAC review. Are they being held on time? • Is there an assessment & Action record? • PEP • Looked After Child Medical Report <p>Is it evident that the child/young person has been given the LAC folder? (<i>should be recorded on front sheet</i>)</p>			
<p>8. Supervision and decisions – Are the following on file, or in ICS:</p> <ul style="list-style-type: none"> • Supervision Notes? • Are the Supervision Notes signed off by the supervisor? • Are running records (case notes) signed off by the supervisor? 			

Children and Families Practice Supervisor/Team Leader File Audit tool

This file audit tool must be completed annually for each child and combined with the administration checklist tool, to ensure a full review of all cases open to the Children Social services Directorate. It should also be completed upon transfer/closure of a child's case. This tool can also be used as an aide memoir for supervisors in relation to the review of individual children's files.

Please indicate on the audit tool where the evidence has been located on the child's file, either electronic – E, or Paper – P)

Name of auditor:	Date of file audit:
Name of child:	Name of Social Worker:
District:	Name of line manager:

Practice Standards	Yes	No	Action required
1. Child Focus <ul style="list-style-type: none"> • Has child been seen alone? • Have unannounced visits taken place? • Has child been attending meetings and if not, why not? • Has the child's view, wishes and feelings been recorded and have they been taken into account in service delivery? • If the child's main language isn't English, has an independent interpreter been used (and if not, why not)? • Have statutory timescales for visiting been met? 			
2. Assessments <i>(includes initial & core assessments, Court Reports etc)</i> Consider the following: <ul style="list-style-type: none"> • Are assessments on file and completed within timescales? <i>(7 day initial & 35 days for core)</i> • The quality of the assessments completed? • Have they been shared with child/young person/parents/carers? • Do assessments include analysis of risk, including statutory checks, such as CRB checks, when required? • Do assessments contain sufficient analysis? • Do assessments consider desired/anticipated outcomes? • Comment on the quality of the chronology. 			
3. Plans <i>(includes child in need plans, strategy discussions, child protection plans, LAC plans and Care Plans)</i> <ul style="list-style-type: none"> • Are plans for the child/young person clear? • If plans are multi-agency, are all key parties 			

<p>engaged in the plan?</p> <ul style="list-style-type: none"> • Is the child/family engaged in the plan and have they signed up to it? • Is the plan outcome focussed • Are timescales in place for when outcomes needs to be achieved by? 			
<p>4. Review</p> <ul style="list-style-type: none"> • Consider the quality of any reports prepared by the social worker for the purpose of review meetings • Are reviews in place and within timescales? • Are all partners engaged in the reviews and invited to meetings? • Is there any dissent/level of dispute/conflict between professionals regarding the case? • Are plans effecting change? If not, does the case require independent review? 			
<p>5. Engagement with Family</p> <ul style="list-style-type: none"> • What is the evidence for the family's: • Engagement? Do the parents/carers attend key meetings/contribute to planning & review? • Responsibility for and recognition of the issues of concern? • Pattern of engagement: Is there evidence of hostility/conflict. Is there evidence of avoidance or aggression? 			
<p>6. Transfers & Closures Is reviewing the file for transfer or closure, does the transfer/closure summary:</p> <ul style="list-style-type: none"> • Evidence that the agreed outcomes been achieved; • If not, what is the rationale for closure/transfer? • Does the report contain recommendations regarding what action should be taken if the case is re-referred? 			

January 2008