

IT'S YOUR LIFE.
IT'S YOUR CHOICE.



Case Recording

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Domestics

- Breaks
- Introductions
- Refreshments
- Smoking Policy
- Fire Drill
- Handouts
- Mobile Phones / Blackberry's



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Case Recording

Aim – To improve professional case recording standards

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Objectives

By the end of the workshop delegates will

- Understand the implications of current legislation and guidance for recording practice
- Have an increased understanding of the purpose and principles of producing quality written information in a consistent manner
- Recognise information appropriate for recording
- Understand the requirements of Data Protection
- Have an increased understanding on case recording in SWIFT and ESCR and to apply this knowledge back in the workplace as part of the Case File Audit

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True or False? Accurate or Not?

'I didn't become a social worker because I wanted to be a computer programmer. I want to work with people, not waste my time in front of a machine', Social Worker

'My staff are good at what they do, not what they write down', A Director of Social Services erroneous

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Professional Obligations

- Relevant Legislation
- Department of Health, *'Defining the Electronic Social Care Record'*, 2003
- Personal Obligations, *General Social Care Council (GSCC) Code of Practice for Social Care Workers and Social Care Employers*, 2002
- National Occupational Standards, *Key Role 5*

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Relevant Legislation

- Data Protection Act 1998
- Human Rights Act 1998
- Freedom of Information Act 2000
- Sex Discrimination Act 1975
- Race Relations Act 1976
- Disability Discrimination Act 1995
- Race Relations (Amendment) Act 2000
- Civil Partnership Act 2004
- Disability Discrimination Act 2005
- Equality Act

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Department of Health, *'Defining the Electronic Social Care Record'*, 2003

Customers expect a good consistent service from all government organisations. To achieve this, each organisation has to keep records of what it is doing and how it is doing it. This is necessary to ensure;

- Consistency in service delivery over time, as staff change or move on
- Continuity of service delivery when regular members of staff are not available because of leave, sickness or other absences
- Quality of service delivery through monitoring by managers, inspectors, complaints mechanisms or other means

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Personal Obligations, *GSCC's Code of Practice for Social Care Workers and Social Care Employers, 2002*

The GSCC's Code of Practice for Social Care Workers and Social Care Employers (2002) places a responsibility on employees for, *"respecting confidential information and clearly explaining agency policies about confidentiality to customers and carers"*, Standard 2

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Personal Obligations, *GSCC's Code of Practice for Social Care Workers and Social Care Employers, 2002*

The GSCC's Code of Practice for Social Care Workers and Social Care Employers (2002) places a responsibility on employees for, *"Maintaining clear and accurate records as required by procedures established for your work", Standard 6*

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NOS – Key Role 5: Manage and be accountable with supervision and support, for your own social work practice within your organisation

Manage, present and share records and reports

- Maintain accurate, complete, accessible and up-to-date records and reports
- Provide evidence for judgements and decisions
- Implement legal and policy framework for access to records and reports
- Share records with individuals, families, carers, groups and communities

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Principles of Recording – QUIZ



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**WHY
ARE**

**Providing evidence
of action and
decisions**

**Accountability and
awareness of
DASS procedures**

**To inform
decisions**

RECORDS

**Investigation of
complaints, policy
information and
decision making**

**Evidence in court
proceedings,
investigations and
public enquiries**

IMPORTANT ?

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**To support
continuity, efficiency
and productivity**

**For equalities
monitoring**

**Record outcomes
defined in 'Our
Health, Our Care,
Our Say'**

**To evaluate
service provision
and future service
development**

**To report on
Performance
Indicators**

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What are Case Records?

Case Records are defined in the guidance as:

‘recorded personally identifiable information about service users and carers, in any form, created and maintained by DASS while carrying out its work and kept as evidence of that work’.



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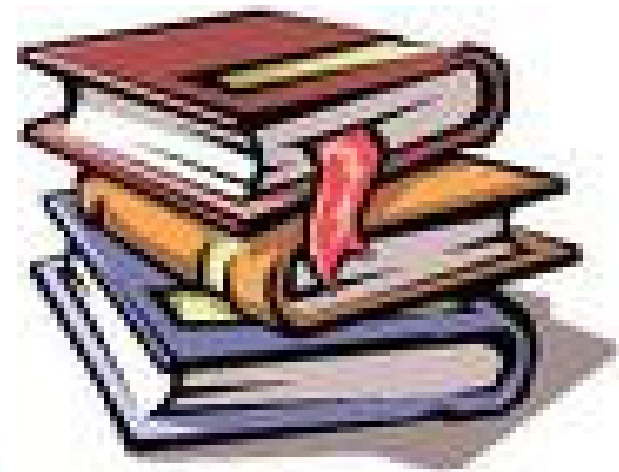
Case Records include

- Electronic or hard copy information
- Videos, digital media, including CD-ROMS, DVD's, USB, disc drives, removable memory sticks
- Computerised records, including those that are processed in networked, mobile or standalone systems
- Email, text and other message types
- Hand-written paper based records
- Telephone messages
- Complaints records
- Logs or day books

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Responsibilities



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Case file Audit

- Launched Sept 2011
- One per month per supervisee
- Manager randomly selects a case
- Case is audited through one referral/ episode of work
- Audit tool is completed by manager
- Copy of audit tool on ESCR
- Feedback through supervision



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Case file Audit

Case files should demonstrate:

- Holistic assessment
- Effective relationships
- Contingency plans for carer breakdown
- Risk management plan / self protection strategies
- Positive risk taking

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PRINCIPLES

- Right to access own records
- Record in plain simple English
- Avoid Jargon and abbreviations
- No stereotyping or stigmatising language
- Must Include: the date of the event; the date of recording; your name and your position
- Record within five working days for accuracy
- Recording should be clear, accurate, concise and unambiguous
- Specify concerns and risk factors
- Record how decisions are made and the reasons for decisions
- All contacts with customer or carers should be recorded

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- Clearly distinguish fact from professional opinion.
- Professional opinion requires supporting evidence.
- Record differences of opinion.
- Service users and carers should be given information about the Access to Records policy.
- All recording must be done in SWIFT and ESCR (See Appendix 3).
- Information obtained from third parties cannot be disclosed without the consent of that third party unless it is reasonable in all the circumstances to comply with the request without the consent of the third party individual (section 7(4) of the Data Protection Act 1998). Further guidance on this issue can be obtained from the Information Commissioner's Office (www.ico.gov.uk)

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When And Where?

48 hours (24 for safeguarding) – Initial recording
Swift outcome text

- Contact details
 - initial response recorded
- Decision re further work required (or investigation)
 - Record a link to profile notes

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Five days SWIFT profile notes

- Details of further work/investigation undertaken
 - People contacted
 - Basic risk assessment
- Decision re further work required
 - Record of link to ESCR

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Over five days since contact ESCR

- Case recording for longer term work
 - All pro formas
 - Diary sheets
 - Authorisations
- Services commissioned

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Appendix 3 – Naming documents in ESCR

- To aid identification of relevant documents they should be named as below:-
- The document name is prefaced by the document origination date structured as Year, Month, and Day. The name of the document then follows with abbreviations used to maximise what is displayed on the enquiry screen, see examples below :-

2009 April 09 Review assmnt

2009 May 21 Ltr to J Bloggs re accom.

2010 Jan, Assessment

2011 Dec, ESCR13 RAP

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Appendix 3 – recording on ESCR 108 diary sheets

- There should be a separate ESCR diary sheet used for Social Work, Occupational Therapy and Visual Impairment Team records.
- You should use a continuous diary sheet for case recording related to each new referral/contact.
- You should only create a new diary sheet if a new contact or referral related to a separate situation is received for the individual
- Each case record in ESCR needs to be dated at the time of entry and signed with your full name (first name or the name you are known by and your surname)
- It is acceptable to cut and paste e mails about the customer from a third party if it is related to the contact/referral into ESCR case records. However, you should refer to the principles of recording and ensure any opinion is removed from the detail.
- This information is clear and should form the basis for standardising practice.

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ESCR 26

Safeguarding Adults Recording (Appendix 4)

Information which should be recorded at the different stages on the ESCR 26 is clearly detailed in the Guidance notes of The Wirral Safeguarding Process document.

- There is a distinct difference in what you should record on the ESCR 26 and the detail of your case recording within SWIFT and on an ESCR 108 diary sheet.

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Safeguarding

- Avoid copy and pasting large chunks of record into the ESCR 26 document.
- The ESCR 108 diary sheet (or profile notes) records your intervention and details of the activity that you have undertaken in the process of your investigation and evidence gathering.
- The ESCR 26 is only for recording decisions made at each stage of the process, these include:
 1. risks
 2. action taken to mitigate those risks
 3. outcomes

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What Not to Forget!!!!

- Cross reference records to guide the reader by using **Further details recorded in**
- Record in the Swift contact tab outcome box, immediate action taken
- Further action is then recorded in profile notes
- Long term involvement is recorded in ESCR 108 diary sheet
- Rename scanned information so records are clearer in ESCR e.g. 2010 Oct ESCR 108 VIT; 2011 Feb Initial Assessment

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Useful Resources

- www.wirral.gov.uk
- www.ico.gov.uk
- Case Recording Policy:
- Appendix 3 – recording in SWIFT & ESCR
- Appendix 4 – Safeguarding recording
- Appendix 5 – recording MCA & Best interest
- Wirral Safeguarding Process document

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