# PEOPLE ADVICE & WELLBEING TEAM: CASE TRACKER

Guidance Document

The Scottish Government
Riaghaltas na h-Alba

### Case Tracker User Process Guide

Process Owner: REDACTED
( Process designed and written by: REDACTED )

Our Case Tracker is an Excel based document which requires minimal maintenance to keep it up to date with current staffing data to support in the delivery of HR casework**.**

This User Guide explains how to use and update the Case Tracker ongoing.
Any questions about these processes, should go to REDACTED in the HR PAW Team.

### Contents



### 1. Case Tracker General Layout

The Case Tracker is designed to track cases and link out to case audit files. It also provides high level management information in relation to the number of cases which are in progress / closed and by DG area. The Case Tracker consists of the following tabs:

**Case Tracker**
Cases are recorded on the Tracker tab and can be filtered by type, by owner or any other filter drop down. Sections 2-5 below detail how to open and close cases, how to use the Case Tracker and how to link out to Case Audit files / Career folders.

**Dashboard**
This counts and shows the number of case types and their status at a high level summary.

**Detailed MI**
This provides more detailed management information and counts and shows the number of case types and their status by DG level.

**Guidance**
This tab holds the link to this file, providing detailed guidance on how to use and maintain the Case Tracker.

( **Hidden tabs** (for admin access only):
**Data** – this tab holds a confidential staff list which the Case Tracker tab looks up to provide current staffing data into the
**Lists –** this tab is password protected and holds the lists for the drop downs in the case tracker. This can be amended by an administrator (or Kirsty Oswald).

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## 2. Open, filter and close a case on the Case Tracker

To open, filter and close cases on the Case Tracker on the Tracker tab, follow these steps:

1. Select the type of case from the drop down in column B.
2. Select your name from the Owner drop down in column C.
3. Enter the date you opened the case. The Case Tracker then open a new line, ready for you to capture the information about the case.
4. Enter the staff number of the employee into column E.
   (The staff number can be sourced from the Staff Directory on Saltire, and will pull through other details about the employee, onto some of the following columns G:N. If these columns do no populate, the data can be added in manually. If the directorate general is input manually, be sure to use the naming convention on the Detailed MI tab to enable the case to be counted).
5. You can use the '+' at the top of the Tracker tab (above column M and others along the top) to expand the data details (ie grade, location, director general area).
6. In column M, link to the case audit file, by selecting the cell, clicking Ctrl+K and pasting the link to the case audit in (follow process 3 below for full instructions on this step).
7. Select the case grounds in column O.
8. Select the level of misconduct, if appropriate, in column P.
9. Select the risk level in column Q. If the risk level hasn't be discussed leave this column blank.
10. The next four sections of information can be viewed and entered by selecting the '+' to expand the sections – Suspension / Investigation / Disciplinary / Appeal.
11. To collapse any expanded sections, select the '-' at the top of the columns which are expanded.
12. Once the case is closed, enter the Date Closed date in column AP. This should close the case, change the status to Closed and colour the case line in grey. If this doesn't happen automatically, select the Status drop down and change the status to Closed.
13. Cases can be filtered by any of the headers (ie your name in column C to show your cases). Remember to remove filters when saving and closing the Case Tracker.

## 3. Set up and link to a Case Audit file

Case Audit files are word documents which will capture the detail and timeline of cases which are captured in the Case Tracker. Case Audits are saved in Career Folders on ERDM, then the link to the file can be linked to in column M of the case tracker.

1. Find the employees career folder or create a new one on ERDM if one doesn't exist.
2. Open a blank Case Audit template file.
3. Right click the Header > Edit Header.
4. Input the details of the employee / manager.
5. Save as, with the employees initials at the end – ie Case Audit – AB
6. Enter the date of any actions, plus your initials and summarise discussions, any actions taken and link to any emails / files within the career folder.

7. Case Audits should then be linked to from the Case Tracker, as in step 6 of process 2 above.

You must ensure when you release the casework tracker document in ERDM that you do so using the ERDM button Release and Close on the excel toolbar. The ERDM buttons should be on your excel toolbar however there is currently an issue where these are not appearing automatically for everyone. To get this button on your toolbar you should click File then options then add-ins. In this dialog box choose COM-Add-ins from the drop down box at manage then click go. Select the box at ERDM Excel Add-in and click ok. The excel buttons should now be on your toolbar. You may have to do this every time you open Excel. If you save and close the document without using the ERDM release button on Excel the document won't release on ERDM. You will then have to revert back to the previous option using the undo edit option.

## 4. Best practice in managing cases on the Case Tracker

Formal cases should be recorded on the Case Tracker

When supporting a case, good practice includes:

- Create and save a case audit in the employees career folder on ERDM, and link to it from the Case Tracker.
- Always ensure the case audit is up to date with the latest information.
- Always ensure you link any relevant documents into your Case Audit – ie. in the career folder or any relevant policies on Saltire in the case audit (ctrl+K as a quick step).
- Review cases on the Case Tracker regularly, and keep the Case Tracker up to date with any changes. If advice is required, speak with your line manager.
- When a case is closed ensure all relevant columns on the Case Tracker have been completed for management information reporting.
- Always ensure that all columns (including hidden columns with '+' at the top) are completed.
- See the Guidance page in the Case Tracker for more information.

Any questions about using the Case Tracker or these processes, should go to REDACTED in the HR PAW Team.