

**Children and Young People Provider Services
CASE FILE AUDIT**

Date of Audit:

Team Manager:

Social Worker:

ICS Ref:

Auditor: Case type:

Name of child/young person: D.O.B:

Requirement	Yes/No or N/A	Notes
All cases		
Are the Basic Details or Demographic information in Protocol/ICS up to date?		
Was a decision made regarding Contact / Referral within 24 hours?		
At allocation is there evidence of: <ul style="list-style-type: none"> Action required? How it will be reviewed? 		
Are the names of the allocated worker and responsible line manager clear?		
Has an acknowledgement letter been sent to the referrer indicating action to be taken		
Has a letter been sent to the person(s) with parental responsibility regarding the outcome of the Contact / Referral		
Has a Fair Processing Notice been sent to family (and child over 12) informing them of CIN Census?		
Chronology of significant factual events on current file/ present in Chronology tab in Protocol? Is this up to date? Does it show that significant events are recorded appropriately in line with case notes?		

<p>Has an assessment been completed?</p> <p>Within what timescale?</p> <p>Is there evidence of the rational for the agreed timescale and agreements reached?</p>		
<p>Is there evidence of signed consent being sought from the person(s) with parental responsibility within ICS?</p>		
<p>Are Risks assessed appropriately within forms</p>		
<p>Are Case Notes in ICS/Protocol up to date?</p> <p>Do they reflect meetings, discussions, placements, matching etc And are they appropriate?</p>		
<p>Is there evidence on the file/ in Case Notes tab in Protocol of management oversight?</p>		
<p>Is there a record of the child's views and feelings? (<i>observations through play/visits re child's attachment, emotional presentation etc should be recorded with young children - This should be within case notes and within assessments and discussions</i>)</p> <p>Does this include their health, education, placement, matching and helping them to stay safe?</p>		
<p>If the child/young person is subject to a Court Order is it (or a copy) on the file?</p>		
<p>Is the child's legal status recorded on the paper file or in ICS/Protocol (if applicable)?</p>		
<p>Is there a copy of the Statement of Educational Need on the file (if applicable)?</p> <p>Is this up to date and have appropriate individuals participated in the review of the SEN?</p>		
<p>Is there evidence that information on the following has been given:</p> <ul style="list-style-type: none"> • Complaints • Access to records 		

For cases being transferred:		
<ul style="list-style-type: none"> • Has the transfer been confirmed in writing to the receiving authority/team? • Is there a full transfer summary? • Was an introductory visit made and or a transfer meeting held? • If there is a delay in the transfer please explain why? 		
Is there evidence of a separate needs assessment of the parent/carer (if applicable)? [i.e. "Whole Family Approach.]		
Is there evidence of end of service questionnaires being sent to families/feedback being sought on the service received?		
Children in Need cases (s17)		
Is there a CIN plan/Initial plan recorded in ICS/Protocol?		
Has the plan been agreed by the line manager?		
Has the plan been reviewed or is there a date for the plan to be reviewed?		
Is there evidence of the child's wishes and feelings being sought through this process?		
Is this case being worked by Family Support/Early Intervention and being reviewed despite the key worker being in the duty team?		
Is Family Support or Early Intervention, de facto, holding too much case responsibility?		
Is this case appropriately assessed? Should it be a CP or a CAF case and not CiN?		
Child Protection Planning		
In the case of recent referrals has the agency checks form been completed in Protocol and the responses recorded?		
Is there evidence of police/other agencies and CSC manager's involvement in strategy discussions?		
Did the original referral constitute a criminal offence?		
Was this reported to the police?		
Was the LADO alerted?		

Following the recording of an allegation of significant harm was the child seen and spoken to within 24 hours? If not was the reason for non contact within 24 hours recorded on the file?		
Where the case has been closed did the following happen: <ul style="list-style-type: none"> • Child spoken to? • Child's carer spoken to? • Child's accommodation visited? • Views of other professionals sought? • A plan for the promotion and safeguarding of the child's welfare agreed? 		
Is there an up to date Child Protection Plan? Is it robust enough?		
Under what category has the child/young person been made subject of a CP plan?		
Is there evidence of clear decision making in this case?		
Does the child subject to CP planning have a needs assessment which includes an analysis of risk?		
Is there evidence of IRO challenge to Herefordshire staff?		
Is there evidence of challenge to Herefordshire's partners?		
What proportion of the CP plan is undertaken by Herefordshire's partners?		
Is there evidence of the child/young person's involvement in the process of assessment and their wishes and views?		
How is progress measured in this case? [A brief description.]		
Is there evidence of parent/carers involvement in the process of assessment and their wishes and views?		
Have copies of the Child Protection Plan/agreement been circulated to involved agencies?		
Has a copy of the Child Protection Plan/agreement been sent to the parents/carers?		
Are Statutory Child Protection visits complete and up to date?		
Are CP initial and review conference outcomes and minutes complete?		

<p>Are the notes of Core Group meetings recorded?</p> <p>Was the first Core Group Meeting held within timescale?</p> <p>State timescales for Core Group Meetings</p>		
<p>Is there evidence of drift in this case and if so where and by whom?</p>		
<p>Is there evidence of a Genealogy being completed and family makeup being explored?</p>		
<p>Is the child still living at home if not where are they and why? <i>(comment on appropriateness of this arrangement)</i></p>		
For cases deemed 'NFA'		
<p>Direction of Case evidenced</p>		
<p>Outcomes and Comments</p> <p>What is your judgement in how well the actions which services have taken have improved the outcome for the child/young person in the context of the child's journey and experiences? This also includes how their wishes and views have been sought and how well they have been listened to.</p> <p>Use this section to identify key areas of good practice and key areas for improvement, challenge and learning. Please comment on the quality of the recording and planning.</p>		

Specific Recommendations for Improvement:

Assessment – please rate the file according to the following criteria:

1. Outstanding – all requirements applicable and relevant to the type of case are met and there is good evidence of effective care planning and record keeping and there are no comments which indicate deficiencies in the standards of assessment and practice on the case
2. Good – all requirements applicable and relevant to the type of case are met and there are no comments indicating deficiencies in the standards of assessment and practice on the case.
3. Adequate – all requirements applicable and relevant to the type of case are met.
4. Inadequate – cases which do not meet the above criteria, and/or where comments on the standards of assessment and practice indicate serious deficiencies.

Rating:

Actions Taken to Rectify Recommendations for Improvement:

Actions Required:

Action Taken (including date):

By Whom:

Manager checked completion:

Managers and Social Workers Comments:

Auditors Return Comments:

Comments on action taken, including timescale to achieve improvements and quality of information provided:

Explain if any further action is required, including escalation:

Outcomes UK.

23rd October 2012.