**TIER 2 (FULL) CASE FILE AUDIT TOOLKIT (CIN & CP)**

**Case File Grading (Ofsted Key Judgements)**

**Outstanding**

In addition to meeting the requirements of a ‘good’ judgement, there is evidence that professional practice exceeds the standard of good and results in sustained improvement to the lives of children, young people and families. Research-informed practice, some of which will be innovative, continues to develop from a strong and confident base, making an exceptional difference to the lives and experiences of children and young people.

**Good - (Use Detailed Audit Guide as the benchmark for what good looks like)**

Children and young people who are, or who are likely to be, at risk of harm or who are the subject of concern are identified and protected. Help is provided early in the emergence of a problem and is well coordinated and recorded through multi-agency arrangements. Records of action and decisions are clear and up to date. Children and young people are listened to and heard. Social workers build effective relationships with them and their families in order to assess the likelihood of, and capacity for, change. Risk is well understood, managed and regularly reviewed. Children and young people experience timely and effective multi-agency help and protection through risk-based assessment, authoritative practice, planning and review that secures change.

**Requires Improvement**

Not meeting all good grades, but there are no widespread or serious failures that create or leave children being harmed or at risk of harm. Assessments should be timely with risk and protective factors identified and action taken to safeguard children. Risk and protective factors are identified. Conclusions flow from analysis and findings in relation to significant harm are clear. All statutory case file requirements are met. However, the case file is not yet at a Good standard and does not provide sufficient assurance that we are delivering good protection, help and care for children, young people and families.

**Inadequate**

The file does not demonstrate a suitable level of assurance. There are, or appear to be, widespread failures or serious failures that leave children harmed or at risk of harm. Response to referrals is not timely or effective, Section 47 investigations insufficiently planned, poor quality assessments, insufficient involvement of family and children and poor managerial oversight. Case file is not able to evidence compliance with statutory requirements.

**Notes for Auditor**

All comments boxes must be completed – there must be sufficient information to evidence the grades and inform improved practice or comment on good practice. If there are immediate concerns the manager must be notified. **The child must always be at the centre of the audit. What is the child’s journey? Does the child have a voice?**

**Tier 2 (Full) Case File Audit Toolkit (CIN & CP)**

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| Date: | Click here to enter a date. | Auditor (name): | Click here to enter text. | Current allocated social worker: | Click here to enter text. | Current team: | Click here to enter text. |
| Case ID: | Click here to enter text. | Case type CP/CIN/CwD | Choose an item. | State Legal status  Subject to PLO | Choose an item. | Locality | Choose an item. |
| D.O.B | Click here to enter a date. |

*Notes: in most cases an audit of the last 18 months would be appropriate. Where there has been a significant event that pre-dates this, for example a CP plan, it would be beneficial to include that time period.*

| **Details** | **Pick from list** | **Comments / Evidence** |
| --- | --- | --- |
| **Section 1: Child’s details, Chronology & Case Summary** | | |
| Child’s details are complete, including parental responsibility and other agency details | Choose an item. | Click here to enter text. |
| Chronology is up to date, concise and clearly records significant events | Choose an item. | Click here to enter text. |
| Case summary (presence and quality) | Choose an item. | Click here to enter text. |
| **Section 2: Referral Process and application of thresholds** | | |
| Quality of information provided and subsequent interrogation | Choose an item. | Click here to enter text. |
| Involvement of partner agencies and impact on the referral process | Choose an item. | Click here to enter text. |
| Contact with referrer (including notification of outcome) | Choose an item. | Click here to enter text. |
| Appropriate consents | Choose an item. |  |
| Effectiveness of MASH / CART appropriately assessing the risk factors and/or unmet needs, including consideration of relevant historical information | Choose an item. | Click here to enter text. |
| Thresholds are appropriately applied, against the CON | Choose an item. |  |
| Early help support identified | Choose an item. |  |
| Procedural compliance, including appropriate statutory timescales (reference to child seen, strategy discussions, s47, ICPC & screening for CSE) | Choose an item. | Click here to enter text. |
| If CP, quality of strategy meeting minutes and Section 47 enquiry - record of the event, discussions, analysis and list of actions. | Choose an item. | Please state why:  Click here to enter text. |
| **Summary – what is your overall judgement in respect of the referral?** | Choose an item. | Please state why:  Click here to enter text. |
| **Section 3: Assessment** | | |
| Date of last assessment | Click here to enter a date. | Click here to enter text. |
| Is a copy of the assessment available? | Choose an item. | Click here to enter text. |
| Is the assessment current *i.e. within last year or following significant event / trigger point* | Choose an item. | Click here to enter text. |
| Reasons for assessment evident | Choose an item. | Click here to enter text. |
| Appropriateness of timescales/checkpoints  (10 day checkpoint & completion within 45 days) | Choose an item. | Click here to enter text. |
| Quality and robustness of information gathering clinical and actuarial | Choose an item. | Click here to enter text. |
| Has the risk framework been used | Choose an item. | Click here to enter text. |
| Quality of risk and need assessments and impact on child | Choose an item. | Click here to enter text. |
| Consideration and impact of age, disability, ethnicity, faith/belief and other protected characteristics (consider all areas) | Choose an item. | Click here to enter text. |
| Child’s wishes and feelings are known and taken into account (for very young children, or those with communication difficulties observations are recorded) | Choose an item. | Click here to enter text. |
| Involvement of relevant parties in the assessment process (including absent parents and fathers) | Choose an item. | Click here to enter text. |
| Involvement of partner agencies and extent to which their information contributed to the assessment | Choose an item. | Click here to enter text. |
| If specialist assessments were commissioned, the extent to which they contributed to the assessment | Choose an item. | Please state why:  Click here to enter text. |
| Has a copy of the Assessment been shared with parents and, if appropriate, the child? | Choose an item. | Click here to enter text. |
| Has there been previous concerns/interventions in respect of CSE? | Choose an item. | Click here to enter text. |
| If YES: Reflection of previous CSE concerns within the current assessment | Choose an item. | Click here to enter text. |
| If YES: Quality of the CSE risk assessment | Choose an item. | Click here to enter text. |
| Has there been previous concerns/interventions in respect of MFH? | Choose an item. | Click here to enter text. |
| If YES: Reflection of previous MFH incidents within the current assessment | Choose an item. | Click here to enter text. |
| If YES: Compliance with MFH procedures | Choose an item. | Click here to enter text. |
| **Summary – what is your overall judgement in respect of the assessment?** | Choose an item. | Please state why:  Click here to enter text. |
| **Section 4: Analysis** | | |
| Interrogation of assessment information to inform analysis and decision making | Choose an item. | Click here to enter text. |
| Quality of statements in relation to child’s unmet needs, parenting deficits and environmental issues | Choose an item. | Click here to enter text. |
| Evidence of a hypothesis that reflects upon high and underlying risk factors, resilience factors ,capacity to change and use of research | Choose an item. | Click here to enter text. |
| Appropriate analysis of sibling groups, where appropriate | Choose an item. | Click here to enter text. |
| **Summary – what is your overall judgement in respect of analysis?** | Choose an item. | Please state why:  Click here to enter text. |
| **Section 5: Plan & Outcome** | | |
| Does a plan exist? | Choose an item. | Date of last plan:  08/08/2016 |
| Currency of plan (plans and reviews completed within statutory timescale and/or at points of significant change) | Choose an item. | Click here to enter text. |
| The extent to which the voice of the child and their family is clearly reflected in the plan | Choose an item. | Click here to enter text. |
| Quality and appropriateness of the plan including the SMART-ness of the objectives | Choose an item. | Click here to enter text. |
| Links between the assessment, analysis and the plan | Choose an item. | Click here to enter text. |
| Plan reflect options around permanency | Choose an item. | Click here to enter text. |
| Quality of core groups, review meetings and minutes, including evidencing progress and informing new plans | Choose an item. | Click here to enter text. |
| The extent to which our interventions have improved outcomes (please specify reasons in Comments box – consider Education, Health and general) | Choose an item. | Click here to enter text. |
| For CwD has a referral been made to Adult Social Care (17+) | Choose an item. | Click here to enter text. |
| **Summary – what is your overall judgement in respect of outcome?** | Choose an item. | Please state why:  Click here to enter text. |
| **Section 6: Monitoring and management oversight** | | |
| Impact of the voice of the child and their family on the service received | Choose an item. | Click here to enter text. |
| Contact with child, seen regularly and has meaningful relationship with social worker. If not seen alone reasons detailed in case file. Details of direct work | Choose an item. | Click here to enter text. |
| Home conditions clear (including bedroom seen appropriately – not required in some CwD/CIN cases) | Choose an item. | Please state why:  Click here to enter text. |
| Statutory compliance – include statutory visits, reviews, minutes & plans | Choose an item. | Click here to enter text. |
| Appropriate management oversight and timely decision making and challenge by supervising officer, including through supervision | Choose an item. | Click here to enter text. |
| Appropriate challenge by IRO | Choose an item. | Click here to enter text. |
| Decision making in relation to the case is clear, with all relevant approvals in place including plans and assessments | Choose an item. | Click here to enter text. |
| Summary views of monitoring and managerial oversight | Choose an item. | Click here to enter text. |
| **Section 7: General Observations** | | |
| Threshold for intervention is appropriate and proportionate to the needs and risks | Choose an item. | Click here to enter text. |
| Quality/appropriateness of actions taken and outcomes achieved | Choose an item. | Click here to enter text. |
| Case recording – appropriateness, level, content | Choose an item. | Click here to enter text. |
| Quality of any step-up/step-down analysis and decisions making e.g. CSC ⭤ EH and CSE ⭤ CSC | Choose an item. | Click here to enter text. |
| How well is the voice of the child evident overall, and how much impact has it had? | Choose an item. | Click here to enter text. |

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| **General overview / comments:**  *If relevant, include here where individual judgements may not appear to align with the overall judgement. Highlight any good practice that could be shared.*  Click here to enter text.  **ARE THERE ANY IMPROVEMENTS SEEN WITHIN THIS CASE FILE WITHIN THE LAST 3 TO 6 MONTHS?**  *Please can you state what these are, for example, case summaries, chronologies, voice of the child, better analysis of risk, multi-agency working etc.* | | |
| Choose an item. | **Please state why:**  Click here to enter text. | |
| **Parents / carers views:**  Please refer to separate guidance document if this case is selected for obtaining parents / carers views  Click here to enter text. | | |
| **JUDGEMENT OF CASE FILE IN THE LAST 3 MONTHS**  Choose an item. | | **OVERALL JUDGEMENT OF THE CASE FILE:**  Choose an item. |
| *Good for Ofsted:* If this case would be suitable for an Ofsted inspector to demonstrate good outcomes and/or involvement, please tick here | | |

**Please state any remedial actions you recommend for this case - these will be passed to the Supervising Manager and reviewed during supervision, and monitored by the Audit Team:**

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| **To be completed by auditor** | | | **To be completed during supervision** | | |
| **Action** | **Who?** | **Timescales** | **Date reviewed** | **Completed/Comments** | **Initials** |
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