



Children's Social Care case file audit form (Version 5, March 2016)

Audit administration		
Case file audit sample month	May 2016	
Date audit allocated	Click here to enter a date.	
Assigned auditor(s)	Choose an item.	Choose an item.
Date audit due	Click here to enter a date.	
Subject details		
Case number	Click here to enter text.	
Child's given name(s)	Click here to enter text.	
Family name	Click here to enter text.	
Date of birth	Click here to enter a date.	
Gender	Choose an item.	
Ethnicity	Choose an item.	
Type of case	Choose an item.	
Allocated Case Worker (most recent)	Click here to enter text.	
Team Manager (most recent)	Click here to enter text.	
Team	Choose an item.	
Previously audited cases		
Has this case been previously audited?	Choose an item.	Click here to enter text.
If yes, is there a completed audit form evidenced in the file?	Choose an item.	Click here to enter text.
If yes, were all actions completed? If no what was not completed?	Choose an item.	Click here to enter text.
1. Referral and Chronology		
Is there a signed Consent Form?	Choose an item.	Click here to enter text.
For the Referral, did the manager set out suitable and clear expectations?	Choose an item.	Click here to enter text.
Has the referrer been advised of the Referral outcome?	Choose an item.	Click here to enter text.
Is there an up-to-date chronology of significant events on file?	Choose an item.	Click here to enter text.
Recording: Is recording on the case file up to date (within 1 or 2 weeks)?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 1 ? Choose an item.		
2. Assessments and analysis		
Is the reason for the assessment clearly set out?	Choose an item.	Click here to enter text.
Is there evidence of multi-agency	Choose an item.	Click here to enter text.

engagement in the assessment process e.g. interagency liaison and checks undertaken?		
Is there evidence of inclusion in the assessment process of all parents and people with parental responsibility for the child?	Choose an item.	Click here to enter text.
Is there evidence of appropriate challenge (where applicable) of parents as part of the risk assessment process?	Choose an item.	Click here to enter text.
Have 'other adults' in regular contact with child (friends of family/neighbours etc) been considered as part of the risk analysis?	Choose an item.	Click here to enter text.
Are risk and protective factors considered, clearly evidenced and analysed in the assessment?	Choose an item.	Click here to enter text.
Is there evidence of managerial oversight and challenge/endorsement of the assessment?	Choose an item.	Click here to enter text.
Do the assessments adequately convey a sense of the child's 'story' and lived experience?	Choose an item.	Click here to enter text.
Has the child been seen and spoken to and (where appropriate) have their views taken into account?	Choose an item.	Click here to enter text.
Does the analysis and conclusion make sense and is there clearly set out a set of suitable actions?	Choose an item.	Click here to enter text.
Was the length of time taken to complete the assessment proportionate to the issues and identified needs?	Choose an item.	Click here to enter text.
Has a copy of the assessment been provided to the parent, carer, child and/or young person?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 2 ? Choose an item.		

3. Child or Young Person's Plan

Have the child's health needs been appropriately addressed in the plan?	Choose an item.	Click here to enter text.
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Do you agree that the current plan meets all the child's assessed needs with specific and appropriate objectives?	Choose an item.	Click here to enter text.
Is there evidence that the child's family, carer, and other significant persons' views are reflected in the plan and that a copy of the plan has been sent to them where appropriate?	Choose an item.	Click here to enter text.
Is there evidence that consideration has been given to the views of all family members, including absent fathers and older siblings?	Choose an item.	Click here to enter text.
If the child is part of a sibling group, is it clear that the child's individual needs have been taken into account?	Choose an item.	Click here to enter text.
Is the child's voice being heard and does it inform the plan?	Choose an item.	Click here to enter text.
Does the plan clearly describe the intended outcomes, the actions required to achieve them, and the associated targets and timescales?	Choose an item.	Click here to enter text.
If not very recent, has the plan been reviewed within a suitable timeframe? And if recent, was the preceding plan suitably reviewed?	Choose an item.	Click here to enter text.
Where applicable, were the outcomes and actions of the previous plan achieved (i.e. the last plan before current plan)?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 3 ?	Choose an item.	

4. Key decisions at meetings, reviews, conferences and panels

Regarding key decision meetings for the current plan, were the right people invited and did they attend and contribute?	Choose an item.	Click here to enter text.
Did parents, carers attend if appropriate, and are their views included?	Choose an item.	Click here to enter text.
Is there evidence that decisions and plans have been shared with parents,	Choose an item.	Click here to enter text.

carers, child and young person and where possible, agreement reached?		
Review the record of discussion/decisions to check for analysis, conclusions and actions. Is there evidence that previous decisions, actions and history were taken into account?	Choose an item.	Click here to enter text.
Were meetings held within the required or recommended timescales?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 4 ?	Choose an item.	

5. Child focused practice

Is there evidence of child-focused practice and of continuous assessment of the child's needs?	Choose an item.	Click here to enter text.
Has the child's development (physical, motor, cognitive, language and social) been assessed and commented on against suitable measures of expected progress and attainment?	Choose an item.	Click here to enter text.
Is there evidence that the social worker's observations of the child's physical and emotional presentation, interaction with carers etc. is recorded, analysed and acted on?	Choose an item.	Click here to enter text.
Where required, were statutory visits completed within timescales?	Choose an item.	Click here to enter text.
Where statutory visits are not a requirement, has the child been seen regularly?	Choose an item.	
In either of the above circumstances, was the child seen alone?	Choose an item.	Click here to enter text.
Where feasible and appropriate, is there evidence of direct work with the child?	Choose an item.	Click here to enter text.
Have the child's views and understanding of their situation, care plan, contact, placement and other significant factors been recorded?	Choose an item.	Click here to enter text.
Is there constant attention to the child's voice and does what is 'said'	Choose an item.	Click here to enter text.

inform the plan?		
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 5 ? Choose an item.		

6. Strategy Meetings and Discussions and Section 47 Outcomes		
Has there been a strategy meeting or discussion and a resulting Section 47 enquiry?	Choose an item.	Click here to enter text.
Were the right professionals in attendance?	Choose an item.	Click here to enter text.
Does the record evidence discussion, analysis and decisions leading to appropriate actions?	Choose an item.	Click here to enter text.
Was the Outcome document completed and circulated among the parties to the discussion?	Choose an item.	Click here to enter text.
Were the proposed actions SMART?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 6 ? Choose an item.		

7. Inter-agency working		
Is there evidence of collaboration and good communication between the case worker and other agencies?	Choose an item.	Click here to enter text.
Is there evidence of effective interagency working and communication throughout the case work?	Choose an item.	Click here to enter text.
Is it clear how other partners are contributing to the plan?	Choose an item.	Click here to enter text.
Is there documented any evidence of challenge between agencies?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if	a) Choose an	b) Click here to enter text.

required, please list	item.	
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 7 ? Choose an item.		

8. Case transfer, allocation and closure		
Has the rationale for the step-up, step-down, closure or transfer of the case been recorded?	Choose an item.	Click here to enter text.
Is there evidence that effective transfer procedures have been followed?	Choose an item.	Click here to enter text.
Is the step-up, step-down, closure or transfer process completed and authorised?	Choose an item.	Click here to enter text.
Has the child and/or parent/carer been appropriately informed (letter or visit/handover visit)?	Choose an item.	Click here to enter text.
For those cases in step-down from Children's Social Care services, has a lead professional and appropriate support services been identified for the child within an Early Help or TAC-type setting?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 8 ? Choose an item.		

9. Equality and diversity		
Is there evidence of equality and diversity issues being addressed throughout the work with this child and family?	Choose an item.	Click here to enter text.
Has the record of the child's ethnicity, language, religion and, where relevant, immigration status been completed and updated as necessary?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to	b) Click here to enter a date.

	enter text.	
Overall grading for Section 9 ? Choose an item.		

10. Access to advocacy and awareness of complaints procedures		
Is there evidence that the child, parents and carers have been given information about the complaints procedure and information on how to get access to records?	Choose an item.	Click here to enter text.
Is there evidence of any complaints or compliments made by the child and/or family?	Choose an item.	Click here to enter text.
If yes, have these been dealt with appropriately?	Choose an item.	Click here to enter text.
Has the child and/or parents been made aware of their entitlement to advocacy?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 10 ? Choose an item.		

11. Supervision, management oversight and management decisions		
Is there evidence of regular formal supervision in line with the Supervision Policy?	Choose an item.	Click here to enter text.
Is there evidence of tracking actions in case consultations?	Choose an item.	Click here to enter text.
Is there evidence that decisions taken by managers outside formal supervision are recorded on the case file?	Choose an item.	Click here to enter text.
Is there evidence of reflective practice?	Choose an item.	Click here to enter text.
Is there appropriate challenge of practice?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 11 ? Choose an item.		

12. Outcomes for the child or young person

Is the child safe?	Choose an item.	Click here to enter text.
Are the wishes and feelings of the child clearly recorded?	Choose an item.	Click here to enter text.
Have the child's wishes and feelings been included in the current care plan?	Choose an item.	Click here to enter text.
Is the lived experience of the child improving?	Choose an item.	Click here to enter text.
Are the child's needs being met effectively and in a timely way?	Choose an item.	Click here to enter text.
Is there evidence that the current care plan is making a difference to the child?	Choose an item.	Click here to enter text.
Commentary (please suggest areas of practice to reflect on and any helpful hints or thoughts for this section)	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.
Overall grading for Section 12 ? Choose an item.		

13. Discussion with Allocated Case Worker (Ideally every audit will include a discussion with the current or most recent Allocated Case Worker)

Reflections following discussion with the Allocated Case Worker	Click here to enter text.	
Remedial actions a) required? b) if required, please list	a) Choose an item.	b) Click here to enter text.
Actions a) by whom and b) by when?	a) Click here to enter text.	b) Click here to enter a date.

14. Audit summary and overall grading

Summary of audit, overall grading and additional comments to include examples of good practice, effective partnership working and areas of concern or potential development (for the individual /and or service development). Suggested areas of practice to reflect on and any helpful hints.	Click here to enter text.
Overall grading for the whole audit Choose an item.	

15. Additional notes

Please use this section for recording	Click here to enter text.
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anything of significance that does not fit conveniently in the preceding sections, or to record observations on the fulfilment of remedial actions.	Click here to enter text.
	Click here to enter text.
	Click here to enter text.
	Click here to enter text.

Date audit completed	Click here to enter a date.
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