**Tier 2 (Full) Case File Audit Toolkit (CLA and Leaving Care)**

**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. *In addition for Care Leavers, the local authority is assertive and proactive in keeping in touch with all young people who have left care and, as a result, young people have a sense of security and connection with adults who they know well.*

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

Decisions about children and young people becoming looked after are made using high-quality assessments about the risk of harm or actual harm to them and the likelihood of change in their family. Thresholds are clear and applied appropriately. Children and young people are listened to by social workers who know them well. Adults working with children and young people help them to understand and manage their early childhood experiences, to progress well and achieve educationally, and to influence decisions about their future. They return home with the support they need and when it is safe for them. If this is not possible, they live in stable placements where they are helped to build positive relationships and maintain contact with their family and friends where this remains in their best interests. Care plans are regularly reviewed to ensure that the child or young persons' current and developing needs continue to be met. Permanent homes and families are found for children and young people without unnecessary delay. Their needs are met and they live with their brothers and sisters if that is assessed as being in their best interests. They do not experience placement moves unless they are part of a planned return home or in accordance with plans for their future. Their education is not disrupted unless it is in their best interests and plans for their schooling provide any extra help they need to make up time and learning that has been missed. They develop safe and secure relationships with adults that persist over time. When support is needed, children, young people and families are able to access it for as long as it is needed throughout their childhood and beyond. In addition, young people who are prep*aring to leave care receive support and help to assist them in making a successful transition to adulthood. Plans for them to leave care are effective and address their individual needs. They are safe and feel safe, particularly where they live. Young people acquire the necessary level of skill and emotional resilience to successfully move towards independence. They are able to successfully access education, employment, training and safe housing. They enjoy stable and enduring relationships with staff and carers who meet their needs.*

**Requires Improvement**

When there are no widespread or serious failures or unnecessary delays that result in the welfare of looked after children *and care leavers* not being safeguarded and promoted. However, the authority is not yet delivering good help and care for looked after children and young people *(including care leavers)* and their families.

**Inadequate**

If there are widespread or serious failures, including unnecessary delay in identifying permanent solutions for them and which result in their welfare not being safeguarded and promoted.

*If there are widespread or serious failure that results in care leavers not having their welfare safeguarded and promoted but the characteristics of a good judgement are not in place.*

**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 (CLA and Leaving Care)**

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| Date: | 02/08/2016 | Auditor (name): | Click here to enter text. | Current allocated social worker: | Click here to enter text. | District the child belongs to: | Choose an item. |
| Case ID: | Click here to enter text. | Case type: | Choose an item. | Child in adoptive placement | Choose an item. | Legal status: | 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.*

| **Detail** | **Select an Item** | **Comments / Evidence** |
| --- | --- | --- |
| **Section 1: Chronology and Case Summary** | | |
| 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: Assessment**  *Where the child/young person has been looked after for a significant period of time, some questions may not be relevant. If this is the case, please state N/A in comments.* | | |
| Is a copy of the assessment available? | Choose an item. | Date of last assessment:  Click here to enter a date. |
| 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. |
| Quality of risk and need assessments | Choose an item. | Click here to enter text. |
| Has the risk framework been used? | 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 or young person's wishes and feelings are known and have been taken into account (for very young children, or those with communication difficulties, observations should be recorded) | Choose an item. | Click here to enter text. |
| Involvement of relevant parties in the assessment process (including carers, absent parents and fathers) | Choose an item. | Click here to enter text. |
| Involvement of partner agencies and did their information contribute to the assessment | Choose an item. | Click here to enter text. |
| If specialist assessments were commissioned, the extent to which their information contributed to the assessment | Choose an item. | Click here to enter text. |
| Have there been 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. | Click here to enter text. |
| **Section 3: 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/young person'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. |
| Appropriate analysis of placement and whether child or young person's needs are met | Choose an item. | Click here to enter text. |
| **Summary – what is your overall judgement in respect of analysis?** | Choose an item. | Click here to enter text. |
| **Section 4: Plan & Outcome** | | |
| Relevant plans in place which are up-to-date (Care Plan, Placement Plan and Pathway Plan) | Choose an item. | Date of Last Plan:  Click here to enter a date. |
| Currency of Plans (plans completed within statutory timescale and/or at points of significant change) | Choose an item. | Click here to enter text. |
| Is there a PEP in place and has the PEPSA funding been utilised appropriately | Choose an item. | Click here to enter text. |
| The extent to which the voice of the child, young person and their family or carer is clearly reflected in the plan | Choose an item. | Click here to enter text. |
| Quality and appropriateness of the plan/s including the SMART-ness of the objectives | Choose an item. | Click here to enter text. |
| Links between reviews, assessment, analysis and the plan | Choose an item. | Click here to enter text. |
| Plan reflects options around permanency | Choose an item. | Click here to enter text. |
| Permanence options clear at 4 month CLA review | Choose an item. | Click here to enter text. |
| The quality of the placement planning, including how well children and young people are prepared and matched to the placement and children who return home to parents | Choose an item. | Click here to enter text. |
| Stability of placement(s) | Choose an item. | Click here to enter text. |
| Quality of review meetings and minutes, including evidencing progress and informing new plans | Choose an item. | Click here to enter text. |
| Effectiveness of transition arrangements (if applicable) | Choose an item. | Click here to enter text. |
| Has the eligibility criteria for Leaving Care been appropriately applied? | Choose an item. | Click here to enter text. |
| Is there a Personal Advisor? | Choose an item. | Click here to enter text. |
| Preparation for independence | Choose an item. | Click here to enter text. |
| Evidence of life story work where appropriate (considering age and long term CLA/adoptive placement) | 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, Accommodation & general) | Choose an item. | Click here to enter text. |
| For SEND 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 and plan?** | Choose an item. | Click here to enter text. |
| **Section 5: Monitoring and management oversight** | | |
| Impact of the voice of the child or young person 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) | Choose an item. | Click here to enter text. |
| Statutory compliance – include statutory visits reviews, minutes and 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 – what is your overall judgement in respect of management oversight and decision making?** | Choose an item. | Click here to enter text. |
| **Section 6: General Observations** | | |
| 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. |
| How well is the voice of the child or young person 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: REQUIRES IMPROVEMENT**  Choose an item. |
| *\*Concerns:* if you feel the practice in this case could be judged inadequate please speak to the appropriate Service Lead without delay, and tick here 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 Choose an item. | | |

**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?** | **Date to be completed by?**  **(Format: --/--/----)** | **Date reviewed** | **Completed/Comments** | **Initials** |
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