

FILE AUDIT CHECKLIST

SWIFT No:	
Child/YPs Name:	
Audit completed by:	
Date:	

NB Audit follows the file format

Section 1- Referral Assessment	Comments
Is there an up-to-date Chronology?	
Is there an up to date and complete front sheet/contact sheet?	
Is there a current plan with objectives outcomes and timescales? If applicable is there a Risk Assessment?	
Is there an Initial/Core Assessment with child's needs and parenting capacity sufficiently analysed?	
Has the assessment been shared with the family?	

Section 2- Recording	Comments
<p>Are the diary/contact sheets</p> <ul style="list-style-type: none"> • up to date with no gaps • legible • clearly signed with status • dated? 	
<p>Is there a genogram on file and completed appropriately and/or as fully as possible?</p>	
<p>Have CP/CLA statutory visits been:</p> <ul style="list-style-type: none"> • undertaken in line with CP/review plan • recorded on correct forms • signed off by UM? 	
<p>Is there evidence of direct work with the child/yp? If applicable (age, CPR status etc) has s/he been seen alone? Evidence of their views</p>	
<p>Have parents & carers been appropriately involved? Is there evidence of their views?</p>	
<p>Is there evidence of involvement & contributions from other agencies? (see section 9)</p>	

Section 3 – CLA	Comments
<p>Are LAC documents signed & on/with current file:</p> <p>EIR1 EIR2 PP1 PP2 Current Care Plan Latest review Health Plans (current HAS) Education Plans (current PEP)</p>	
<p>Where applicable are Panel Papers, linking documents etc on file?</p>	
<p>Is there evidence that reviews:</p> <ul style="list-style-type: none"> • are held on time with date for next one set • appropriately attended • up date the care plans • check decisions are actioned? 	
<p>Is there evidence that children/yp & parents/carer's views have been sought & represented in reviews?</p>	

Section 4 – History & Management	Comments
Evidence on file of case supervision & agreed actions carried out	
Evidence of managers involvement in key decisions	
If applicable is there a closure/transfer summary signed by the line manager Have objectives/outcomes been achieved? If not are reasons for closure acceptable?	

Section 5 – Administration	Comments
Is file in good order (to include sections in date order)?	
Are there duplicate papers/reports?	
Is key information on SWIFT complete and accurate?	

Section 6 - Correspondence	Comments
Is internal correspondence (including emails) appropriate relevant and relate solely to the child/yp whose file it is?	
Evidence that parents/carers have in writing key decisions &/or agreements (e.g. from CP/FS conferences)	

Section 7 – Legal Papers	Comments
<p><i>What would be expect to see and what is the issue re volumes? We talked about key CLA info being transferred to new volume in a see through wallet. Would we want to add any of the legal documents like the Court Order? NB - this info should be in the chronology</i></p>	

Section 8 – CP/FS Conferences	Comments
<p>Following on file:</p> <ul style="list-style-type: none"> • records of S47 strategy meeting • report for conference signed by manager • conference minutes • CP/FS plan 	
<p>Is there evidence of a timely sharing of the report with the parent/carer?</p>	

General	Comments
<p>Does the file present a picture of a coherent, organised and thoughtful approach to the work?</p>	
<p>Does it tell the “story” for children/yp accessing their file</p>	

Feed back to social worker to include strengths, and key areas requiring action/rectifying (with timescales)