



Department for
Communities and
Local Government

Financial Framework for the Expanded Troubled Families Programme



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Department for Communities and Local Government
Fry Building
2 Marsham Street
London
SW1P 4DF
Telephone: 030 3444 0000

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Introduction

In April 2012, the Government launched the Troubled Families Programme a £448 million scheme to incentivise local authorities and their partners to turn around the lives of 120,000 troubled families by May 2015. The current programme works with families where children are not attending school, young people are committing crime, families are involved in anti-social behaviour and adults are out of work. The programme is making strong progress and as at the end of August 2014, had already turned around nearly 70,000 families.

In June 2013, the Government announced plans to expand the Troubled Families Programme for a further five years from 2015/16 and to reach up to an additional 400,000 families across England. £200 million has been committed to fund the first year of this five year programme.¹ This increased investment is testament to the Government's ongoing commitment to improve the lives of troubled families and as this work is taken to a significantly greater scale, to transform local public services and reduce costs for the long-term.

The Government announced in the Budget 2014 that it would offer the highest performing areas (those that have 'turned around' the lives of the most families in the current Programme) the opportunity to start delivery of the expanded Troubled Families Programme early – during 2014/15. Fifty-one such areas have been identified and signed up to be part of the first wave of 'early starter' areas. These areas began delivery in September 2014 and are working intensively with the Troubled Families Team to implement and refine the operating model for the national roll out of the expanded Troubled Families Programme. There will be a second wave of early starters announced later this year who will begin delivery in January 2015.

In September 2014, the Troubled Families Team published an interim version of this Financial Framework and sought feedback from the early starter areas and other government departments. This was followed by a series of thematic workshops with areas to discuss the identification indicators in more depth and begin conversations about appropriate outcomes. This Financial Framework reflects as much of this feedback as possible and provides the terms on which the expanded Troubled Families Programme will operate for the remainder of 2014/15.

Ahead of the national roll out of the expanded Programme in April 2015, the Department for Communities and Local Government's Troubled Families Team (TFT) will provide a further iteration of the Financial Framework. This will reflect learning and examples drawn from work with the 'early starter' areas during the remainder of 2014/15. However, in order to

¹ The remaining funding commitment will be determined as part of the next Spending Round process.

provide financial certainty to early starter local authorities, the core components of the operating model and its financial terms will not change.

The Role of ‘Early Starter’ Local Authorities

The ‘early starter’ areas have an important role to play; they are critical to maintaining the momentum of the current Troubled Families Programme and helping to build a strong evidence base in order to inform the case for continued investment in the expanded programme beyond 2015/16. Furthermore, these areas will work with the TFT on the detail of this Financial Framework over the coming months and help refine and improve the guidance and support offered to other local areas as they join the programme. The early starters are the best performing areas in the country. The flexibility of this Financial Framework reflects the Government’s trust in their ability to shape and deliver the next phase of the Programme.

TFT is working collaboratively with the early starter areas with a particular focus on the following:

- The development of an independent national evaluation for the expanded Troubled Families Programme;
- The completion and continued improvement of the Troubled Families online cost savings calculator;
- The design and implementation of a new system of Family Progress Data;²
- The refinement of the indicators suggested to identify families and the development of best practice approaches to measuring significant and sustained progress with families;
- The design of the ‘spot check’ process for results and engagement of local authority Internal Auditors in the approval of local results claims; and
- The introduction of a model of transparent local accountability for the success of the programme as a tool to drive greater service transformation, using streamlined data collection tools.

² Currently local authorities provide family monitoring data for a 10% sample of families worked with. This system of data collection will be developed to have a greater focus on tracking the progress of families against a range of outcome measures.

Identifying Families

The current Troubled Families Programme has led the way for the first systematic identification of families with multiple problems across England. Although faced with data sharing, partnership working and service development challenges, the programme has identified and is working with nearly all 120,000 troubled families who are receiving support. This is a major achievement upon which the expanded programme will build.

The expanded Troubled Families Programme will retain the current programme's focus on families with multiple high cost problems and continue to include families affected by poor school attendance, youth crime, anti-social behaviour and unemployment. However, it will also reach out to families with a broader range of problems, including those affected by domestic violence and abuse, with younger children who need help, where crime and anti-social behaviour problems may become intergenerational and with a range of physical and mental health problems.

Reflecting the expanded programme's focus on a broader range of family problems, rather than a small number of nationally defined criteria, the inclusion of families into the programme will be based upon a cluster of six headline problems. Below these problems will sit a basket of indicators, suggested nomination³ routes and information sources, which local authorities should use to identify families with these problems. While the headline family problems on which the programme focuses are unlikely to change, the indicators and information sources underneath are designed to be flexible and can be updated over the course of the programme's proposed five year life.

There will not be a sign off process where local authorities look to introduce new or different indicators under any of the six problems as this is intended to be a locally responsive and flexible model. However, to ensure best practice examples are shared and the list of indicators provided to local authorities is up to date, local authorities should inform the Troubled Families Team if they would like to use new or different indicators or information sources.

³ The interim Financial Framework referred to 'referral routes'. However, local authorities fed back that the term 'nominations' is more appropriate at identification stage, because referrals suggest work will be undertaken and a nomination is for identification screening purposes. A family's suitability for an intervention will only be agreed once the prevalence of other problems is understood and the local area has prioritised families for support.

To be eligible for the expanded programme, each family must have at least two of the following six problems:

1. Parents and children involved in crime or anti-social behaviour.
2. Children who have not been attending school regularly.
3. Children who need help: children of all ages, who need help, are identified as in need or are subject to a Child Protection Plan.
4. Adults out of work or at risk of financial exclusion or young people at risk of worklessness.
5. Families affected by domestic violence and abuse.
6. Parents and children with a range of health problems.

While families may be identified as eligible for the programme on the basis of two problems, the information available at the point of identification may not reflect the entirety of each family's complexity of problems. Some problems, such as domestic violence or mental illness, may be hidden from public services until work begins with the family and uncovers the full extent of their needs. A similar situation has been apparent in the current Troubled Families Programme whereby families have entered the current programme having met at least three eligibility criteria, but our evaluation has so far found that, on average, families have nine significant problems on entry to the programme⁴. The expanded Troubled Families Programme remains a programme for families with multiple, high cost problems, although the profile and extent of these problems may differ from those of families supported by the current programme.

The formula for identifying families allows for a level of discretion which should be exercised reasonably. Local authorities should identify families across all six problems and ensure the Programme's resources are being used to best effect. Families should be prioritised for inclusion in the programme on the basis of the following:

- They are families with multiple problems who are most likely to benefit from an integrated, whole-family approach; and
- They are families who are the highest cost to the public purse.

⁴https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/336430/Understanding_Troubled_Families_web_format.pdf

While the detail of this prioritisation should be agreed locally, the periodic collection and publication of Family Monitoring/ Progress Data and the cost savings calculator⁵ for every local area will provide a form of accountability. These will show the types of families and problems that areas are prioritising. The TFT will also consider this information as part of the programme's ongoing 'spot check' processes. The TFT will collect examples from 'early starter' areas over the coming months to gather information regarding the prioritisation of families, which will inform guidance for the national roll out.

The first group of 'early starter' local authorities began delivery of the expanded programme on 1 September 2014 and the second group will begin on 1 January 2015. Families who meet the eligibility criteria for the programme from these dates onwards may be considered as part of each area's delivery commitments, irrespective of whether they were already receiving a targeted family intervention. However, no results may be claimed for successes achieved with families prior to these dates.

Annex A provides further information on the principles underpinning the identification process. Annex B provides more detail on the indicators and suggested information sources underpinning each of the headline problems. Annex I provides details on some of the data sharing arrangements and this will be updated over the lifetime of the programme to reflect the latest information, advice and best practice.

⁵ See Annexes F and G for further information.

Measuring Success

The expanded Troubled Families Programme has ambitious service transformation goals and therefore differs from the current programme in how it will measure, and pay for success. Rather than focusing on a small number of relatively tightly defined national results to be achieved with each family it asks local authorities and their partners to measure success in three main ways for which funding is available:

1. Firstly, by demonstrating either **significant and sustained progress** or **continuous employment** with an agreed number of families in each upper-tier local authority, representing the area's share of the estimated national total of 400,000 families. Each family's achievement of 'significant and sustained' progress will be assessed against a locally defined Troubled Family Outcomes Plan. This will provide a new, more flexible approach to measuring results. See Annex D and E for more detail.

Funding for this is available for each family who achieves success and will be paid in two parts: an upfront attachment fee of £1,000 per family and a results-based payment of £800 per family. Once the programme is rolled out nationally from April 2015, payments of attachment fees will normally be made in the first quarter of each financial year, subject to satisfactory performance against the previous year's agreed commitments in regard to the number of families for which attachment fees were received.

2. Secondly, by capturing a much richer understanding of the progress achieved with a representative sample of families across a broader range of outcomes. This will be achieved during 2014/15 through the collection and publication of **Family Monitoring Data** (using existing systems). However, this approach will be improved through a co-design process with 'early starter' areas to focus more on capturing a richer picture of the progress achieved (**Family Progress Data**) with a representative sample of families through the programme. See Annex F for more detail on the transition from Family Monitoring Data to Family Progress Data.
3. Finally, by developing a much better understanding of the financial benefits achieved through the programme and by stimulating ongoing service transformation through transparent local accountability for these benefits. All local authorities will be asked to complete the online troubled families **cost savings calculator**, which has already been made available. The calculations produced by local areas and Family Progress Data analysis will be published periodically. This will show the complexity of the families supported by the programme, the effectiveness of interventions and the benefits of this work to local services and the taxpayer. Work is already

underway with a group of ten 'exemplar' areas⁶ and a HM Treasury led group of economists from across government departments to improve the functionality of this tool and the unit costs available. See Annex G for more detail on the the cost savings calculator.

Funding to support the collection, analysis and publication of the Family Monitoring/Family Progress Data and the completion of the cost savings calculator is provided via the Service Transformation Grant (STG). To reflect the increased data collection requirements of the programme, this is higher than the funds offered for troubled families coordinators in the current programme, but remains weighted in accordance with the number of families that each area will be working with. The bandings for this grant are set out in Annex H.

Once the programme is rolled out from 1 April 2015, STG payments will normally be made in the first quarter of each financial year subject to satisfactory compliance with requirements to provide Family Progress Data, to participate in the National Impact Study⁷ and to complete the costs savings calculator during the previous year.

Verification and Validation of Results

It is important that each local authority puts in place robust results verification and validation systems. Learning from the current Troubled Families Programme suggests that those areas that invested early on in good local data management and in analytical resources have strongly benefited. To deliver the increased evidential expectations of the expanded programme, most areas will need to at least retain (and most likely increase) this resource.

As per the current programme, results should be claimed under the powers of the local authority's Chief Executive. The local authority's Internal Auditor should check and verify at least a random representative sample of results for each claim before it is made. The Internal Auditor should refer to the area's Troubled Family Outcomes Plan (see Annex E) and, therefore it is recommended that s/he is consulted during the development of that plan.

The first opportunity to claim a result as part of the expanded programme will be during January and February 2015. Given the emphasis on sustained outcomes, it is unlikely that areas will be in a position to claim many results at this stage. Results should only be claimed once a Troubled Families Outcomes Plan is in place and has been shared with the area's Internal Auditors as part of their sign off process.

⁶ Members include the London Borough of Wandsworth, Manchester, Salford, Bristol, Redcar & Cleveland, Staffordshire, Derbyshire, Birmingham, Newcastle and Leeds.

⁷ A project initiated under the current programme's evaluation, which makes a quantitative assessment of the impact of the Programme, but matching data about individuals in troubled families to national administrative datasets held by government departments (e.g. Police National Computer and DWP's benefits systems).

As with the current programme, there will be regular 'spot checks' of a sample of local authorities' claims for payment. The TFT is planning to work with internal auditors across a range of the 'early starter' areas over the coming months to review the lessons learnt from the current 'spot check' process and refine the approach as necessary ahead of the national roll out of the expanded programme. The new process will have particular reference to local authorities' Troubled Family Outcomes Plans.

Annex A - Principles for Identifying Families

There are three key principles that underpin the expanded programme's approach to the identification of troubled families. These reflect the programme's broader policy purpose:

1. The Troubled Families Programme aims to work with families who have multiple problems, who will in turn benefit from an integrated whole family approach. To reduce the likelihood that a family becomes eligible for the Programme exclusively on the basis of a problematic individual without reference to their wider family, an adult with parenting responsibilities who does not live with his/her children on a full-time basis may only account for only one of the problems that deems a family eligible. For example, a father leaving prison who will not live with his children but has some parenting responsibilities may only account for one of the problems that deems a family eligible for the expanded Programme, even if he is an individual with multiple problems. There should be at least one other member of the family who has at least one of the other headline problems targeted by the programme for the family to be eligible.
2. The programme aims to improve outcomes for children and intervene earlier in families with problems; all eligible families must include dependent children⁸.
3. To identify the estimated 400,000 troubled families across England, we expect all local authorities to identify families across all six headline problems. The scale of the programme means it is unlikely to be possible to focus on only some of these problems and still identify the volumes of families that this programme aims to reach. However, if a local authority and its partners identify more families than its mutually agreed share of the overall 400,000, families should be prioritised on the basis of need and those with more than two problems should be offered support first.

As explained above, the level of discretion that this formula allows local areas in regard to the identification of families for the expanded programme should be used reasonably with regard to relevant factors. Like the current programme, the expanded Troubled Families Programme remains a programme for families with multiple problems. Local authorities need to be satisfied that the programme's resources are being used for families who will most benefit from an integrated, whole-family approach to their problems and that the highest cost families are being prioritised for support.

⁸ For the purposes of the programme, a dependent child is a person aged 0-15 in a household or aged 16-18 in full-time education, in training or unemployed and living in a family with his or her parent(s).

Annex B - Indicators and Nomination Routes to Assist in the Identification of Families

1. Parents and children involved in crime or antisocial behaviour.

The Troubled Families Programme works with families who have significant problems with some families who also cause problems. The current Programme’s focus on youth crime and anti-social behaviour across the family has enabled local areas to reach families whose problems span not only behavioural issues, but are also strongly related to wider family issues such as substance misuse, domestic violence and mental illness. Many areas have also used these criteria as a basis on which to build strong partnerships with local criminal justice and housing services on which the expanded programme will look to build.

The expanded programme retains the current programme’s youth crime and anti-social behaviour criteria, but broadens the reach to families including an adult offender with parenting responsibilities. This reflects the evidence that a significant family factor in youth offending is having criminal or anti-social parents. Furthermore, children of offenders are also more likely to be excluded from school and twice as likely to suffer from behavioural and mental health problems.

The indicators below also offer the flexibility for criminal justice professionals to nominate parents and children where there is a potential crime problem, but no proven offence and they think this could be a sign of wider family problems. This may be particularly helpful when identifying families where there is strong intelligence about a family’s involvement in activities such as gang and youth violence or serious organised crime, but no proven offence.

Indicators	Suggested Information Source
<i>The family includes at least one of the following...</i>	
A child ⁹ who has committed a proven offence ¹⁰ in the previous 12 months.	Information provided by Youth Offending Teams and the Police.
An adult or child who has received an anti-social behaviour intervention (or equivalent local measure) in the last 12 months.	Information provided by the Police, anti-social behaviour teams and housing providers.

⁹ under 18 year olds

¹⁰ A proven offence is one where a formal outcome is given, either in or out of court.

Indicators	Suggested Information Source
<i>The family includes at least one of the following...</i>	
An adult prisoner who is less than 12 months from his/her release date and will have parenting responsibilities on release.	Information provided by probation providers ¹¹ and prisons.
An adult who is currently subject to licence or supervision in the community, following release from prison, and has parenting responsibilities.	Information provided by probation providers ¹² and prisons.
An adult currently serving a community order or suspended sentence, who has parenting responsibilities.	Information provided by probation providers ¹³ .
Adults or children nominated by professionals because their potential crime problem or offending behaviour is of equivalent concern to the indicators above.	Nominations from the Police, multi-agency gang units, probation providers, Serious Organised Crime Partnerships, Integrated Offender Management Teams and CHANNEL coordinators ¹⁴ .

2. Children who have not been attending school regularly.

Suitable full time education is not only an essential pre-requisite to better attainment; but also strongly associated with a broad range of family outcomes including reducing the risk of worklessness, youth crime and anti-social behaviour. In light of this, the expanded programme's indicators generally mirror the education criteria used in the current programme. However, where the current programme has focused exclusively on persistent unauthorised absence, the expanded programme offers a broader opportunity to identify children whose absence is persistent but authorised and a cause for concern. This reflects feedback from local authorities about different recording practices and also the broader policy intent of the expanded programme.

The suggested information sources also reflect learning from the current programme. While information collected locally for submission to the Department for Education should provide most of the information needed to identify families against these indicators, some supplementary information may be needed from Education Welfare Officers (or equivalent) to produce a complete picture of each child's circumstances and the reason for their absence. See Annex I for further information on data sharing arrangements.

¹¹ National Probation Service, Community Rehabilitation Companies and other providers of probation services.

¹² As above.

¹³ As above.

¹⁴ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/118194/channel-guidance.pdf

Indicators	Suggested Information Source
<i>The family includes at least one of the following...</i>	
A child who is persistently absent ¹⁵ from school for an average across the last 3 consecutive terms.	Information compiled locally for submission to the Department for Education for the School Census and Alternative Provision Census. Information provided by Education Welfare Officers.
A child who has received at least 3 fixed term exclusions in the last 3 consecutive school terms; or a child at primary school who has had at least 5 school days of fixed term exclusion in the last 3 consecutive terms; or a child of any age who has had at least 10 days of fixed term exclusion in the last 3 consecutive terms.	
A child who has been permanently excluded from school within the last 3 school terms.	
A child who is in alternative educational provision for children with behavioural problems.	
A child who is neither registered with a school, nor being educated in an alternative setting.	Information compiled locally from within the local authority
A child nominated by education professionals as having school attendance problems of equivalent concern to the indicators above because he/she is not receiving a suitable full time education ¹⁶ .	Nominations from teachers and education welfare officers (or equivalent).

3. Children who need help: children of all ages, who need help, are identified as in need or are subject to a Child Protection Plan.

The national eligibility criteria for the current Troubled Families Programme are purposely weighted towards families with school age children and based on assessments of poor school attendance and youth crime. However, in light of the broader focus of the expanded programme, the indicators below will enable local authorities and their partners to identify a wider group of families who may benefit from family intervention. These are: children who have been identified or assessed as needing early help; and children who have been

¹⁵ Currently measured as missing 15% of sessions. Threshold will reflect Department for Education metric

¹⁶ Sections 7 and Section 19 of the Education Act 1996 provide a definition of a 'suitable' education. In summary, this means it is appropriate to the child's age, ability and aptitude; and to any special educational needs, either by regular attendance at school or otherwise.

identified as a 'child in need', children subject to a Child Protection Plan or have been subject to section 47 enquiries. In these cases, the social worker will put forward a family that they believe would benefit from family intervention.

Indicator	Suggested Information Source
<i>The family includes at least one of the following...</i>	
<p>A child who has been identified as needing early help.¹⁷</p>	<ul style="list-style-type: none"> • Information from local authority early years foundation stage providers (e.g. children's centres) about children who don't take up the Early Years Entitlement, by cross-referencing a list of those children eligible with those who are not in an early years setting.¹⁸ • Information from local schools, academies and education welfare teams, Special Educational Needs Coordinators (SENCOs) or equivalent about children identified in the School Census as having social, emotional and mental health problems¹⁹. • Information from the Police and Children's Services (including youth services) about children who have been reported missing from home and identified as of concern²⁰.
<p>A child who has been assessed as needing early help.²¹</p>	<p>Information from Children's Services or related multi-agency teams²² about children who are:</p> <ul style="list-style-type: none"> • repeatedly assessed under Section 17 or 47, of the Children Act 1989, but not deemed a 'child in need', or • subject to Early Help Assessments (or equivalent).

¹⁷ This may include children below the threshold for services under Section 17, Children Act 1989 and those experiencing or at risk of poor parenting, with developmental delay, at risk of exploitation, with challenging behaviours and those previously accommodated and returning home from care.

¹⁸ All three and four year olds are entitled to free 15 hours of Early Years Entitlement per week; All two-year-olds who live in households which meet the eligibility criteria for free school meals are entitled to a free early education place, along with children who are looked after by the state; and From September 2014, the two-year-old entitlement will be extended to 40% of the least advantaged two-year-olds (meaning up to 260,000 children could benefit from the two year offer offer).

¹⁹ From September 2014, the school census code for social, emotional and mental health problems will use the following code - SEMH

²⁰ For example, this may include local information following 'safe and well' checks carried out by the Police or Independent Return Interviews.

²¹ This may include children , who when assessed were deemed below the threshold for services under Section 17, Children Act 1989.

²² For example, Team around the Child, a Team Around the Family or a Team Around the School.

Indicator	Suggested Information Source
A child 'in need' under Section 17, Children Act 1989.	Information provided by Children's Services.
A child who has been subject to an enquiry under Section 47, Children Act 1989.	
A child subject to a Child Protection Plan.	
A child nominated by professionals as having problems of equivalent concern to the indicators above.	Nominations ²³ from schools, social workers, early years providers (including Children's Centres), health visitors, education psychologists, school Special Educational Needs Coordinators (SENCOs), Youth Offending Teams and the Police.

4. Adults out of work or at risk of financial exclusion or young people at risk of worklessness.

The focus on employment in the current Troubled Families Programme is one of its most powerful elements. It has had a transformative impact not only on family outcomes, but also on the approach and design of local family intervention services. The financial case for the prioritisation of employment outcomes for troubled families is compelling. Welfare benefits are the single greatest area of public expenditure on these families and the wider benefits of reducing welfare benefit dependency are felt across improvements in health, reductions in crime and local economic growth.

In light of this, the expanded Troubled Families Programme's indicators mirror the existing worklessness criterion, while taking account of the transition from the current welfare and tax benefits system to Universal Credit; and go further to reach young people at high risk of worklessness and those experiencing problematic debt, particularly those who have financial responsibilities in their household.

²³ Where there are concerns about children at risk of abuse or neglect, the existing referral route to local child protection teams should be followed in accordance with the statutory guidance - *Working together to Safeguard Children* <https://www.gov.uk/government/publications/working-together-to-safeguard-children>

Indicators	Suggested Information Source
<i>The family includes at least one of the following...</i>	
<p>An adult in receipt of out of work benefits.²⁴ or An adult who is claiming Universal Credit and subject to work related conditions²⁵.</p>	<p>All 'early starters' now have access to the Department for Work and Pension's Automated Data Matching Solution (ADMS) for the Troubled Families Programme.</p>
<p>A child who is about to leave school, has no/ few qualifications and no planned education, training or employment.</p>	<p>Information drawn from Personal Learner Records²⁶ and the local authority's Client Caseload information System (or equivalent)²⁷</p> <p>Information collected by local schools, academies and alternative providers for the Department for Education's School Census and Alternative Provision and Youth Contract providers²⁸</p> <p>Key Stage 4 data compiled by schools and academies' pupil level for the production of published school performance tables.</p>
<p>A young person²⁹ who is not in education, training or employment.</p>	<p>Local authorities' Client Caseload Information Systems (or equivalent)³⁰, which indicates whether young people have been identified as not in education, training or employment (NEET) or whether their activities are 'not known'.</p>

²⁴ As per the current programme, this includes adults in receipt of Employment and Support Allowance, Incapacity Benefit, Carer's Allowance, Income Support, Job Seekers Allowance and Severe Disablement Allowance.

²⁵ To be consistent with the Department for Work & Pension's approach, this includes adults required (i) to attend 'work focused interviews'; (ii) to meet 'work preparation requirements' (e.g. those with limited capability for work currently, but could make reasonable steps to prepare for work); and (iii) to proactively look for work (e.g. those expected to look and be available for work).

²⁶ All 16-18 year olds should have a Personal Learner Record (PLR) and most local authorities already have access to this information as registered providers of education and training.

²⁷ Local authorities are required to encourage young people to participate in education and training and identify those who are not engaged. For most areas, a key part of this is collecting good information about young people with few/ no qualifications and many record these details on a Client Caseload Information System (or equivalent) and others have arrangements in place to gather attainment data from providers.

²⁸ <https://www.gov.uk/government/publications/youth-contract-16-and-17-year-olds>

²⁹ See Annex C

³⁰ See above comment.

Indicators	Suggested Information Source
<i>The family includes at least one of the following...</i>	
Parents and families nominated by professionals as being at significant risk of financial exclusion. This may include those with problematic/ unmanageable levels and forms of debt and those with significant rent arrears.	Nominations from organisations specialising in debt and finance, such as the Money Advice Service, Jobcentre Plus and housing providers.

5. Families affected by domestic violence and abuse.

Domestic violence and abuse has been a damaging and widespread problem across families in the current Troubled Families Programme. Its prioritisation in the expanded Programme is led by a clear request from local areas and is reinforced by a compelling financial imperative; the consequences of domestic violence and abuse are felt across health, police, housing and Children’s Services budgets.

While the expanded Troubled Families Programme will explicitly focus on reaching families affected by domestic violence and abuse, the definition of indicators and suggested information sources is by no means straightforward. By its very nature, domestic violence and abuse often goes unreported for some time and this means the indicators and suggested information sources used must capture what is often considered ‘hidden harm’. In response, local authorities will have the flexibility to draw upon the intelligence of specialist agencies, rather than just formal reporting mechanisms. This means they are likely to lend themselves to nomination-based models of identification, rather than the cross-referencing of larger datasets.

The Troubled Families Programme will apply the agreed cross-government definition of domestic violence and abuse, which defines it as: ‘any incident or pattern of incidents of controlling, coercive, threatening behaviour, violence or abuse between those aged 16 or over³¹ who are, or have been, intimate partners or family members³² regardless of gender or sexuality. The abuse can encompass, but is not limited to psychological, physical, sexual, financial and emotional.’³³

³¹ Violence or abuse between those under the age of 16 should be captured as part of the youth crime or children who need help indicators.

³² This may include adult siblings, grandparents, uncles, aunts etc.

³³ <https://www.gov.uk/domestic-violence-and-abuse>

Indicator	Suggested Information Source
<i>The family includes at least one of the following...</i>	
A young person or adult known to local services has experienced, is currently experiencing or is at risk of experiencing domestic violence or abuse.	Nominations from local domestic violence and abuse services or professionals, such as Independent Domestic Violence Advisors (IDVAs), housing providers, health services, the Police, Children's Services and Youth Offending Teams.
A young person or adult who is known to local services as having perpetrated an incident of domestic violence or abuse in the last 12 months ³⁴ .	Local Police data and intelligence. Nominations from local domestic violence and abuse services or professionals, such as Independent Domestic Violence Advisors (IDVAs), housing providers, health services, the Police, Children's Services and Youth Offending Teams.
<i>The household or a family member has...</i>	
Been subject to a police call out for at least one domestic incident in the last 12 months ³⁵ .	Information from the Police, Multi-Agency Safeguarding Hubs (MASH) and Multi-Agency Risk Assessment Conferences (MARAC).

6. Parents and children with a range of health problems.

Health problems for families in the current Troubled Families Programme are costly and pervasive. Troubled families have disproportionately high levels of health problems compared to the general population. Findings from the current programme's independent evaluation indicate that, on entry to the programme, 71% of families included someone with at least one health problem; 46% included an adult with a mental health problem; a third (33%) of children were suffering from a mental health problem; nearly a third (32%) of families included an adult with a long-standing illness or disability; and one-in-five (20%) families included a child or children with a long-standing illness or disability. Building on these findings, the expanded programme will place an even greater emphasis on reaching families with a range of physical and mental health problems.

³⁴ The time limitation is to ensure the data share is proportionate and in line with the requirements of the Data Protection Act. However, local authorities and their partners (particularly the Police can agree alternative local arrangements whereby information covering a longer period of time is shared where relevant) this is entirely permissible and in line with the programme's broader policy objectives.

³⁵ As above.

Following extensive joint work with local authorities, the Department of Health, Public Health England and NHS England, the expanded programme's indicators and suggested information sources reflect three main health priorities: mental illness, substance misuse and vulnerable new mothers. Improved data sharing will be integral to success in these areas as well as a much deeper and wider programme of integration and service transformation to improve health outcomes for families.

On 5 November, a new national health offer was launched to help health professionals and councils work more effectively together to improve troubled families' health. This includes:

- A leadership statement setting out how local doctors, nurses and community health workers should work more closely with councils' troubled families teams;
- A new protocol to enable health information to be safely shared with troubled families' key workers; and
- Troubled families teams being able to access specialist health training.

The national 'health offer' is accessible on the www.gov.uk website.

Indicator	Suggested Information Source
<i>The family includes at least one of the following...</i>	
An adult with mental health problems who has parenting responsibilities or a child ³⁶ with mental health problems ^{37 38} .	Nominations from Community Mental Health Services, Child & Adolescent Mental Health Services, local GPs, education psychologists and school Special Educational Needs Coordinators (SENCOs).
An adult with parenting responsibilities or a child with a drug or alcohol problem.	Information drawn from the National Drug Treatment Monitoring System. Nominations from local GPs, the Police or local substance misuse support services.

³⁶ This includes children with conduct disorders.

³⁷ The adult or child does not need to be in receiving specialist treatment.

³⁸ This report provides information on recognising and working with young people with mental health in schools: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/326551/Mental_Health_and_Behaviour_-_Information_and_Tools_for_Schools_final_website_2_25-06-14.pdf

Indicator	Suggested Information Source
<i>The family includes at least one of the following...</i>	
A new mother who has a mental health or substance misuse problem and other health factors associated with poor parenting. This could include mothers who are receiving a Universal Partnership Plus service ³⁹ or participating in a Family Nurse Partnership.	Nominations from health visitors, midwives, family nurses or local GPs. Information from the Local Child Health Information System.
Adults with parenting responsibilities or children who are nominated by health professionals as having any mental and physical health problems of equivalent concern to the indicators above. This may include unhealthy behaviours, resulting in problems like obesity, malnutrition or diabetes.	Nominations from health professionals, including GPs, midwives, health visitors, family nurses, school nurses, drug and alcohol services and mental health services.

³⁹ Universal Partnership Plus is a service offered by a health visiting team and local services to support families with children under 5 years old who have complex issues that require more intensive support.

Annex C – Age Thresholds for Eligibility and Measuring Results

The programme aims to improve outcomes for children and intervene earlier in families with problems, all eligible families must include dependent children. For the purposes of the programme, a dependent child is a person aged 0-15 in a household or aged 16-18 in full-time education, in training or unemployed and living in a family with his or her parent(s).

Family Problem	Age Threshold
If a child is involved in crime or anti-social behaviour...	...the relevant family member should be between 10 ⁴⁰ and 18 year olds. If 18 or over, the family member is considered an adult for these purposes.
If a child or young person has not been attending school regularly...	...the relevant family member should be in suitable <i>full-time</i> education, if the child is under 16 years old ⁴¹ . This rises to 25 years old if the child or young person is under an education, health and care plan ⁴² . This applies to children who currently have a statement of special educational needs.
If a young person is not in education, training or employment...	...the relevant family member should be 16-18 years old.
If a child has been identified/assessed as needing early help; or is a child in need under S.17, Children Act 1989; or is a child who has been subject to enquiry under S. 47, Children Act 1989...	...the relevant family member should be under 18 years old ⁴³ .

⁴⁰ <https://www.gov.uk/age-of-criminal-responsibility>

⁴¹ or last Friday in June if you will turn 16 by the end of the school holidays.

⁴² https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/349053/Schools_Guide_to_the_0_to_25_SEND_Code_of_Practice.pdf

⁴³ Working Together to Safeguard Children defines a child as anyone who has not yet reached their 18th birthday (see https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/281368/Working_together_to_safeguard_children.pdf)

Family Problem	Age Threshold
If an adult is in receipt of out of work benefits; or an adult is claiming Universal Credit and subject to work related conditions...	...if the relevant family member is 18 years or over. However, there are a small number of exceptions whereby 16 and 17 year olds can claim the following benefits under specific circumstances: Jobseekers Allowance, Employment and Support allowance and Carer's Allowance.
If a person is experiencing or perpetrating domestic violence...	...the relevant family member should be 16 years old or over ⁴⁴ . If under 16 years old, violence or abuse should be captured as part of youth crime or children who need help indicators.

⁴⁴ <https://www.gov.uk/government/news/new-definition-of-domestic-violence>

Annex D – Success Measures for 400,000 Families

While maintaining the current programme’s powerful focus on the measurement of multiple outcomes at a per family level, the payment by results framework for the expanded Troubled Families Programme will operate differently. A results payment can be claimed by a local authority if it can demonstrate that a family who was eligible for the Troubled Families Programme has either:

1. **Achieved significant and sustained progress, compared with all the family’s problems.**

Or

2. **An adult in the family has moved off benefits and into continuous employment.**

Sustained and Significant Progress

Descriptions and definitions of the outcomes and measures that constitute and demonstrate significant and sustained progress for all troubled families in each local authority should be agreed locally and set out in a Troubled Family Outcomes Plan. The purpose of these local Plans is three-fold:

1. To lay out **what your local authority aims to achieve with each family** in regard to the six problems the programme aims to tackle; and how this supports your wider **service transformation** objectives (e.g. how these ‘per family’ outcomes support broader area wide goals in terms of demand reduction for services or fiscal savings);
2. To provide a basis against which your local authority can determine when **significant and sustained progress** has been achieved and, therefore, a results claim may be made for the family.
3. To provide a framework against which your **internal auditors** (and the TFT’s ‘spot checks’) may establish whether a result is valid.

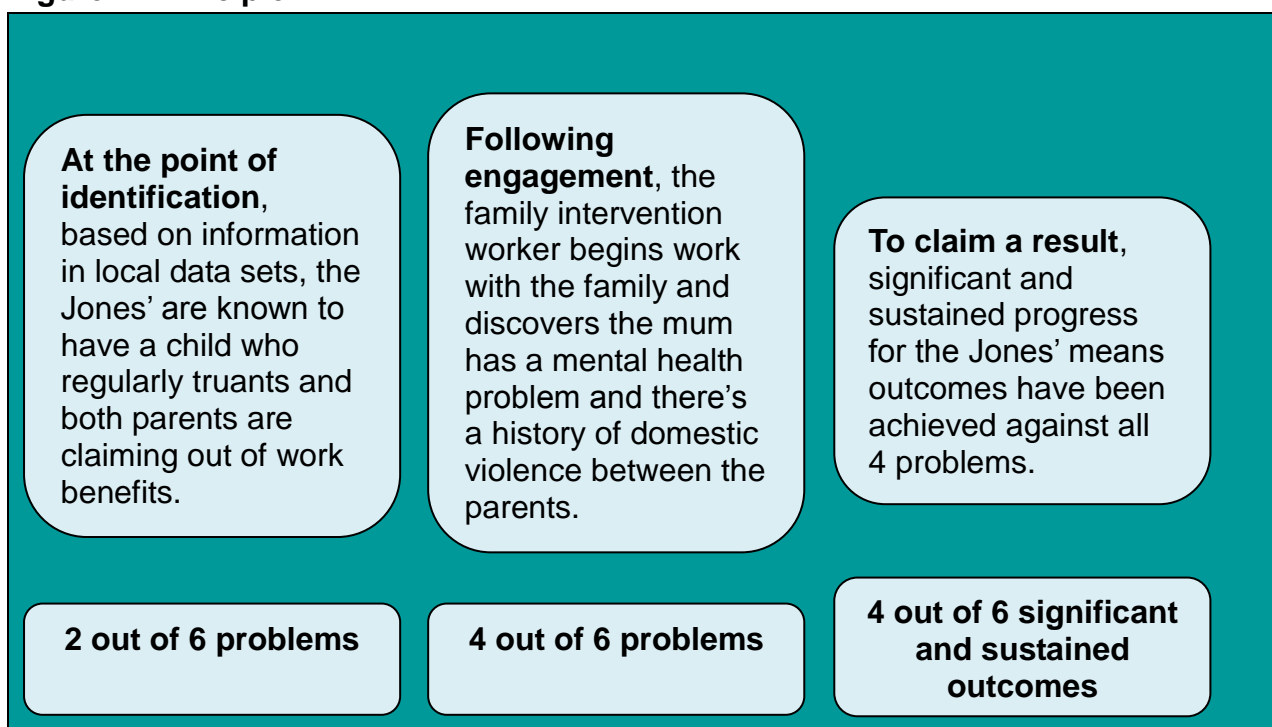
The Troubled Family Outcomes Plan will provide an area-wide set of success measures applicable to all families, from which the outcomes and measures relevant to each family may then be drawn. For example, if a family has a debt problem, domestic violence problem and is unemployed at the point of engagement, then relevant outcomes would be drawn from the area’s Troubled Family Outcomes Plan and form the goals against which significant and sustained progress would be judged for this family.

There are eight key principles that all Troubled Family Outcomes Plans should reflect:

Principle 1: Troubled Family Outcomes Plans should focus on the demonstration of outcomes, rather than inputs, processes and outputs. For example, the completion of a course or intervention would be a process or input, whereas the outcome should focus on the measurable change achieved by the family as a result.

Principle 2: As some family problems may not be evident at the point of identification and only become apparent following engagement and trust is established with the family intervention work (e.g. domestic violence and abuse), the relevant outcomes within the Troubled Family Outcomes Plan should be set at this later point, when a fuller picture of the family is known.

Figure 1: Principle 2



Principle 3: Where some problems are not relevant to a family at the point of engagement (e.g. the adults are in work and therefore worklessness is not an issue), the local authority does not need to demonstrate significant and sustained progress against this problem to claim a result, but must ensure that the family's status has not regressed (e.g. has not become unemployed between engagement and claim)⁴⁵. This is consistent with the approach adopted by the current Troubled Families Programme.

⁴⁵ There may be exceptions to this if the circumstances are considered particularly unusual. Such cases should be agreed with TFT on a case-by-case basis.

Principle 4: All school age children in every family for whom significant and sustained progress is claimed must be receiving a suitable⁴⁶ full time education. This should include ensuring all school age children attend at least 85% of possible sessions on average⁴⁷ across three consecutive school terms⁴⁸. This measure has been set to be equivalent to the Department for Education's measure of persistent absence.

Principle 5: As far as possible, local authorities should develop and agree outcomes with local partners in the relevant public service areas. For example, health outcomes should be developed and agreed with local health partners and with reference to the Public Health⁴⁹ and NHS Outcomes Frameworks⁵⁰ and employment outcomes should be developed and agreed with local Jobcentre Plus District Managers, with reference to local skills, job market and growth objectives.

Principle 6: Where unemployment is a problem for a family on entry to the programme, an adult in the family does not have to secure continuous employment in order that a result for significant and sustained progress can be claimed. Instead, in these cases, as a minimum, a family should demonstrate significant and sustained progress towards work. For example, this might include outcomes such as achieving a recognised vocational qualification, undertaking significant relevant work experience over a sustained period of time or successful completion of an apprenticeship⁵¹. This progress should be undertaken with a view to securing work ultimately and a 'subsequent continuous employment' outcome may be reported in these cases (see below).

Principle 7: Areas may wish to have reference to the measures used in the programme's Family Monitoring / Progress Data and the troubled families cost savings calculator in their Troubled Families Outcomes Plans to reduce any data collection burdens.

Principle 8: The purpose of a Troubled Family Outcomes Plan is to provide a short and simple account of the goals that each local authority strives to achieve with its troubled families, against which success claims may be measured and verified. It should not be a complex, bureaucratic process.

This approach aims to provide the flexibility to measure success in a way which reflects the service transformation and costs reduction priorities of each local authority and its partners.

⁴⁶ Sections 7 and Section 19 of the Education Act 1996 provide a definition of a 'suitable' education. In summary, this means it is appropriate to the child's age, ability and aptitude; and to any special educational needs, either by regular attendance at school or otherwise.

⁴⁷ As per the current programme, this outcome is measured as an average across three consecutive terms rather than an average per term.

⁴⁸ If a child ages between entry to the programme and when significant and sustained progress is claimed and is no longer of 'school age', this measure is no longer relevant to this child. However, we would still expect the local authority to demonstrate significant and sustained progress in the form of another locally determined education, training or progress to work outcome. This means a claim should not be made if the child is considered Not in Education, Employment Training (NEET) after leaving school.

⁴⁹ <https://www.gov.uk/government/publications/healthy-lives-healthy-people-improving-outcomes-and-supporting-transparency>

⁵⁰ <https://www.gov.uk/government/publications/nhs-outcomes-framework-2014-to-2015>

⁵¹ Unlike the current programme, there is no separate 'progress to work' measure. This should form part of the significant and sustained progress where unemployment is a problem for the family on entry to the programme.

Given the five year duration of the programme, it provides the scope to update and refresh outcome measures to reflect changes in delivery and information sharing arrangements over time. Outcome measures may increase in their ambition as the programme progresses. While the TFT will not mandate the outcomes, we will work with the early starters to support this process and develop guidance and examples for other areas on the best approach.

Further detail on the proposed structure of a Troubled Family Outcomes Plan is provided in Annex E.

Off Benefits and into Continuous Employment

Worklessness is a problem across troubled families in the current programme and achieving continuous employment has often been a transformative outcome. Findings from Troubled Families Programme's independent national evaluation found that an estimated 83% of families were receiving an out-of-work benefit on entry to the programme – compared with around 11% of the population nationally⁵² - and the programme's latest results show that nearly 6,500 adults in troubled families have moved into work so far⁵³.

During the current Troubled Families Programme, in recognition of the scale of the challenge and importance of its success, the Department for Work and Pensions seconded 152 Jobcentre Plus advisors into local authorities to support troubled families into work. Known as Troubled Families Employment Advisors, this additional resource and expertise has been widely welcomed and local authorities have reported its significant impact on employment outcomes. To date, this resource has been concentrated in the 94 local authorities with the highest numbers of troubled families. From April 2015, this resource will be increased to 300 Troubled Families Employment Advisors. This means a further 57 local authorities will benefit and many others will see an increase in their existing capacity. Further details on the distribution of these secondees will be finalised alongside the proposed distribution of families for 2015/16 onwards. This information will be available in December 2014. The Troubled Families Team is working with the Department for Work and Pensions and the 'early starter' areas to review the role of the Troubled Families Employment Advisors and how we can use this valuable resource to best effect.

The movement of a family off benefits and into continuous employment often represents the culmination of significant and sustained progress across a range of outcomes for many families. For example, mental illness, substance misuse, offending behaviour, poor school attainment and experience of domestic violence and abuse are all well evidenced barriers to employment. To overcome these barriers, secure work and maintain it for at least 13 weeks represents a major outcome for most families.

⁵²https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/336430/Understanding_Troubled_Families_web_format.pdf

⁵³ As per the end of August 2014.

As per the current Programme, this results has two parts:

1. The movement off out of work benefits (or off Universal Credit, as appropriate), and
2. The sustainment of a period of continuous employment.

For the first part, where family members are in receipt of Universal Credit (UC) and remain on benefit, the outcome must satisfy an earnings threshold of £330 (for people aged 25 and over) or £270 (for people aged under 25; and apprentices). Where families move onto UC, Troubled Families Employment Advisors will help local authorities with any queries and provide the information they need. This will include information about earnings thresholds.

If an adult moves into self-employment or is under a zero hour contract, in the interim local authorities should agree the best measurement approach with their Troubled Families Employment Advisors and local auditors. A longer-term approach will be agreed ahead of national roll out.

For the second part of the result, the length of time an adult must remain in work depends on the type of benefit they were receiving previously. These measurement periods reflect the Department for Work and Pensions' previous approach with its own providers.

Benefit	Period of continuous employment
Job Seekers Allowance	26 weeks (out of the last 30 weeks)
Job Seekers Allowance (ex-Incapacity Benefit claimant)	13 consecutive weeks
Employment Support Allowance	
Income Support	
Incapacity Benefit	
Carer's Allowance	
Severe Disablement Allowance	

Subsequent Continuous Employment

Where a family member has already achieved significant and sustained progress towards work, but not yet secured a job, many local authorities have emphasised the importance of ensuring this is followed through and an adult in the family is moved into work.

While no additional central funding is available for these additional outcomes, many local authorities have asked to ensure that the total employment outcomes achieved with families

is recorded systematically and forms part of their published results figures. This accountability and clear prioritisation of employment outcomes will serve as an incentive to ensure employment outcomes are maximised and the local fiscal and social benefits are realised.

In response to this feedback, from January 2015, local authorities will be able to report a 'subsequent continuous employment' outcome. This outcome is based on the following terms:

- It should only be reported for families where a sustained and significant progress result has already been claimed;
- It should not be reported for families where a continuous employment result has already been claimed;
- The adult in the family should have moved off out of work benefits and maintained a job for the same amount of time as the continuous employment result requires; and
- The outcome should be approved to the same standards as other results by the local authority's internal auditors.

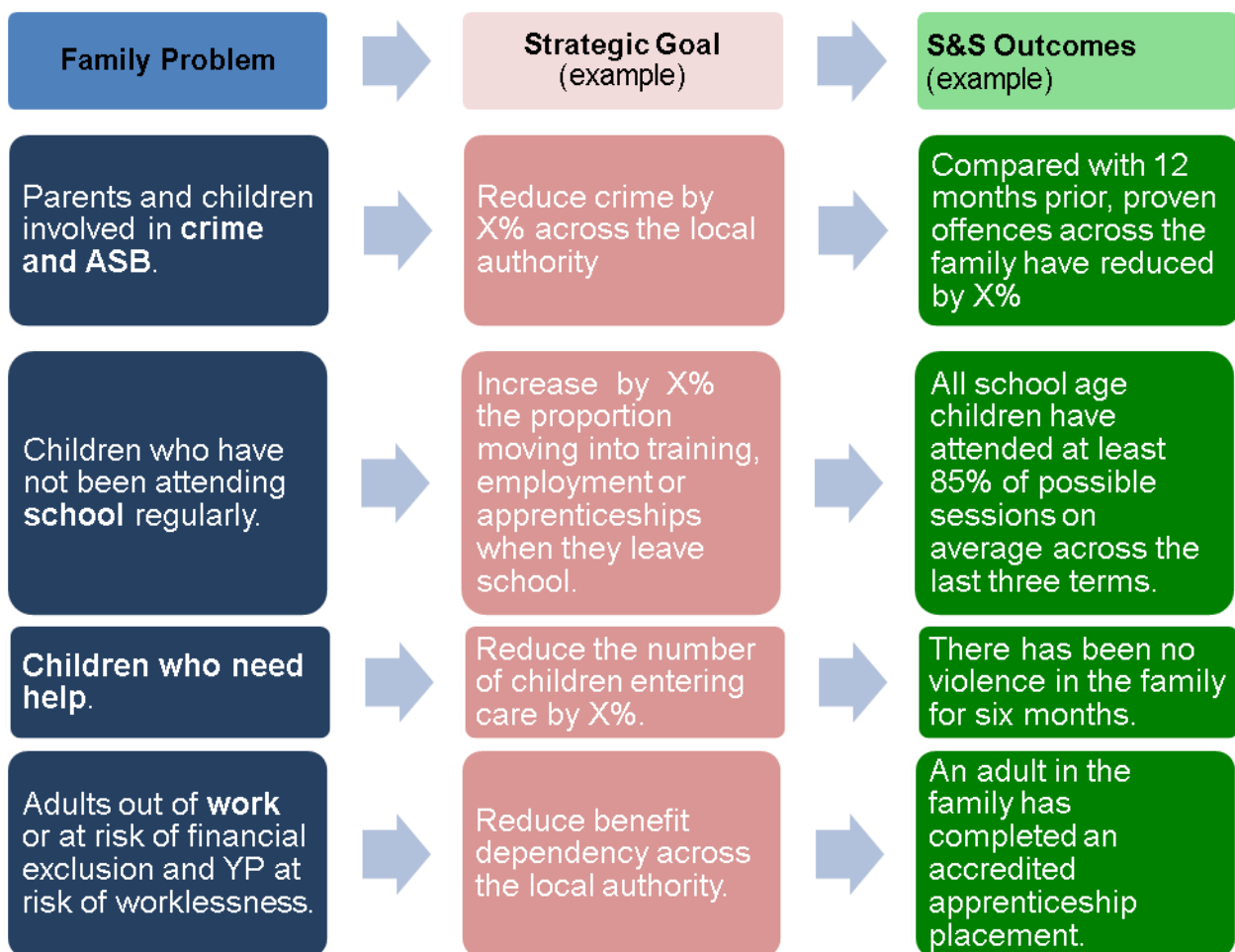
These outcomes will be published regularly on a per local authority basis as part of the programme's management information.

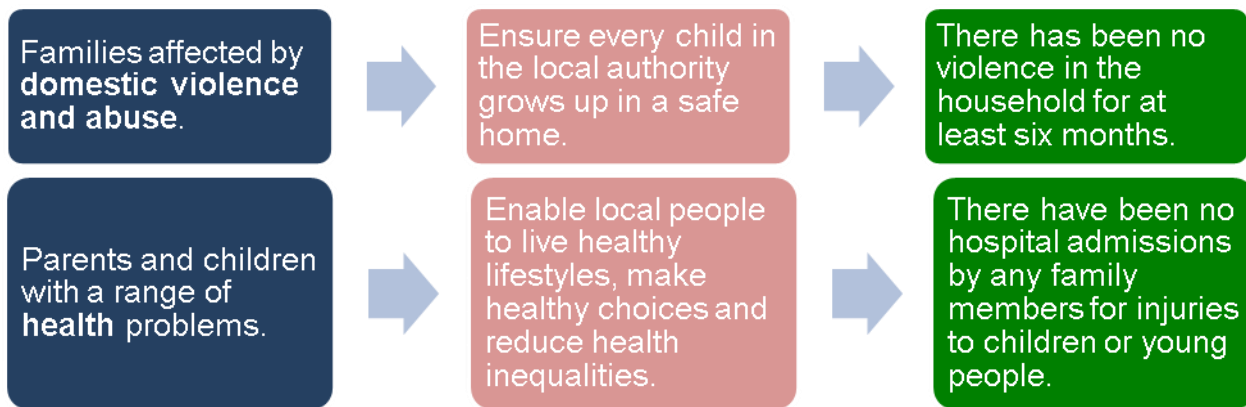
Annex E - Proposed Structure of Troubled Families Outcomes Plan

The Troubled Family Outcomes Plan for each local area should be a short, simple and clear articulation of each area’s definition of success through the programme. The Plans should be agreed as a local authority wide set of expectations, although they should be based on outcomes which may then be applied on a per family basis. Some local authorities are agreeing Troubled Families Outcomes Plans with their neighbouring areas in order to reinforce more ambitious service transformation objectives.

While the form and content of the Troubled Families Plan is for each local area to agree, the TFT is working with the ‘early starters’ to understand the approaches being adopted and will showcase best practice examples ahead of national roll out. This is part of the programme’s work with early starter areas to design the detail of the programme and is currently only at an initial stage, but the following reflects the emerging lessons:

Figure 2: An example of the possible structure of the Troubled Families Outcomes Plan, using hypothetical strategic goals and significant and sustained outcomes.

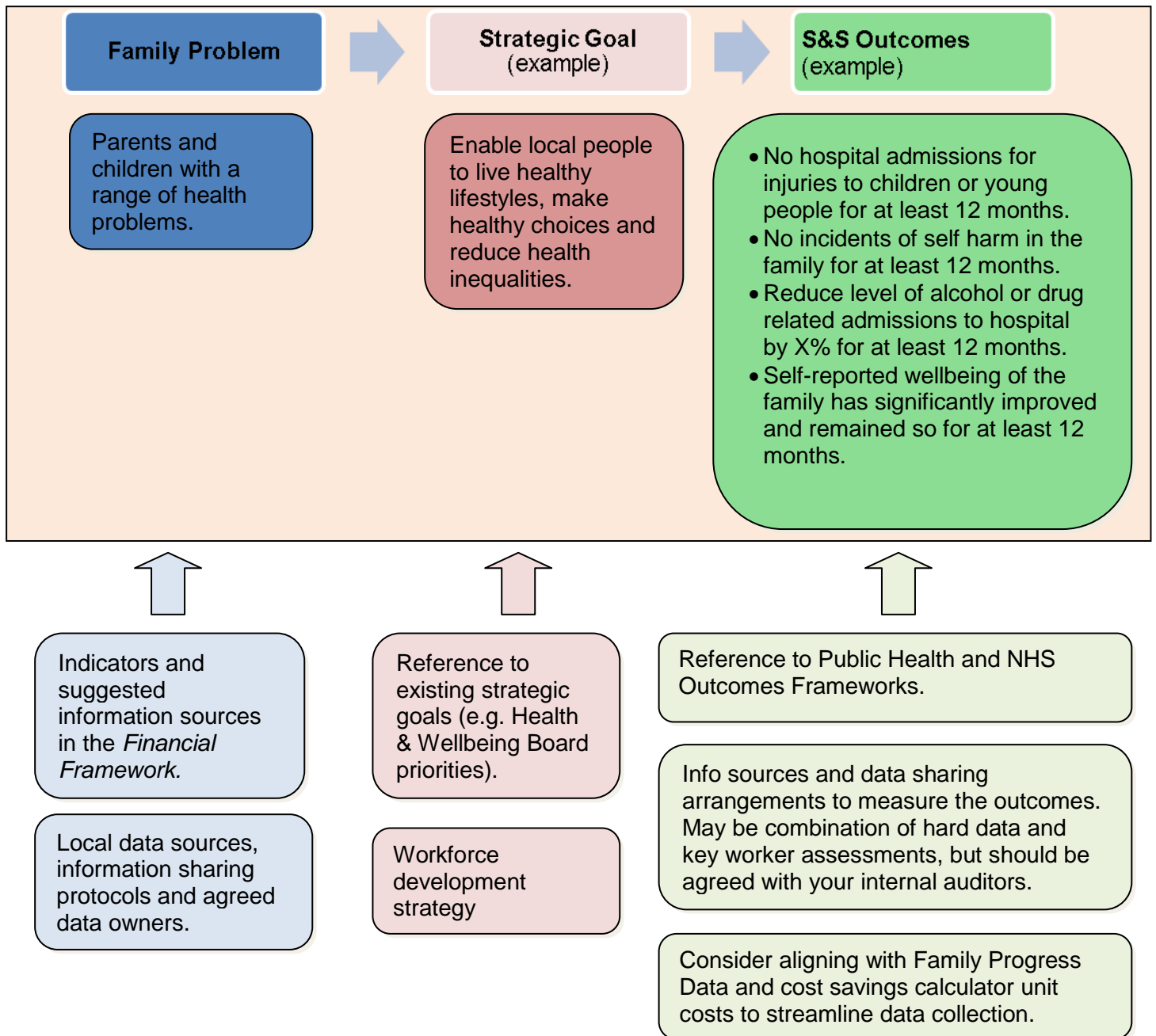




The TFT will not sign off each area’s Troubled Families Outcomes Plan as these should be agreed locally. However, the Team would like local authorities to share these with them as part of the regular and ongoing discussions between local areas and the Team. While some areas are working to share examples sooner, the TFT will ask all wave 1 ‘early starters’ to share their Troubled Families Outcomes Plan with the Team in January 2015 in order that we may share good practice examples more widely alongside the Financial Framework ahead of the programme’s national roll out.

Many of the early starter areas are developing wider operational and information management arrangements to support the implementation of their Plans locally and the measurement of outcomes.

Figure 3: Example Structure of section in a Troubled Family Outcome Plan plus possible supporting agreements



Annex F - From Family Monitoring Data to Family Progress Data

As part of the current Troubled Families Programme's independent national evaluation, local authorities are providing detailed information about the characteristics and problems of at least a 10% sample of their troubled families across a broad range of public service areas, including health, crime, education, worklessness, housing, child protection and housing. An initial report, based on information relating to nearly 8,500 families, was published in July 2014.⁵⁴ For the remainder of the current Programme, local authorities will continue to provide this information at six-monthly intervals and, over time, this will build a significant evidence base on the problems experienced by these families and the change demonstrated across these problems.

In January 2015, as an interim approach, all of the first wave of 'early starter' local authorities will provide Family Monitoring Data using the existing system. This information will be provided for a random representative sample of at least 10% of families who enter the expanded Troubled Families Programme in this year. This information will help us to map the profile of families reached by the expanded programme and will help build a strong evidence base for continued investment.

By April 2015, we will move from the collection of Family Monitoring Data to the collection of Family Progress Data, with a greater emphasis on the change achieved by family members. Where existing measures are valuable and collectable locally, we will retain them. However, the purpose of this change in approach is to focus more on measures which will demonstrate the progress achieved with families, streamline the number of measures we ask local areas to collect and align them with unit cost measures in the cost savings calculator as far as possible. Achieving this involves a number of pieces of work:

- To minimise the amount of data collected locally, we will maximise the use of the National Impact Study (NIS) in the expanded programme. NIS is a project initiated under the current programme's evaluation, which makes a quantitative assessment of the impact of the programme, by matching data about individuals in troubled families to national administrative datasets held by government departments (e.g. Police National Computer and DWP's benefits systems). Furthermore, it provides an estimate of the added value of the programme by comparing families who have received an intervention with individuals in families before they started intervention and/ or who fell just short of eligibility for the programme.

⁵⁴

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/336430/Understanding_Troubled_Families_web_format.pdf

The TFT is exploring options to increase the number of national data sets against which local family data is matched as part of the National Impact Study and also to provide localised findings. We will ask all local authorities to participate in this work as part of the sign up process ahead of national roll out. It will be an integral part of the expanded Troubled Families Programme.

- Where outcomes are not recorded in national datasets, our understanding of the change achieved by the programme will be supplemented with the collection of Family Progress Data for a random and representative sample of families. As far as possible, the TFT are working to align these with the measures collected locally for the cost savings calculator.
- To inform the development of the Family Progress Data measures, the TFT hosted an initial consultation workshop with a group of 'early starter' areas in September 2014. This provided feedback on the current system and ideas for the new approach.
- One of the ideas provided during the workshop was to assess the usefulness and availability of the data collected in the current Family Monitoring Data and cost savings calculator. In response, the TFT has issued a questionnaire to all 'early starter' areas. The findings will inform the selection of the finalised list of Family Progress Data measures.
- The TFT has started work on the development of a new streamlined system for the collection of data which aims to enhance its usefulness locally and reduce the bureaucratic burden on local authorities and their partners.
- In December, we will be hosting a market testing event for the evaluation of the expanded programme in order to gauge the interest of the potential providers.

The progress being achieved with families as evidenced through collection and submission of Family Monitoring and Family Progress Data, and the financial benefits evident from each local authority's completion of the cost savings calculator (see Annex G), will be included in regular publications by the TFT, as part of the expanded Programme's drive to help transform services through transparent local accountability.

Annex G - Troubled Families Cost Savings Calculator

In May 2014, the Troubled Families Team provided all local authorities with a new online cost savings calculator. This incorporates unit costs information approved by HM Treasury and other government departments and has been tailored to focus on the fiscal, social and economic benefits of greatest relevance to the Troubled Families Programme. It is an evaluative tool which enables local authorities and their partners to calculate the savings achieved through the delivery of the current programme with real families by looking at their actual outcomes before and after intervention. For some time, many areas have showcased striking examples of the costs and savings derived from work with individual troubled families. However, this tool aims to take this work to a more comprehensive, rigorous and representative level and thereby ensure the programme is well placed to make a compelling case locally and nationally about the value for money it achieves.

During 2014/15, all early starter areas will complete the cost savings calculator for a random representative sample of families in the current Programme and the first wave of early starters will complete it for a further 25% random representative sample of families who enter the expanded programme in 2014/15. This will be used alongside the Family Monitoring Data and this evidence will not only be essential in building a strong evidence base for continued central investment in the programme but will also provide useful evidence to support local discussions about the relative resource contributions of local authorities and their partners to the delivery of the programme.

The Troubled Families is working with a group of local authorities (primarily early starters) and a HM Treasury led group of economists from across government to test and improve the cost savings calculator. While the calculator is currently the most credible and robust tool available to evaluate the cost benefit of the Troubled Families Programme, we know there is a lot of work that can be done to improve it. This includes joint work with early starters to align the information collected for the Family Progress Data and the unit costs contained within the the cost savings calculator as far as possible. We are exploring a number of options to achieve this and aim to have made significant progress towards this before national roll out in April 2015.

The financial benefits evident from each local authority's completion of the cost savings calculator, and the progress being achieved with families as evidenced through collection and submission of Family Monitoring and Family Progress Data (see Annex F), will be included in regular publications by the Troubled Families Team, as part the expanded Programme's drive to transform services through transparent local accountability. For each local authority, this will lay out the form and extent of the problems of families in the programme, the progress achieved with these families and the fiscal benefits realised as a

result. This rich information will enhance local accountability for the success of the programme and help shape discussions about the service transformation objectives and overall effectiveness of delivery.

Annex H - Payment Terms

As per the current Troubled Families Programme, the majority of the funding will be available on a per family basis for the achievement of significant and sustained progress or continuous employment outcomes. It will remain in two parts: an upfront attachment fee and a results-based payment.

All early starters have committed to bring an agreed number of families into the expanded programme during 2014/15. An upfront attachment fee of £1,000 will be paid to these areas for each of these families. Each local authority will be asked to report on their progress against this commitment in January and then again, ahead of national roll out, in March. If an area does not fulfil its 2014/15 commitment, the Department may withhold future funding in 2015/16⁵⁵.

A results based payment of £800 will be offered for each family for whom the local authority claims to have either (a) achieved significant and sustained progress, or (b) moved off out of work benefits and into continuous employment. The first available opportunity to claim results will be in January/ February 2015. However, given families may take time to achieve change and demonstrate the sustainability of their outcomes, we expect most families to achieve results later in 2015.

If a family has achieved significant and sustained progress and a claim for a results payment is made, the local authority may not claim a further result payment if an adult in the family subsequently moves off benefits and into continuous employment. This would constitute double payment for the same family. However, a field will be available on the results claim form (on the existing Logasnet system) to record that a 'subsequent continuous employment' outcome has been achieved. While no additional funding will be paid for this outcome, the results will be published to evidence each area's overall success in terms of employment outcomes for families.

Local authorities may not receive further funding payment for a family for whom any payment have already been received as part of the current Troubled Families Programme. While it remains in areas' wider interests to ensure the improved outcomes of these families are sustained and they do not deteriorated, outcomes achieved with these families should not be counted twice. **The estimated 400,000 families supported by the expanded programme are in addition to the 120,000 families supported by the current programme.**

⁵⁵ Unlike the current programme, local authorities will not be asked to report against the number of families identified and being worked with every 3 months. Instead, areas will be asked to provide a single number – the number of families brought into the programme in January and then again by the end of March 2015. A schedule of reporting arrangements for 2015/16 will be set out for all local authorities ahead of national roll out in April 2015.

In addition to the funding for achieving outcomes with each of the estimated 400,000 families, each participating local authority will also be offered a Service Transformation Grant. This grant will be weighted in accordance with the number of families that the TFT and the local authority mutually agree will be part of the expanded programme in each area. It will follow a comparable band structure to the current programme. During 2014/15, the funding is offered as an additional *pro-rata* supplement to each early starter's existing Troubled Families Coordinator grant at the following levels:

Estimated number of families in the expanded Troubled Families Programme	2014/15 grant for service transformation for the first wave of 'early starter' areas (Sept 2014)	2014/15 grant for service transformation for the second wave of 'early starter' areas (January 2015)
0-150	£17,500	£7,500
151-1500	£44,000	£19,000
1500-3500	£58,500	£25,000
3501-6500	£102,000	£44,000
6501-10,000	£116,500	£50,000
10,001-13,000	£146,000	£62,500
13,001 +	£175,000	£75,000

In 2015/16, we expect the level of service transformation grant offered to each area to be around double that which each area currently receives as a Troubled Families Coordinator Grant. This reflects the increased challenges of coordinating the programme at this scale, as well as the programme's expectations in terms of wider service transformation and the increased provision of evidence via Family Progress Data and the completion of the costs savings calculator. Some areas' Service Transformation Grant may not be double because the work to update the evidence on the distribution in families across local authorities may mean they move up or down bands. Further detail on this will be provided to local authorities in December 2014.

The Troubled Families Team may withhold future funding if commitments made by the local authority before the release of funding are not achieved⁵⁶

⁵⁶ For example, if a local authority commits to bring an agreed number of families into the Programme in 2014/15 and receives attachment fees for this number, but then does not fulfil this commitment. The Troubled Families Team may withhold any or some future payments until this commitment is fulfilled. Similarly, if a local authority does not provide Family Monitoring / Progress Data or complete the costs savings calculator as agreed, the Troubled Families Team may withhold any or some future Service Coordination Grant payments until these commitments are fulfilled.

Annex I - The Expanded Troubled Families Programme: Data Sharing Guidance and Principles

The current Troubled Families Programme has driven significant changes in the ways that local authorities, government departments and local partner agencies systematically share information to identify and work with troubled families. The expanded programme offers an opportunity to build and extend upon this area of important public service transformation.

Given the importance of data sharing arrangements, this annex highlights the different sources of information that are available to local authorities to help identify families who are eligible for support under the expanded Troubled Families Programme. It also includes potential gateways, including statutory and common law powers, for sharing information.

The information provided represents work in progress. Together with the 'early starter' local authorities the Troubled Families Team will seek to understand further, the specific barriers that might hinder data sharing under the expanded Troubled Families Programme and identify opportunities to address them. This information will therefore, be refreshed ahead of the expanded programme's national roll out in 2015.

Please note that local authorities are responsible for ensuring that any data sharing arrangements comply with the Data Protection Act 1998 and relevant data sharing legislation.

As with the current programme, families will be identified on a 'household' basis. For these purposes, the definition used by the Census 2011 may be useful – i.e. 'a group of people who either share living accommodation, or share one meal a day and who have the address as their only or main residence'. For the purposes of the programme, families must contain dependent children⁵⁷.

In some areas, population churn and engagement across local authority boundaries may present issues. For example, some children may live in one local authority, but attend school in another; and some families may move between local authorities mid-intervention. The Troubled Families Team will not prescribe how local authorities should manage these issues, but encourage collaboration to agree pragmatic and legally compliant local data sharing solutions between local authorities.

⁵⁷ A dependent child is a person aged 0-15 in a household or aged 16-18 in full-time education and living in a family with his or her parent(s). Non-dependent children in families are those living with their parent(s), and either (a) aged 19 or over, or (b) aged 16 to 18 who are not in full-time education or who have a spouse, partner or child living in the household. Such children are often young adults, but may be older.

1. Parents and children involved in crime or antisocial behaviour

In most cases, the main sources of information on parents or children involved in crime or anti-social behaviour are likely to be the police, anti-social behaviour teams, youth offending teams, housing providers, prisons and providers of probation services⁵⁸.

A significant proportion of crime and anti-social behaviour data is likely to be drawn from the local police, using the Police National Computer and local youth offending teams. The police have a general common law power to share information to prevent, detect, and reduce crime.

There are also legal gateways that support data sharing in prescribed circumstances such as section 115 of the Crime and Disorder Act 1998, which allows the police, local authorities, health authorities, providers of probation services and other relevant agencies to share information about any person for a purpose linked to any provision under the Crime and Disorder Act, including where it is necessary for crime reduction. Section 115 of the Crime and Disorder Act was relied upon under the previous programme and is still applicable.

In addition, section 17 of the Crime and Disorder Act 1998 recognises that local authorities have responsibility for the provision of a wide and varied range of services to and within the community. In carrying out these functions, section 17 places a duty on them to do all they can to reasonably prevent crime and disorder in their area.

As part of the expanded programme, local authorities may also need to obtain data in relation to prisoners and adult offenders with parenting responsibilities, for which the main sources be the National Probation Service, Community Rehabilitation Companies and prisons. This information can, in some circumstances, be shared under section 14 of the Offender Management Act, which permits the sharing of data that would assist with the supervision or rehabilitation of offenders.

Given that the National Probation Service and Community Rehabilitation Companies are new organisations, the TFT will work at a national level with the Ministry of Justice to promote the importance of sharing data with these bodies over the coming months. However, local authorities should also seek to build relationships with local providers and encourage them to collect and share the data that will help them identify troubled families in a legally compliant manner.

Many local authorities have highlighted the need to strengthen data sharing arrangements between the Troubled Families Programme. The importance of this for prisoners nearing release who are not in custody locally has been a particular issue. Linked to wider discussions about data sharing with the National Probation Service and new Community

⁵⁸ National Probation Service, Community Rehabilitation Companies and other providers of probation services.

Rehabilitation Companies, the Troubled Families Team will work with the Ministry of Justice and HM Prison Service to progress these issues ahead of national roll out.

2. Children who have not been attending school regularly

As the indicators suggested under this headline problem broadly mirror the education criteria in the expanded programme, the data sharing arrangements are broadly the same.

Most of the relevant education data is already collected by local authorities on a termly basis using Unique Pupil Numbers, as part of standard data collection requirements for the Department for Education as part of the returns to the School and Alternative Provision Census'. The Troubled Families Team recommends the use of this locally collected data to ensure the information is as current as possible.

There are a number of limited exceptions, where the information collected locally for the School Census may need to be supplemented by other sources:

- Academies: Academies collect this data through compatible systems and are legally able to share this with local authorities using Part 4 section 23 of the School Discipline (Pupil Exclusions and Reviews) (England) Regulations 2012. Around half of academies already share their data with local authorities.
- Fixed exclusions: This data is not always collected for children in alternative provision, independent schools or non-registered alternative provision providers. As such, local authorities should identify these children within their own local systems and through discussions with such schools. We expect these to be relatively small numbers. Some supplementary information may be needed from Education Welfare Officers (or equivalent) to produce a complete picture of each child's circumstances. For example, this may relate to children who are in reception year classes and sixth form.

There are a small number of children who are considered 'missing' because they are not on the school roll. These children are likely to be among the most vulnerable category of children and therefore, it is important that the Troubled Families programme identifies them as far as possible. However, it is not our intention to target children who are being appropriately home schooled, as these children will be receiving an education from their parents.

Local authorities may collect and share attendance under the school census regulations – Education (Information about Individual Pupils) (England) Regulation 2013, S.I. 2013/94 - which require maintained schools and pupil referral units to share information about pupil attendance.

3. Children who need help

Most of the information needed to apply the suggested indicators under this headline problem is already collected within local authorities, as part of their Children Services arrangements (or equivalent). However, it will typically require local authorities to combine information from across a range of sources.

For example, to identify children who have not taken up the early education entitlement, this may include cross-referencing information relating to two years old children who are eligible for the early education entitlement with information about those who are actually attending an early year setting. Under section 99 of the Children's Act 2006, local authorities obtain information about individual children who are receiving early years provision; and under s13A of Childcare Act 2006 Her Majesty's Revenue and Customs shares tax benefit credit and benefit information with local authorities for the purpose of determining whether or not a particular family may have a child who is eligible for funded early education.

Local authorities are also likely to draw a significant amount of the data relating to children who need help from their own local authority Children Services. Some of this information is already shared within the current programme and the relevant gateway is the implied powers to share information under section 17 of the Children Act 1989 in order to enable assessments to be undertaken as to whether services may be required by a child in need. More generally, implied data sharing powers under section 10 of the Children Act 2004 may also provide a means of obtaining information in order to safeguard and promote the wellbeing of children.

4. Adults out of work or at risk of financial exclusion or young people at risk of worklessness

For the current programme, the Department for Work and Pensions created a new legal gateway under the regulations of the Welfare Reform Act 2012. This allowed the Department for Work and Pensions to share data with local authorities – without informed consent – for the sole purpose of identifying troubled families.

The new regulations came into effect in May 2012 and they will continue to provide the gateway for identifying young people and adults in receipt of out of work benefits under the expanded programme. They will also provide the gateway for the sharing of this data once Universal Credit comes into effect, providing a gateway for adults claiming Universal Credit and subject to work related conditions.

Under the current programme, most local authorities have accessed this information via a manual data sharing arrangement with the Department for Work and Pensions. However, as part of a phased roll out, most local authorities are now moving onto a more flexible, frequent, accurate and cost effective automated system – known as the Automated Data

Matching Solution (ADMS) for the Troubled Families Programme. Guidance will be available to you on the 'Supporting families' Knowledge Hub.

Where family members are in receipt of Universal Credit (UC) Troubled Families Employment Advisors and Jobcentre Plus Single Points of Contact will help local authorities with any queries and provide information they need. This will include information about earnings threshold.

DWP are currently assessing how data sharing processes, for example the Labour Market System marker management information reports and ADMS, will work for families on Universal Credit. We will provide updated guidance on UC and the expanded programme ahead of its national roll out.

To identify young people who are risk of or are already not in education, training or employment, local authorities may draw on information held in their Client Caseload Information Systems (or equivalent). Local Authorities have a statutory duty to encourage and assist young people to participate in education or training. This stems from sections 68 and 70 of the Education and Skills Act 2008. As part of this duty local authorities collect information on 16 to 19 year olds and will be aware of those who are not in any form of education, employment or training, including those who are not able to work because of illness or other reasons such as caring for dependant or family members. Local Authorities may choose to share this information internally further to their general power of competence under section 1 of the Localism Act 2011. This information could be defined as individual pupil information under section 537A(9) of the Education Act 1996 so could also be shared by local authorities using section 537A(6) of that Act.

5. Families affected by domestic violence and abuse

In most cases, the main sources of information on families affected by domestic violence and abuse are likely to be the police or local domestic violence support services.

Like crime and anti-social behaviour, data obtained from the police can be shared using section 115 of the Crime and Disorder Act 1998.

Under section 54 of the Domestic Violence, Crime and Victims Act 2004 information can be disclosed by police to victim support groups (with consent). The data can also be shared between agencies via Information Sharing Agreements (ISAs). It is advised that ISAs between local services and local authorities should conform to IDVA Protocol, MARAC Protocol, MARAC/MAPP Protocol and SDAC Procedures.

Given the sensitive circumstances and nature of these cases, it is most likely that agencies will refer cases to a local authority on an individual basis (see Nomination section below).

6. Parents and children with a range of health problems

The sharing of health data for the identification of troubled families has been one of the biggest challenges of the current Troubled Families Programme. The expanded Troubled Families Programme aims to prioritise efforts to overcome these issues and ensure greater collaboration between local troubled families teams and health bodies. Given the particular sensitivities around the sharing of personal health data, the Troubled Families Team has been working with Public Health England, Department of Health and NHS England to agree an approach that allows families to be identified for support under the expanded programme on the basis of their health needs.

We have agreed a recommended minimum approach that local authorities and health partners may use to identify families on the basis of their health needs. The approach was published on 5 November in draft data sharing guidance with advice from the health data sharing governance body (Information Governance Alliance) and national health agencies.

The approach recommends that a list of families that have already been identified as meeting one of the programme's indicators is shared with relevant health partners so that they can use this to flag whether any of the suggested health indicators are met. You will then need to talk to your relevant health partners and/or governing bodies to work out the best ways of gathering and sharing this data.

While we recognise this is unlikely to unlock all the data you need to work with families, it will start the process of identifying the families in the health system that may be eligible for support. Some local authorities may already be receiving health data or have negotiated alternative data sharing arrangements with local health partners. The new data sharing guidance will not override this and should be used to help reinforce the health system's support of the Troubled Families Programme.

Further information on the interim health data sharing protocol for the Troubled Families Programme is available here:

<https://www.gov.uk/government/publications/troubled-families-supporting-health-needs>

Nominations

The financial framework suggests a range of indicators that can be used to identify families under the 6 headline problems. However, within this Financial Framework, we recognise that nominations will be one important way through which local authorities can identify the families with the breadth of problems that the expanded programme is targeting. This is why there are suggested indicators under each of the headline problems referring to 'problems of equivalent concern'.

These indicators enable nominations from professionals locally and, depending on the nature of the risk and seriousness of the circumstances, may be undertaken with or without the individual's consent. In some cases, consent must be obtained by law before a nomination is made. However, in cases where consent is not prescribed by law, individuals should be made aware that their data is being shared and their consent should be sought wherever possible. However, this will be a matter for local assessment and professional judgment in the circumstances of each case.

Given the scale of the programme, nomination arrangements are unlikely to be sufficient to identify the required volumes of families in each local authority. However, the expanded programme provides the flexibility to identify families through these means, where appropriate and as a supplement to other sources of identification.