

Young London Matters

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Our Partners

MAYOR OF LONDON



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Young London Matters



GOVERNMENT OFFICE
FOR LONDON

Mobility and Young London

Annex 6: CAF Quality Assurance Framework



ALDCS

Association of London
Directors of Children's
Services

Making Every
London Child Matter

Annex 6: CAF Quality Assurance Framework

The purpose of this annex is to outline a CAF quality assurance framework that can be implemented to monitor the quality of the CAF process and help to improve outcomes for children and young people.

All local authorities are responsible for implementing their own quality assurance framework and the lead CAF contact will be responsible for identifying the methodology used to colleagues from other authorities.

This annex is part of a series of annexes from *Integrated Working Without Boundaries - The London Common Assessment Framework (CAF) Protocol*.

Quality Assurance Framework (QAF)

The QAF covers five key stages:

- the audit of the CAF assessment process;
- the evaluation of the audit process;
- the feedback of the audit process;
- training arising from the audit and evaluation stages; and
- improvement to the CAF process.

The Quality Assurance Framework process

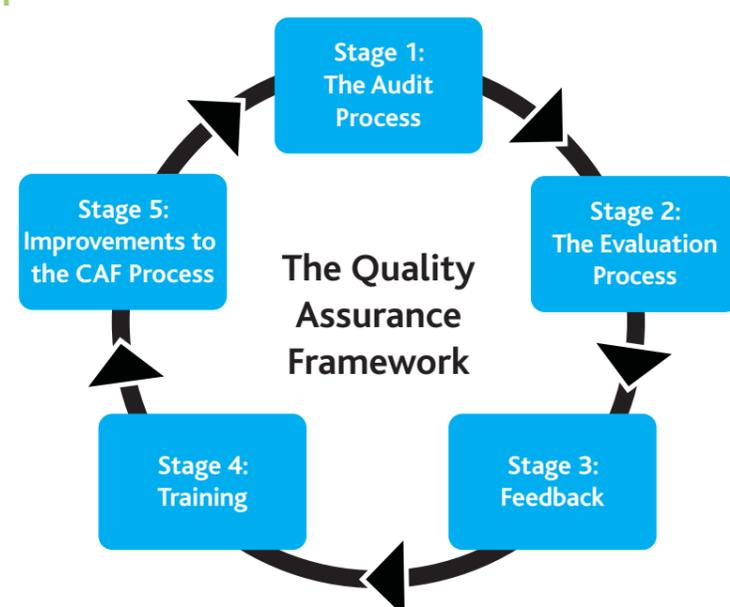
To deliver this quality assurance framework, each service will need to have the following structures in place.

(A) Nominated Auditor

Each service that uses the CAF should nominate a minimum of one CAF auditor depending on the size of the service. Heads of Service should nominate their services auditor. Nominated auditors need to be operational managers or, team leaders from within that service area

(B) Evaluation Team

Members of the Evaluation Team need to be senior operational managers representing all partners and the lead CAF contact. The team needs to have representation from all agencies using the CAF. Most Boroughs have a CAF or Integrated Working Project Board whose membership should already include the relevant individuals. This will ensure that lessons learnt are built into workforce development and service improvement.



Stage 1: the audit of the CAF Process

The objective of the audit process is to ensure the three steps in the CAF process, **Identifying needs early** (Prepare), **Assessing those needs** (Discuss) and **Delivering services** (Deliver)¹ have been carried out effectively.²

- the evaluation of the audit process;
- the feedback of the audit process;
- training arising from the audit and evaluation stages; and
- improvement to the CAF process.

(A) Monitoring the common assessment recording process

This audit will enable a clear indication of how the documentation has been completed and the quality of the information recorded.

(B) Evaluation Team

This process checks how the participation of the child/young person/family has been central to the CAF process.

(C) Monitoring the action planning and review process

This process focuses on the action planning and review stage. Once a CAF action plan has been implemented, the Team Around the Child will need to review the outcomes for the child or young person and measure the quality and effectiveness of the action plan.

- This assessment focuses on a review of the impact of the CAF on improved outcomes for the child or young person.
- When first implementing this QAF or during early stages of implementing the CAF we recommend that one in every 10 CAFs that have undergone the Action and Review process should be audited.
- As the CAF becomes the primary early intervention assessment for children and young people's services, the audit sample will need to be reviewed accordingly.

Please note when a cross authority CAF is being audited it is good practice to engage the lead CAF contact from each involved authority as part of the audit process.

¹ Delivering services should be broken down to
- "Forming the team around the child",
- "Coordinating and delivering integrated services" and
- "Reviewing progress"

² The proformas at the end of this section provide the mechanisms for auditing and are drawn from the London Borough of Camden QAF.



Stage 2: the evaluation process

The evaluation process is conducted by a multi-agency Evaluation Team including CAF Auditors.

The evaluation process is broken down into two stages:

- the evaluation of the CAF Process, and
- the impact of the CAF

The evaluation of the CAF assessment process and the impact of the CAF

This evaluates the assessment, action planning and review process and the outcomes achieved.

- The Evaluation Team will have been provided with the average scores from audited CAFs in terms of quality of recording and the success of action planning and review process. These will have been divided into services areas. If any service's scores fall below a pre-determined figure, set by the Evaluation Team, the reasons must be investigated by the Evaluation Team, and corrective action recommended and implemented.
- The Evaluation Team should decide on appropriate action to take in the case of persistent poor quality of assessment completions and limited improvement in outcomes for the child or young person concerned. Additionally, where a cross authority CAF has been audited and have been identified as either poor quality and/or with limited improved outcomes the two authorities should consider how more effective cross authority working can be achieved.

Stage 3: feedback

The Evaluation Team will feedback the results of the evaluation process to the Borough's Integrated Working Project Group or equivalent body (if a different team has been established) and to service managers which will help them in:

- identifying the training needs for their practitioners;
- monitoring the CAF process;
- tracking outcomes for children and young people;
- identifying issues for supervisions;
- identifying support needs in services for local authority CAF teams;
- performance management of services within Children's Trusts; and
- establishing more effective cross authority working.

Stage 4: training

The next step in the cycle is the CAF training for practitioners. The Evaluation Teams will feed back and make recommendations to training managers, to highlight identified areas for improvements to existing CAF training and any additional items that need attention or inclusion.

Stage 5: improvements to the CAF process

The improved training and supervisions as a result of the Quality Assurance Framework, and the resultant improved outcomes for children and young people complete the cycle of the QAF.

Governance of the QAF

The Children's Act (2004) places a duty on all agencies supporting children and young people to work together within Children's Trust frameworks. It also places the accountability for all children's services with the chairs of the Children's Trusts, the local authority Directors of Children's services. Therefore the governance of the CAF's should sit with the Children's Trusts and the lead should be taken by the local authority.



Section 1 - Recording of Common Assessment

Unique Reference Number Audit Conducted By

Agency Which Conducted the Assessment Date of Audit

Type of Sample (e.g. Random, Specific Group, Type of Need etc)

Question	Yes (Score = 1)	No (Score = 0)	N/A (Score = 1)	Comments by Quality Auditor
Identifying Details				
Are the personal identifying details of the child or young person entered onto the CAF form (i.e. name, address, gender, contact details, date of birth,)? If only partially completed score 0				
Is the religion and ethnicity of the child or young person entered onto the CAF form? If only partially completed score 0				
Is the first language of the child or young person and the parent/carer entered onto the CAF form?				
Have details of any disability of the child or young person been entered onto the CAF form?				
Has the need for an interpreter/signer been noted, and if so was an interpreter/signer arranged for the assessment process?				
Have details of any special requirements of the child or young person been recorded?				
Assessment Information				
Does the CAF form record all the people present at the assessment?				
Has the reason for the assessment been recorded on the CAF form?				
Have the personal details of the parent/carer been recorded (i.e. name, address, contact details, parental responsibility and relationship to the child or young person)? If only partially completed score 0				
Has the current family and home situation been recorded (i.e. family structure, siblings, other significant adults living and not living with the child)? If only partially completed score 0				
Have the details of the person(s) undertaking the assessment been recorded?				
Has the lead professional been identified, together with their contact details?				
Have all the services (including cross borough) dealing with the child or young person been identified, with details of their involvement and contact details?				
CAF Assessment Summary:				
Has child or young person's strengths and needs been recorded?				
Parents and Carers:				
Has the ability of the parents and carers to provide guidance and support been recorded?				
Family and Environmental: have family history, networks employment, housing, or education been considered when completing the form				

Question	Yes (Score = 1)	No (Score = 0)	N/A (Score = 1)	Comments by Quality Auditor
Conclusions, Solutions and Actions				
Have the conclusions derived from the assessment been recorded?				
Have the agreed changes required been recorded?				
Has an action plan been recorded, together with responsibilities for carrying out those actions (including cross authority actions) and dates by which they are to be completed?				
Has a review date been agreed and recorded?				
Have indicators of successful improvement been recorded?				
Has the child or young person recorded their comments on the assessment and identified actions?				
Has the parent/carer recorded their comments on the assessment and identified actions?				
Has consent for information storage and information sharing been obtained and recorded?				
Has the information to be shared and the agencies authorised to share that information been recorded on the form?				
Has the assessment form been signed by the child/young person, parent or carer?				
Has the assessment form been signed by the assessor(s)?				

Total Score for:-

A. "Yes" column =

B. "N/A" column =

The total possible score for the completion of a CAF is 27. However, depending on the circumstance, not all areas of the form may require completion. The percentage effectiveness of the CAF process is therefore:

(The total of the "Yes" scores, times 100) divided by (27 – Total of "Non Applicable" score) e.g. If the Non Applicable score = 5, and the Yes scores = 15 then the percentage effectiveness of the CAF process = $(15 \times 100) / (27 - 5) = 68.2\%$



Section 2 - In Depth Review

Not completed = 0	Poor = 1	Satisfactory = 2	Good = 3
Section should have been completed but was left empty No evidence Insufficient information	Unclear why being assessed or referred Level of need inappropriate Service involvement requested rather than on outcomes	Brief comments but clearly stated Levels correct Outcomes focused	Comments are clear and purposeful and linked well to evidence Levels correct and good evidence Strong picture of outcomes needed with appropriate action steps

2.3 CAF purpose, level and action request

CAF Section	Not Completed = 0	Poor = 1	Satisfactory = 2	Good = 3
Reason for assessment and referral				
Identification of level of need				
Conclusion, solution and action				

Scoring system for above CAF purpose, level and action requested

2.3 Domain Completion

CAF Section	Not Completed = 0	Poor = 1	Satisfactory = 2	Good = 3
Development of Child				
Parent/carer				
Family and Environment				

Scoring system for above CAF purpose, level and action requested

2.3 Analysis

CAF Section	No = 0	Poor = 1	Satisfactory = 2	Good = 3
Information sourced/evidence based, non-judgmental				
Strengths/positives included				
Parent/carer engagement in process				
Child/young person engagement in process or needs of child/young person appropriately represented				
Outcomes focused on impact on child/young person				

ECM Outcomes (Yes = 1, No = 0)	Being Healthy	Staying Safe	Enjoy and Achieve	Positive Contribution	Economic Well-being
Does the CAF focus on any of the ECM outcomes					
Have the "Conclusions, solutions, actions" identified helped to improve outcomes.					
Overall Comment and Score					

Section 3 - Evaluation of the Participation of the Child or Young Person and/or their Parent/Guardian/Carer

The success of the Team Around the Child (TAC) process, is dependant on the agreement, participation and co-operation of the child or young person, and/or their parent/guardian/carer. When evaluating the outcomes of an action plan, it is therefore necessary to take this into consideration. In principle the child, being central to the TAC process, will have understood and been a party to deciding what actions they feel would provide them with the right support.

Complete the following chart. Where a child or young person is considered able to fully understand the process, and make a decision on their own behalf, (Fraser Principle), then they should have signed the appropriate confirmation. In that case, the signing of the parent/guardian/carer is not needed, and the Not Applicable (N/A) box should be ticked. However, where the parent/guardian/carer has agreed to complete an action, then the answer should be Yes or No, whether or not the Fraser Principle is appropriate.

It may be difficult to collate information from child or young person, and/or their parent/guardian/carer during a quality audit. We recommend that evaluation of the experiences of the child or young person, and/or their parent/guardian/carer should be captured when closing a CAF. This form can be amended to capture those views.

Question	Yes	No	N/A
Has the child or young person been central in the TAC process			
Did the child or young person sign to confirm that they agreed with the changes that needed to occur?			
Did the parent/guardian/carer sign to confirm that they agreed with the changes that needed to occur?			
Did the child or young person sign to confirm that they agreed with the Action Plan to achieve those changes?			
Did the parent/guardian/carer sign to confirm that they agreed with the Action Plan to achieve those changes?			
Was the child or young person involved in choosing the Lead Professional?			
Was the parent/guardian/carer involved in choosing the Lead Professional?			
Did the child or young person attend the Team Around the Child meetings?			
Did the parent/guardian/carer attend the Team Around the Child meetings?			
Did the child or young person complete his/her agreed actions in order to achieve the required change?			
Did the parent/guardian/carer complete his/her agreed actions in order to achieve the required change?			
Does the child or young person agree with the evaluation of the effectiveness of the actions and achievement of changes?			
Does the parent/guardian/carer agree with the evaluation of the effectiveness of the actions and achievement of changes?			
Did the child/young person feel supported by the process?			
Did the parent/guardian/carer feel supported in the process?			
Did the child/young person feel comfortable and supported by the Lead Professional?			
Did the parent/guardian/carer feel supported by the Lead Professional?			

A "Yes" answer scores 1, a "No" answer scores 0, a N/A answer scores 1. A score of 12 or less indicates non-effective participation on the part of the child or young person, or their parent/guardian/carer.

Section 2 - Measurement of the Effectiveness of Actions

The CAF process identifies changes that need to occur in the life of the child or young person undergoing the assessment, in order to improve their current situation. For each of these changes, one or more activities or actions were identified. The extent to which the activities or actions proved effective, and the extent to which the required changes that were identified have occurred, is a measure of the quality and effectiveness of the CAF process.

The effectiveness of each action can be classified as one of the following:

1. Not Effective (The action taken has not resulted in any noticeable/measurable change).
2. Partially Effective (The action taken, has resulted in a small noticeable/measurable change, but there is still much to do to achieve the required change.)
3. Mostly Effective (The action taken has achieved most of the required change, which could be completely achieved with a little extra effort, or required changes effective but not considered sustainable without on-going support.)
4. Completely Effective. (The action has achieved the required change, and it is likely to be maintained without further support.)

Each of these classifications are scored 0 to 3, and entered into the table below. There should be one entry for each action and one entry for each required change. In the example given below, there are three changes required. These have been identified as Change 1, Change 2 and Change 3, but for the purpose of an actual CAF, they would be identified fully. For each change, two actions have been identified (i.e. 6 in total). These have been identified as Action 1, Action 2, Action 3 etc.

Evaluation of Effectiveness of Actions

Action	Not Effective (Score 0)	Partially Effective (Score 1)	Mostly Effective (score 2)	Completely Effective (Score 3)	Action Score	Total Possible Score
Action 1		X			1	3
Action 2			X		2	3
Action 3	X				0	3
Action 4				X	3	3
Action 5				X	3	3
Action 6			X		2	3
Overall Scores					11	18

Effectiveness of actions = $11/18 = 61\%$

The extent to which each of the identified changes has occurred can also be classified as one of the following:

1. No Change Occurred (The relevant circumstances are the same as they were before the actions took place.)
2. A Small Change Occurred (There has been some noticeable improvement in the relevant circumstances, but much more change is required.)
3. A Moderate Change Occurred (There has been considerable improvement in the relevant situation, but some change is still required.)
4. The Required Change Occurred. (The targeted change has been fully achieved.)

Each of these classifications are scored 0 to 3 and entered into the following table.

Evaluation of the Achievement of the Identified Changes Required

Identified Change	No Change (Score 0)	Small Change (Score 1)	Moderate Change (score 2)	Required Change (Score 3)	Change Score	Total Possible Score
Change 1		X			1	3
Change 2			X		2	3
Change 3				X	3	3
Overall Scores					6	9

Achievement of Changes required = $6/9 = 66\%$ Overall Measurement of Quality and Effectiveness of CAF Process

$$\frac{(\text{Overall Action Score} + \text{Overall Change Score}) \times 100}{(\text{Possible Action Score} + \text{Possible Change Score})} = \frac{(11 + 6) \times 100}{18 + 9} = 63\%$$

