



Ministry of Housing,
Communities &
Local Government

Financial Framework for the Troubled Families Programme

April 2020

What does this document cover?

Guidance relating to the Payment by Results framework for the Troubled Families Programme

Who is it for?

Intended for use by local authority troubled families teams, auditors and analysts.



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Contents

Introduction	4
Financial Framework: timeline.....	5
Shared Commitments	6
Early Help System Guide.....	9
Troubled Families Outcome Plans.....	10
Identifying Families.....	16
Age Thresholds for Eligibility and Measuring Results	19
Working with Families	21
Claims and Payment Terms	22
Staying safe in the community: Parents or children involved in crime or anti-social behaviour	25
Getting a good education and skills for life: Children who have not been attending school regularly.....	28
Improving children’s life chances: children who need additional support, from the earliest years to adulthood	32
Improving living standards: families experiencing or at risk of worklessness, homelessness or financial difficulties.....	35
Staying safe in relationships: families affected by domestic abuse	39
Living well, improving physical and mental health and wellbeing: Parents and children with a range of health needs	42
Evaluation	45
Spot Checks	47
Principles for internal audit.....	48
Families with No Recourse to Public Funds	50

Introduction

The Troubled Families Programme is supporting families with multiple and complex problems; changing lives and services for the better. MHCLG's last [annual report to Parliament](#)¹ set out the scale of these problems – worklessness, uncontrolled debt, abuse and conflict in the home, mental and physical health problems, amongst others. It also shows how the programme is successfully supporting families to live better lives, including preventing children from going into care and adults into prison.

In the past, families have often been failed by services which responded to the one problem that presented itself at the time, whether it was truancy, domestic violence and abuse, anti-social behaviour or worklessness. Services were not designed to deal with the many and inter-related problems that a family may be facing, and as such the success of any intervention was often limited.

The Troubled Families Programme pulls together cross-government funding and support to provide a catalyst for local services to transform and work together in a more effective and cost-efficient way to achieve better outcomes for families. The programme does not mandate how services should 'transform'. Instead, through this Financial Framework and the Early Help System Guide, the programme aims to incentivise a re-configuration of services around families and to encourage innovative, multi-agency practice that best fits the local context.

Local authorities and their partners have already achieved a huge amount. Services are coming together across organisational boundaries, overcoming operational and cultural barriers to achieve sustainable change for the most disadvantaged families in their communities. The impact of this service transformation can be seen in the steep increase in the numbers of families across the country receiving a 'whole family approach' and achieving significant and sustained progress against the problems they face. However, there is still much left to do. Services need to do more to align if an integrated, whole family approach to early intervention is to become further embedded by the time the current programme comes to an end in 2021.

This revised financial framework takes effect from 1st April 2020. This update reflects learning so far and clarifies how the programme's design is able to support important or emerging priorities, such as supporting families in the earliest years or tackling the criminal and sexual exploitation of children and young people.

¹ <https://www.gov.uk/government/publications/building-resilient-families-third-annual-report-of-the-troubled-families-programme-2018-to-2019>

Financial Framework: timeline

Timeline		
2012-2015	First Troubled Families Programme	
2015-2020	Current Troubled Families Programme	
	September 2014	1st Financial Framework issued as an interim version for 51 early starter areas.
	November 2014	2nd Financial Framework issued. Revised in the light of learning from early starter areas.
	March 2015	3rd Financial Framework issued for national roll out of the current programme in April 2015.
	January 2018	4th Financial Framework takes effect. Updated for the period up to March 2020.
	February 2020	5th Financial Framework (this document) issued to cover an additional year of the programme. Version 4 will remain in force until this version takes effect on 1st April 2020.

Shared Commitments

The Troubled Families Programme is based on a common interest and ambition to transform the lives of this country's most complex families; to improve the services that work with them; and to ensure more efficient and effective use of public money for the long term.

These three objectives can be summarised as follows:

For families

- To achieve significant and sustained progress² with at least 400,000 families with multiple, high-cost problems by 2021;
- To make work an ambition for all troubled families.

For local services

- To transform the way that public services work with families with multiple problems to take an integrated, 'whole family approach';
- To help reduce demand for reactive services.

For the taxpayer

- To demonstrate that this way of working results in lower costs and savings for the taxpayer.

As part of the sign-up process for the Troubled Families Programme in 2020-2021, all upper-tier local authority Chief Executives will be asked to make a number of key commitments:

- To work with, and achieve measurable outcomes with, an agreed total number of families by March 2021. Also, where those targets are met early, to continue to provide progress information on all families worked with up to March 2021.
- To integrate and transform local public services to embed whole family working.
- To provide sufficient analytical resource to improve systems and evidence how the programme is delivering for families and transforming public services. This is a key area of development and we are no longer asking areas to contribute to the national evaluation to free up analytical capacity for this vital work
- To submit their Troubled Families Outcome Plan (TFOP) for sign off before claims are made in 2020-21. Confirmation that the document can be used for claims in 2020-21 will be provided by 1st April for all those TFOPs received by 20th March 2020. Areas may want to review and update this document with the support of local partners and services, internal auditors and local strategic leaders.

² Or achieve 'continuous employment' results

- To use the Early Help System Guide to inform the development, refinement and implementation of early help strategies (or equivalent), sharing the outcome of the question framework with the national team by the end of September 2020.
- To provide sufficient coordination and analytical resource to achieve the above commitments and nominate a senior responsible officer alongside a Troubled Families Coordinator to lead the transformation of the early help system across the local partnership.

Further detail relating to these commitments is provided in this Financial Framework. Adherence to these commitments may be taken into consideration when decisions are taken about the release of funding; payments may be reviewed and reduced or withheld if commitments are not fulfilled.

In return, the Ministry of Housing, Communities and Local Government (MHCLG) Troubled Families Team commits to offer local authorities the following:

- The freedom and flexibility to prioritise the families of greatest concern to them and their partners locally, on the basis of cost and the potential benefits of an integrated whole family approach.
- The freedom and flexibility to design their own results framework (a Troubled Families Outcomes Plan), determining the outcomes that represent significant and sustained progress for their families and also reflecting their local service transformation priorities and based on the principles laid out in this Financial Framework.
- Upfront attachment fees³ for an agreed number of families⁴ and a results payment⁵ for families up to an agreed number with whom they either achieve significant and sustained progress or move into continuous employment.
- An annual Service Transformation Grant (STG) which has doubled in this final year, weighted towards their total number of families, to enable areas to identify a senior responsible officer, a Troubled Families Coordinator and the resource needed for oversight and coordination of an ambitious local programme of service reform. The increase in STG is also intended to support the vital analytical function in every area.
- Analysis and evidence back to local authorities from the national evaluation. This evidence will give local authorities and their partners improved information about the problems faced by families on entry to the programme, the impact of their local delivery on families and the fiscal benefits being achieved.
- Constructive support and challenge informed by national learning and experience from local authorities and their partners. A key part of this

³ £1000 per family

⁴ If a family disengages before success has been claimed, this family must be replaced by another eligible family in order to ensure the local authority's overall commitments are met. No further attachment fee will be paid for this replacement family.

⁵ £800 per family

offer is the spot check process which provides assurance and feedback to senior leaders on local progress and performance.

- A focus on sharing good practice amongst local areas to accelerate transformation across the country.

Early Help System Guide

The Troubled Families Programme seeks to drive a transformation in the way relevant public services are delivered. Service transformation is needed to help vulnerable families today as well as deliver the lasting reforms to practice, culture and systems for families who would benefit from whole family working in the future.

MHCLG defines **early help as the total support that improves a family's resilience and outcomes or reduces the chance of a problem getting worse**. It therefore encompasses all services delivering early intervention and support for families. These services will come from an array of providers such as the police, the voluntary and community sector, schools and health visitors in addition to the council's own services including housing, social care and wider children's services.

To enable local authorities and their partners to make an assessment of the maturity of local public service transformation MHCLG produced the Service Transformation Maturity Model toolkit in 2016. Based on feedback and learning from the past four years, we have developed a revised tool – the Early Help System Guide. This is designed to be a practical tool to help local authorities and their partners direct their focus and activity. It captures national learning from local areas about the activity that makes the most difference in driving whole system change to establish a strong and sustainable early help offer.

Local authorities receive a dedicated annual Service Transformation Grant from MHCLG. In order to support a greater focus on service transformation in this final year of the programme (2020-2021), the grant amount has doubled and MHCLG is asking every local authority to complete the questions in the Early Help System Guide by the end of September 2020. MHCLG is not requesting a new plan or strategy from areas, instead it is expected that the guide informs the development, refinement and implementation of early help strategies (or equivalent) in every local area. It should also help identify good practice and regional variations which the national team in MHCLG will use to aid national policy development and to inform the support and challenge they provide to different organisations working within the early help system.

The tool includes a separate section on data maturity reflecting the importance of data and analysis as a key area of development over the coming year.

Troubled Families Outcome Plans

Every local authority delivering the Troubled Families Programme must have in place a Troubled Families Outcome Plan (TFOP). This should be developed and owned by local partners and services, internal auditors and local strategic leaders and signed off through local governance arrangements.

In the simplest terms, a TFOP should set out what each local authority and its partners consider to be the right indicators of eligibility and successful outcomes – measured at a family by family level – against the programme’s six headline problems: crime and anti-social behaviour; poor health; domestic violence and abuse; children who need help; poor school attendance and worklessness. The TFOP should also make it clear what outcomes need to be achieved for each indicator triggered.

The outcomes in the TFOP should link directly to the strategic aims and transformational goals of the local authority and the wider partnership. By pulling together a shared view of the key, ambitious outcomes that will help families stay safe, live well and be happy; and by setting the expectation that these should be achieved for every single eligible family, the programme should drive greater integration across the partnership, deliver better value for money and help manage demand for reactive services. It could also help to drive area-specific ambitions, for example, by promoting inclusive growth through improved employment and skills. Further information on how to make the most of the TFOP to drive service transformation locally will be covered in the new Early Help System Guide which replaces the Service Transformation Maturity Model toolkit.

The Troubled Families Outcomes Plan will provide a local 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, there is domestic violence and abuse and worklessness at the point that the family are engaged on the programme, then relevant outcomes measuring success across all these issues would be drawn from the local authority’s Troubled Families Outcomes Plan and form the goals against which significant and sustained progress would be judged for this family. The purpose of these local plans is three-fold:

1. To lay out **what each local authority and their partner agencies aim to achieve with each family** in regard to the six headline areas the programme aims to tackle; and how this supports wider **service transformation** objectives (i.e. how these ‘per family’ outcomes support broader, area-wide goals of demand reduction or fiscal savings);
2. To provide a basis against which each local authority can determine when **significant and sustained progress** has been achieved and, therefore, when a results claim may be made for the family; and

3. To provide a framework against which local authority **internal auditors** and the national Troubled Families Team's spot checks team may establish whether a result is valid.

There are ten key principles that all TFOPs should reflect:

Principle 1- The purpose of TFOPs

The purpose of a Troubled Families Outcomes Plan is to provide a concise and clear account of the goals that each local authority and their partners strive to achieve with families and against which successful claims may be measured and verified. It should reflect the local area's local service transformation ambitions in terms of reducing demand for, and dependency on, services in the long term and in improving efficiency and outcomes for families. It should not be a complex, bureaucratic process.

Principle 2- Focus on outcomes

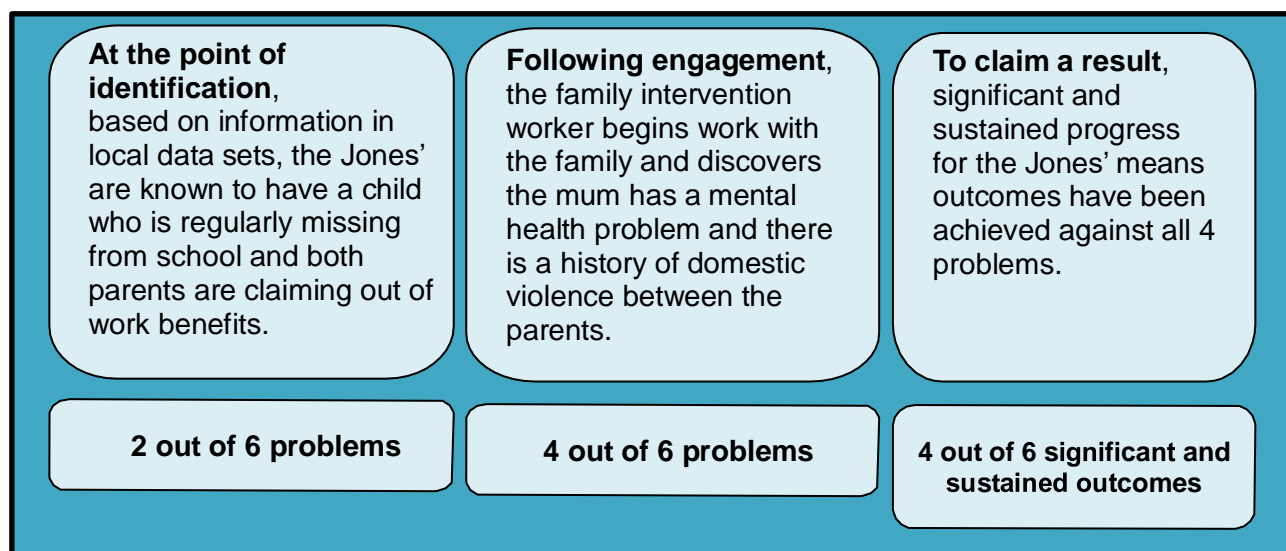
Troubled Families Outcomes Plans should focus on the demonstration of outcomes, rather than inputs, processes and outputs. For example, the completion of a training course or the application of a particular intervention would be a process or input, whereas the outcome should focus on the measurable change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

Principle 3- Information sharing

Existing information sharing limitations should not be the starting point in setting outcomes. These limitations should not constrain local ambitions for families and services. Part of the programme's service transformation objectives should be to ensure that information follows ambition – rather than the opposite.

Principle 4- Progress against all headline problems

As some family problems may not be evident at the point of identification and only become apparent when trust has been established with the family (e.g. domestic abuse) all the relevant outcomes within the Troubled Families Outcomes Plan should be revisited at this later point, when a fuller picture of the family is known – see the diagram below.



Principle 5- Regression

Where some problems are not present within 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. However, the local authority should ensure that the family's status has not regressed before a claim is made – i.e. the family should not have developed one of the six headline problems, where it was not a problem at the point of engagement at the point of claim. For example, if there were no anti-social behaviour problems prior to engagement and there was an incident of anti-social behaviour by the family during the period between engagement on the programme and when a claim is planned to be submitted, the claim cannot be made. As stated in principle 6 below, there is also a need to check the attendance levels of every child.

There may be a small number of exceptions to this principle. In some cases, outcomes achieved may initially appear to represent regression, but could represent a significant positive improvement in the family's circumstances.

An example might be where there has been a history of domestic violence and abuse in the family; the victim reports the violence and, as a result, the perpetrator is convicted of an offence for these crimes. Seemingly, the number of proven offences in the family has increased, but the safety and resilience of the family has immeasurably improved.

Similarly, the development of a health problem may be beyond the family or the service's control in some cases. In such cases, the effective management and appropriate use of health services to receive treatment will be sufficient to satisfy this principle.

In these exceptional cases, a claim for significant and sustained progress may still be made, provided the claim is validated with local authority internal auditors and evidence could be provided to the national Troubled Families Team as part of any subsequent spot check. However, no discretion can be offered against the outcomes that are nationally set for attendance and continuous employment.

Principle 6- School attendance

A claim can only be made where all children in the family have been attending for an average of at least 90 per cent of sessions across three consecutive terms.

Areas have the discretion to decide whether the 90 per cent threshold includes authorised absence (i.e. absences which are covered by a statutory exception⁶ including those which have been authorised by the school in advance due to exceptional circumstances). This must be clarified in the local TFOP. As with any indicator, if authorised absence is a relevant indicator at the point of attachment, it should be taken into account when assessing outcomes. Unauthorised absences must always be included when assessing attendance.

There is one exception to this rule. Areas also have the flexibility to reward distance travelled in specific cases where attendance started at a very low base. The improvement in attendance should be a minimum of 40 percentage points from a base of 40 per cent or less attendance. Local authorities should clearly set out their approach to measuring distance travelled in their local TFOPs and that approach should be agreed in consultation with educational professionals nominated by the local authority, such as head teachers, educational welfare officers or other senior education representatives. Education attendance measures in a local authority's TFOP should also be signed off at Early Help/Partnership Boards with appropriate (strategic) representation from educational professionals.

Principle 7- Partnership support

As far as possible local authorities should develop and agree outcomes (and the datasets used to measure these 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 Health and NHS Outcomes Frameworks and employment outcomes should be developed and agreed with local Jobcentre Plus District Managers, with reference to local skills, job market and growth objectives.

⁶ i.e. those absences which are generally referred to as 'authorised absences' see page 28 for further details

Principle 8- Employment

Where worklessness is a problem for a family at the point of engagement, an adult in the family does not have to secure continuous employment to allow the local authority to make a claim for significant and sustained progress. Instead, in these cases, as a minimum, a family should demonstrate significant and sustained progress towards work.⁷ It is important that the TFOP clarifies what successful progress to work looks like and the outcomes should be appropriate and stretching for that family member's circumstances. For example a TFOP could require that the individual was carrying out some of the following activities as part of their benefit requirements: employment mentor support; employment and training related information, advice and guidance; support with soft skills such as CV writing and interview techniques; support with basic skills such as Maths/English classes; sector specific employability courses; work experience; apprenticeships; work trials; traineeships; Work & Health programme and occupational training.

Consideration should also be given to how other problems within the family might be affecting the ability of the family to find employment. This progress should be undertaken with a view to securing work and a 'subsequent continuous employment' outcome may be reported in these cases (though no claim for payment can be made, see page 23).

Employment should be an aspiration for all families on the programme. Even where employment may not be immediately achievable for some families, with support from their keyworker and Troubled Families Employment Advisors, significant progress towards work can and should be made.

However, there may be some exceptional cases where those claiming Carer's Allowance only (i.e. not in receipt of any income-related benefits) do not need to demonstrate progress toward work. In these cases where worklessness is not considered a problem for a family it cannot be counted as an indicator of their eligibility for programme support. This should be decided on a case by case basis and will only apply to a small number of families eligible for the programme. In most cases consideration should be given to what support is needed to help a family access opportunities for employment.

Principle 9- Sustainment periods

The periods of sustainment for outcomes may vary between local authorities, reflecting local priorities and evidence, but should be a minimum of six months to demonstrate sustained progress.

Sustainment periods should begin at the point which the evidence suggests positive progress has been, and will continue to be, maintained. Where

⁷ To claim significant and sustained progress towards work, progress against all other problems present within the family must also be evidenced.

significant progress is deemed to be, for instance, de-escalation of a case from higher levels of need (e.g. child in need to non-statutory services), the sustainment period should begin when the case is de-escalated and there should be no re-referral for a further six months.

The school attendance outcome should be demonstrated across at least three consecutive terms (equivalent to a full school year) before a claim can be made.

Principle 10- TFOP development

A Troubled Families Outcomes Plan should be a living document. Over the course of the programme, the plans should be refined to reflect emerging service transformation priorities and respond to the evidence provided on local impact and family needs. While outcomes may change, levels of ambition should only increase. If an area wishes to change their TFOP, the latest version should be submitted to the national Troubled Families Team for sign off before it is used for claims. Our expectation is that current local outcomes plans will also be published.

This principle intends to provide the flexibility to measure success in a way which reflects the service transformation and cost reduction priorities of each local authority and its partners. This approach 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 and local authorities can expect to be robustly challenged on any proposed reduction in ambition.

Updating and approving TFOPs

This revised Financial Framework takes effect from 1st April 2020, and local authorities will wish to take stock with their partners to understand how they want to give effect to changes in this framework in their own TFOP. Any significant changes to TFOPs must be agreed and signed off through local governance arrangements.

Regardless of whether any changes are made, all TFOPs must be signed off by the national team before claims can be submitted in 2020-21. Confirmation that the document can be used for claims in 2020-21 will be provided by 1st April for all those TFOPs received by 20th March 2020. TFOPs received later than this will be cleared within a week of receipt. The approved version will be used for spot check purposes.

Once the new TFOP is agreed, local authorities may look back at the work that has taken place to date with eligible families to understand what claims can be made. However, all **claims must be valid at the point of submission** which means significant and sustained progress must be demonstrated against all relevant problems, with no regression evident against any of the six headline areas (see Principle 3 above).

Identifying Families

The Troubled Families Programme has led the way in the first systematic identification of families with multiple high cost problems across England who could benefit from earlier and better coordinated support.

The inclusion of families into the programme is based upon a cluster of six headline problems. Below these problems sits a basket of indicators, suggested referral routes and information sources, which should be used to identify families with these problems. In this additional year of the programme we are making it clear that the following children and families are eligible for the programme's support: those experiencing or at risk of sexual or criminal exploitation, gang and knife crime, in work poverty and homelessness.

To be eligible for the Troubled Families Programme, each family must include dependent children⁸ and/or expectant parents and have at least two of the following six problems:

1. Staying safe in the community: Parents or children involved in crime or anti-social behaviour
2. Getting a good education and skills for life: Children who have not been attending school regularly
3. Improving children's life chances: children who need additional support, from the earliest years to adulthood
4. Improving living standards: families experiencing or at risk of worklessness, homelessness or financial difficulties
5. Staying safe in relationships: families affected by domestic abuse
6. Living well, improving physical and mental health and wellbeing: Parents and children with a range of health needs

Evidence that at least 2 headline problems are present will need to be demonstrated to make a claim and at spot check. Domestic violence and abuse in a family will be an indicator for problem 5 (families affected by domestic abuse) but may also impact the mental health of a child in the family and therefore indicator 6 (parents and children with a range of health needs) will also be present. To make a claim and at spot check evidence must be provided to demonstrate how all members of the family have been supported to address these problems.

However, where a single issue relates to an individual family member this cannot be evidence of more than one headline problem and there would need to be evidence of another headline problem affecting family members for the

⁸ The definition of a dependent child for the purposes of the programme can be found on page 19 in the chapter entitled: 'Age Thresholds for Eligibility and Measuring Results'

eligibility criteria to be met.

For example a child with a disability will be identified as a child 'in need' under section 17, Children Act 1989, an indicator for problem 3 (children who need additional support, from the earliest years to adulthood) but this single issue should not also be used as evidence of problem 6 (parents and children with a range of health needs) if the child's needs are being met and there is no evidence of a wider impact on other family members.

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 complex problems. Some problems, such as domestic abuse or mental illness, may be hidden until work begins with the family and the full extent of their needs are uncovered. In the first Troubled Families Programme, families who met three eligibility criteria were found, on average, to have nine significant problems on entry to the programme.⁹

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. We expect areas to be using this programme to drive new ways of working across a broad and complex cohort of families so their approach to identification should reflect this ambition. 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 which incur the highest cost to the public purse.

While the detail of this prioritisation should be agreed locally, the regular publication of evidence collated via the programme's National Impact Study for every local authority provides a form of accountability. These datasets continue to reveal the types of families and problems that local authorities and their partners are prioritising.

Timeframe for identifying families

As part of the roll out of the 2015-2020 programme, a group of 51 early starter authorities began delivery from September 2014 and a further group of 62 began delivery from January 2015. The rest of the country joined the programme from April 2015, with four making a late start in September 2015. Families can be counted as eligible where they meet the eligibility criteria from the area's programme start date onwards, irrespective of whether they were already receiving a targeted family intervention. However, no results may be claimed for successes

⁹ <https://www.gov.uk/government/publications/understanding-troubled-families>

achieved with families prior to this date. If a result was claimed for successes achieved with families under the first programme (2012- 2015), no result may be claimed for the same family under the current programme.

Families with no recourse to public funds

Local authorities have reported that some families they identify have no recourse to public funds. These families would not necessarily be prevented from receiving support from this programme but further detail on the rules that apply are provided at **Annex A**.

Refugee Resettlement Programme

If a family has been part of the resettlement programme we would not expect them to be included within the Troubled Families Programme's cohort. Public funding has already been made available for these families via the resettlement programme.

Although these families are not eligible for a results payment under the programme, this should not have a bearing on the service that the family receive, which should be tailored to their needs.

Age Thresholds for Eligibility and Measuring Results

The Troubled Families Programme aims to provide earlier support to families experiencing difficulties and improve outcomes for children; all eligible families must include dependent children. For the purposes of the programme, a dependent child is a person aged 0-15 or aged 16-18 and in full-time education and/or training and/or unemployed and living with their family.

Family Problem	Age Threshold
If a child is involved in crime or anti-social behaviour...	...the relevant family member should be between 10 ¹⁰ and 18 years old. 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. ¹¹ This rises to 25 years old if the child or young person has an Education, Health and Care plan or currently has 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 section 17, Children Act 1989; or is a child who has been subject to enquiry under section 47, Children Act 1989...	...the relevant family member should be under 18 years old. ¹² This rises to 25 years old if the child or young person has an Education, Health and Care plan or currently has a statement of special educational needs.

¹⁰ <https://www.gov.uk/age-of-criminal-responsibility>

¹¹ or last Friday in June if they will turn 16 by the end of the school holidays.

¹² Working Together to Safeguard Children defines a child as anyone who has not yet reached their 18th birthday (see:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/779401/Working_Together_to_Safeguard-Children.pdf

<p>If an adult is in receipt of out of work benefits; or an adult is claiming Universal Credit and subject to work related conditions...</p>	<p>...the relevant family member should be 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: Universal Credit, Jobseeker's Allowance, Employment and Support allowance and Carer's Allowance.</p>
<p>If a person is experiencing or perpetrating domestic violence ...</p>	<p>...the relevant family member should be 16 years old or over. If under 16 years old, violence or abuse should be captured as part of youth crime or children who need help indicators.</p>

Working with Families

The Troubled Families Programme encourages local authorities and their partners to take an integrated, whole family approach when working with complex families.

There is no simple template for working with families as each family will need a different approach depending on their circumstances. Every local authority and their partners will also choose to deliver their services differently to suit their local context. However, the following four principles capture what the national Troubled Families Team means by 'working with a family as part of the Troubled Families Programme'. These principles must apply to all families declared as worked with (attached) to the programme and for which a claim is made:

- there will have been an assessment that takes into account the needs and voice of the whole family;
- there is an action plan that takes account of all (relevant) family members;
- there is a lead / key worker for the family that is recognised by the family and other professionals involved with the family; and
- the objectives in the family action plan are aligned to those in the local authority's Troubled Families Outcomes Plan.

When a family no longer requires the same level of support and a practitioner is closing their case, they should reflect on the significant progress of the whole family against all their problems, ideally through a closure statement. A closure statement is not a requirement for a Payment by Results claim but a good closure statement provides assurance that significant and sustained progress has been made and should:

- Look at all family members
- Look at all identified needs
- Summarise what work happened with the family
- Summarise the improvements made
- Confirm that, in the practitioners and supervising manager's judgement, the progress made is sustainable.

Because all PbR claims need to evidence the outcomes are both achieved and sustained, a closure statement which provides details of the outcomes achieved can reduce the amount of retrospective checking required when submitting a claim at a later date. Areas will still need to check that outcomes have been sustained since the family's case was closed.

Claims and Payment Terms

A results payment can be claimed by a local authority if it can demonstrate that an eligible family has either:

- 1. Achieved significant and sustained progress against all problems identified at the point of engagement and during the intervention; or**
- 2. An adult in the family has moved 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 families in each local authority should be agreed locally and set out in a Troubled Families Outcomes Plan.

Continuous Employment

Worklessness is a problem found in many families and achieving continuous employment can be transformative. Findings from the Troubled Families Programme's independent national evaluation found that an estimated 56% of families were receiving an out of work benefit on entry to the programme.¹³

In support of the programme's focus on employment, the Department for Work and Pensions (DWP) provides a network of around 300 work coaches to act as Troubled Families Employment Advisors (TFEAs), based in local authorities. They support individuals in families to get on the path to work and boost the employment expertise of frontline work with families. For instance, enabling workers to have discussions with family members about their employment aspirations.

The movement of a family member 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 13 or 26 weeks represents a major step forward for families.

¹³ <https://www.gov.uk/government/publications/national-evaluation-of-the-troubled-families-programme-2015-to-2020-findings>

In order for a local authority to claim an outcome payment for someone moving into continuous employment an adult in the family must meet one of the following thresholds.

- Working age/legacy benefits (such as Jobseekers Allowance): move off out of work benefits and be in employment continuously for 26 out of the last 30 weeks
- Universal Credit: reach the Administrative Earning Thresholds (AET)¹⁴ or above continuously for 26 weeks out of the last 30 weeks.
- Not required to actively seek employment (i.e. in legacy benefits under Employment Support Allowance / Income Support type arrangement): be in continuous employment for 13 weeks.

Troubled Families Employment Advisors will provide information about earnings thresholds to local authorities and access data for families claiming or moving onto Universal Credit.

Payment Terms

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) had an adult move into continuous employment.

The opportunity to claim results is offered on a regular basis through a rolling claims window that is open for the majority of the year. Claims must be submitted through the Troubled Families Information System (TFIS) and we strongly recommend claim submissions are made monthly. The local authority's internal audit service should check and verify at least a representative sample of results for each claim before it is made. All claims made must be valid on the date that they are submitted and must be certified by a Section 151 officer.

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 is available on the results claim form 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

¹⁴ An administrative earnings threshold (AET) has been established to ensure that only those claimants on very low pay receive more intense DWP support. The threshold is currently set at £338 per month for a single person and £541 per month for a couple and is assessed against gross taxable pay/earned income (self employed earnings do not count towards this threshold).

evidence each area's overall success in terms of employment outcomes for families.

Local authorities may not receive further funding for a family for whom any payment has already been received as part of the first Troubled Families Programme (2012-2015). While it remains in the wider interests of local authorities and their partners to ensure the improved outcomes of these families are sustained and they do not deteriorate, outcomes achieved with these families should not be counted twice. **Over 400,000 families have been supported to date through the current Troubled Families Programme and these are in addition to the 120,000 families supported by the first programme.**

Staying safe in the community: Parents or children involved in crime or anti-social behaviour

Crime and anti-social behaviour has a significant negative impact on individuals and communities - including the victims, the relatives of offenders, and the offenders themselves - as well as a significant financial cost to society.

The programme's eligibility criteria covers youth crime including gang and knife crime, anti-social behaviour and families where there is an adult offender with parenting responsibilities. This reflects the evidence that a significant factor in youth offending is a young person having parents who have committed criminal offences or anti-social behaviour and that the 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 believe this could be a sign of wider family problems and as such they would benefit from a whole family intervention. This may be particularly helpful when identifying families where there is strong intelligence about a family's involvement in activities such as gangs, youth violence or serious organised crime, but no proven offence.

Indicators	Suggested Information Source and data feeds
<i>The family includes at least one of the following...</i>	
A child ¹⁵ who has committed a proven offence ¹⁶ 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.
An adult prisoner (who will have parenting responsibilities on release) or young person (who will be returning to the family home) in a secure unit who is less than 12 months from his / her release date.	Information provided by probation providers ¹⁷ and prisons.
An adult who is currently subject to a licence or supervision in the community, following release from prison, and has parenting responsibilities.	Information provided by probation providers ¹⁸ and prisons. Re-offending data provided by police.
An adult currently serving a community order or suspended sentence, who has parenting responsibilities.	Information provided by probation providers. ¹⁹
An adult or child involved in a gang; county lines linked crime and exploitation; and serious violence (including offensive weapon crime such as knife crime, gun crime and robbery) in the last 12 months (either as a victim or a perpetrator)	Information/offending and gangs datasets provided by youth offending teams, police, schools, national county lines coordination centre, alternative provision, including pupil referral units, hospital A&E departments, and voluntary sector organisations.

¹⁵ under 18 years old

¹⁶ A proven offence is one where a formal outcome is given, either in or out of court.

¹⁷ National Probation Service, Community Rehabilitation Companies and other providers of probation services.

¹⁸ As above

¹⁹ As above

<p>Adults and children nominated by professionals because of their potential to offend or offending behaviour is of equivalent concern to the indicators above, for instance where family members are at risk of radicalisation.</p>	<p>Referrals from the police, schools, national county lines coordination centre, alternative provision, including pupil referral units, hospital A&E departments, voluntary sector organisations multi-agency gang units, probation providers, National Crime Agency, Integrated Offender Management Teams and CHANNEL coordinators.²⁰</p>
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²⁰ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/118194/channel-guidance.pdf

Getting a good education and skills for life: Children who have not been attending school regularly

Suitable full-time education is not only an essential pre-requisite to better attainment, it is also a protective factor and strongly associated with a broad range of positive outcomes including reducing the risk of worklessness, youth crime and anti-social behaviour.

Accordingly, the programme sets out to tackle school absence by requiring significant improvement in attendance for all children in the family, sustained across three consecutive school terms. Unauthorised absence (i.e. absences which are not due to a statutory exception²¹ including those which have not been authorised by the school in advance due to exceptional circumstances), should always be included when assessing whether a child's school attendance represents a problem which should be reflected in a family's action plan.

Local authorities are not required to include authorised absence (i.e. absences which are covered by a statutory exception²² including those which have been authorised by the school in advance due to exceptional circumstances) when assessing whether a child's school attendance is a cause for concern. However, this is a matter for local discretion. As stated in TFOP principle 6 earlier in this document, if authorised absence is a relevant indicator at the point of attachment, it should be taken into account when assessing outcomes.

Statutory exceptions

Statutory exceptions (in which a child shall not be taken to have failed to attend school regularly) include:

- where a child is prevented from attending school due to sickness or unavoidable cause;
- where a child's absence from school is on a day exclusively set apart for religious observance by the religious body to which their parent belongs;
- where the local authority has a statutory duty to help the child attend school, but has failed to make any travel arrangements;
- where the school is a privately funded independent school and is not within walking distance of the child's home, and no suitable arrangements have been made by the local authority for them to board at or near the school or to attend a state-funded school closer to their home;

²¹ i.e. those absences which are generally referred to as 'unauthorised absences'

²² i.e. those absences which are generally referred to as 'authorised absences'

- where a child has no fixed abode, the parent's trade/business requires them to travel, the child has attended school as regularly as the nature of the trade/business permits, and (for children aged six or older) they have attended at least 200 sessions during the preceding 12 months; and
- where leave of absence from school has been granted by the school (see below).

Exceptional circumstances in which leave of absence from a maintained school may be granted

Leave of absence from a maintained school may only be granted in advance by the head teacher, and only in exceptional circumstances. The National Association of Head Teachers (NAHT) included advice on the types of 'exceptional circumstances' in which it may be appropriate for leave to be granted in their guidance to school leaders (2014). Their guiding principles include:

- absence for bereavement of a close family member to attend funeral service, not extended leave;
- absences for important religious observances for the ceremony and travelling time, not extended leave;
- schools may wish to take the needs of the families of service personnel into account if they are returning from long operational tours that prevent contact during scheduled holiday time;
- schools have a duty to make reasonable adjustments for students with special educational needs or disabilities; and
- families may need time together to recover from trauma or crisis.

Indicators	Suggested Information Source and data feeds
<i>The family includes at least one of the following...</i>	
<p>A child whose average attendance over the last three consecutive terms is less than 90 per cent. Areas have the flexibility to decide whether to include authorised absence in this indicator.</p>	<p>Information compiled locally for submission to the Department for Education (DfE) for the School Census (and Alternative Provision Census).</p> <p>Information provided by Education Welfare Officers.</p> <p>Census data feed and/or local live education data feeds.</p>
<p>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.</p>	<p>Information compiled locally for submission to the Department for Education (DfE) for the School Census (and Alternative Provision Census).</p> <p>Information provided by Education Welfare Officers.</p>
<p>A child who has been permanently excluded from school within the last 3 school terms.</p>	<p>Information compiled locally for submission to the Department for Education (DfE) for the School Census (and Alternative Provision Census).</p> <p>Information provided by Education Welfare Officers.</p>

<p>A child who is in alternative education provision to improve their behaviour.</p>	<p>Information compiled locally for submission to the Department for Education (DfE) for the School Census (and Alternative Provision Census).</p> <p>Information provided by Education Welfare Officers.</p>
<p>A child who is neither registered with a school, nor being educated in an alternative setting.</p>	<p>Information compiled locally from within the local authority</p>
<p>A child nominated by education professionals and/or lead practitioner/key worker as having school attendance problems of equivalent concern to the indicators above because they are not receiving a suitable full time education.</p>	<p>Referrals from teachers and education welfare officers (or lead practitioner/key worker notes).</p>

Improving children’s life chances: children who need additional support, from the earliest years to adulthood

The Troubled Families Programme allows local authorities and their partners, using the indicators below, to identify a wide group of families who may benefit from an integrated whole family approach.

The indicators cover all ages, from the earliest years to young adulthood. They also cover a varied level of need, from families identified as having a ‘child in need’ or subject to a Child Protection Plan, to those who do not currently meet that statutory threshold but could benefit from alternative forms of support. In all cases, the relevant professionals may put forward a family who they believe would benefit from an integrated whole family response.

Indicators	Suggested Information Source and data feeds
<i>The family includes at least one of the following...</i>	
A child who has been identified or assessed as needing early help.	Information/data feeds from Children’s Services or related multi-agency teams ²³ about children who: <ul style="list-style-type: none"> • on one or more occasions, were assessed under section 17 or 47, of the Children Act 1989, but not deemed a child ‘in need’, or • were previously a child ‘in need’ under section 17 of the Children Act 1989 and could now benefit from a different level of support, or • subject to Early Help Assessments (or local equivalent).

²³ For example, ‘Team Around the Child’, a ‘Team Around the Family’ or a ‘Team Around the School’.

A child 'in need' under section 17, Children Act 1989.	Information/data feeds provided by Children's Services
A child who has been subject to an inquiry under section 47, Children Act 1989. This can include children at risk of experiencing neglect or psychological, emotional, physical, sexual abuse.	Information/data feeds provided by Children's Services
A child subject to a Child Protection Plan.	Information/data feeds provided by Children's Services
A child with SEND, including social, emotional and mental health needs.	Information from local schools, early years providers, health visitors, academies and education welfare teams, Special Educational Needs Coordinators (SENCOs) or their equivalent about children identified in the School Census as having social, emotional and mental health problems. ²⁴
A child identified as having a delay in speech language and communication skills ²⁵ .	Information from health visitors about children not reaching the threshold in the communication domain at the 2-2.5 year-old health check Information from the Early Years Foundation Stage Profile about children not achieving the expected level in the communication, language and literacy components at age 5.
A child who did not achieve a good level of development at age 5. ²⁶	Information from the Early Years Foundation Stage Profile.
A family who is or has been entitled to 15 hours free early education for two-, three- or four-year-olds and has not taken this up ²⁷ .	Local authorities will know which children are taking up the entitlements from the information they collect to fund entitlement places. They will have

²⁴ As of September 2014, the School Census code for social, emotional and mental health problems is SEMH

²⁵ The need is primary (not linked to another impairment), and the child does not have an Education, Health and Care Plan. Children with SEND, including those with an Education, Health and Care Plan are included below.

²⁶ Achieving a good level of development means achieving or exceeding the expected level in the 3 prime areas of the EYFS and the 2 specific areas of Literacy and Mathematics.

²⁷ All 3 and 4 year-olds in working families are entitled to an additional 15 hours of childcare, for further details of eligibility see: <https://www.gov.uk/30-hours-free-childcare>. Disadvantaged 2 year-olds

	information on which children are living in their area from birth and benefit data.
A child experiencing or at risk of exploitation, including sexual exploitation ²⁸	Information/data feeds provided by youth offending teams, police, schools, national county lines coordination centre, alternative provision, including pupil referral units, hospital A&E departments, and voluntary sector organisations.
A child where there have been missing from home incidents in the last 12 months	Police missing children data feeds from the police, or the local authority Children's Services (including youth services) missing episodes data, Children's Services ²⁹ .
A child affected by parental conflict	Early help assessment or other assessment (eg health) where parental conflict has been identified and recorded
A child nominated by professionals as having problems of equivalent concern to the indicators above.	Referrals ³⁰ 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, A&E departments and voluntary sector organisations.

are entitled to 15 hours of early education, for details of eligibility see: <https://www.gov.uk/help-with-childcare-costs/free-childcare-2-year-olds>.

²⁸ Criminal exploitation is covered in in the chapter on Staying Safe in the Community

²⁹ For example, this may include local information following 'safe and well' checks carried out by the police or Independent Return Interviews.

³⁰ 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>

Improving living standards: families experiencing or at risk of worklessness, homelessness or financial difficulties

The focus of the Troubled Families Programme on employment is one of its most powerful elements. Feedback from local authorities and their partners delivering the programme suggest it has a transformative impact not only on family outcomes, but also on the approach and design of local family services.

The programme's eligibility indicators also reach those at risk of homelessness, young people at high risk of worklessness and those experiencing problematic debt, particularly those who have financial responsibilities in their household.

Indicators	Suggested Information Source and data feeds
<i>The family includes at least one of the following...</i>	
<p>An adult in receipt of out of work benefits,³¹</p> <p>or</p> <p>An adult who is claiming Universal Credit and subject to work-related conditions.³²</p>	<p>For families in receipt of out of work benefits: All local authorities have access to the Department for Work and Pension's Automated Data Matching Solution (ADMS) for the Troubled Families Programme which provides information on legacy benefits such as JSA and ESA.</p> <p>For families claiming or moving onto Universal Credit: Troubled Families Employment Advisors can support local authorities to access this data.</p>

³¹ This includes adults in receipt of Employment and Support Allowance, Incapacity Benefit, Carer's Allowance, Income Support, Job Seekers Allowance and Severe Disablement Allowance.

³² 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)

<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 Records³³ and the local authority's client caseload information system (or equivalent).³⁴</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 providers.³⁵</p> <p>Key Stage 4 data compiled by schools and academies at pupil level for the production of published school performance tables.</p>
<p>A young person who is not in education, training or employment.</p>	<p>Data feeds from local authorities' client caseload information systems (or equivalent), which indicates whether young people have been identified as not in education, training or employment (NEET) or whether their activities are 'not known'.</p>
<p>Families at risk of homelessness or living in accommodation which it is not reasonable for them to continue to occupy</p>	<p>Local authority housing departments, Registered Social Landlords</p> <p>Information from the local authority and housing providers about 16 and 17 year olds at risk of estrangement from their family which could lead to homelessness.</p>

³³ 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.

³⁴ 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.

³⁵ <https://www.gov.uk/government/publications/youth-contract-16-and-17-year-olds>

<p>Parents and families nominated by professionals as being at significant risk of financial difficulties. This may include those with problematic / unmanageable levels and forms of debts, those with significant rent arrears and those experiencing in work poverty³⁶ .</p>	<p>Referrals from organisations specialising in debt and finance, such as the Money Advice Service, Jobcentre Plus and housing providers.</p>
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Claiming an employment outcome – under Universal Credit or other out of work benefits

In order for a local authority to claim an outcome payment for someone moving into continuous employment an adult in the family must meet one of the following thresholds.

- Working age/legacy benefits (such as Jobseekers Allowance): move off out of work benefits and be in employment continuously for 26 out of the last 30 weeks
- Universal Credit: reach the Average Earning Thresholds (AET)³⁷ or above continuously for 26 weeks out of the last 30 weeks.
- Not required to actively seek employment (i.e. in legacy benefits under Employment Support Allowance / Income Support type arrangement): be in continuous employment for 13 weeks.

³⁶ The absolute poverty line varies by family type, recognising that families with children need more income than single people. Latest government data on absolute poverty after housing costs is for 2017/18, where the poverty lines for each family were £400 per week for a couple with two children and £296 per week for a lone parent with two children.

³⁷ An administrative earnings threshold (AET) has been established to ensure that only those claimants on very low pay receive more intense DWP support. The threshold is currently set at £338 per month for a single person and £541 per month for a couple and is assessed against gross taxable pay/earned income (Self Employed earnings do not count towards this threshold).

Staying safe in relationships: families affected by domestic abuse

Domestic abuse is a damaging and widespread problem for many of the families on the Troubled Families Programme.

Defining the most useful indicators and capturing the most relevant information sources that capture domestic abuse, is not straightforward. This abuse often goes unreported and so agencies must be able to identify what is often considered 'hidden harm'. The suggested information sources below give local authorities the flexibility to draw upon the intelligence of specialist agencies, rather than relying solely on reporting mechanisms. This means the identification of families is likely to lend itself to referral-based models, rather than the cross-referencing of larger datasets.

The Troubled Families Programme applies the following agreed cross-government definitions of domestic abuse: 'any incident or pattern of incidents of controlling, coercive, threatening behaviour, violence or abuse between those aged 16 or over who are, or have been, intimate partners or family members regardless of gender or sexuality. Abuse can encompass, but is not limited to psychological, physical, sexual, financial and emotional.' Domestic abuse also includes so-called 'honour-based' violence (which includes female genital mutilation and forced marriage) and can include stalking. So called 'honour based' violence is a crime or incident which has or may have been committed to protect or defend the 'honour' of the family and/or community and can be committed by individuals or multiple perpetrators. Sexual violence is defined as any sexual act or attempted act committed against someone without their consent, regardless of the relationship to the victim.

Individuals who are victims of abuse may be any gender, adults or children. Where a child is a victim of violence or abuse, for the purposes of eligibility for the Troubled Families Programme, they should be included as a 'Child who needs Help'. Where the perpetrator is a child, for the purposes of eligibility for the programme, they should also be included in the 'Child who needs Help' criteria.

Indicator	Suggested Information Sources and data feeds
The family includes at least one of the following...	
A young person or adult known to local services has experienced, is currently experiencing or is at risk of experiencing domestic abuse.	Referrals from local domestic abuse services or professionals, such as Independent Domestic Violence Advisors (IDVAs), housing providers, health services, the police, Children's Services and Youth Offending Teams. Police data feeds.
A young person or adult known to local services has experienced, is currently experiencing or is at risk of experiencing sexual violence or abuse.	Referrals from local sexual violence and abuse services or professionals, such as Independent Sexual Violence Advisors (ISVAs), health services, the police, Children's Services and Youth Offending Teams. Police data feeds.
A young person or adult known to local services has experienced, is currently experiencing or is at risk of experiencing 'honour-based' abuse.	Referrals from local honour-based violence services or safeguarding professionals, such as health services, the police, and Children's Services. Police data feeds.
A young person or adult who is known to local services as having perpetrated an incident of domestic abuse in the last 12 months.	Local police data and intelligence. Referrals from local domestic abuse services or professionals, such as Independent Domestic Violence Advisors (IDVAs), housing providers, health services, the police, Children's Services and Youth Offending Teams.

<p>A young person or adult who is known to local services as having perpetrated an incident of sexual violence or abuse in the last 12 months.³⁸</p>	<p>Local police data and intelligence. Referrals from local sexual violence and abuse services or professionals, such as Independent Sexual Violence Advisors (ISVAs), health services, the police, Children’s Services and Youth Offending Teams.</p>
<p>A young person or adult who is known to local services as having perpetrated an incident of so-called ‘honour-based’ violence or abuse in the last 12 months.³⁹</p>	<p>Local police data and intelligence. Referrals from local honour-based abuse services or professionals, such as safeguarding professionals, health services, the police, Children’s Services.</p>
<p>The household or a family member has...</p>	
<p>Been subject to a police call out for at least one domestic incident, including for so-called ‘honour-based’ abuse, in the last 12 months.⁴⁰</p>	<p>Information from the police, Multi-Agency Safeguarding Hubs (MASH) and Multi-Agency Risk Assessment Conferences (MARAC). Referrals could also come in from schools.</p>

³⁸ 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 permissible and in line with the programme’s broader policy objectives.

³⁹ As above

⁴⁰ As above

Living well, improving physical and mental health and wellbeing: Parents and children with a range of health needs

The national evaluation shows that complex families have disproportionately high levels of health problems compared with the general population. Health needs for families are costly and have a significant impact on the whole family.

The programme seeks to reach families with a range of physical and mental health needs which are being poorly managed, affecting the whole family and in need of greater support and coordination.

The indicators and information sources below are the outcome of extensive discussions with local authorities, the Department of Health and Social Care, Public Health England, NHS England and NHS Improvement. They reflect three main health priorities: mental illness, substance misuse, and expectant or new parents living in vulnerable circumstances and in need of coordinated and sustained support.

Indicator	Suggested Information Sources and data feeds
The family includes at least one of the following...	
An adult (who has parenting responsibilities) with mental ill-health across mild, moderate or severe needs. ⁴¹	Referrals from Community Mental Health Services, local GPs, midwives, health visitors, children's centres and family hubs.

⁴¹ The adult does not need to be receiving specialist treatment.

<p>A child with mental ill-health across mild, moderate or severe needs. ⁴²⁴³</p>	<p>Referrals and information from Child & Adolescent Mental Health Services, Community Mental Health Services, local GPs, education psychologists, Mental Health Support Teams around schools, Designated Mental Health Leads in schools⁴⁴, school Special Educational Needs Coordinators (SENCOs), and School Nurses.</p>
<p>An adult with parenting responsibilities and a substance misuse problem, a child with substance misuse issues themselves or a child exposed to substance use in their home environment.</p>	<p>Information drawn from the National Drug Treatment Monitoring System.</p> <p>Referrals from local GPs, the police, local substance misuse support services, schools or colleges, or social care.</p>
<p>Expectant or new parents, with a mental health or substance misuse problem and other health factors which may affect their parenting, or a young child where there are concerns regarding their physical, social or emotional development.</p> <p>This could include mothers who are receiving a Universal Partnership Plus service or participating in a Family Nurse Partnership⁴⁵.</p>	<p>Data shared from early years settings & early years professionals, referrals from health visitors, midwives, family nurses or local GPs.</p> <p>Information from the Local Child Health Information System.</p>

⁴² The child does not need to be in receiving specialist treatment.

⁴³ 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/508847/Mental_Health_and_Behaviour_-_advice_for_Schools_160316.pdf

⁴⁴ Information on new mental health support in schools and colleges can be found here:

<https://www.england.nhs.uk/mental-health/cyp/trailblazers/>

⁴⁵ 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. To note, the Healthy Child Programme is currently being modernised. More information will be available in due course.

<p>Adults with parenting responsibilities or children who are nominated by health professionals as having any mental and/or physical health needs of equivalent concern to the indicators above. This may include unhealthy behaviours, resulting in problems like obesity, malnutrition or diabetes.</p>	<p>Referrals from health professionals, including GPs, midwives, health visitors, family nurses, school nurses, drug and alcohol services and mental health services.</p> <p>Information from the Diabetes Prevention Programme.</p>
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Evaluation

The national evaluation of the Troubled Families Programme has provided robust evidence that the programme is effective in improving families' lives⁴⁶. Following these significant findings, the evaluation is evolving to answer new research questions and in the coming year the evaluation work will focus on the drivers of the positive outcomes we have seen. It will consider which approaches are most effective for different families using deep dive research with a number of areas.

In 2020-21 there will be:

1. No further requirements for data submissions from local areas. However, we expect areas to continue to have a sufficient analytical resource to improve their systems and evidence how the programme is delivering for families as well as driving the service transformation of public services.
2. Opportunities to be involved in deep dive research on a voluntary basis.

The National Impact Study

The National Impact Study provides a quantitative assessment of the impact of the programme, by matching data about individuals in the Troubled Families Programme to national administrative datasets held by government departments (e.g. Police National Computer, National Pupil Database and DWP's benefits systems).

The National Impact Study uses the details supplied by local authorities of families being worked with as part of their local Troubled Families Programme and a comparison group of similar families who are not receiving the programme's services.

Although the programme will not be collecting further data in 2020-21, researchers will continue to match and analyse previously submitted data including data from the final National Impact Study submission in February 2020. In 2020-21 our evaluation partner, the Office of National Statistics, will match this data with national administrative data and MHCLG analysts will continue to analyse this data but no new data will be collected. Similar data may be collected in the future.

Data sharing agreements (DSAs)

As researchers will continue to match and analyse data as part of this project until 2022, data sharing agreements between MHCLG and local authorities should remain in place until 2022. This follows advice from the information commissioner. Local authorities should ensure they have updated agreements in place following the

⁴⁶ <https://www.gov.uk/government/publications/national-evaluation-of-the-troubled-families-programme-2015-to-2020-findings>

introduction of the General Data Protection Regulation (GDPR). The agreements should contain a legal basis for processing data and a legal gateway for sharing data. Full details about data flows, data protection and the responsibilities of all participants are included in the data sharing agreements.

Family Progress Data, Cost Data and Staff Survey

The programme no longer requires submissions of Family Progress data and cost data for the national evaluation. These data have reached a steady state and the evaluation is evolving to answer new questions. However, the programme encourages areas to make the best use of that data locally. There will also not be a staff survey in 2020-21.

Youth Crime Fund

The programme has partnered with Ipsos MORI to conduct evaluation of the youth crime fund 'Supporting Families Against Youth Crime'. We will be asking some areas to work with Ipsos MORI and MHCLG to evaluate this work. Participation is voluntary but would make an important contribution to the evidence base of what family support is effective at preventing youth crime.

Deep dive research

MHCLG would like to conduct further research with local areas to better understand how the programme is working and what works best for which families. We will be looking to partner with some local authorities to carry out this research. Participation is voluntary but is important for developing the evidence base on good practice and beneficial for early help services.

Spot Checks

Since 2015, regular spot checks have been undertaken by the national Troubled Families Team. Members of the team conduct an in-depth visit to a local authority in order to ascertain the eligibility of selected claims when reviewed against the Financial Framework as well as that authority's individual Troubled Families Outcomes Plan (TFOP).

These spot checks are a compulsory part of the audit of the programme to ensure that public funds are being used appropriately within the terms of the Financial Framework. The method used by the national Troubled Families Team has been approved by the Government Internal Audit Agency.

Most local authorities have already been spot checked at least twice during the Troubled Families Programme 2015-2020. In the extended year of the Troubled Families Programme 2020-2021 all local authorities subject to the Payment by Results framework will have another spot check. As it is not possible for us to visit all authorities within a 12 month period, the spot check will consist of an off-site 'desk-based review' where we will review up to 10 per cent of claims (or a maximum of 20 cases) from selected claims windows. In some cases this will be enhanced by a spot check visit.

It is vital that local authorities take sufficient time to prepare in advance of the spot check. Supporting material is available through the Knowledge Hub including the template the spot check team will use.

During a spot check all evidence relating to a selected number of claims will be reviewed to ensure:

- the family were eligible for the programme;
- that the principles for working with families under the programme have been adhered to; and
- that a valid claim for significant and sustained progress or continuous employment has been made.

The evidence provided to support claims can include both qualitative and quantitative data, and should comply with the local authority's current TFOP, which must be provided in advance of the spot check.

Depending upon the outcome of the spot check, additional visits or data may be required and follow up support from the national team may be provided. Money paid for invalid claims will need to be repaid by the local authority. Chief Executives will be informed of the outcome of all spot checks.

Principles for internal audit

The role of local authority internal auditors

As laid out in this document, local authorities' Internal Auditors should continue to verify results claims before they are made. However, MHCLG has reflected on learning from the first programme and worked with local authorities to consider how this function should operate in the context of the current programme's different approach. In response, a group of local authority Internal Auditors have worked with the national Troubled Families Team to lay out four guiding principles. These principles are intended to inform audit practice and ensure that the right balance between rigour and proportionality is struck in the wider interests of the programme's delivery and value for money objectives.

The principles

1. **Collaboration:** Internal Auditors and local authority Troubled Families Coordinators should jointly agree the evidential expectations required to claim a result within their Troubled Families Outcomes Plan. This should be a collaborative relationship, based on early and ongoing joint work.
2. **Proportionality:** While the rigour of the process is important and appropriate practices should be in place to ensure claims are valid, the burden and costs associated with these practices should be proportionate to the size and financial value of the claim. For example, it may represent a disproportionate burden and expense for Internal Auditors to validate every result before a claim is made. As a minimum, and following standard local practice, the following should be undertaken:
 - a representative⁴⁷ sample of 10% of results should be verified by the Internal Auditor before each claim is made, but larger sample sizes may be required for small numbers of claims in order to ensure the audit is meaningful. Also where, in the professional judgement of the auditor, 10% is a disproportionately large number of claims this sample size can be reduced to 5% but should not be less than 20 claims. It is expected that this flexibility will only be used by areas with very large numbers of families. The national team should be informed where the sample size is less than 10% and will check the approach to audit at spot check;
 - the audit should verify the families' eligibility for the programme, with

⁴⁷ Should include claims for both significant and sustained progress and continuous employment as well as examples of claims from the different departments/agencies contributing to the programme

- supporting evidence and with reference to the Financial Framework; and
- the audit should verify whether the progress measures have been achieved, with supporting evidence and with reference to the local authority's Troubled Families Outcomes Plan.

3. **Best evidence available:** While 'hard' data from local administrative systems will be available for many outcome measures, it may not be accessible in every case and this should not limit the programme's ambition to achieve improved outcomes for families. Furthermore, such administrative data may not always tell the full story where formal reporting levels are variable (e.g. domestic violence reporting to the police). In such cases, qualitative evidence provided by practitioners and families may be suitable alternatives. For all data, the Troubled Families Coordinator should ensure appropriate quality assurance processes are in place and the Internal Auditor may review these arrangements as part of their verification process.
4. **Communication:** Troubled Families Coordinators and Internal Auditors should share with each other as much information as far in advance as possible. This should include any relevant guidance documents provided to Troubled Families Coordinators by the national Troubled Families Team, any results claim timetables and any new Internal Audit expectations.

Annex A

Families with No Recourse to Public Funds

Local authorities delivering the Troubled Families Programme provide a range of support and services to eligible families. Participating local authorities have committed to prioritising those families with multiple problems who are of most concern with the potential to create the highest reactive cost for inclusion in their local programmes.

For this reason, a family with no recourse to public funds (NRPF) would not – subject to the guidance below – necessarily be prevented from receiving support through the programme. This includes employment support for NRPF families with leave to remain in the UK and permission to work here. But the employment and other support offered by the programme is unlikely to be appropriate where the family with NRPF is here unlawfully and should be leaving the UK.

Any employment support provided by Troubled Families Employment Advisors (TFEAs), will be in line with the principles followed by Jobcentre Plus Work Coaches. That is, to advise those with NRPF, with permission to work in the UK, what employment networks, help and further support is available in their area. Employment support is distinct from any benefit payments in respect of welfare and housing.

Local authorities are reminded that any support provided to NRPF families through the Troubled Families Programme:

1. Must not be in breach of any immigration conditions imposed on them (e.g. in respect of work).
2. Must be in accordance with Schedule 3 to the Nationality, Immigration and Asylum Act 2002, which restricts access to local authority support for families without immigration status.

Under Schedule 3 to the Nationality, Immigration and Asylum Act 2002, the following categories are prevented from receiving local authority support or assistance:

- A person with refugee status granted by an European Economic Area (EEA) country and any dependants;
- EEA nationals and any dependants;

- Refused asylum seekers who have failed to comply with removal directions and any dependants;
- A person unlawfully present in the UK (including visa overstayers, illegal entrants and refused asylum seekers who claimed asylum in country, rather than at port of entry); and
- A refused asylum seeking family the Home Office has issued with certification confirming that they have failed to take steps to leave the UK voluntarily.

Local authorities are not prevented from providing support and assistance to the categories listed above where this is necessary to avoid a breach of human rights. However, given the intensive and complex forms of support offered by the Troubled Families Programme, we do not anticipate that the programme's resources will be required for this purpose.

Local authorities with access to the NRPF Connect database, a secure web-based database, can use this system to contact the Home Office. To gain access to this system, local authorities can contact the NRPF network on the following email address: nrpf@islington.gov.uk. Local authorities without access to this system can contact the Home Office directly via the Status, Verification, Enquires and Checking email address: ICESSVECWorkflow@homeoffice.gsi.gov.uk. Both methods can be used to seek advice and information in respect of a person's immigration status and local authorities are encouraged to do so if there is any uncertainty.

Immigration Enforcement can provide access to a chargeable enhanced service to support local authority decision making. The Checking and Advice service offers on-site assistance, training sessions and access to a real-time immigration status check telephone line. To find out more, please contact the team on the following email address: IEChecking&AdviceService@homeoffice.gsi.gov.uk.

The Home Office is able to provide assistance to families who wish to return to their home country through the Voluntary Returns Service. Families are eligible to receive up to £2000 per person in reintegration funds. Funds are given in cash or a combination of cash and reintegration support in kind on return, depending on the destination country. The Service can provide bespoke packages to meet complex family needs as well as assisting with obtaining travel documents. Local authorities and families can contact the Voluntary Returns Service on 0300 004 0202.