

E-enablement of the Common Assessment Framework

eCAF Root Cause Model

Version 1.0

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Every Child Matters

Change For Children

Revision History

| Issue date | Version | Summary of Changes |
|------------|---------|---------------------|
| 08/06/2006 | 1.0 | Initial publication |

Purpose of this Document

To define the problem statement, at a detailed level, that we are looking to address through the e-enablement of the Common Assessment Framework (CAF) and so inform the solution design &, definition and quantification of benefits.

The Root Cause Model describes the seven major issues within the business, as defined by practitioners, which prevent delivery against the desired outcomes of the Every Child Matters; Change for Children programme (that are relevant to eCAF). These issues are structured around the three parts of the CAF process, namely:

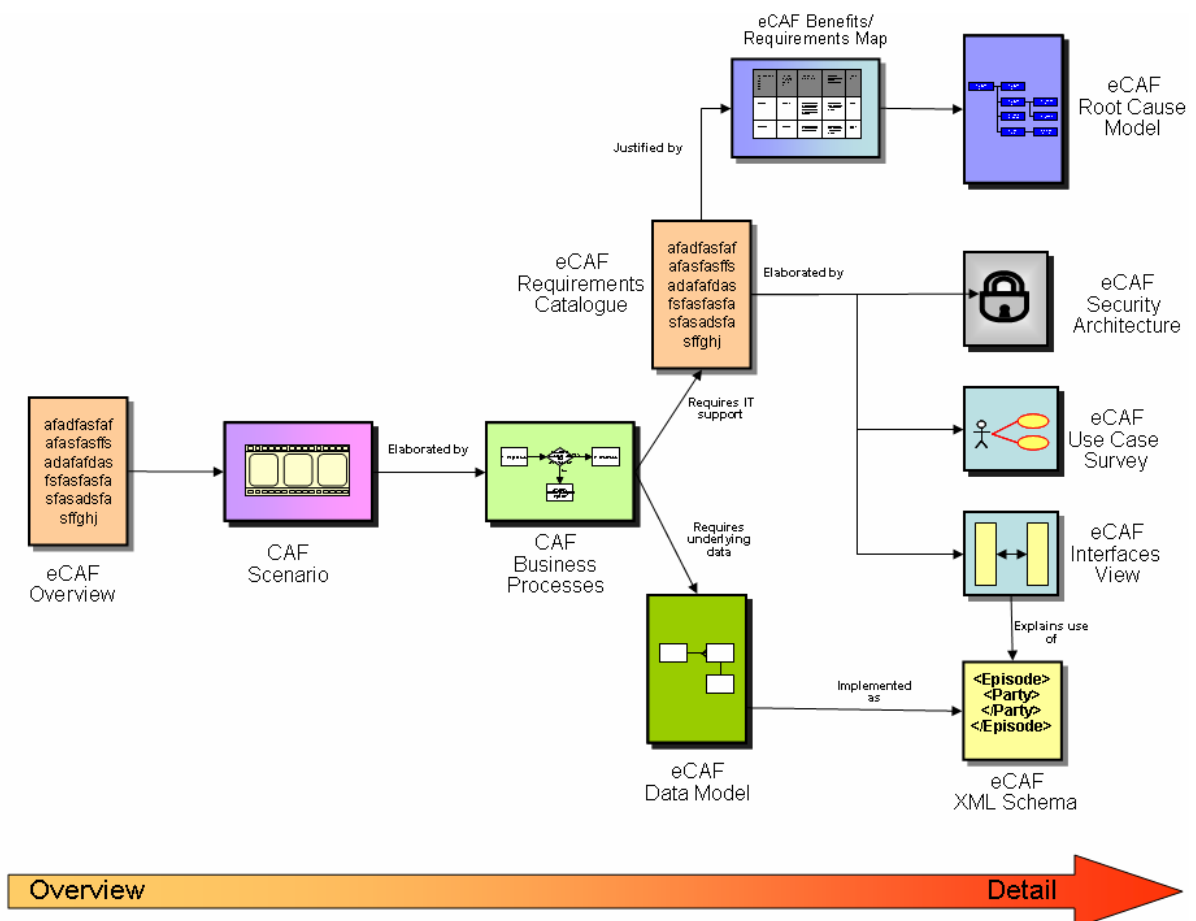
- Preparation
- Discussion
- Delivery

Each issue is split into a number of root causes and sub-root causes, the existence of which contribute to the issue. The removal of root causes, through the proposed solution, will reduce the incidence of these issues, and thus drive benefits. In other documentation each component of the solution is linked directly to a root cause.

As such the Root Cause Model is a central component of our approach to benefits and how we will quantify benefits for the Economic Case since each component of the solution is designed to reduce or remove a root cause.

eCAF Documentation Reader's Guide

A number of documents define the requirements of the e-enabled Common Assessment Framework System (eCAF). The diagram below gives an overview of these documents and their relationship to each other. Notes on the next slide describe the purpose of each document.



eCAF Documentation Reader's Guide

The eCAF document set comprises:

eCAF Overview – Essential starting point and executive summary. Introduces the other documents in the set.

The CAF Scenario – This document walks through a “story”, showing an example of how the CAF Business Processes might work in practice. Useful for all readers, to gain a basic familiarity with CAF process.

The CAF Business Processes – This document describes the people and business activities that are required to complete a Common Assessment and the subsequent actions arising out of that Assessment. It also indicates where IT support from an eCAF system will assist these activities.

The Requirements Catalogue – This document defines what system support is required by practitioners using the Common Assessment Framework (CAF). It contains categorised listings of functional and non-functional requirements.

The Security Architecture – This document defines in more detail the security requirements for an eCAF system. This is a critical aspect, and thus worthy of specific consideration.

The Use Case Survey – This document presents the requirements as Unified Modelling Language (UML) Use Case diagrams. This may be useful for more technical readers, for example to inform the Inception and Elaboration stages of a Rational Unified Process (RUP) development project.

The Interfaces View – This document provides more information about the interfacing requirements for an eCAF system. Interfacing is important but potentially complex, so this document provides additional guidance.

The Data Model – This document contains a high-level diagram of the information that will be required in the context of CAF. It provides a more detailed view of information requirements in the form of an Entity Relationship Diagram that defines the essential eCAF data items and their relationships. It also includes a set of Data Classifications which summarise the types of data used in CAF, such as Name and Contact Details. It provides standard names and definitions that will be used by an eCAF system.

The XML Schema – This is a technical schema specification (plus example xml file), providing a standard representation of the Data Model as an XML (GovTalk) message. XML is a widely accepted data format used for information exchange between systems.

The Root Cause Model – This document describes the root causes of the main issues which prevent the delivery of the targeted outcomes of the ‘Every Child Matters: Change for Children’ Programme (relevant to initial assessments). It states both the business challenges faced (the issues and their root causes) and the business need to be addressed.

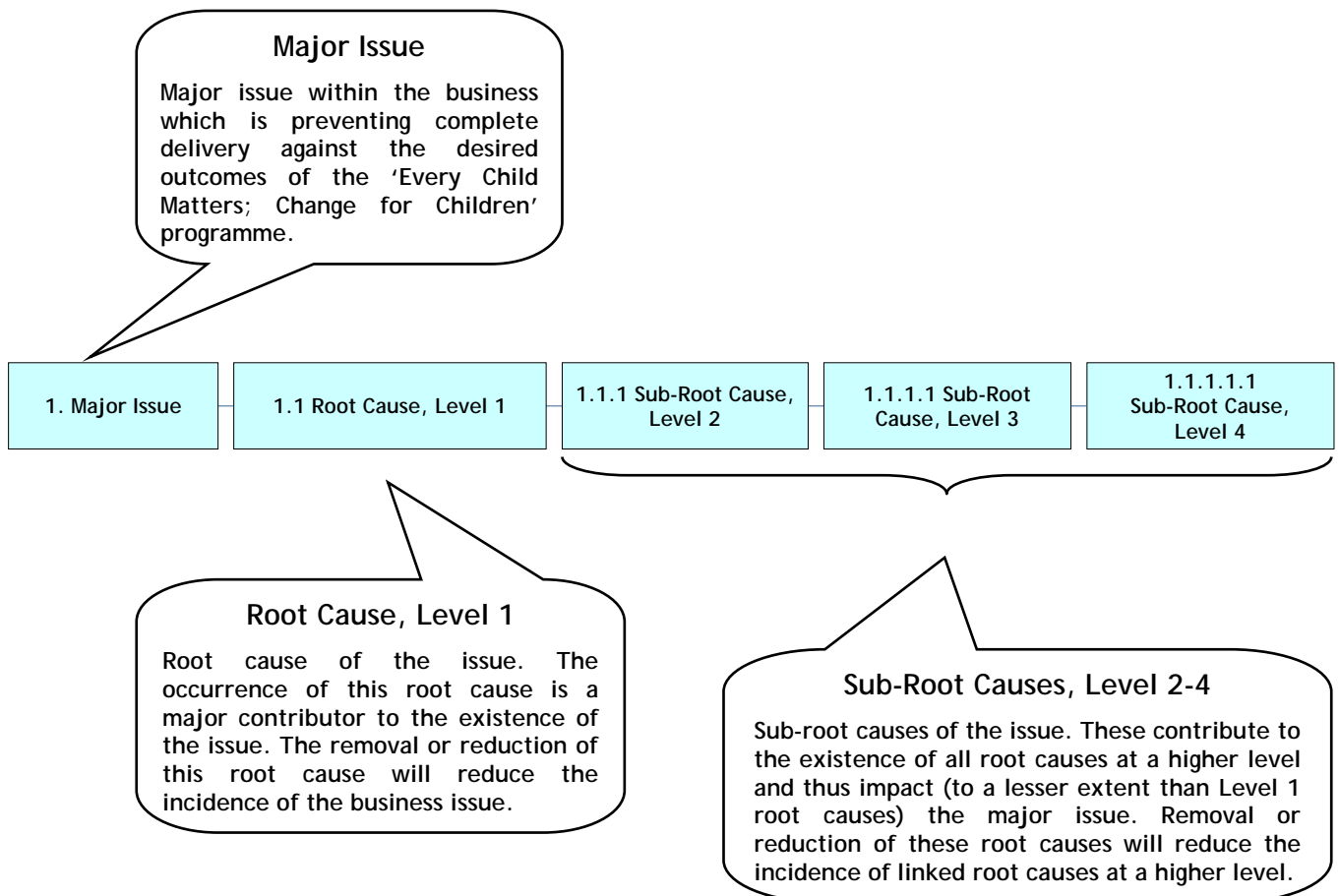
The Benefits/Requirements Map – This document provides the linkage between the root causes eCAF looks to address and the solution components (requirements) designed to address them.

Root Cause Model Reader's Guide

1. The Root Cause Model (RCM) describes the root causes of the main issues which prevent the delivery of the targeted outcomes of the 'Every Child Matters; Change for Children' programme. In essence this states both the business challenges we face (the issues and their root causes) and the business need we are looking to address (by virtue of the fact that these are problems which require resolution).
2. By clearly understanding the business issues we need to address we generate, by default, the business need. This forms a central component of our benefits approach and how we have defined requirements:
 - Each requirement has been mapped to a root cause (see Benefits – Requirements Map deliverable) allowing us to clearly understand how each component of the proposed solution looks to address a defined business need.
3. Our focus has been on those elements which relate to the eCAF project, namely assessments, and as such is largely only relevant to this project though, inevitably, we have identified some root causes which will not be directly addressed by eCAF.
4. On the basis of this analysis we have defined seven major problems, the root causes of which need to be addressed to a greater or lesser extent to realise the benefits of the eCAF. These have been categorised around the three segments of the CAF process:
 - Preparation / Discussion;**
 - Reduce the number of unnecessary repeat basic assessment
 - Prevent unnecessary decisions of 'No Action'
 - Delivery:**
 - Reduce incidences of the lack of right engagement with the family
 - Reduce inappropriate referrals
 - Prevent the incorrect balance of Service provision
 - Reduce inappropriate interventions
 - Decrease the number of ineffective assessments
5. This document provides a graphical view of the above issues and their root causes. We have developed this in conjunction with key stakeholders across the involved agencies.

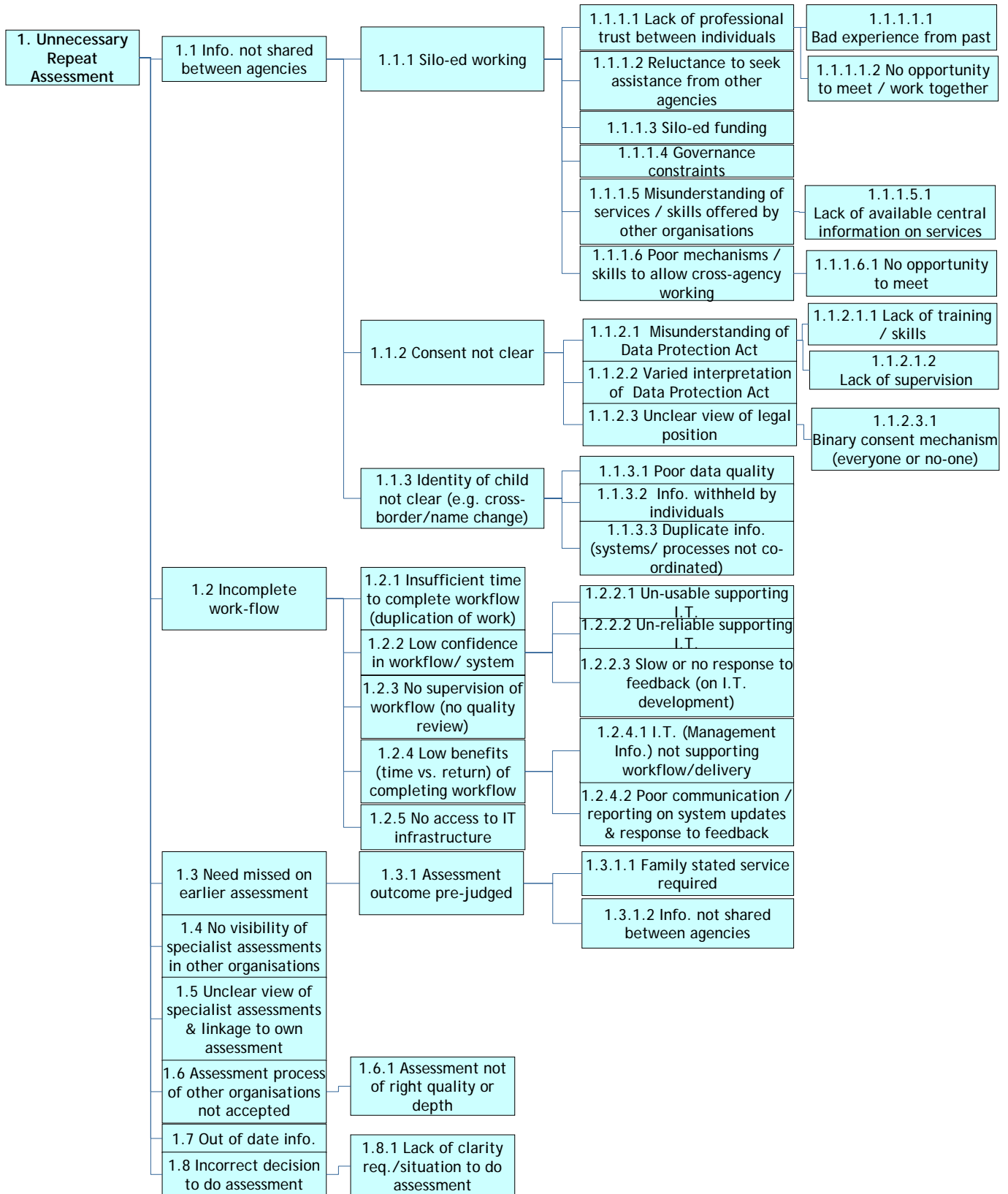
Root Cause Model Map Key

The Root Cause Model provides a link between the business need we are looking to address ('Major Issues') and the root causes of these ('Root Cause' or 'Sub-Root Cause')



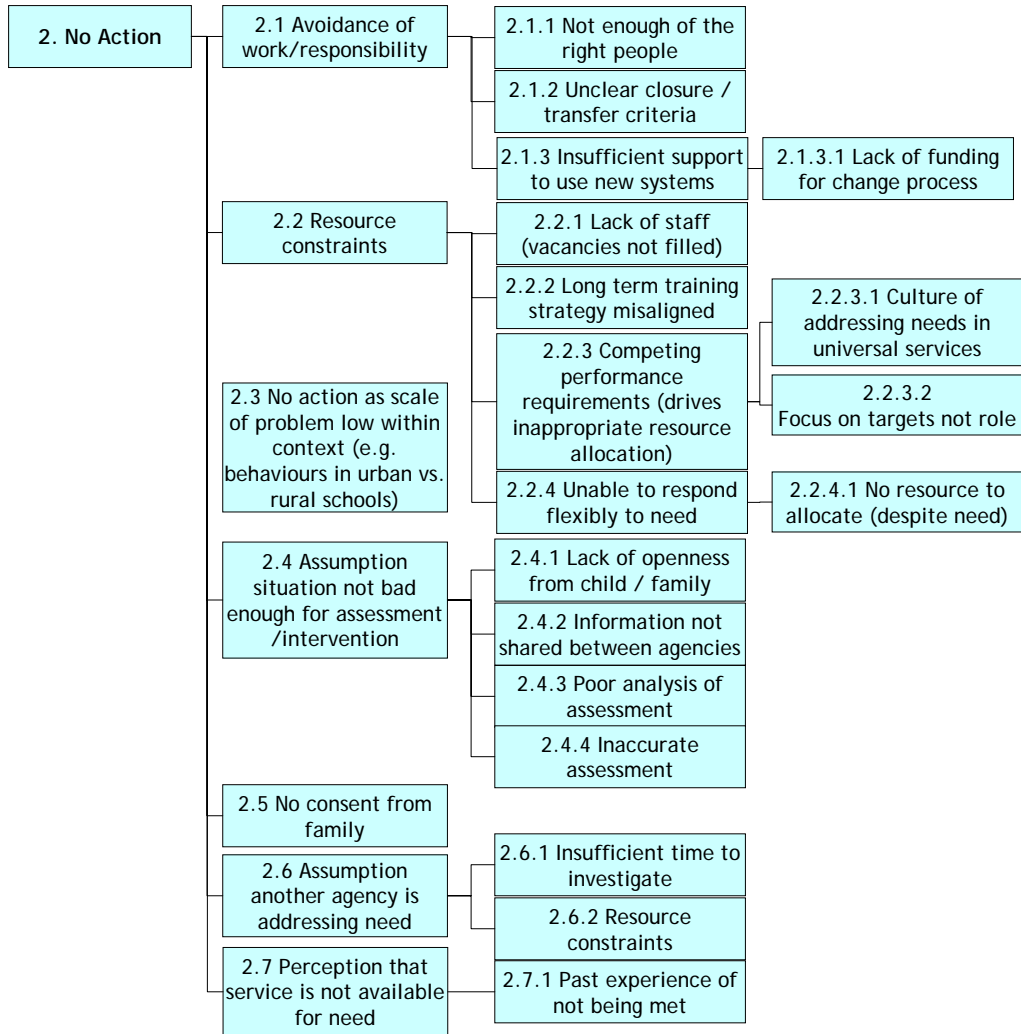
Preparation / Discussion

1.0 Unnecessary Repeat Basic Assessment; on first contact with child/family, Practitioners ask the same basic information again & again, thus putting the working relationship at risk. Root cause is largely due to the manner in which information is not shared amongst agencies (e.g., because no actual sharing, lack of easy access to previous assessments, lack of understanding of DPA).



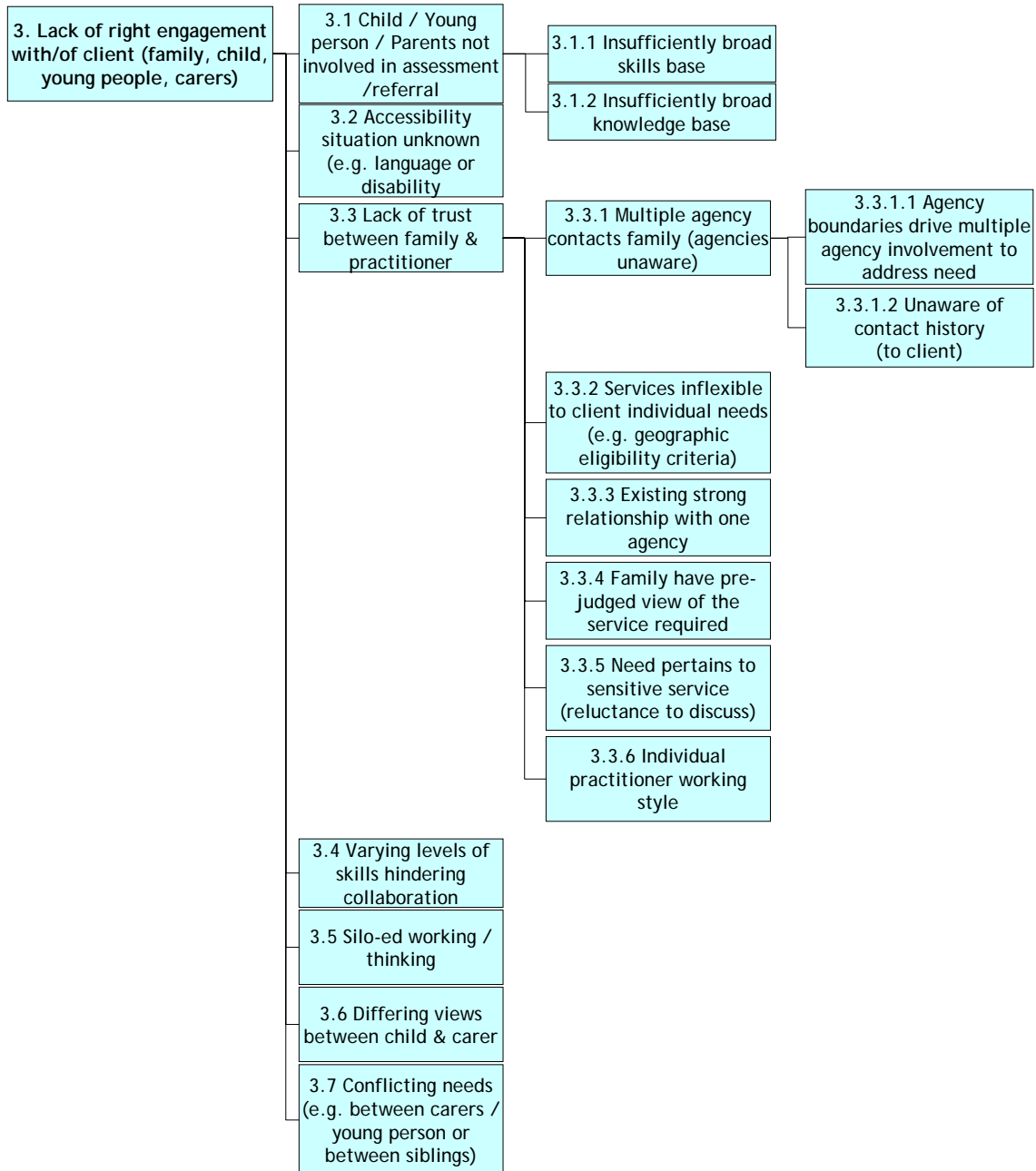
Delivery

2.0 No Action; practitioner assumes someone else is doing an assessment or “It’s just too much work/It’s not my job” or they don’t see the whole picture.



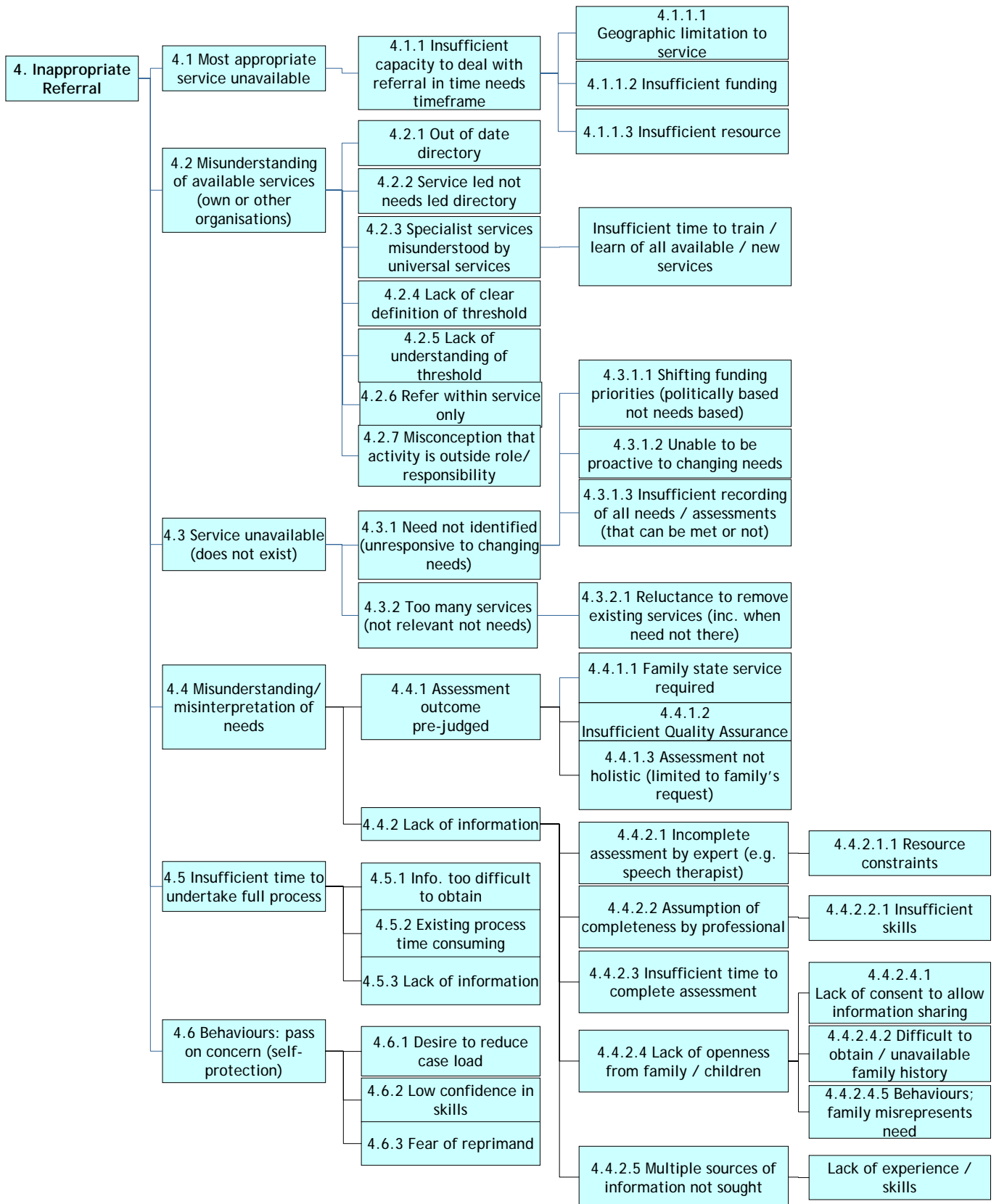
Delivery

3.0 Lack of Right Engagement with Family; due to lack of holistic view (i.e., being able to 'see' that holistic view), which results in wrong approach.



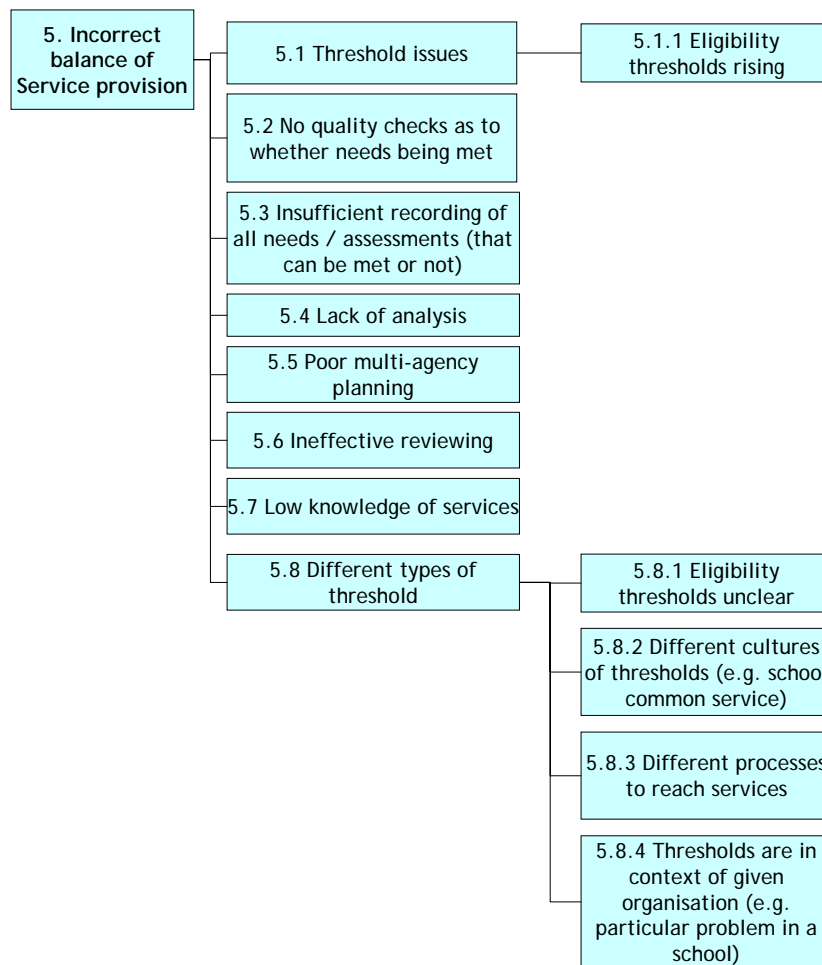
Delivery

4.0 Inappropriate Referral; due to insufficient time to get all of required information or because practitioner misunderstands what services are available or because parent/child have decided what they want.



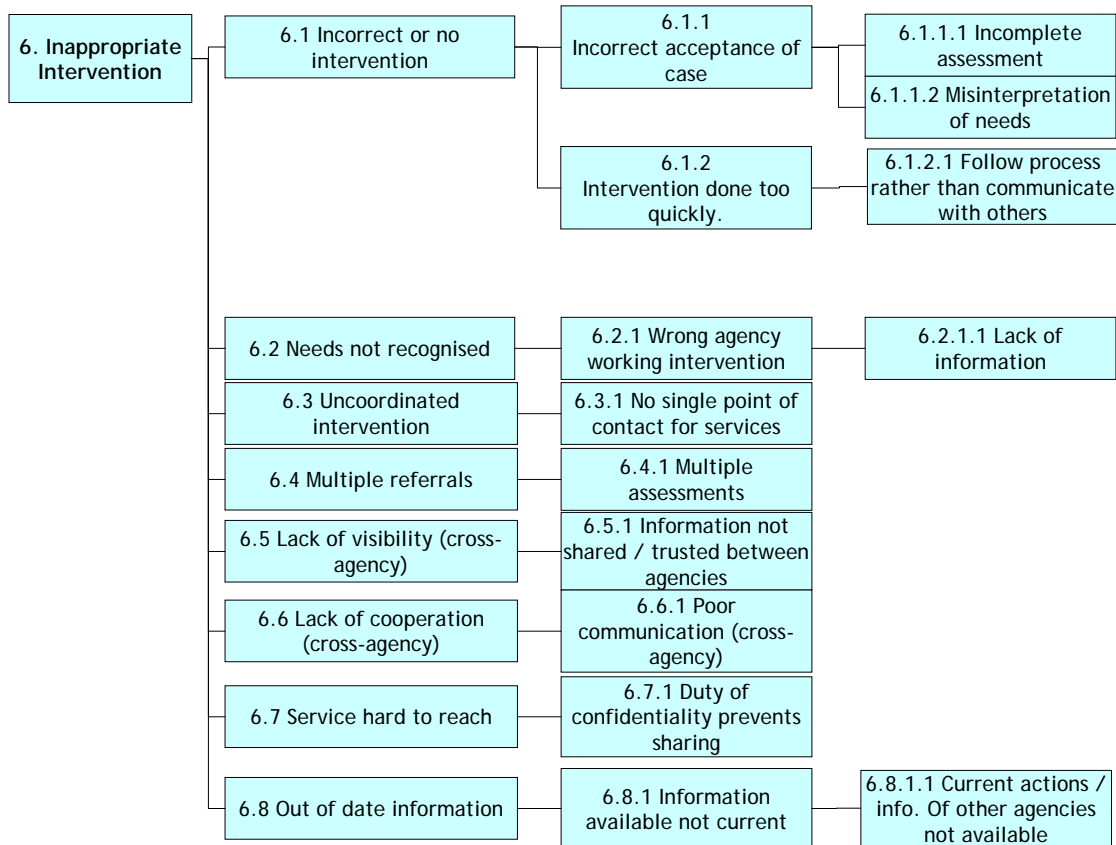
Delivery

5.0 Incorrect Balance of Service Provision; due to inappropriate service planning due to lack of needs understanding due to lack of assessments – no feedback loop from assessment of needs to success of delivery to value for money for each service.



Delivery

6.0 Inappropriate Intervention; due to lack of information, practitioner does not possess enough data to tailor the intervention to the needs of the user.



Delivery

7.0 Ineffective Assessments (number of); because too much time is spent on the common assessment – misunderstanding of level of assessment information required.

