

Information Sharing Template Agreement (Tier 2)

Agreement number 02/15

Parties: The City Council of Bristol, Avon and Somerset Constabulary.

In time other agencies may be also be subject to similar agreements with Bristol City Council e.g., NHS, Public Health, Probation Service and associated providers.

Introduction and purpose

THE EXPANDED TROUBLED FAMILIES PROGRAMME, September 2014 – March 2020

Introduction

In April 2012, the Government launched the Troubled Families Programme: a £448 million scheme to incentivise local authorities and their partners to turn around the lives of 120,000 troubled families by May 2015. In June 2013, the Government announced plans to extend the Troubled Families Programme for a further five years (2015-2020) and reach an additional 400,000 families across England.

The Government announced in the Budget 2014 that it would offer the highest performing areas the opportunity to start delivery of the expanded Troubled Families Programme early in 2014. Bristol has been identified as an early starter and began delivery from September 2014 working with families, under the terms of the expanded programme, having successfully completed phase 1. Bristol has been asked to engage 4200 families during the course of the expanded programme.

Legal gateway to share:

Consent

For the purpose of this agreement informed consent from the data subject(s) will be gained by the local authority prior to being allocated a key worker, unless there is a specific legal duty to share information without consent. Consent, where relevant should be obtained from all involved family members, and specifically sought where information pertaining to victims/witnesses may need to be considered for disclosure under this agreement

- Crime and Disorder Act 1998
- Data Protection Act 1998
- Human Rights Act 1998
- Children's Act 1989, 2004
- Welfare Reform and Pensions Act 1999
- Welfare Reform Act 2012
- Local Government Act 1972
- Local Government Act 2000
- Domestic Violence, Crime and Victims Act 2004.

NB: more legal gateways may need to be added as/if other agencies are introduced into the agreement

Benefits of the intended sharing:

The benefit of sharing the relevant data is to identify those families who are eligible for support under the Troubled Families programme. Once identified, certain families can then receive additional levels of support. By using analytical techniques, better decisions can be made to target limited resources to work most effectively with families who have multiple needs now but also as a part of a prevention strategy trying to identify families who are possibly on the wrong trajectory and, if worked with, may become more troubled. Further enhanced information is needed to understand those who are most at risk, vulnerable or likely to have negative outcomes if not worked with or being of high cost or demanding to public agencies.

Introducing support to families of this nature enables their outcomes to be better and prevents the use of crisis services and long term poor outcomes to enable families to be more self-sustaining and less reliant on the state. The sharing of information enables better coordinated activities between agencies, a more integrated approach and an enhanced level of identifying risks that families face to ensure that they access the correct level of support.

The merging of a range of data sets allows a clearer understanding of the multiple problems being faced by certain families. It identifies those families who are multiple users of a range of public services. This facilitates problem solving and enhanced targeted support to the mutual benefit of families and public services

The bringing together of this data allows a master data set to be constructed. It is then possible to identify which families meet the criteria for the troubled families programme. It

NOT PROTECTIVELY MARKED

allows the tracking of families in terms of their progress or identification of those who are in need of support.

Description of intended data to be shared by Avon and Somerset Constabulary

Only the minimum amount of information that is relevant, necessary and proportionate is to be shared in order to support the Troubled Families programme.

Avon and Somerset Constabulary will work with Local Authorities to identify families eligible for support and to prioritise those deemed most in need. Families must meet at least 2 of the 6 criteria (below) to be able to access the programme.

- Parents and young people involved in crime or antisocial behaviour
- Children not attending school regularly
- Children who need help
- Adult out of work or at risk of financial exclusion and young people at risk of worklessness
- Families affected by domestic violence and abuse
- Parents and children with a range of health problems

ASC, where necessary in the initially stage, may provide an anonymous list of households and relevant criteria they match. Bristol City Council then compares this with their list of households enabling them to determine a final list of all households identified as eligible to enter the programme.

Where a family has been identified and has signed a Local Authority consent form, in that they agree to engage in the programme, at that point, an indicator will be added to relevant Police systems in order to identify that that family is being supported under the programme.

This will enable ASC to continue to support the programme and to provide any relevant, necessary and proportionate information specific to that family, such as details of any further relevant incidents involving that family. This information will be communicated to the key worker.

The level of personal data required from ASC to support the local authority troubled families programme may vary. However, as a guide, the below information can be shared where necessary, relevant and proportionate, to support the purpose of this agreement.

- Households with 1 or more under 18 year old with a proven offence in the last 12 months
- Household known to police for persistent ASB
- Arrests
- Convictions
- Call outs

Bristol City Council Objectives and Outcomes

Identifying Families

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

Reflecting the expanded programme's focus on a broader range of family problems, rather than a small number of nationally defined criteria, it is based on a cluster of six headline problems. Below these problems will sit a basket of indicators, suggested referral routes and information sources, which we may use to identify families with these problems. This approach reflects the increasing diversity of local public service provision and allows the suggested indicators and information sources to be updated over the course of the programme's five year life. While the headline family problems on which the programme focuses are unlikely to change, the indicators and information sources underneath are designed to be flexible.

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

1. Parents and children involved in crime or antisocial behaviour.
2. Children who have not been attending school regularly.
3. Children who need help.
4. Adults out of work or at risk of financial exclusion and young people at risk of worklessness.
5. Families affected by domestic violence and abuse.
6. Parents and children with a range of health problems.

The information available at the point of identification may not reflect the entirety of each family's complexity. Some problems, such as domestic violence or mental illness, may be hidden from public services until intensive work begins with the family and uncovers the full extent of their needs. A similar situation was apparent in the first Troubled Families Programme: families having entered the current programme, met at least three eligibility criteria, but evaluation found that, on average, families had nine problems on entry to the programme.

Measuring Success

The expanded Troubled Families Programme has ambitious service transformation goals and so has been designed to measure and pay for success differently. Rather than the previous programme's focus on a small number of relatively tightly defined national results per family, the expanded programme asks local authorities and their partners to measure success in three main ways and makes funding available for each of these:

- Firstly, by demonstrating either **significant and sustained progress** or **continuous employment**. Each family's achievement of 'significant and sustained' progress will be assessed against a locally defined Family Outcome Plan.
- Secondly, by capturing a much richer understanding of the progress achieved with a representative sample of families across a broader range of outcomes. This will be achieved during 2014/15 through the collection and publication of **Family Progress Data**
- Thirdly, by developing a much better understanding of the financial benefits achieved through the programme. Local authorities have been asked to complete the online troubled families **cost savings calculator**.

Description of the intended data sharing:

Troubled Families data sharing will adopt a methodology to ensure only the minimum of information is collected initially to identify the correct families. This is an iterative process with further refinements leading to more detailed, but fewer recorded, datasets. Initial matching is done at an anonymised household level, with personal details only added for families eligible for the programme.

1. Identifying Suitable Households

In order to enter the programme households must pass 2 of 6 criteria. These are collated by both ASC (Avon and Somerset Constabulary) and BCC (Bristol City Council) separately. An initial merge is completed by both organisations against households known to have children. ASC will then provide BCC with an anonymised list of households, and the criteria they match. BCC compares this with their list of households to determine a final list of all households that *could* enter the programme. Families who meet 2 of the 6 aforementioned criteria.

Each of the criteria has a number of data sets which feeds that criteria. These data sets are generally held by the local authority, the police, probation and health services. The individual data sets need to be compared to other data sets to establish which families meet two or more criterion. It does not necessarily mean that a child or young person is in all data sets. Several data sets are adult only. Every data set needs to be compared against every other to establish if individuals (or family members) appear in both. Information needs to be exchanged to establish this first point and then to continue to analyse whether families meet further criterion. This is just one method of prioritising support for those families. The various data sets are included in the appendices

2. Prioritising Households

NOT PROTECTIVELY MARKED

This second stage involves person level matching to validate the addresses selected in the first stage. It also requires additional data against all suitable households in order to prioritise which addresses to work with. This is done through a costing exercise, a weighting of variables within each criteria and collation of risk scores. The data exercise to identify families is likely to identify more than public resources can work with at any one time. Additional analysis is needed to implement methodology to identify groups of families most at risk, most vulnerable, highest cost or demand to public agencies. Initially the number of criteria a family matches will provide a focus for targeting and prioritising effort. If families meet all six criteria they would receive more enhanced support compared to a family who met three criteria. In time, a level of sophistication will develop and risk and vulnerability will be better interpreted. In identifying families, it is also necessary to identify which services are currently or have historically been working with that family.

3. Final suitability and pre-intervention intelligence package

The next stage is to develop a detailed family information pack prior to a keyworker arriving at an address. This is only for those people the TF programme has decided to work with. It serves as a final check for suitability, for instance, if a family member is highly violent and may present a risk to a lone keyworker attending the house without suitable support. It will also help inform the initial CAF (Common Assessment Framework) completed by the keyworker during an intervention. Prior to a family being invited to be worked with, professionals from a range of organisations may be asked for their professional judgment so that local context is added to data in order to make the best decision in allocating resources and matching the right skills required to the needs of that family. In order to decide what level of service is suitable, it is necessary for the decision maker to have access to the relevant information upon which the decision is made.

The database containing the relevant information is sensitive and contains private details. Only a limited number of people will be able to access this data.

In time the data will be embedded in the information and intelligence section of the multi-agency contact center known locally as First Response. First Response receive calls from professionals who have a concern for a child or family and are seeking additional support. In order to make appropriate decisions it will be necessary for the experienced call handler to understand the issues the family are facing.

Once a keyworker is intensively supporting a family, markers will be added to Police systems. This enables sharing of information specific to that family. Details of any incidents involving that family will be communicated to the key worker. BCC will notify ASC once a family has completed the programme and the markers will be removed.

Evaluation and monitoring

In order to understand if the programme is making a difference a number of tools are being used:

Cost Saving calculator

NOT PROTECTIVELY MARKED

The cost saving calculator is a Government treasury approved tool calculates the cost of a troubled family to the public. Costs for the family are compared prior to being worked with against the cost one year after the family have been worked with. In order to obtain the necessary information, the family details are searched on a range of data sets (previously described) and personal data is extracted and then anonymised. No personal data is put into the cost saving calculator. The results are used to determine if money has been saved over time by working with families in this way.

Family Progress Data

Family Progress data is a series of questions answered at the commencement of working with a family either by speaking to the family or obtaining the information from the data sets previously described. This includes personal information about the circumstances of each member of the family. This data is collected and periodically refreshed. At the conclusion of working with a family, data can be compared to that obtained at the start in order to get an understanding of improvements that have taken place over the course of working with the family.

Significant and sustained progress

To determine whether the work has been successful or not, each local authority area is asked to compile a 'family outcome plan'. The family outcome plan contains outcomes that are required to be achieved to offset the entry criteria e.g. a non-school attender must achieve 85% school attendance for one whole academic year. The Family outcome plan is a dynamic document with outcomes changing over time. In order to establish whether a family has met an outcome, it is necessary to access relevant information to establish the position at the start of working with them and at the conclusion. It may be necessary to understand the position many months after working with the family to conclude that the outcome has been sustained.

National Evaluation

The national troubled families team will commission an evaluation of the programme and it is envisaged that Bristol will take part. Information shared with the national evaluations partners will be anonymous. If a request for any personal information is sought, it will be necessary for the national team to set out the legality and necessity for this to happen. Bristol will participate provided that it is proportionate, appropriate and the legality of the request is authenticated.

The expectation of agencies in a given area are set out in the DCLG troubled families financial framework. <https://www.gov.uk/government/publications/the-troubled-families-programme-financial-framework>.

Data to be shared

NOT PROTECTIVELY MARKED

The data sources to be used and the indicators to be identified from these sources are listed in the Troubled Families Data Criteria table in Appendix 'A' including process chart. Further detail supporting this agreement can be found in the Troubled Families Information Sharing Supplement appendix.

In order to identify the exact data tables and data values required to meet the Governments Troubled Families criteria, a significant phase of data discovery is required. This data discovery will be undertaken during the next phase of the programme. Our intention is to access, interrogate and investigate the suggested data sources in order to refine the indicators needed to identify each "Troubled Family".

A low level assessment of the quality of data will be undertaken; this is likely cover validation of source records against other trusted and/or definitive sources of data. This assessment will be used to establish whether source records are of appropriate use to the programme. The programme will use datasets common to both phase one and two as well as new criterion data sets in order to present results.

- Matching will initially be done using existing Troubled Families phase one matching tools, as they provide a quicker turn-around. The matching will need to be initiated manually and loaded into the central database using CSV imports.
- Longer-term, BCC's data cleansing and matching tool will be used as it allows matching to be initiated automatically and has greater functionality.

Data definitions and scope

- The definition of a family is: "a household that includes one or more dependent children" – BCC's BI (Business Intelligence) team will standardise the definition of "family" to ensure that everyone involved works to the same definition.
- The combination of schools' census & child NHS data will be used as a baseline in defining families.
- This baseline data will not be pre-filtered against the criteria as it forms the definition of whether or not a household should be included.

BCC's BI team will identify a central definition of terms and the local criteria (data sources) needed during a pilot exercise.

The programme will obtain advice and guidance from Line of Business Suppliers and Information Asset Owners where appropriate on which data tables and particularly sensitive fields should not be used.

Data relating to adoption, sets of health care professional case notes, records containing cases relating to legal proceedings against members of staff will not be used; viewed or interrogated.

Some historic information may be considered in order to ascertain whether an individual might be in a troubled family. We will ensure that any data we use is relevant and that we are not using information contrary to BCC document retention and disposal schedules.

The Troubled Families programme team will apply and adhere to BCC Document Retention and Disposal Schedule

http://www.bristol.gov.uk/sites/default/files/documents/council_and_democracy/data_protection_and_foi/freedom_of_information/Retention%20schedule_V8-2.pdf. It will be

NOT PROTECTIVELY MARKED

retained for the life of the programme which it is anticipated to conclude in 2020.

The data analysis used to support the Troubled Families programme will develop a new database which will be in use for the length of the programme. This will contain sensitive records and approval to use this information will be sought from all appropriate Information Asset Owners.

Permissions to the database will be managed via BCC security standards, administered by the Business Intelligence Team. The Troubled Families Coordinator will be the custodian for this database and authorise user access.

The frequency of data extracted will vary depending on the data types and information needed. This could be by a daily overnight extract or by one off extracts.

Review date:

This agreement will be reviewed annually to establish if sharing remains necessary, still operates as intended and has, or is, achieving the intended benefits.

Review timetable

1 year from date of signing

Signatories:

By signing this document I accept that the organisation that I represent will be bound by any conditions imposed in both this document and in the Overarching Tier 1 Information Sharing Agreement, which this organisation has previously signed.

Party 1

Name: Netta Meadows

Position: Service Director

Organisation name: The City Council of Bristol

Signed 

Date:

Party 1a

Name: Angela Clarke

BCC Version 2.0

Position: Service Director

Organisation name: The City Council of Bristol

Signed

A handwritten signature in black ink, appearing to be 'A. Marsh'.

Party 2

Name: Ian Marsh

Position: Head of Corporate Information Management

Organisation name: Avon and Somerset Constabulary

Signed

A handwritten signature in blue ink, appearing to be 'Ian Marsh'.

Date: 13/04/15

Appendix A – Troubled Families Supplements

- Bristol City Council Think Family Data Measures
- Bristol City Council Think Family Data Flows

Appendix B - Risk Assessment

Description (inc. consequence & impact on project)	Likelihood	Impact	Priority	Countermeasure / Risk response (inc. contingency)	Residual		
					Likelihood	Impact	Priority
Risks of sharing information:							
Shared information will be passed on inappropriately to other people or situations: Risk that data is exposed to unauthorised personal inside the authority. This may include over exposure to internal staff.	2	2	4	Trouble Families database and environment designed to include; <ul style="list-style-type: none"> • Data sharing protocol agreed with IAOs • Defined authorisation process for staff access • Role based access • Unique login credentials • Business processes defined • Data is retained for defined period as per council's • Document Retention schedule • All staff aware of data sharing regulations, as already process source data. 	1	2	2
Shared information will be passed on inappropriately to other people or situations: Risk that data is exposed to unauthorised personal outside the authority.	1	4	4	Trouble Families database and environment not exposed externally; <ul style="list-style-type: none"> • Internally hosted solution • Internal authority network is independently penetration tested • All staff aware of data sharing regulations, as already process source data. 	1	2	2

NOT PROTECTIVELY MARKED

Information will be lost or disclosed in transit from the existing location to the sharing location: Risk that extract, transform and load processes adversely affect the integrity of the data transferred.	1	3	3	The transmission of information is between 2 BCC servers Proof of concept executed in phase 1 Testing processes in place to assure data integrity	1	3	3
Information will not be protected adequately at the shared location	1	2	2	The Business Intelligence server shares the same level of security as source.	1	2	2
Combined information resulting from sharing will be more sensitive than the component parts, and won't be adequately protected.	1	2	2	All user access will be tightly monitored and all users remain in same team to review outputs.	2	2	2
Shared information will not be disposed of properly at end of life.	1	1	1	The data will be processed following the same guidelines as on source.	1	1	1
Business risks of not sharing information:							
Critical business information is not available/accessible	1	2	2	Short term loss is not critical	1	2	2
Information is not available to the right people at the right time	1	2	2	Short term loss is not critical	1	2	2
Reduced coordination of activities	1	3	3	Short term loss is not critical	1	2	2
Failure to deliver National Troubled Families Programme Phase 2. Providing huge sums of financial support to citizens in Bristol. Programme led by City Director.	1	4	4	The Troubled Families programme would need to adapt without family information, and the negative impacts these produce.	1	4	4

Probability/Impact:

4 = Very high; 3 = High; 2 = Medium; 1 = Low

Priority score (= Probability * Impact):

Red (12-16); Red/Amber (6-9); Amber/Green (3-4); Green (1-2)