

## **Technical guidance for the social services performance measures**

This guidance applies to local authorities in relation to exercising their social services functions.

**This document provides the technical guidance for the performance measurement framework set out in the code of practice in relation to measuring social services performance, issued under section 145 of the Social Services and Well-being (Wales) Act 2014. Local authorities must comply with the guidance in this document, in line with their duties under the Social Services and Well-being (Wales) Act and associated codes of practice.**

This guidance has been developed with local authorities and will ensure that national data are comparable and consistent.

The Welsh Government was advised on the code of practice by a Technical Group; the framework, the code of practice in relation to measuring social services performance, was publicly consulted upon in 2015. In addition, the Social Services Technical Information Network was set up as a standing group in November 2014 to advise the Welsh Government on producing this technical guidance. Membership of this group is listed at Annex A.

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### **Chapter 1- Introduction**

The code of practice in relation to measuring social services performance requires local authorities to collect the performance measures below, in line with the guidance stated in this document:

1. People reporting that they live in the right home for them
2. People reporting they can do what matters to them
3. People reporting that they feel safe
4. People reporting that they feel a part of their community
5. People reporting they feel satisfied with their social networks
6. Children and young people reporting that they are happy with who they live with
7. People reporting they have received the right information or advice when they needed it
8. People reporting they have received care and support through their language of choice
9. People reporting they were treated with dignity and respect

10. Young adults reporting they received advice, help and support to prepare them for adulthood
11. People with a care and support plan reporting that they have been given written information of their named worker in social services
12. People reporting they felt involved in any decisions made about their care and support
13. People who are satisfied with care and support that they received
14. Parents reporting that they felt involved in any decisions made about their child's care and support
15. Carers reporting they feel supported to continue in their caring role
16. Carers reporting they felt involved in designing the care and support plan for the person that they care for
17. People reporting they chose to live in a residential care home
  
18. The percentage of adult protection enquiries completed within statutory timescales
19. The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over
20. The percentage of adults who completed a period of reablement
  - a. And have a reduced package of care and support 6 months later
  - b. And have no package of care and support 6 months later
21. The average length of time older people (aged 65 or over) are supported in residential care homes
22. Average age of adults entering residential care homes
23. The percentage of adults who have received support from the information, advice and assistance service and have not contacted the service again during the year
24. The percentage of assessments completed for children within statutory timescales
25. The percentage of children supported to remain living within their family
26. The percentage of looked after children returned home from care during the year
27. The percentage of re-registrations of children on local authority Child Protection Registers (CPR)
28. The average length of time for all children who were on the CPR during the year
29. Percentage of children achieving the core subject indicator at key stage 2 and 4
30. The percentage of children seen by a registered dentist within 3 months of becoming looked after
31. The percentage of looked after children registered with a GP
32. The percentage of looked after children who have experienced (1) or more changes of school, during a period or periods of being looked after, which were not due to transitional arrangements, in the year to 31 March
33. The percentage of looked after children on 31 March who have had three or more placements during the year
34. The percentage of all care leavers who are in education, training or employment at 12 months and 24 months after leaving care

35. The percentage of care leavers who have experienced homelessness during the year

Quantitative performance measures are listed at 18-35; the technical guidance on how to collect these measures is stated in Chapter 2.

Qualitative performance measures are listed at 1-17; the technical guidance on how to collect these measures is stated in Chapter 3.

The performance measures are stated in relation to duties on local authorities, which are stated in the Social Services and Well-being (Wales) Act and associated subordinate legislation. All codes of practice issued under the Social Services and Well-being (Wales) Act can be found here:

<http://gov.wales/topics/health/socialcare/act/code-of-practice/?lang=en>

These are also published on the Care Council for Wales website, the Learning Hub:

<http://www.ccwales.org.uk/codes-of-practice-and-statutory-guidance/>

In addition, these performance measures are complimentary to the national activity data collected from local authority social services. The guidance for all of the local authority social services activity data can be found here:

<http://gov.wales/statistics-and-research/local-authority-social-services-data-collections/?lang=en>

These performance measures must be collected for people who need care and support and carers who need support. People who need care and support and carers who need support include children, adults and carers. Children, adults and carers are defined in the Social Services and Well-being (Wales) Act 2014, as:

- “Adult” means a person who is aged 18 or over;
- “Child” means a person who is aged under 18; and
- “Carer” means a person who provides or intends to provide care for an adult or disabled child.

Care and support is defined in the Act as:

- care;
- support ; and
- both care and support.

The code of practice in relation to Part 4 (meeting needs) of the Act states that, if a person has needs for care and support that can only be met by the local authority providing or arranging care and support, then they are eligible for care and support, and will have a care and support plan. Looked after children are a subset of the

population of the eligible children. Therefore a person is deemed to be in receipt of care and support, if they are eligible and have a care and support plan, or have a support plan if they are a carer.

A person who previously had a care and support plan which has ended (and they no longer receive any services from the local authority social services) is not deemed to be in receipt of care and support. If that person comes forward again for an assessment which results in a care and/or support plan (the provision of service) then in terms of the data return, they should be counted as a new person.

A child who is looked after by a local authority is provided with accommodation (for a continuous period of more than 24 hours) under Part 6 of the Act by the authority in the exercise of its social services functions i.e. they are either in the care of the local authority or provided with accommodation by the local authority. This does not include an episode of respite care for a continuous period of more than 24 hours under Part 4 of the Act.

For the purposes of the performance measures, only eligible people with a care and support plan should be counted. This will include people with direct payments. This also includes people who self fund, and pay the direct costs for services, but whose care and support is reviewed at the expense of the local authority, as these people will have a care and support plan. This also includes children in receipt of respite care; these children will have a care and support plan.

For the purposes of the performance measures, include all children who have a care and support plan, all adults who have a care and support plan and all carers who have a support plan.

## Chapter 2- Guidance for quantitative performance measures

A number of quantitative data items have been specified to measure the performance of local authorities in relation to the exercise of their social services functions. Specific guidance for each of these quantitative requirements is given below.

Measure 18	<b>The percentage of adult protection enquiries completed within 7 days</b>
Guidance	<p>The Social Services and Well-being (Wales) Act 2014 puts in place new adult safeguarding policy. Statutory guidance on this policy is detailed in the final working draft of the statutory guidance in relation to Part 7 (Safeguarding) of the Social Services and Well-being (Wales) Act 2014 and can be found on the Care Council for Wales Learning Hub at: <a href="http://www.ccwales.org.uk/codes-of-practice-and-statutory-guidance/">http://www.ccwales.org.uk/codes-of-practice-and-statutory-guidance/</a></p> <p>The code of practice sets out that if a local authority has reasonable cause to suspect that a person within its area (whether or not ordinarily resident there) is an adult at risk, it must make (or cause to</p>

	<p>be made) whatever enquiries it thinks necessary to enable it to decide whether any action should be taken and, if so, what and by whom; and decide whether any such action should be taken.</p> <p>In broad terms, enquiries should have three phases:</p> <ul style="list-style-type: none"> <li>i. Screening: to check general factual accuracy of any report</li> <li>ii. Initial evaluation: This will involve collecting, reviewing and collating information.</li> <li>iii. Determination: Given the outcome of the screening/initial evaluation what, if anything, should be done? This may include initiating a single or multi agency investigation.</li> </ul> <p>The local authority may make the enquiries itself, or may cause them to be made by another body. The duty to determine the nature of the enquiries required remains with the local authority even where another body is carrying out the enquiries. Relevant partners may be asked to undertake enquiries on behalf of the local authority, and are required to comply with such requests unless to do so is incompatible with their own duties.</p> <p>An enquiry should normally be completed within seven working days of the report. This will not prevent immediate action being taken when necessary to protect an adult at risk.</p> <p>Include only those completed enquiries that have gone through the 3 stages of enquiries and where the conclusion of the enquiry has been determined within 7 working days. The conclusion of an enquiry should include whether the person is or is not an adult at risk and what action should be taken and by whom.</p>
Calculation	<p>Numerator: The number of adult protection enquiries completed in the year that were completed within seven working days.</p> <p>Denominator: Total number of adult protection enquiries completed in the year.</p>

Measure 19	<p><b>The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over</b></p>
Guidance	<p>A delayed transfer of care is experienced by an inpatient in hospital that is ready to move on to the next stage of care but is prevented from doing so. The 'next stage' of care covers all appropriate destinations within and outside the NHS i.e. those patients who are unable to be discharged from NHS care, and also patients who are unable to be transferred within the NHS to a more appropriate bed.</p> <p>Social care reasons are defined as those listed in the groupings '1- Community Care Assessment' and '2- Community Care</p>

	<p>Arrangements' in detailed in the guidance document 'Codes for delayed transfers of care (revised October 2009) '.</p> <p>The number of local authority residents experiencing a delayed transfer of care during the year should be counted each month on the census date – the 3rd Wednesday of each month.</p> <p>Local health boards enter DToC data into the HOWIS database, which is managed by the NHS Wales Informatics Service. The numerator for this indicator is post-populated with data from the year ending 31 March from the HOWIS database.</p> <p>Local health boards must validate the social care figures, (captured under codes 1 and 2) with local authorities before submitting the data into HOWIS.</p>
Calculation	<p><u>This data will be prepopulated from the HOWIS database. Monthly figures will be aggregated to provide the yearly figure.</u></p>

Measure 20	<p><b>The percentage of adults who completed a period of reablement</b></p> <p><b>a) and have a reduced package of care and support 6 months later</b></p> <p><b>b) have no package of care and support 6 months later</b></p>
Guidance	<p>Reablement is about helping people to do things for themselves to maximise their ability to live life as independently as possible with an appropriate level of support. The overall intention of reablement is to restore and re-able a person to achieve skills and abilities they previously had in order to reduce or minimise the need for ongoing support after reablement. Reablement should support the person to return to maximum independence in their own home.</p> <p>A person receiving reablement provided or arranged by a local authority will have a care and support plan and is usually supported by a reablement team over a limited period, usually up to six weeks (42 days).</p> <p>A reablement period ends at the point in which reablement services are no longer provided. A reablement period may end, but may not be completed. For example, a person may become ill or go into hospital and therefore will be unable to complete their reablement period, but that period will come to an end (these people must be excluded from this measure). Only those phases that have been completed must be included.</p> <p>This measurement must be taken from the most recent period of completed reablement within the year. If any further reablement is</p>

	<p>provided (sometimes called “top up” reablement), 6 months must be recorded from the point that this period is completed.</p> <p>If it is known that a person has moved out of the local authority, become hospitalised or died at 6 months after completing a period of reablement, they must not be counted.</p> <p>If a person goes into reablement after a period of hospitalisation, and they had a care and support plan before they entered hospital, it is the package of care and support before they were admitted that must be used as a baseline.</p> <p>This is a rolling measure- local authorities must report on all cases of reablement 6 months after the period has been completed during the year. This will be different for different people, and may mean that in some instances, the reablement period might have been completed in the previous reporting year.</p> <p>For both parts of this measure, include all services that you can allocate a time scale to (in hours) and include meals at home if these are part of home care hours.</p> <p>For both parts of this measure, exclude telecare, equipment, home adaptations and direct payments.</p> <p><b>a) and have a reduced package of care and support 6 months later</b></p> <p>In order to count if a person has a reduced package of care and support, they must have a care and support plan at the time the reablement period begins.</p> <p>Six months after a person has completed a period of reablement, they must be in receipt of less care and support than before the reablement period, and this must not be counted by financial value, but must be counted in terms of <u>number of hours of services provided</u>.</p> <p><b>b) have no package of care and support 6 months later</b></p> <p>Six months after a person has completed a period of reablement, they must not be in receipt of care and support from the local authority (and must not have a care and support plan), regardless of whether they were in receipt of services before the reablement period.</p>
Calculation	<p><b>The percentage of adults who completed a period of reablement and have a reduced package of care and support 6 months later</b></p> <p>Numerator</p>

	<p>Include the number of adults who completed a period of reablement between October of the previous financial year and September of the current financial year who:</p> <ul style="list-style-type: none"> <li>• prior to reablement who had a care and support plan (within the week the reablement started) and after reablement had a reduced package of care and support; and</li> <li>• prior to reablement who had a care and support plan (within the week the reablement started) and after reablement had a no care and support plan.</li> </ul> <p><b>Denominator</b> In order to count if a person has had a reduction in their package of care and support following reablement, they must have had a care and support plan at the time the reablement period begins, or within the same week that period began.</p> <p>Include the number of adults who completed a period of reablement services between October of the previous financial year and September of the current financial year, and who had a package of care and support, with a care and support plan, within the week before the reablement began.</p> <p>Exclude people who had a period of reablement during October of the previous financial year and September of the current financial year, who did not have care and support plan within the week before reablement.</p> <p>The first reporting of this measure, data would have to be collected before April 2016. The code of practice does not come into force until 6 April 2016, therefore, only 6 months worth of data can be reported for 2016-17 in relation to people who completed their reablement period in the first 6 months of the reporting year (April 2016 to September 2016).</p> <p>Following this data for a full year (spanning across 2 financial years) will be required.</p> <p><b>The percentage of adults who completed a period of reablement and have no package of care and support 6 months later</b></p> <p><b>Numerator</b></p> <p>The number of adults who completed a period of reablement between October of the previous financial year and September of the current financial year who were not receiving a package of care and support 6 months after they completed the period of reablement.</p> <p><b>Denominator</b></p> <p>Include the number of adults who completed a period of reablement</p>
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	<p>services between October of the previous financial year and September of the current financial year, regardless of whether a care and support plan was in place before the reablement began.</p> <p>Include people who had a package of care and support, with a care and support plan, within the week before the reablement began.</p> <p>Include people who had a period of reablement and did not have care and support plan within the week before reablement.</p> <p>The first data item would require data before April 2016. Therefore in the first year of this collection, data will only be available for people who completed their reablement in the first 6 months of the reporting year (April 2016 to September 2016)</p> <p>Following this data for a full year (spanning across 2 financial years) will be required.</p>
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<b>Measure 21</b>	<b>The average length of time adults (aged 65 or over) are supported in residential care homes</b>
Guidance	<p>Include the length of time for all people who were permanently placed in a residential care home on or after their 65th birthday.</p> <p>Exclude people who were placed in a residential care home before their 65<sup>th</sup> birthday.</p> <p>Include people in a dual residential and nursing home if they are on a residential placement only.</p> <p>Include people who have episodes of care in hospitals, if they have returned by 31 March each year. If a person was in hospital during the year, but has returned to a residential care home by 31 March, count the number of days that they were also in hospital, regardless of their length of stay in hospital.</p> <p>Exclude people receiving respite care (in a residential care home) as a series of planned short term breaks. The code of practice in relation to Part 5 of the Act defines a short term resident stay as a period not exceeding 8 weeks.</p> <p>Include only those people in a residential care home that have a care and support plan with the local authority at 31 March of the reporting year. This will include any person who has a care and support plan which identifies that their well-being outcomes can only be met by a stay in a residential care home and where the local authority is commissioning their place, these are:</p> <ul style="list-style-type: none"> <li>- People who have their placement in the residential care home</li> </ul>

	<p>paid for by the local authority, with the person contributing to the cost of this from their available income. This will include those who initially self funded their residential care home place themselves but whose financial means subsequently reduces to a point where they become eligible to have their place paid for by their local authority;</p> <ul style="list-style-type: none"> <li>- People who self fund their place in a residential care home themselves but who have requested that the local authority arrange for their accommodation on their behalf under section 35(4) (b) (ii) of Part 4 of the Act.</li> </ul> <p>If a person is moved from one residential care home to another (change of episode), the point in which they entered the first residential care home must be counted.</p> <p>Exclude nursing care homes from this calculation.</p>
Calculation	<p>Numerator: The sum of the number of days from the admission date to a residential care home, to the 31 March. Only include those people who were placed in a residential care home on or after their 65<sup>th</sup> birthday and have a care and support plan on 31 March.</p> <p>Denominator: The number of people who were placed in a residential care home on or after their 65<sup>th</sup> birthday and have a care and support plan on 31 March</p>

Measure 22	<b>Average age of adults entering residential care homes</b>
Guidance	<p>Includes people of all ages entering a residential care home for a permanent residence during the reporting year.</p> <p>If a person changes providers during the year, include the age of that person when they first entered care, regardless of the provider.</p> <p>Include people who self-fund their care home place themselves.</p> <p>Exclude people receiving respite care as a series of planned short term breaks (exclude unplanned respite care) and people in nursing homes, or on a nursing placement in a dual residential and nursing home.</p> <p>Include only those people in a residential care home that have a care and support plan with the local authority during the reporting year (from 1st April to the 31st March).</p>
Calculation	Numerator: The sum of the ages of each adult entering a residential care home during the year

	Denominator: The total number of adults entering residential care homes during the year
Measure 23	<b>The percentage of adults who have received advice and assistance from the information, advice and assistance service and have not contacted the service for 6 months</b>
Guidance	<p>A person may receive information, advice and assistance from the information, advice and assistance service without having a care and support plan. Include all people who use the service, regardless of whether they have a care and support plan.</p> <p>The code of practice issued in relation to part 2 of the Social Services and Well-being (Wales) Act places duties on local authorities in relation to the provision of a service for providing people with information and advice relating to care and support, and assistance in accessing care and support.</p> <p>The code of practice requires the service to undertake a proportionate assessment and record as much personal data in the core data set as possible and record the nature and outcome of the enquiry when advice or assistance is offered.</p> <p>Further information about core data is available in the code of practice on Part 3 of the Act relating to Assessing Needs.</p> <p>Advice and assistance are defined in the code of practice under part 2 as follows:</p> <ul style="list-style-type: none"> <li>• Advice will be a way of working co-productively with a person to explore the options available. This will require staff to undertake a proportionate assessment through a discussion and analysis of the five elements of the National Assessment and Eligibility tool. It is imperative that the enquirer understands what is available to them, and they are actively involved in making decisions about what matters to them and the personal outcomes they wish to achieve. The provision of advice will require the service provider to use the National Assessment and Eligibility Tool to record the assessment. Staff should record as much of the basic personal data for the Core Data set that is appropriate for that assessment, and record the advice given and outcome of the enquiry.</li> <li>• Assistance, if needed, will follow the provision of information and advice. Assistance will involve another person taking action with the enquirer to access care and support, or a carer to access support. Responsibility for the activity undertaken is shared between the assistant and the recipient of the assistance. The provision of assistance will also require an assessment and the service to record any additional personal data for the core data set</li> </ul>

	<p>and details of the assistance offered and accepted on the National Assessment and Eligibility Tool. Through the process of offering assistance a proportionate assessment will be undertaken.</p> <p>There is no need to distinguish between advice and assistance; advice and assistance does not need to be separated out. This is intended to capture face-to-face advice and assistance and not what advice and assistance adults access themselves, for example through web sites.</p> <p>This measure is capturing if a person comes back in the year, regardless of their reason for coming back. Therefore if a person contacts the service for the same reason, or a different reason within 6 months (either within the current financial year, or the previous financial year), they must be recorded twice.</p> <p>The first reporting of this measure, data would have to be collected before April 2016. The code of practice does not come into force until 6 April 2016, therefore, only 6 months worth of data can be reported for 2016-17 in relation to people who received advice and assistance from the service (April 2016 to September 2016). Following this data for a full year (spanning across 2 financial years) will be required.</p> <p>There will be other ways that people seek help in relation to care and support; this measure seeks to report on the information advice and assistance provided by a local authority only in relation to care and support (by the duties on local authorities in relation to their social services functions under the Act to provide an information, advice and assistance service).</p>
Calculation	<p>Numerator: Number of adults who received advice and assistance from the information, advice and assistance service between October of the previous financial year and September of the current financial year and did not contact the service again for 6 months.</p> <p>Denominator: Number of adults who received advice and assistance from the information, advice and assistance service between October of the previous financial year and September of the current financial year.</p> <p>The first data item would require data before April 2016. Therefore in the first year of this collection, data will only be available for people who contacted the service in the first 6 months of the reporting year (April 2016 to September 2016)</p> <p>Following this data for a full year (spanning across 2 financial years) will be required.</p>

Measure 24	<b>The percentage of assessments completed for children within statutory timescales</b>
Guidance	A local authority must offer an assessment to any child where it

	<p>appears to that authority that the child may have needs for care and support in addition to, or instead of, the care and support provided by the child's family.</p> <p>The detail of the duty to assess children is provided in the code of practice for part 3 of the Act, (Assessing the Needs of Individuals) issued under the Social Services and Well-being (Wales) Act. The duty applies in relation to children that are ordinarily resident in the area and to other children in the area, regardless of the level of need for care and support and the level of financial resources of the child, or any person with parental responsibility for the child.</p> <p>An assessment may be provided directly through a referral from another agency or when a person accesses the information, advice and assistance service.</p> <p>Of the services provided by the information, advice and assistance service, only the provision of information does not require some sort of an assessment. If advice and/or assistance are given, an assessment of a person's needs will have taken place.</p> <p>An assessment must be proportionate to the needs and circumstances but should at a minimum record the core data set out in the national minimum core data set, which forms part of the national assessment and eligibility tool and structure the assessment around the five elements as set out in the code of practice for Part 3 of the Act.</p> <p>The response from social services departments to an initial contact or a referral requesting help is critically important. It is important, also, that each social services department has structures and systems in place to ensure an effective, accessible and speedy response to children and families. A timely response to responding to a child's needs means that the process of assessment cannot continue unchecked over a prolonged period without an analysis being made of what is happening and what action is needed, however difficult or complex the child's circumstances. The timescale for completion of the assessment is a <b>maximum of 42 working days from the point of referral</b> (that may be from the point date on which the child accessed the information, advice and assistance service).</p> <p>If a child is already receiving services and their circumstances change they may have a re-assessment, this child must not be counted.</p> <p>If a person has as assessment through the information, advice and assistance service, and a more comprehensive assessment is required, this should be counted as a single assessment.</p>
Calculation	<p>Numerator: Number of assessments for children completed during the year that were completed within 42 working days from the point of referral.</p>

	Denominator: Number of assessments for children completed during the year
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Measure 25	<b>The percentage of children supported to remain living within their family</b>
Guidance	<p>A local authority may support a child (under the age of 18) to remain within their family by providing services that prevent that child from becoming looked after. These services will be provided following an assessment of need under Part 3 of the Social Services and Well-being (Wales) Act 2014, and will form part of the care and support plan provided for the child under Part 4 of the Act. For example a child may be supported to continue to live with his or her parents or other family members with parental responsibility.</p> <p>All children who are being supported by a local authority to remain with their family by social services will have a care and support plan detailing the activities that will help to achieve this outcome. If services are withdrawn, a care and support plan will end.</p> <p>Children who are eligible for care and support will have a care and support plan. Looked after children will be a subset of eligible children. Care and support plans for Looked after Children will be provided under Part 6 of the Act (referred to in the Part 6 code of practice as a 'Part 6 care and support plan'). Some Looked After Children will be living with family members in a foster placement.</p> <p>A child will either have a Part 4 care and support plan <u>or</u> (if they are a Looked After Child) a Part 6 care and support plan. If a child already has a Part 4 care and support plan when they become Looked After, this will become a Part 6 care and support plan. No child will have a Part 4 and a Part 6 care and support plan.</p> <p>This measure seeks to determine the number of children who are supported to live with their family under Part 4 of the Act, relative to the overall number of children with a care and support plan (whether a Part 4 care and support plan or a Part 6 care and support plan).</p> <p>For the purposes of this measure, therefore, 'the number of children with a care and support plan' includes children with a Part 4 care and support plan and LAC with a Part 6 care and support plan.</p>
Calculation	<p>Numerator: The number of children with a care and support plan at 31 March minus the number of children looked after at 31 March</p> <p>Denominator: The number of children with a care and support plan at 31 March</p>

Measure 26	<b>The percentage of looked after children returned home from care during the year</b>
Guidance	<p>This is currently captured under SSDA 903 data return which collects information about children who are looked after by local authorities during the year. From April 2016 onwards, this information will be collected as a part of the looked after children census. The guidance for this return is available at:  <a href="http://gov.wales/statistics-and-research/local-authority-social-services-data-collections/?lang=en">http://gov.wales/statistics-and-research/local-authority-social-services-data-collections/?lang=en</a></p> <p>For the purposes of this measure, the period of time during which a child is looked after by the local authority is broken down into "episodes" of care. Each episode represents a period of being looked after under the same legal status and in the same placement. When either the legal status or the child's placement changes, that child will start a new episode and the reason the episode ceased is recorded. The relevant categories for denoting where a looked after child has returned home following an episode of being looked after are:</p> <ol style="list-style-type: none"> <li>1. (E4) Returned home to live with parents, relatives, or other person with parental responsibility.</li> <li>2. Returned home to live with parents, relatives, or other person with parental responsibility, supplemented by: <ul style="list-style-type: none"> <li>• (E43) Special guardianship order made to former foster carers</li> <li>• (E44) Special guardianship order made to carers other than former foster carers</li> </ul> </li> </ol> <p>Include children accommodated under section 76 of the Social Services and Well-being (Wales) Act and section 31 of the Children Act 1989.</p> <p>If a child is returned home more than once during the year (a child may have more than one episode during the year), include the latest episode during the year.</p> <p>Children who are looked after under a series of short term placements should only be included if they are accommodated under Part 6 of the Social Services and Well-being (Wales) Act. If a child is looked after and accommodated for more than one short term placement (one arrangement of more than one episode), they must only be counted once.</p>
Calculation	<p>Numerator: Number of looked after children who return home from care during the year</p> <p>Denominator: Number of looked after children during the year</p>

Measure 27	<b>The percentage of re-registrations of children on local authority Child Protection Registers (CPR)</b>
Guidance	<p>All Wales Child Protection Procedures available at:  <a href="http://www.ssiacymru.org.uk/home.php?page_id=298">http://www.ssiacymru.org.uk/home.php?page_id=298</a></p> <p>The child protection register provides a record of all children in the area with unresolved child protection issues and who are currently the subject of an inter-agency protection plan.</p> <p>The number of children who are re-registered on the CPR within the year must be counted.  Include all children registered during the year where the child has had a previous registration which ended in the previous 12 months, regardless of whether the previous registration ended within the current financial year or not</p> <p>Children moving from temporary to permanent registrations should not be counted as re-registrations.</p> <p>Exclude children with a temporary registration.</p>
Calculation	<p>Numerator: Number of re-registrations of children on the CPR during the year within 12 months from the end of the previous registration</p> <p>Denominator: Total number of registrations on CPR during the year</p>

Measure 28	<b>The average length of time for all children who were on the CPR during the year</b>
Guidance	<p>The child protection register provides a record of all children in the area with unresolved child protection issues and who are currently the subject of an inter-agency protection plan.</p> <p>Include the length of time of all children registered on the CPR, regardless of time of registration. The start time should be taken from the date a child was first placed on the register. The end date will be the date the child is removed from the register during the year.</p> <p>Exclude children with a temporary registration.</p> <p>If a child is registered and removed from the CPR within 3 months:  Numerator- sum up the lengths of time the child spent on the CPR for those episodes.  Denominator- the child should only be counted once.</p>
Calculation	<p>Numerator: Sum of the lengths of time (in days) each child had been on the CPR if they were removed from the CPR during the year</p>



	Denominator: Number of children who were removed from the CPR during the year
Measure 29	<p><b>Percentage of children achieving the core subject indicator at key stage 2</b></p> <p><b>Percentage of children achieving the core subject indicator at key stage 4</b></p>
Guidance	<p>Children undertake KS2 and KS4 at LA maintained schools. This measure will be captured for children who need care and support.</p> <p>It is a statutory requirement to assess pupils in Year 6 at Key Stage 2. The core subject indicator represents the percentage of pupils achieving the expected level or above in English or Welsh (first language), Mathematics and Science in combination. Children who were new to the English or Welsh based education system are included in the Wales total but some are excluded at local authority level.</p> <p>The key stage 4 measure includes all pupils aged 15 at the start of the academic year. The core subject indicator represents the percentage of pupils achieving GCSE grades A* - C in each of English or Welsh (first language), Mathematics and Science in combination.</p> <p>Children who were new to the English or Welsh based education system are included in the Wales total but some are excluded at local authority level.</p>
Calculation	<p>The key stage 2 data will be obtained through the National Data Collection. The National Data Collection is the electronic collection of teacher assessment data at end of Foundation Phase and Key Stages 2 and 3. It also included the collection of National Reading Test results for the first time in 2013. Data is sent by schools to Knowledge and Analytical Services within the Welsh Government care of their Local Authority (LA).</p> <p>The activity dataset 'children receiving care and support census' at 31 March (collected separately to this collection) includes the unique pupil number (UPN) of each child. This will be linked to the Pupil Level Annual School Census (PLASC). PLASC is a record of all pupils on roll on the census data and all maintained schools must submit data each January.</p> <p>The statistics for pupils aged 15 are collated from a number of awarding organisations over the summer. The following awarding organisations provided data for this release: ABC Awards, Agored, AQA, ASDAN, British Computer Society (BCS), British Safety Council (BSC), CACHE, City and Guilds, CCEA, Cambridge International Examinations (CIE), C Skills, EMTA Awards Ltd (EAL), Edexcel, EDI,</p>

	IFS School of Finance, ILM, IMI Awards Ltd (IMIAL), NCFE, National Open College Network (NOCN), OCR, The Prince's Trust (PT), VTCT and WJEC. Only results for pupils aged 15 received from the awarding organisations listed above are included.
<b>Measure 30</b>	<b>The percentage of children seen by a registered dentist within 3 months of becoming looked after</b>
Guidance	<p>The Care Planning, Placement and Case Review (Wales) Regulations 2015 state that the responsible authority must ensure that a looked after child is under the care of a registered dental practitioner as soon as practicable and in any event not later than 20 working days after the placement is made.</p> <p>This measures whether a looked after child is <u>seen</u> by a registered dentist within 3 months of becoming looked after. Include all children looked after continuously for at least 3 months, if they started to be looked after during the calendar year (January- December).</p> <p>If a child has more than one episode of being looked after during the year, they should only be counted once.</p> <p>Exclude children who are under 2 years of age. During the year, if a child becomes looked after and is under 2 years old, but turns 2 within the first 3 months of becoming looked after, do not count these children. However the authority must still ensure a child (of any age) is registered with a dentist within 20 working days.</p> <p>During the year, if a child has been looked after for 3 months continuously and for this period of time is aged 2 or over, count these children.</p> <p>Include children who are in a care home.</p> <p>Exclude children who are looked after under a series of short term placements.</p>
Calculation	<p>Numerator: The number of children who became looked after during the calendar year (January- December) who had been looked after continuously for at least 3 months prior to 31 March and have been <u>seen</u> by a registered dentist within 3 months.</p> <p>Denominator: The number of children who became looked after during the calendar year and were looked after continuously for at least 3 months prior to 31 March who should have been seen by a dentist within 3 months.</p>
<b>Measure 31</b>	<b>The percentage of children looked after at 31 March who were registered with a GP within 10 working days of the start of their placement</b>

Guidance	<p>A placement is the provision of accommodation for a child. Include children who are placed with their parents.</p> <p>Exclude:</p> <ul style="list-style-type: none"> <li>• Children who are looked after under a series of short term placements</li> <li>• Children who are missing from placement</li> <li>• Placements that do not last 10 working days</li> </ul> <p>The Care Planning, Placement and Case Review (Wales) Regulations 2015 state that responsible authorities must ensure that a looked after child is registered with a GP as soon as is practicable and in any event not later than 10 working days after the placement is made. Include instances where a child has been able to remain registered with the same doctor as a previous placement.</p> <p>There may be reasons why this is appropriately a temporary registration, but wherever possible registrations should be on a permanent basis and in any event temporary registration should be no longer than 3 months.</p> <p>This measure may span across two financial years. A child may be looked after and placed before the 31 March, but may be registered with a GP after 31 March.</p>
Calculation	<p>Numerator: Number of looked after children at 31 March who had a placement start during the year where the child was registered with a provider of general medical services within 10 working days of the start date of a placement.</p> <p>Denominator: Number of looked after children at 31 March who had a placement start during the year.</p>

Measure 32	<p><b>The percentage of looked after children who have experienced 1 or more changes of school, during a period or periods of being looked after, which were not due to transitional arrangements, in the year to 31 March</b></p>
Guidance	<p>Include all looked after children of compulsory school age.</p> <p>Exclude looked after children in an agreed series of short-breaks under the provisions of regulation 62 of the Care Planning, Placement and Case Review (Wales) Regulations 2015.</p> <p>A child is of compulsory school age from the start of the term following their 5th birthday until the last Friday in June in the school year in which the child reaches the age of 16.</p>

	<p>A period of being looked after is a continuous period of time during which a child is looked after by the authority. There may be more than one period of being looked after for a child during the year if they cease to be looked after for any reason during the year and subsequently return to being looked after the same year.</p> <p>Transitional arrangements refer to changes from infant school to primary school, primary school to junior school, junior school to secondary school and secondary school to sixth form college.</p> <p>Include:</p> <ul style="list-style-type: none"> <li>• Children moving to education provision out of county</li> <li>• Changes of school on becoming looked after</li> </ul> <p>Exclude:</p> <ul style="list-style-type: none"> <li>• Changes to meet a statement of special educational need</li> <li>• Changes to or from home tutoring as long as the child remains registered at the same school</li> <li>• Changes arising as a result of the child ceasing to be looked after</li> <li>• Changes arising from a result of the child being placed for permanent adoption</li> <li>• Changes to school as a result of preparing the child to return home.</li> </ul>
Calculation	<p>Numerator: The number of children of compulsory school age looked after at 31 March who have experienced one or more changes of school, which were not due to transitional arrangements, in the 12 months to 31 March</p> <p>Denominator: The number of children of compulsory school age looked after at 31 March</p>

<b>Measure 33</b>	<b>The percentage of looked after children on 31 March who have had three or more placements during the year</b>
Guidance	<p>In its broadest sense, a placement can be defined as where a child is living. Please note, three placements during a year correspond to two moves.</p> <p>Placements include (full list of placements that are to be included in the looked after children census guidance):</p> <ul style="list-style-type: none"> <li>• Family placements (Foster placements: Carer lives inside or outside the LA Boundary, placed for adoption with consent, placed for adoption with placement order or placed with own parents)</li> <li>• Other placements in the community (Independent living, e.g. in flat or lodgings with or without formal support staff, or in bedsit, B&amp;B or with friends or residential employment)</li> <li>• Placements in residential settings (Looked after, and placed in secure unit, placements in homes and hostels subject to Children’s Home Regulations, placements in other hostels and</li> </ul>

	<p>supportive residential settings , placements in other residential settings and schools)</p> <p>A change of placement can occur when:</p> <ul style="list-style-type: none"> <li>• A child moves to a new placement (even if this does not require using a different placement code)</li> <li>• If the child remains at the same location, but the placement code changes for any other reason</li> </ul> <p>These changes are indicated by the use of ‘Reason for New episode’ codes P &amp; B. Include:</p> <ul style="list-style-type: none"> <li>• Placements that were already open on 1 April at the beginning of the year</li> <li>• Placements that were open on 31 March at the end of the year</li> <li>• Placements that were separated by periods of not being looked after, even if they were with the same carer</li> <li>• ‘Temporary’ breaks of longer than 21 days.</li> </ul> <p>Exclude:</p> <ul style="list-style-type: none"> <li>• Temporary periods whilst the child is on holiday or in hospital</li> <li>• Temporary placement with an alternative carer while the child’s foster carer is on holiday</li> <li>• Other temporary absences of seven consecutive days or less, where the child is then returned as planned to the previous placement</li> <li>• Children that are missing or have absconded from a placement</li> <li>• A move from being fostered to being adopted, this does not need to be with the same family.</li> <li>• Any placements that formed part of an agreed series of short-term placements under the provisions of Reg. 14 of Placement of Children (Wales) Regulations, 2007 where these are made for adoption reasons</li> </ul>
Calculation	<p>Numerator: The number of children looked after at 31 March who had three or more separate placements during the year</p> <p>Denominator: The total number of children who were looked after at 31 March</p>

Measure 34	<p><b>The percentage of all care leavers who are in education, training or employment at:</b></p> <p><b>a) 12 months after leaving care</b></p> <p><b>b) 24 months after leaving care</b></p>
Guidance	<p>The definition of a care leaver has changed, and is set out in Section 104 of the Social Services and Well-being (Wales) Act 2014. A care leaver is defined as:</p> <ol style="list-style-type: none"> <li>1. a category 2 young person - someone who is 16 or 17, who is not being looked after by the local authority and who was a category 1</li> </ol>

	<p>child;</p> <ol style="list-style-type: none"> <li>2. a category 3 young person - someone who was a category 1 child or a category 2 child but who is now 18 or older up to the age of 21; or</li> <li>3. a category 4 young person to whom the duties of a local authority had ceased under categories 2 or 3 but who wishes to reengage for the purposes of a programme of education or training up to age 24 or beyond if the programme they are engaged in extends beyond their 25<sup>th</sup> birthday.</li> </ol> <p>A category 1 child is a child who is age 16 or 17, has been in care for a total of 13 weeks since their 14<sup>th</sup> birthday and remains in the care of the local authority.</p> <p>“Education, training or employment” is defined as young people whose main activity was:</p> <ul style="list-style-type: none"> <li>• F1 – Young person engaged full time in higher education</li> <li>• F2 – Young person engaged full time in education other than higher education</li> <li>• F3 – Young person engaged full time in training or employment</li> <li>• F4 - Young person engaged part time in education, training or employment</li> </ul> <p>F1- This means all studies at a higher academic level than A level. This includes degrees, diplomas in higher education, teaching and nursing qualifications, HNDs, ONDs, and BTEC. For the purpose of OC3 this includes either full-time or part-time study if it is considered the main activity. The educational course does not have to be residential.</p> <p>F2 - This means all other education not covered by code F1. This can be either full-time or part-time study if this is considered to be the young person’s main activity. The educational course does not have to be residential.</p> <p>F3- Young person engaged full time in training or employment ‘Training’ includes government-supported training, Youth Training, New Deal, Training for Work, and National Traineeships.</p> <p>P1 – Young person engaged part time in education, training or employment. ‘Employment’ includes paid employment, self-employment, and voluntary unpaid work. This includes both full-time and part-time training or employment, if it is considered the main activity.</p> <p>Include the activity of all care leavers at the 12<sup>th</sup> and 24<sup>th</sup> month anniversary of the date that they left care during the year.</p>
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	<p>For measure a) for 2016/17 reporting year, exclude any care leavers who came back into care during 2015-16</p> <p>For measure (b) for 2016/17 reporting year, exclude any care leavers who came back into care during 2015-16 or 2014-15</p>
Calculation	<p>Numerator (a): Number of young people who became care leavers during 2015-16 who were engaged in education, training or employment during the 12<sup>th</sup> month after they left care</p> <p>Denominator (a): The number of young people who became care leavers during 2015-16</p> <p>Numerator (b): Number of young people who became care leavers during 2014-15 who were engaged in education, training or employment during the 24<sup>th</sup> month after they left care</p> <p>Denominator (b): The number of young people who became care leavers during 2014-15</p>

Measure 35	<b>The percentage of care leavers who have experienced homelessness during the year</b>
Guidance	<p>A care leaver as defined in the Act is:</p> <ol style="list-style-type: none"> <li>1. a category 2 young person - someone who is 16 or 17, who is not being looked after by the local authority and who was a category 1 child;</li> <li>2. a category 3 young person - someone who was a category 1 child or a category 2 child but who is now 18 or older up to the age of 21; or</li> <li>3. a category 4 young person to whom the duties of a local authority had ceased under categories 2 or 3 but who wishes to reengage for the purposes of a programme of education or training up to age 24 or beyond if the programme they are engaged in extends beyond their 25<sup>th</sup> birthday.</li> </ol> <p>A category 1 child is a child who is age 16 or 17, has been in care for a total of 13 weeks since their 14<sup>th</sup> birthday and remains in the care of the local authority.</p> <p>Under s.55 of the Housing (Wales) Act 2014, a person is homeless if he or she has no accommodation in the UK or elsewhere which is available for his or her occupation and which that person has a legal right to occupy. A person will also be homeless where he or she has accommodation but cannot secure entry to it, or where he or she has accommodation that is a moveable structure (such as a caravan or house boat) and there is no place where it can be placed in order to provide accommodation. Under the Housing (Wales) Act 2014, the Welsh Government have issued a code of Guidance for Local Authorities on the Allocation of Accommodation and Homelessness</p>

	<p>that recommends the following broader definition of 'homelessness' for service planning purposes:</p> <p>'Where a person lacks accommodation or where their tenure is not secure'. Examples of people covered by this definition will include people who are:</p> <ul style="list-style-type: none"> <li>• sleeping rough</li> <li>• living in insecure/temporary housing (excluding assured/assured short hold tenants)</li> <li>• living in short term hostels, night shelters, direct access hostels</li> <li>• living in bed and breakfasts</li> <li>• moving frequently between relatives/friends</li> <li>• squatting</li> <li>• unable to remain in, or return to, housing due to poor conditions, overcrowding, affordability problems, domestic violence, harassment, mental, physical and/or sexual abuse, unsuitability for physical needs etc.</li> <li>• threatened with losing their home and without suitable alternative accommodation for any reason, e.g. domestic abuse</li> <li>• leaving hospitals, police custody, prisons, the armed forces and other institutions or supported housing without a home to go to,</li> <li>• required to leave by family or friends or due to relationship breakdown.</li> </ul> <p>Include all care leavers</p>
Calculation	<p>Numerator: The number of care leavers who have experienced homelessness during the year</p> <p>Denominator: The number of care leavers who are aged 16 to 24 on 31 March</p>

The quantitative data for the performance measures will be submitted to the Welsh Government annually via Microsoft Excel spreadsheets; these are available on the Welsh Government website.

### **Chapter 3- Guidance for qualitative performance measures**

Local authorities will be required to annually collect qualitative information about people who use their social care services. The qualitative data (performance measures 1 to 17 listed on page 2 and page 3 of this guidance document) are to be collected locally and provided nationally to the Welsh Government in relation to the provision of care and support, although some questions are specific to groups of people.

The collection of qualitative information for these performance measures is just one way in which a local authority can secure citizens voice in designing, developing and



improving care and support. In addition to this, local authorities must have complementary processes in place.

The process of issuing paper questionnaires to users does not evidence or provide quality assurance for citizens' voices in contract monitoring processes. Quality assurances will need to be sought through face to face interviews in relation to a person's care and support in their particular setting in line with CSSIW's performance evaluation recommendations.

**Local authorities must collect this qualitative information during 1 September to 30 November of the financial year in which it is reporting and submit responses to the Welsh Government by March in order to return comparable data, in line with statutory requirements.**

For example, the first year of data for 2016/17 must be collected during 1 September 2016 to the 30 November 2016. This information must be submitted to the Welsh Government on 31 March 2017.

The questions must be asked to people who have a care and support plan, or support plan, and are receiving services from the local authority.

For the purposes of this return, different questions must be asked to different groups of people receiving care and support and carers receiving support; these groups are:

- children aged 7 to 17 years old, including young carers;
- young people aged between 16 and 24 years old;
- parents of children receiving services;
- carers aged 18 or over; and
- adults aged 18 or over (including adults in a residential care home).

Local authorities must not include the following people:

- people who are known to the authority to have become hospitalised but continue to receive a care and support plan during this period;
- people who lack the capacity to give their consent to answer the questions. Each local authority should identify those people who lack the mental capacity to give informed consent to participate in the survey and remove them from their sample in order to not send them a survey form; and
- people who are involved in any active investigation regarding a complaint about the care and support they receive, either through the local authority social services complaints procedure or the Public Services Ombudsman for Wales.

The data can be collected using four different methods, which are described in more detail in this chapter:

- a paper self completion questionnaire;
- an online survey;
- telephone interviews; and
- face-to-face interviews.

**The initial and main method that must be used to collect information is a paper self completion questionnaire. Other methods identified must be used for follow up purposes only or if a person requests to complete the questionnaire in an alternative format.**

The paper questionnaires must be sent to people (identified in the population section below) between September and November each year. Any follow up must happen during this collection period (September-November). Local authorities will then have time to validate any information after this period if it needs to and prepare to submit this data to Welsh Government by March.

The ONS have reviewed the methodology for the National Adult Social Care User Experience Survey in England and noted that it is unlikely that a person will respond after 3-4 weeks. Therefore it is suggested that local authorities keep record of the dates of issued questionnaires and any follow up be undertaken 3-4 weeks after a person was sent their initial paper self completion questionnaire. If a questionnaire is issued in early September, follow up with that person should be undertaken in early October.

**All materials needed to complete the collection of data for the qualitative performance measures are published on the Welsh Government website:**

<http://gov.wales/topics/health/socialcare/well-being/performance/?lang=en>

This includes:

1. Cover letters for children, parents, carers and adults (available in English, Welsh and easy read);
2. Paper questionnaires; for children, parents, carers and adults (available in English, Welsh and easy read);
3. Face to face interview scripts for children, parents, carers and adults (available in English and Welsh);

4. Telephone interview scripts for children, parents, carers and adults (available in English and Welsh);
5. Adults sample and response calculator;
6. Response calculator for children and carers;
7. Ask for Research- Cognitive testing of Social Services Performance Indicators in Wales: A Technical Report; and
8. The code of practice in relation to measuring social services performance (available in English and Welsh).

### Population

#### 1. Children (and their parents)

Sending questionnaires to a sample of children aged 7-17 with a care and support plan on one day in the year would not yield data that is nationally comparable, as numbers are too small. A sample of children will not be a true reflection of the population.

In order to return accurate and representative data in relation to children (and their parents/ person responsible for the child), local authorities must issue the paper questionnaire to *all* children aged 7-17 (and their parents/ person responsible for the child) who have a care and support plan with the local authority in the first week of September.

**In order to understand how many responses need to be achieved to ensure data is comparable nationally, local authorities must use the 'Response calculator for children and carers' tool, available here:**

<http://gov.wales/topics/health/socialcare/well-being/performance/?lang=en>

Local authorities must input the number of children aged 7-17 on one particular day. The tool will automatically calculate the minimum number of responses required to get data which will give reliable and representative results for national comparison.

In the first instance, a paper questionnaire and cover letter must be issued to all children with a care and support plan during the first week of September.

Local authorities will need to monitor response rates closely and may need to encourage participation from children through the other methods to meet the requirements set out from the 'Response calculator for children and carers' tool. Local authorities must use the information locally for local improvements and report publicly on this information in the director's annual report.

It is expected that for each child with a care and support plan in a household (who is not subject to an adoption placement), each parent receives a questionnaire:

- One questionnaire to each parent within the same household. If one household has more than one parent, then one letter should be sent which includes a questionnaire for each parent and the required questionnaires for the number of children in the household with a care and support plan;
- If there is only one parent in the household with a child/ children with a care and support plan, it is only expected that a questionnaire is issued to that parent. If another parent is living in another household, it is not expected that that parent receive a questionnaire; or
- If a child, or siblings are in a foster home/care home, it is expected that the children are sent the children's cover letter and the children's questionnaire and the parents who the authority are in contact with should receive the parents questionnaire (not the foster parents/ carers); these will not be in the same household.

Parents who live with their children will be providing consent for their children to take part by handing them their questionnaire to complete. Local authorities are expected to provide consent for looked after children to take part.

## 2. Carers

Sending questionnaires to a sample of carers with a support plan on one day in the year would not yield data that is nationally comparable, as numbers are too small. A sample of carers will not be a true reflection of the population.

In order to return accurate and representative data in relation to carers, local authorities must issue the paper questionnaire to *all* carers aged 18 or over who have a support plan with the local authority in the first week of September.

**In order to understand how many responses need to be achieved to ensure data is comparable nationally, local authorities must use the 'Response calculator for children and carers' tool, available here:**

<http://gov.wales/topics/health/socialcare/well-being/performance/?lang=en>

Local authorities must input the number of carers on one particular day. The tool will automatically calculate the minimum number of responses required to get data which will give reliable and representative results for national comparison.

In the first instance, a paper questionnaire and cover letter must be issued to all carers with a support plan during the first week of September.

Local authorities will need to monitor response rates closely and may need to encourage participation from carers through the other methods to meet the requirements set out from the 'Response calculator for children and carers' tool. Local authorities must use the information locally for local improvements and report publicly on this information in the director's annual report.

### 3. Survey of adults

Obtaining data from all adults with a care and support plan would result in more people being issued with questionnaires than needed to report robustly at a national level. Instead, in order to return accurate and representative data in relation to adults, local authorities must survey a random sample of adults.

As with any survey, results are subject to various sources of error. An important component of this is sampling error, which arises because the estimates are based on a sample rather than a full count of the population. The results obtained for any single sample are likely to vary slightly from the true population value, and the difference between the estimates derived from the sample and the population values is referred to as the sampling error.

In general, the smaller the sample size the larger the potential error. It is possible to estimate the size of sampling error by calculating the standard error of survey estimates. The standard error (se) of a percentage (p) based on a simple random sample of size n is calculated as:  $se(p) = \sqrt{p(100-p)/n}$ .

A confidence interval can be calculated around a survey estimate and gives a range within which the true value is likely to fall. There is a 95 per cent chance that the 95 per cent confidence intervals include the true value. In general, the smaller the sample size the wider the confidence interval. As a rough guide to interpretation, when comparing two estimates, if the confidence intervals around the estimates overlap, it can be assumed that the estimates are not statistically significantly different – this approach is not as rigorous as doing a formal statistical test, but is straightforward, widely used and reasonably robust.

Local authorities must achieve an error of plus or minus 5 per cent (at a 95 per cent level of confidence) in order to gain a representative sample. This means that if the survey was conducted 100 times, 95 times the true value of the whole population would fall within 5 percentage points above or below the result given by the sample.

The 95 per cent confidence interval was calculated for each local authority in Wales using the number of adults receiving services at 31 March 2014. Using the data returned by local authorities in 2013/14, it is possible to determine the number of responses required to meet the 95 per cent confidence interval based on the number of adults receiving a service. This figure varied from 322 in Ceredigion to 380

responses in Newport. These figures can be calculated by each local authority by using the “Survey of Adults- sample information calculator” tool published on the Welsh Government website.

Typically, response rates to self-completion questionnaires are around 25 per cent, and this rate has been used in the calculations using the “Adults- Survey sample selector tool (draft)”.

If a local authority determines from using the “Survey of Adults- sample information calculator” tool that it needs to return 400 adult responses back to the Welsh Government, it would be expected that the local authority bear in mind the expected response rate. If the expected response rate is 25 per cent, then a local authority must issue the questionnaire to a random sample of 1,600 adults (400 is 25 per cent of 1,600). Local authorities must use a 25 per cent response rate for the first year of data collection, following this; the response rate can be amended to the authority response rate from the first collection.

Local authorities must monitor the number of returns throughout the collection period to ensure they achieve at least the required number of responses before 30 November. If local authorities estimate that they are unlikely to receive these, then they must focus their efforts in re-contacting people during this period and encouraging them to take part, or use alternative methods of administering the questionnaire to try to obtain the required response.

Local authorities must ensure that the sample of adults is randomly selected. The “Survey of Adults- sample information” tool provides guidance for local authorities in determining a random sample and in determining a further random sample of adults to survey in the event that the initial random sample does not provide for the required responses, called the reserve sample. This can be found at:

<http://gov.wales/topics/health/socialcare/well-being/performance/?lang=en>

**Local authorities must determine their random sample of adults and reserve sample of adults using the “Survey of Adults- sample information calculator” tool in the first week of September in order that the questionnaires can be sent out during the reporting period between September and November each year.**

In relation to adults, the sample must be taken in the first week of September, regardless of whether the questionnaires are sent out in September, October or November.

Local authorities must use the information locally for local improvements and report publicly on this information in the director’s annual report.

A snapshot of a month will include adults who have a short term care and support plan at the time the sample is chosen. It is expected that any month would be

representative of any other, therefore there will be adults who are receiving short term care within any month the sample is taken.

### Collecting data

The following documents are available on the Welsh Government website- these must be used to collect the data and will ensure consistent data is collected across Wales;

- paper questionnaire;
- telephone interview script; and
- face-to-face interview script.

Local authorities must use paper questionnaires in the first instance to collect the data. Local authorities may only use the alternative methods to maximise response rates or if a person has requested to participate in a different method. Guidance on the different methods is given in the sections below.

Additional questions can be added to the questionnaire as local authorities may wish to include existing questions from their local questionnaires. However, local authorities must work to limit the burden placed on people to respond to the questionnaire by considering whether it is appropriate to incorporate additional local questions alongside those stated in the questionnaire.

**Questions that are in the versions published on the Welsh Government website must not be changed in any way.** Local questions must be added after the statutory requirements, at the end of the questionnaire and must not be excessive as this may have a negative impact on response rates. Local authorities must arrange for any additional questions to be translated where necessary.

Local authorities must give people an opportunity to provide their story behind a given answer and for people to add in any specific comments regarding their experience after each question, regardless of the method chosen to administer the questionnaire; (for example in the paper questionnaire available on the Welsh Government website, free text boxes will be provided under each question). These comments will allow local authorities to identify areas of improvement and good practice. The data gathered from these comments should not be submitted to the Welsh Government.

**In order to follow up any non response, local authorities must assign a unique number to people who are sent the paper questionnaire.** All children and carers will require a unique number. For adults, only the random sample of adults selected (and potentially those randomly selected adults from a reserve sample) will need a

unique number. Local authorities must record the unique numbers that are assigned to each person.

Using the unique number assigned to a person, local authorities must keep a record of those people who have returned their questionnaires to ensure that the respondent does not receive any follow up, through issuing another paper questionnaire, telephone call or email. Any follow up work must be undertaken during the collection period 1 September to 30 November.

### Cover letter

The cover letter that must be issued with the paper questionnaire is available on the Welsh Government Website. This letter sets out the purpose of collecting the data and explains to people what the purpose of the questionnaire is and how their data and confidentiality will be protected.

Local authorities must add their relevant contact details, which are highlighted on the letter, so that a person may arrange a telephone or face-to-face interview if they prefer, or organise to complete the online survey or raise any concerns or comments on this process; local authorities must put arrangements in place for people to participate in this way.

Local authorities must also add a person's unique number to the cover letter. This is important in planning for follow up and in relation to a person who wishes to complete an online questionnaire, as they will need their unique number to enter into an online system.

When issuing the questionnaires local authorities must make it clear which person is required to respond, either by including the name of the person on the cover letter or by including the persons name on the address of the postal envelope.

Detailed guidance in relation to each method is given in the sections below.

#### 1. Paper questionnaire

Local authorities must use paper self completion questionnaires to collect data from the population. The paper questionnaires are available on the Welsh Government website including easy read and Welsh versions.

**Local authorities must add the unique number that they assigned to a person to their paper self completion questionnaire.**

**Local authorities must include a free post envelope along with each covering letter and paper questionnaire to enable people to return their completed**



**paper questionnaires to the local authority.** When sending the children's questionnaire, the number of free post envelopes will depend on the number of parents/ people with responsibility for that child that is living with that child. Separate envelopes must be included to enable children and parents to return their individual paper questionnaires separately.

The questionnaire is to be completed by the selected person only. There may be exceptions where a person cannot complete the questionnaire themselves. In these cases, local authorities must provide guidance to the person and either help directly (by providing a telephone interview for example) or allow a family member, carer or advocate to assist the person to complete the questionnaire.

Given a local authority may add additional local questions to the questionnaire, a final version of each paper questionnaire used by each local authority must be returned to the Welsh Government in March each year along with the data.

## 2. Online questionnaire

The cover letter published on the Welsh Government website asks people to contact the local authority if they would prefer to complete the questionnaire in an alternative way. A person's unique number must be included in the cover letter to allow people to enter their unique number if they wish to complete an online questionnaire. This will also allow local authorities to be able to determine whether a person has responded in relation to follow up.

In addition local authorities may use an online questionnaire for follow up. Due to the low response rates associated with online questionnaires, local authorities must not make this the only way that people can participate in the survey; it should be administered in order to boost response rates if a person requests to participate using this method.

Draft mock ups of the online survey have been created and are linked below. These surveys are not to be used or sent to a person to complete. The purpose of the surveys linked below is to illustrate what an online survey should look like.

Adult's online survey

<https://www.surveymonkey.com/r/welshmatsadultsdraft>

[https://www.surveymonkey.com/r/adult\\_welsh](https://www.surveymonkey.com/r/adult_welsh)

Adult living in a residential care home online survey (for other methods this survey has been combined with the adult's survey)

<https://www.surveymonkey.com/r/welshmatsresidentsdraft1>

[https://www.surveymonkey.com/r/residents\\_welsh](https://www.surveymonkey.com/r/residents_welsh)

Carers online survey

<https://www.surveymonkey.com/r/welshmatscarersdraft1>

[https://www.surveymonkey.com/r/carers\\_welsh](https://www.surveymonkey.com/r/carers_welsh)

Children's online survey

<https://www.surveymonkey.com/r/welshmatchildrendraft1>

[https://www.surveymonkey.com/r/young\\_people\\_welsh](https://www.surveymonkey.com/r/young_people_welsh)

Parent's online survey

<https://www.surveymonkey.com/r/welshmatparentsdraft1>

[https://www.surveymonkey.com/r/parents\\_welsh](https://www.surveymonkey.com/r/parents_welsh)

### 3. Telephone or face-to-face interviews

Telephone and face-to-face interviews are other alternative formats that people can request to use to complete the questionnaire. Local authorities may also use a telephone interview or face-to-face interview to collect follow-up data.

Interview scripts for both telephone and face-to-face interviews are available in English and Welsh on the Welsh Government website; local authorities must translate the scripts and administer the interview in any other requested language.

Interviews must be undertaken by a suitable person within the local authority.

#### Increasing the response rates

To increase the likelihood of a response, local authorities must:

- recognise people's preferred language and ensure that any, paper or online questionnaires and interview scripts are available in this language;
- identify whether people will require alternative formats of the paper questionnaire for them to participate, such as using the easy read version, Welsh version, or developing a large print or braille version;
- assess whether it would be more appropriate for a person to participate in a telephone or face-to-face interview if it is known that they would be unable to complete a paper questionnaire. This must be administered by a suitable person at the local authority and this person must use the interview script provided on the Welsh Government website;
- ensure their social services client management system is accurate and has an up to date list of people's addresses (or the best address to contact people to ensure they receive a paper questionnaire or face-to-face interview) and contact telephone number (for a telephone interview); and

- remind people who have not yet completed their paper to take part; this could be by issuing the cover letter with another copy of the paper questionnaire or via telephone. Follow up must only be conducted to those people that the authority know have not yet responded, by using the unique number allocated to each person who was issued with a questionnaire.

### Storing and returning data to Welsh Government

Completed questionnaires must be returned to local authorities by 30 November. If any responses are received after 30 November, these must be used to inform a local authorities understanding of performance and should be stored and deleted as appropriate; these should not be submitted the Welsh Government.

Validation checks should be carried out by local authorities throughout the data entry process to ensure the correct information is submitted to the Welsh Government. Local authorities should begin data entry and validation of responses as soon as they have been received. The excel collection form has been published on the Welsh Government website. Local authorities must complete and return this to Welsh Government by March.

Local authorities must follow internal information management standards and protocols to securely store and delete all questionnaires (following their validation processes) and data gathered from collecting the qualitative data; local authorities must also adhere to the Data Protection Act to handle personal data fairly and lawfully.

Partially completed questionnaires must still be recorded; including whether an answer to a question has been left blank or is ineligible.

In all surveys, due to the element of non-response, not all the views of people will be represented in the final results. This element of bias can be reduced through a process known as weighting. The Welsh Government will undertake this stage once the data has been submitted by local authorities. In sending the data to the Welsh Government, aggregate information will be required. Welsh Government will use this and the demographic data collected through the questionnaires to weight the data appropriately.

These figures must be collected by age and gender in order to apply weightings to questionnaire responses. These requirements are included on the data return form for each local authority to complete. This excel collection tool is published separately. This will include asking local authorities to provide information about the number of children, parents, carers and adults that were asked to take part each year.

### **Contracting elements of the process**

Local authorities may contract out any or all parts of the process to third party organisations. Local authorities must ensure that the external contractors adhere to the guidance contained in this document in order to ensure consistency across all local authorities.

Local authorities must also ensure that external contractors adhere to any local authority information management standards and guidance regarding the sharing and storage of any personal details of the people selected as part of this process.

**Annex A – Membership of the Social Services Technical Information Network**

<b>Name</b>	<b>Organisation</b>
Jonathan Griffiths	Integrated Services, Pembrokeshire City Council (representing All Wales Adult Service Heads AWASH)
Jo Williams	Adult Services, Caerphilly County Borough Council (representing All Wales Adult Service Heads AWASH)
Tanya Evans	Children's Social Services, Blaenau Gwent County Borough Council (representing All Wales Heads of Children's Services AWHOCS)
Gareth Jenkins	Children's Services, Caerphilly County Borough Council (representing All Wales Heads of Children's Services AWHOCS)
Judith Brookes	Business Support, Bridgend County Borough Council (representing All Wales Heads of Business Services AWHOBS)
Tony Ward	Business Support, Denbighshire County Council (representing All Wales Heads of Business Services AWHOBS)
Richard Palmer	Data Unit Wales (representing Welsh Local Government Association WLGA)
Nigel Brown	Care and Social Services Inspectorate Wales (CSSIW)
Lee Thomas	Welsh Government, Knowledge and Analytical Services
Amira Irshad	Welsh Government, Social Services Leadership and Strategy
Bethan Sherwood	Welsh Government, Social Services Leadership and Strategy