Monitoring Framework

Monitoring and evaluating for the wellbeing of children and young people who receive statutory services from Child, Youth and Family

MANAAKITIA A TĀTOU TAMARIKI
Children's
Commissioner

Commissioner's Foreword

The mandating of an independent Commissioner to monitor and investigate the policies and practices of Child, Youth and Family is a key element of the system in place to support high-quality policy and service delivery for our most vulnerable children and young people.

While the Children's Commissioner has a statutory responsibility (Children's Commissioner's Act 2003) to monitor and assess services provided under the Children, Young Persons and Their Families Act 1989 (CYPF Act), the Act does not prescribe how the monitoring role should be carried out. The monitoring approach has been developed and refined by the monitoring team within my Office over a number of years.

Earlier this year, I decided that the time was right to review our monitoring approach to ensure that our monitoring work is truly delivering on its goal of ensuring that

> ... *Children and young people, particularly rangatahi and tamariki Māori, receive quality social work services through Child, Youth and Family sites and residences that ensure they are safe from harm, their needs are being addressed, and that they are better off as a result of state intervention.*

The result of the review is the revised monitoring framework set out in this document, which we will begin to implement in November 2013.

The framework introduces three levels of monitoring: at the individual Child, Youth and Family site and residence level, at the system level, and at the sector level. It is premised on a much greater focus on data collection to select sites for visits and to inform the focus of the visits, and takes a more systematic approach to the inclusion of children and young people's voices. The framework also sets out a revised approach to how the Office will report on the results to strengthen public confidence in the performance of the care and protection system.

I believe this framework will support improved outcomes for children and young people, and a culture of continuous improvement within Child, Youth and Family. Our most vulnerable children and young people deserve the best from all of us.

Russell Wills MB, ChB, Dip Obst, DCH, FRACP, MPH

Children's Commissioner
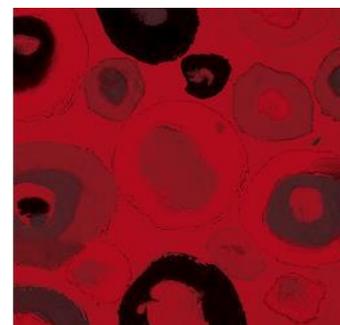
Hei whakariterite te tau kotahi

Whakatōkia he mara kai

Hei whakariterite mo te ngahuru tau

Whakatōkia he rākau

Hei whakariterite mo nga rau kei tua

Poipoia nga tamariki

To plan for a year, plant a garden

To plan for a decade, plant trees

To plan for a future, nurture children

Part 1: An Overview of the New Framework

Our new monitoring framework takes a broader and more systematic approach, and has a strong focus on capturing the voices of children and young people. This section outlines the key elements of the framework.

Putting children and young people at the heart of monitoring

He taonganui o tātou tamariki

Our monitoring activity has traditionally focused on the views and perceptions of adults. The new framework puts the voices of children and young people at the centre of our monitoring and introduces a more structured and robust process for gathering their feedback across all aspects and stages of their involvement with Child, Youth and Family.

Supporting systemic change

Manākihia te paharakeke

Our monitoring work has previously focused primarily on assessing and improving social work practice within a specific site or residence. As a result, our findings have had limited application at a system or sector level, and thematic reviews have only been undertaken sporadically.

Our new approach allows us to draw wider conclusions and identify improvements at a system and sector level, as well as at a site or residence level.

Under our new framework, we take an analytical and evidence-informed approach to identify themes or areas of focus. We then select sites and residences to identify and review the practice at the site around the identified thematic area. Sampling sites and residences more robustly and visiting a number on a particular theme will position us to make an assessment, or provide commentary on the likely performance of the system on similar areas of practice. This approach will give us greater impact, and support Child, Youth and Family to take a more systemic approach to its activities.

There may be instances where an issue needs to be investigated using a cross-sectoral, multi-agency response (particularly in situations where there has been a failure by several agencies) and this will require a tailored approach.

Taking a more strategic and structured approach

As well as taking a more strategic approach to determining the site selection and schedule of visits, we will also be using a more consistent and structured assessment framework to guide our activities on visits. Subject to resourcing we will also increase the number of visits we undertake each year so our activities can have greater impact.

Encouraging collaborative learning

Our new approach will ensure we include sites and residences in our visits that are considered to be leading practice and delivering excellent outcomes for children, alongside sites and residences that may not be achieving the same level of performance. By visiting a sample of sites and residences across a particular theme we will be better placed to provide a systemic view of practice across Child, Youth and Family and to support the sharing of excellent practice across the organisation to drive collaborative learning and improvement.

Reporting publicly

Monitoring reports are currently prepared at a site or residence level and, to protect the privacy of individuals who have shared their views and experiences are not publicly released.

To increase transparency around the work of both the Office and the operation of Child, Youth and Family, we will now be producing two public reports annually. They will report at an aggregate level on our monitoring activity and capture the voices and experiences of children and young people in care.

This enhanced reporting will provide independent assurance of our compliance with legislation, United Nations conventions and good practice to a range of stakeholders including families and whānau, the House of Representatives, and the United Nations.

Part 2: The New Monitoring Process

In this section, we describe in detail each stage of the new monitoring process.

The new process has six inter-related phases:

> environmental scanning
> identifying the themes
> analysis and site selection
> assessing site performance
> reporting results
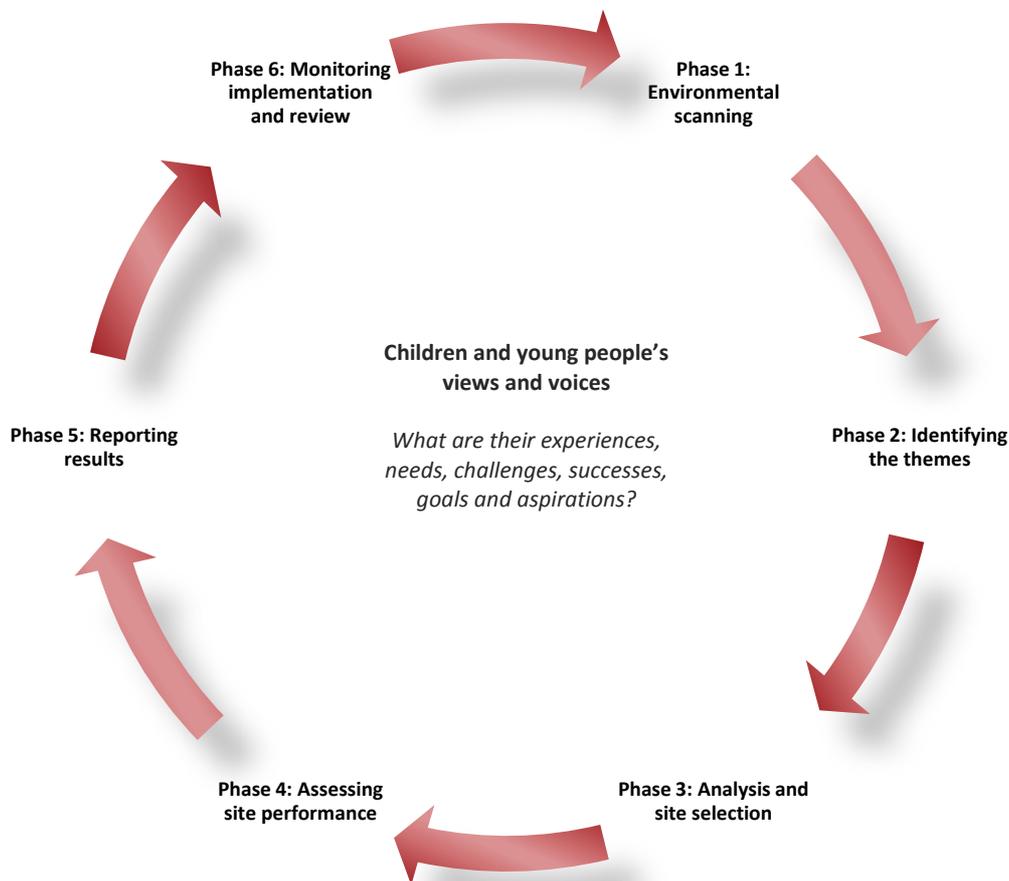> monitoring implementation and review.

These phases do not have 'hard' beginnings and ends: they are iterative and sometimes the phases overlap.

At the heart of the process are the children and young people themselves, and our monitoring will collect their feedback on all aspects of their involvement with Child, Youth and Family.

The framework also includes additional principles and is informed by our tikanga values – for more information, see appendix 3.

A process map for site and residence visits is attached as appendix 4.

Figure One: Our Monitoring Process

Phase 6: Monitoring implementation and review

Phase 1: Environmental scanning

Phase 5: Reporting results

Children and young people's views and voices

What are their experiences, needs, challenges, successes, goals and aspirations?

Phase 2: Identifying the themes

Phase 4: Assessing site performance

Phase 3: Analysis and site selection

PHASE 1: ENVIRONMENTAL SCANNING

We will look at a variety of information to give a sense of the broader environment the sites and residences, and the care and protection and youth justice systems, are operating within.

For example, we may look at:

> broad changes in policy direction or service delivery changes that could impact on the way Child, Youth and Family operates
> wider factors in the community such as Police apprehension rates for young offenders or diversion practices, that may have a flow on impact into or away from the system
> whether the sites are engaged in Social Sector Trials, or are Children's Action Plan sites or involved in other similar initiatives.

Bringing all this information together will give us a picture of what is happening at both a national and local level and will provide the basis for identifying the themes for our monitoring.

PHASE 2: SELECTING THEMES

To identify the theme/s for our monitoring, we will look at patterns and trends across sites and residences, and identify issues that require focused exploration: for example transition from care, the use of secure care, interfaces with mental health care or education, or relationships with iwi.

We will also utilise a range of sources of risk and performance information relevant to children who have involvement with Child, Youth and Family to identify themes. This will include:

> Child, Youth and Family administrative data from its database CYRAS.
> Qualitative data, gathered through our recent reviews, relationships with sector agencies, and our Child's Rights Line
> Funding plans/Investing in Services for Outcomes (ISO) data on relevant community based service provision
> Children's health and hospital admissions data from the University of Otago's New Zealand Child and Youth Epidemiology Service
> Educational participation and achievement data from the Ministry of Education's Education Counts website
> Data from Children's Teams and other cross sector initiatives as that becomes available
> Police reports on trend data on crimes
> Investigations/inquiries
> Media issues
> Reports following the deaths of children
> Section 47 (CYP&F Act) reports

> Care and Protection Resource Panels' annual reporting
> Grievance Panel reports, and
> Other sources such as audit reports, risk management reports, quality assurance reports.

Through this analysis, we will have identified some priority themes to investigate further.

PHASE 3: IDENTIFYING THE SITES

There are 60 care and protection locations with 84 sites (including sub sites), 25 youth justice teams providing services to 74 sites, and nine residences. Historically, while residences have been visited annually, sites have only been visited every eight to nine years, unless special circumstances justify and earlier revisit, which is unsatisfactory. While we will be increasing the number of sites we visit each year, visiting all sites and residences annually is not feasible so we need to use a robust methodology to determine the sites we visit.

We also need to take a strategic approach that ensures we visit a sample of sites and residences across a particular theme to ensure we are well placed to provide a systemic view of practice across Child, Youth and Family. This will include giving attention to the regional and national policy and leadership context within which sites and residences operate. We will make a selection of sites to visit that will include sites and residences that appear highly effective, some that are average performers, and some that seem to be less effective performers.

In determining which sites to visit, we will primarily use data from CYRAS for key indicators such as:

> Timeliness of investigations and assessments
> Number or rate of notifications for each site
> Number or rate of notifications that are marked "further action required" (FAR) and "no further action" (NFA)
> Number or rate of investigations completed
> Number or rate of substantiations
> Number or rate of re-substantiations within a given period (e.g. 6 and 12 months) of a previous substantiation
> Number or rate of placements of children in care
> Number or rate of Gateway assessments completed and waiting times for assessments
> Number, nature and rate of complaints for each site and residence
> Number or rate of incidents for each residence
> Use of secure care, length of stay in secure care and numbers of applications for a s 371 order.

We will also use human resources information, for example:

> professional social work registration status
> the average number of full-time employees employed at the site or residence during the year
> staff turnover
> leave balances for each site and residence
> sick leave usage.

Child, Youth and Family has advised that robust data on education, literacy/numeracy outcomes, health outcomes and child wellbeing outcomes is not yet available, but will be collected as part of the new Tuituia framework. Once this information becomes available we will use it to identify trends in the outcomes achieved.

When determining which sites to visit, we will be interested in the relativities between sites of similar size and characteristics, rather than in making judgements about individual sites on the basis of this data alone.

In other words, we will aim to identify which sites differ significantly in their performance from the norm in a key area, for example their rate of 'no further action' on notifications.

The graph below shows how this analysis could look and is provided for illustrative purposes only. Note that the graph uses fictitious data and our analysis for the purposes of site selection would be based on more than one indicator.
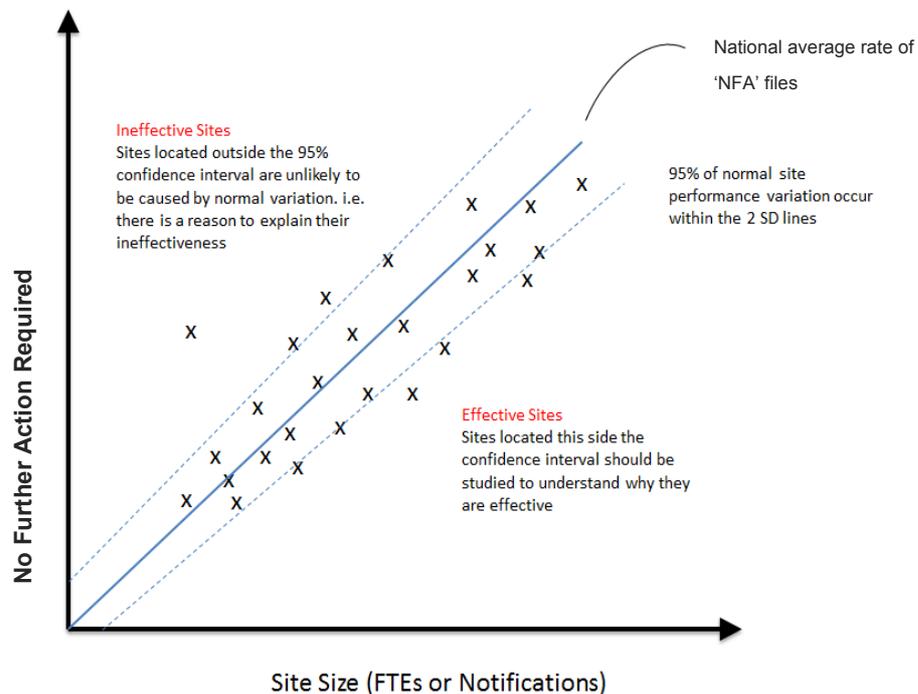
After performing this analysis, we will assign each site or residence an indicative effectiveness score as a percentage deviation from the national average rate for that indicator.

Site name	Deviation from national average
A	+15%
B	+10%
C	+5%
D	0
...	-5%
Z	-15%

Finally, we will divide sites and residences into four zones from which our final selections will be made. We may choose sites from any of the quadrants, all from the same quadrant, or from multiple quadrants, but we would look at sites from different quadrants for different reasons. The zones are shown below.
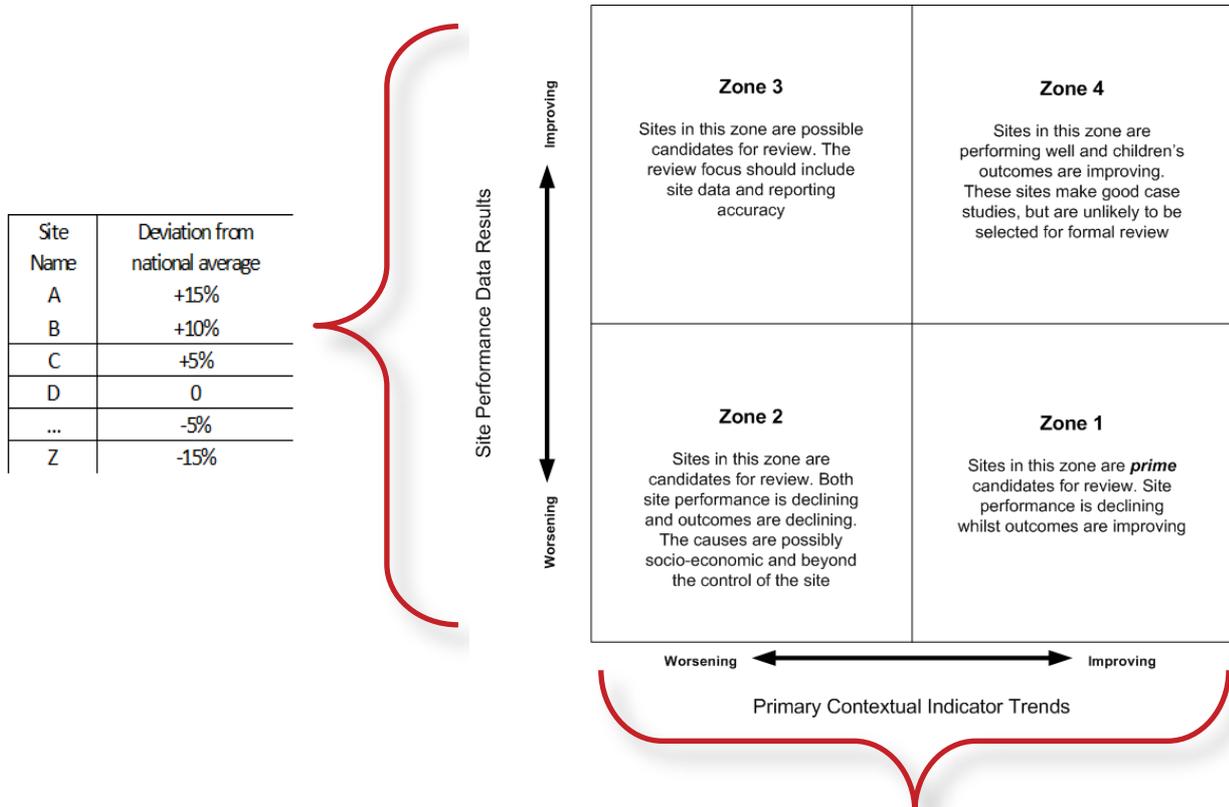
Other data e.g. New Zealand Child and Youth Epidemiological Service, EducationCounts, Police, other OCC and Child, Youth and Family data

Zone 1 sites and residences are defying broader outcome trends which are improving. In other words, a site that has deteriorating performance outcomes in a community which is experiencing improving outcomes for children and young people deserves to be reviewed. This contradiction is grounds for material concern in site effectiveness.

Zone 2 sites and residences have declining performance matched with declining community outcomes. Declining site performance could be caused by the decline in social conditions. The decline in site performance should be investigated, however the causes may be beyond the control of site management.

Zone 3 sites are continuing to improve in an environment of declining indicators. If a site in this quadrant is to be reviewed then it should be focused on confirming reporting accuracy. If reporting data is accurate then these sites are performing very well and children receiving the site's services have improving outcomes, against the general trend within the community.

Zone 4 sites are in the ideal position of improving site performance and indicators. These sites are working effectively in a community that is experiencing better outcomes. This is satisfactory or good performance.

Over time, as our knowledge of site performance increases, we will be able to establish a visiting cycle, for example:

> visit every three to five years – high-performing sites, where all the dimensions of effective performance are in place
> visit every two to three years – sites that are developing good performance, where all the dimensions of effective performance are in place but possibly not sufficiently integrated
> visit annually – sites where the Office has concerns about the outcomes and safety of children and young people.

PHASE 4: ASSESSING SITE PERFORMANCE

We have developed a comprehensive set of lead questions across eight performance domains to give a robust and consistent structure to our monitoring. These are located at the end of this document as appendix 2.

The domains address the priorities identified in *Ma Mātou, Ma Tātou*, and build on them to allow for a more comprehensive assessment of performance. We have developed a set of questions specifically for children and young people and a second set

that will be used to ascertain key performance information at the site or across sites.

All the domains and lead questions address the areas that Child, Youth and Family has included in its site and residence assessments (*quality social work practice*, *working together with Māori*, *voices of children and young people*, *connecting communities*, and *leadership*). This alignment allows the self-assessment and supporting evidence to inform the monitoring work along with interviews, data and paperwork reviews.

We have separated the domains into two key areas, each with four domains:

> Organisational performance
>   1. Leadership and direction
>   2. People development
>   3. Operational management
>   4. Culture of learning and improvement
> Quality of the social work practice
>   1. Quality of social work practice
>   2. Care system
>   3. Engagement with children and young people and their families and whānau
>   4. Partnerships and networks

We will identify what best practice looks like for each of these domains assessing the impact of performance and practice quality on outcomes for children and young people. This is a key element of our implementation activity, however at this stage our ability to fully assess outcomes is limited, given that Child, Youth and Family's outcome framework and systems for outcome data measurement are not yet fully developed. We will add an additional domain focused on achievement of outcomes for children and young people once this work on outcomes is completed and data is available.

Once we have selected a theme and the sites to assess against it, we will select the domains that are relevant to the theme and use the associated lead questions to:

> determine how well the site or residence is delivering services to the expected quality and standard
> examine links between key organisational and service delivery arrangements at the site level and the delivery of outcomes for children and young people

To ensure consistency and allow the results of the monitoring review to be robust and comparable, the same domains and lead questions will be used across each of the sites and residences selected to be reviewed. The lead questions provide an initial line of investigation into activities at sites or

residences. We will use the information we receive to follow up subsequent lines of inquiry and to cross validate the information we have received.

In most cases, an appropriate selection from the lead questions will be made prior to the visit. However we may also undertake a full site assessment of a single site or residence where there has been a critical incident or a complaint that raises concerns about the overall quality of practice. Then we would use all the domains and questions to make an in-depth assessment.

The domains and questions we will use for National Preventative Mechanism (NPM) visits are included in appendix 3.

Children and young people at the heart of monitoring

It is vital that we listen to children and young people during our site and residence visits. Understanding their experiences, needs, challenges, successes, goals and aspirations can help strengthen policies and practices, so that they receive the service they deserve and have the same opportunities as other children and young people to reach their full potential.

Historically, when meeting with children and young people our questions focused on their views of social work practice. This vital information will be captured by the questions in appendix 2. Under the new framework, we will capture the views of children and young people across additional domains to give us a more complete picture of the quality of care they are receiving.

Under each domain there is a set of lead questions which will be tailored to be relevant and appropriate for the children and young people that we meet with at each site or residence visit. When determining the questions we ask, we will consider

their age, ethnicity, living environments, and learning abilities.

Before our visits, we will select which domains to focus on by gathering intelligence at a national, local, and site and residence level, and assessing complaints made by children and young people to the Child's Rights Line and through the Child, Youth and Family complaints process. This data will enable us to build a deeper understanding of the needs of children and young people in care before we meet with them.

Making an evaluative judgement

After the visit, we will make an overall judgement about the systems, processes and practices we have found and allocate a rating:

> Transformational/outstanding
> Well placed
> Needing development
> Minimally effective/weak
> Detrimental practice

Our descriptors are hierarchical e.g. an outstanding service must meet the descriptors for outstanding and well placed. However, meeting all the requirements will not necessarily result in an outstanding judgement, nor will failure to meet all the requirements in full necessarily result in a judgement of minimally effective/weak. The seriousness of any failure and its potential impact on outcomes for children and young people will be considered to determine how it should impact on the overall judgement. We use professional judgement to assess the impact of any breach against other aspects of the service.

The descriptors are detailed below. We will work with Child, Youth and Family to refine these descriptors and develop an evaluative rubric for each domain, prior to implementation.

The descriptors

Rating	What it means
Transformational/ outstanding	Exemplary practice > High level of capability and sustained high performance > Systems in place to monitor and build capability to meet future demands > Organisational learning and use of external perspectives to continuously evaluate and improve performance > Children and young people's views taken into account in the evaluation, development and design of services > Children and young people make exceptional progress and consistently report a culture of care
Well placed	Capable/good > Delivering to expectations with examples of high levels of performance in particular areas > Evidence of attention given to assessing future demands and capability needs > Comprehensive organisational systems in place to support effective management and decision-making > Children and young people's views are consistently sought in the evaluation of the service > Children and young people make good progress and consistently report a culture of good care
Needing development	Developing capability > Adequate current performance – some concerns about future performance > Beginning to take a whole site or residence approach to ensure consistency in processes and ways of working > Areas of under-performance or lack of capability are recognised by the site or residence > Strategies and actions are in place to lift performance and capability and are being implemented > Children and young people's views are inconsistently sought, their progress is delayed and inconsistently report a culture of good care
Minimally effective/weak	Limited capacity > Significant areas of critical weaknesses or concern in terms of delivery and/or capability > Management focuses on tasks and action rather than on results and impact > Site or residence has limited or no awareness of weaknesses or concerns > Strategies to respond to weaknesses are either not in place or are not likely to have sufficient impact > Children and young people's views are minimally sought, their progress is seriously compromised, and they report an inconsistent culture of good care
Detrimental practice	> Consistent implementation of practices likely to cause harm > Children and young people consistently report a culture of poor care

PHASE 5: REPORTING RESULTS

Reporting to Child, Youth and Family

We will provide a thematic report for Child, Youth and Family that identifies system level areas for focus. Where appropriate we will also report on an individual site or residence's performance on a theme to highlight best practice and/or practice that needs improvement.

The reports will include:

> an overall statement of effectiveness.
> specific areas where improvements need to be made by the system and or/site or residence. Recommendations will be clustered according to urgency: those that need to be implemented immediately; those that need to be implemented within the next three months; those that need to be implemented within six months and those where an extended timeframe of twelve months or longer is needed to achieve complex assessments of performance against each domain.

Public Reporting

We will produce two separate annual public reports: one on our monitoring activity, and one on the voices and experiences of children and young people in care.
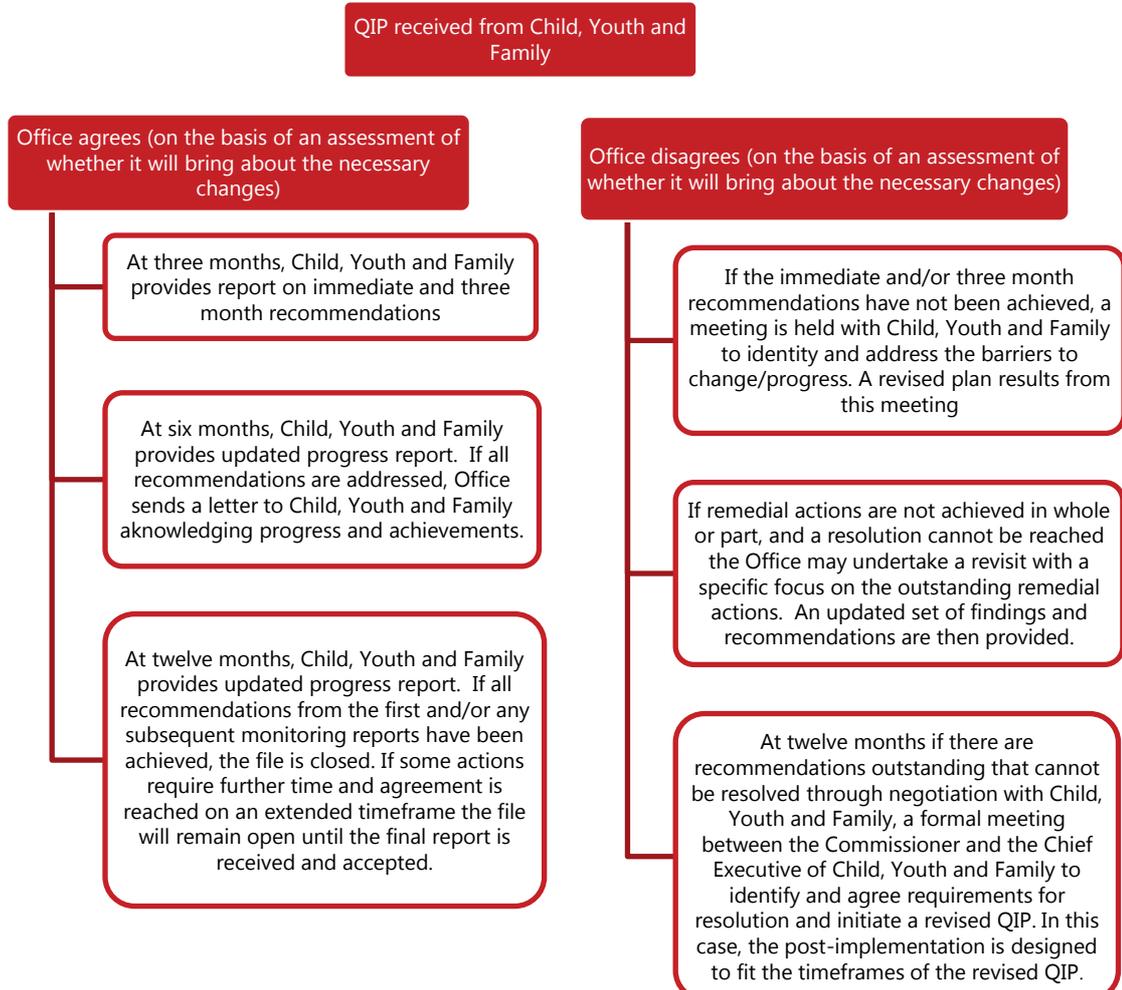
These reports will present information at an aggregate level, including:

> the number of sites or residence visits undertaken
> the key themes that were investigated or assessed
> the key issues or best practice identified at the sites and residences
> a summary of our recommendations
> a summary of the changes expected to arise from our activity.

PHASE 6: MONITORING IMPLEMENTATION AND REVIEW

This is the final phase of the monitoring process, and is focused on how we monitor the implementation of our recommendations and ensure that effective improvements are in place.

The process for dealing with site/residence-specific recommendations will be largely similar to the one in place now (shown below) which involves Child, Youth and Family developing and providing us with a Quality Improvement Plan (QIP) in response to our recommendations, and reporting regularly on progress.

QIP received from Child, Youth and Family

Office agrees (on the basis of an assessment of whether it will bring about the necessary changes)

At three months, Child, Youth and Family provides report on immediate and three month recommendations

At six months, Child, Youth and Family provides updated progress report. If all recommendations are addressed, Office sends a letter to Child, Youth and Family aknowledging progress and achievements.

At twelve months, Child, Youth and Family provides updated progress report. If all recommendations from the first and/or any subsequent monitoring reports have been achieved, the file is closed. If some actions require further time and agreement is reached on an extended timeframe the file will remain open until the final report is received and accepted.

Office disagrees (on the basis of an assessment of whether it will bring about the necessary changes)

If the immediate and/or three month recommendations have not been achieved, a meeting is held with Child, Youth and Family to identity and address the barriers to change/progress. A revised plan results from this meeting

If remedial actions are not achieved in whole or part, and a resolution cannot be reached the Office may undertake a revisit with a specific focus on the outstanding remedial actions. An updated set of findings and recommendations are then provided.

At twelve months if there are recommendations outstanding that cannot be resolved through negotiation with Child, Youth and Family, a formal meeting between the Commissioner and the Chief Executive of Child, Youth and Family to identify and agree requirements for resolution and initiate a revised QIP. In this case, the post-implementation is designed to fit the timeframes of the revised QIP.

For the first time, we will measure whether Child, Youth and Family has acted on recommendations we make regarding how it can share exemplary practice across the organisation. By identifying and showcasing best practice in our reports, we will identify the key enablers that allow sites and residences to perform effectively. It is our expectation that this will support Child, Youth and Family's quality assurance team to link sites together so that practitioners can learn from each other and assist in supporting effective performance across the system

If resources allow, we will introduce a schedule of revisits to assess the effectiveness of implementation at the site and residence level.

Note: Monitoring the implementation of system and sector recommendations will require the development of a customised reporting arrangement.

ENSURING THE SUCCESS OF THE FRAMEWORK

Ma whero ma panga ko oti ai te mahi

The success of the monitoring framework is reliant on some fundamental understandings.

Firstly, both Child, Youth and Family and the Office share a common interest in improving the wellbeing of children and young people.

Secondly, both Child, Youth and Family and the Office acknowledge that independent monitoring by the Office can help Child, Youth and Family to improve its services and improve outcomes for children and young people, and that optimal results are achieved where a level of respect and goodwill exists between the parties and monitoring occurs in an open and transparent way.

And finally, both Child, Youth and Family and the Office acknowledge that monitoring involves relationships and interactions. These relationships and interactions impact on systems and procedures and drive quality responsive social work practice.

Evaluation

We will evaluate the effectiveness of this monitoring framework at the end of one year's implementation. We will engage with an external partner to help us complete the evaluation.

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Appendix 1: Additional Principles and Tikanga Values

THE ADDITIONAL PRINCIPLES

The Office's approach to monitoring is aligned with Child, Youth and Family's key strategic priorities as set out in *Ma Mātou, Ma Tātou*. The Office focuses on monitoring the success and effectiveness of these priorities in protecting the rights, interests and wellbeing of children and young people.

To recognise that our role is broader, our framework includes the following additional principles:

> *Build the knowledge base* – access all relevant information available about site performance and ask questions about the quality and standards of service being delivered; systematically build a knowledge base about the performance of the system
> *Add value* – add value to sites by providing them with the direction and insight they need to improve quality and standards of service delivery to achieve outcomes for children and young people
> *Continuous improvement* – build accountability and learning for improvement into the heart of the approach all those involved apply
> *Objective, standards-based decision-making* – use an agreed set of evaluative criteria to guide our decision-making and professional judgement.

OUR TIKANGA VALUES

Our practice is always informed by our values

> *Aroha:* Children are sacred beings, they are our Taonga. They are born perfect and innocent; they are shaped by those who care for them. We always act with compassion and empathy, adapting readily to respond to their needs.
> *Pono:* We believe honesty and integrity are key to doing our job well. We always report things as we see them and never as how others want them to be seen. We stay true to one important thing: we do as we say we will.
> *Matauranga:* Children are our reason for being. They are involved, participate and have input into things we do. We act from a place of knowledge; we work from evidence and advise others based on the things we learn.
> *Tika:* We are always about the best possible results for children. We empower others to bring about the best for them. We're independent and always speak out for their interests. We consider the range of needs we have to meet, and make every attempt to get it right.

Appendix 2: Lead Questions for Site and Residence Visits

Lead questions for children and young people regarding organisational performance

Domain	Elements	Evaluative questions
Leadership and direction	Purpose, direction and strategy	> Are children and young people in care aware of and involved in the purpose, direction and strategy set by a site or residence? How are they involved? Are they satisfied with their level of involvement? > How are children and young people affected by the purpose, direction and strategy of a site or residence?
	Leadership	> How do site and residence leadership decisions take account of what children in care say they need?
	Values, behaviour and culture	> How are children and young people's needs understood and valued by decision-makers?
People development	Leadership and workforce development	> Do children and young people feel that decision-makers in their lives know how to build a relationship with them, and understand them and their needs? Do they feel they have a meaningful voice?
	Performance management	> Do children and young people feel the people making decisions in their lives have the skills needed to relate to and communicate well with them, their families and whanau? > Do they feel the key people in their lives have the ability to provide the support and services they need?
Operational management arrangements	Systems and structures	> Do children and young people understand the rules around them, how decisions are made, who is responsible for making them, and how to change them? > How do the systems and structures impact on the wellbeing of children and young people?
	Roles and responsibilities	> Do children and young people know and understand the roles and responsibilities of key people in their lives – for example social workers, youth advocates ,caregivers, lawyers, police, youth workers, health workers, teachers/education support workers? > Can children and young people readily access the professionals working with them?
	Allocation of resources	> Do children and young people have access to the resources they need to be successful in completing their plans (particularly for youth justice), reach their goals and interests and increase their wellbeing?
	Review	> Are children and young people involved in reviewing programmes and services and, if so, what is their level of involvement and are they satisfied with this and the outcome?
Culture of learning and improvement	Feedback	> How well are observations and feedback from children and young people obtained and used to inform practice improvement?
	Communities of practice	> Do children and young people think that the adults around them learn from what they have done previously?

Lead questions for children and young people regarding social work practice

Domain	Elements	Evaluative questions
Quality of social work practice	Effective use of policies and practice frameworks	> Do children and young people receive the level of support they require from their social worker to reach their full potential? > Are children aware of and do they understand their care and youth justice plans - did they assist in developing, monitoring and evaluating them? > Do children and young people feel that their goals, needs and aspirations are understood by their social worker and reflected in their plans?
	Culturally appropriate practice	> Are children and young people provided with opportunities to maintain and strengthen their connections to their culture and spiritual practices?
	Access to complaints system	> Do children and young people know and understand the complaint process? > Do children and young people feel able to make complaints? > Are children and young people satisfied with how complaints are dealt with and know what to do if they are unhappy with the outcome of a complaint?
	Robust intervention practice	> Do interventions reflect and support the needs, goals, relationships and aspirations of the child/young person? > Do interventions have a positive impact on the wellbeing of children and young people? > Do youth justice interventions for young people ensure accountability while addressing the reasons for the offending?
	Transitions from care including residence (Care and Protection and Youth Justice)	> Are children and young people aware of and do they understand their transition plans? > What level of involvement do children and young people have in developing, monitoring and evaluating their transition plans? > Do children and young people feel adequately prepared for leaving Child, Youth and Family care/residences?
	Recruitment	> Are the views of children and young people in care sought to inform the development of the caregivers' recruitment strategy?
Care system	Caregiver support services	> Do children and young people in care feel safe and valued by their caregivers? > Are the views of children and young people sought when care and protection placement options are considered for them?
	Child centered practice	> Do children and young people feel that the decision-makers around them are focused on what's best for them? > Do children and young people feel valued by the decision-makers around them? > Do children and young people feel that their views are taken into account and make a difference to how they are cared for?
Engagement with children and young people and their families and whānau	Engagement with whānau	> Do children and young people feel they are listened to about the amount of contact they need and want with their families/whānau? Do they understand the rationale for their contact arrangements?
	Collaboration and partnerships with stakeholders	> Do children and young people think that the people working with them know and engage with each other or work effectively as a team? For example teachers, social workers, police, health practitioners, whānau, caregivers

Domains	Elements	Evaluative questions	Evidence streams
		> Are families and whānau supported and enabled to achieve agreed plans for care and protection and youth justice?	
Partnerships and networks	Links in the community	> Do children and young people feel well connected to their communities? > Are children and young people engaged in or encouraged to participate in pro-social activities? > Are there well connected resourceful networks within the community able to support and monitor youth justice plans?	

The next set of lead questions has been developed to support our assessment activities on the overall performance of sites and residences.

Lead questions: organisational performance

Domains	Elements	Evaluative questions	Evidence streams
Leadership and direction	Purpose, direction and strategy	> How effective are site and residence leadership teams in articulating the goals, expectations and strategy to their staff and stakeholders?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports > Community organisations > Iwi and Māori organisations > Pasifika and other cultural organisations
	Leadership	> How well does the senior team in the site or residence provide collective leadership and direction to staff and stakeholders?? > How well does the site or residence provide leadership and support to the leadership of other agencies in the sector?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports
	Values, behaviour and culture	> How well does the site or residence develop and promote the values, behaviours and culture it needs to support the best outcomes for children and young people?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports
People development	Leadership and workforce development	> How well does the organisation anticipate and respond to current and future capacity and capability requirements? > How well does the organisation maintain a diverse workforce? > How well does the organisation develop its people/frontline staff (including its leadership)? > How well does the organisation develop capacity to engage with rangatahi and tamariki Māori, their whānau and communities?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports > Community organisations > Iwi and Māori organisations > Pasifika and other cultural organisations > Staff union representatives

		> How well does the organisation develop capacity to engage with Pasifika children and young people, their families and communities?	
		> How well does the site or residence deal with inadequate performance?	
	Performance management	> How well does the organisation deal with inadequate performance? > How does it encourage high performance?	> Child, Youth and Family staff, including standing committees and caregivers
Operational management arrangements	Systems and structures	> How well designed are the structures and systems to support the delivery of effective, high quality practice?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports > CYRAS > Performance data
	Roles and responsibilities	> How clear are the roles, responsibilities and accountabilities throughout the site or residence and across all those involved in service delivery?	> Child, Youth and Family documentation and reports
	Allocation of resources	> How well does the leadership and management team allocate resources to support its goals? > To what extent does the allocation of resources consider the diverse needs of children and young people in care?	> Child, Youth and Family documentation and reports > Performance data
	Review	> How well does the site or residence monitor measure and review its programmes and services to ensure that it is delivering intended results for children?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports > Performance data
Culture of learning and improvement	Improving performance and effectiveness	> How well does the site or residence use and respond to data it holds on each child in their care? > How well does the site or residence utilise management data to improve their services to children and young people?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports > Self-assessment reports > Training and development strategies > CYRAS > Performance data
	Feedback	> How well are the observations and feedback from stakeholders obtained and used to inform practice improvement?	> Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports

Communities of practice	> How well does the organisation promote a culture of learning?	> Child, Youth and Family staff, including standing committees and caregivers	
	> How well are the forums for promoting sharing and learning across practitioners working?	> Child, Youth and Family documentation and reports	
	> How well is a continuous improvement approach to building cultural capability demonstrated, particularly for rangatahi and tamariki Māori?	> Training and development strategies	

Lead questions: social work practice

Domains	Elements	Evaluative questions	Evidence streams
Quality of social work practice	Effective use of legislative, policy and practice frameworks	> How well do Youth Justice services adhere to the principles described in the Part 4, Youth Justice Principles 208 (a) (b) and (c)? > How well do Care and Protection services adhere to the principles described in Part 1, General Principles Section 5 (a), (b), (c), (d), (e), (f) and Section 6? > How well do Care and Protection and Youth Justice residences, and any other iwi, cultural or community residences, adhere to the CYP&F Act 1989 Sections 361 – 409? > How well does the organisation use the frameworks, policies and practices provided by Child, Youth and Family in its day-to-day practice? > How well and to what extent are policies implemented and outcomes achieved?	> CYP&F Act 1989 > Performance data > CYRAS > Child, Youth and Family staff, including standing committees and caregivers > Child, Youth and Family documentation and reports
	Supervision	> How good and how regular is the supervision? > How good and how regular is cultural supervision?	> Child, Youth and Family staff, including standing committees and caregivers > Supervision files
	Culturally appropriate practice	> How well does the organisation integrate the practices appropriate for Tamariki Māori and their whānau? > How well does the organisation integrate the practices appropriate for Pasifika children and their families?	> Child, Youth and Family staff, including standing committees and caregivers > CYRAS > Rangatahi and tamariki Māori > Whānau
	Quality investigation and assessment	> How effectively is the Child Protection Protocol implemented? > How well does assessment identify the needs and strengths of children, young people and their families? > How well are care and protection and youth justice Family Group Conference services effecting positive outcomes for children and young people?	> Child, Youth and Family staff, including standing committees and caregivers > Police > Child, Youth and Family practice frameworks > Children and young people > Whānau > External stakeholders, health, education and social service providers

		> How well is TRAX, the youth justice assessment tool being used?	
	Robust intervention practice	> How well are children and young people and their families engaged in their planning and decision-making? > How well are plans and interventions matched to the needs of children, young people and their families? > How well are youth justice plans resourced, supported and monitored? > How timely are the interventions experienced by children, young people and their families? > How effective is the relationship between children and young people and their social workers? > How effectively are care transitions for children and young people planned and supported? > How regularly and how well is progress against plans monitored?	> Child, Youth and Family staff, including standing committees and caregivers > CYRAS, reports and intervention phases > Children and young people > Whānau > External stakeholders, health, education and social service providers
	Transitions from care	> How well does transition planning support young people to leave care (whether they are in care through care and protection or youth justice plans)? > How integrated and accountable are transition plans?	> CYRAS > Children and young people > External stakeholders, health, education and social service providers
Care system	Recruitment	> How well-designed and effective is the recruitment strategy for carers?	> Child, Youth and Family recruitment strategies and information about categories of caregivers recruited > Child, Youth and Family caregivers
	Caregiver support services	> How well are caregivers provided with training and development? > How well are caregivers supported and resourced to manage challenging and high risk behavior, both for children with high needs and young people who have offended? > How well are caregivers provided with support, both financial and social work, to	> Child, Youth and Family training and development strategies for caregivers > Child, Youth and Family documentation > Child, Youth and Family staff, including standing committees and caregivers

		undertake their care effectively?	
		> How well are the observations and insights of caregivers integrated into the planning and decision-making for children in care?	
Engagement with children and young people and their families and whānau	Child centered practice	> How well does the organisation examine children's experiences and their journey through the system? > How does the site or residence use the voices and feedback of children and young people to inform their practice?	> Child, Youth and Family documentation > Children and young people
	Engagement with whānau	> How well are staff listening to children and their families and whānau and tailoring their responses to their needs?	> Children and young people > Whānau > Child, Youth and Family staff, including standing committees and caregivers
Partnerships and networks	Collaboration and partnerships with stakeholders	> How well does the organisation promote collaboration with other agencies to support effective service delivery?	> Child, Youth and Family documentation including Memoranda of Understanding > Child, Youth and Family staff, including standing committees and caregivers > External stakeholders, health, education and social service providers
	Links in the community	> How well does the leadership and management draw on local resources and expertise to support effective delivery? > How well do they consult with and engage with the community so as to better serve the needs of the community? > How and to what extent does the organisation evoke feelings of trust and transparency amongst the wider community? > Are there gaps in service provision in the community, either for care and protection or youth justice?	> Child, Youth and Family documentation > Child, Youth and Family staff, including standing committees and caregivers > External stakeholders, health, education and social service providers

Appendix 3: National Preventive Mechanism Monitoring

In fulfilling our monitoring role for residences, we operate under two separate mandates. One is our general Child, Youth and Family monitoring function, the other is our role as a National Preventive Mechanism (NPM) under OPCAT (the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment).

Within this monitoring framework we work to achieve the optimal balance between our responsibilities under these two mandates, working in ways that ensure we fulfill our two sets of obligations in ways that are practical and resource effective for the Office, Child Youth and Family and other relevant stakeholders.

Our monitoring work as an NPM addresses six specific domains outlined below.

Domains	Elements	Evidence streams
Treatment	> How well are children and young people protected from inhumane or cruel treatment?	> Children and young people > Child, Youth and Family staff > Child, Youth and Family documentation > Health and education providers
Protection measures	> How well are children and young people's rights communicated to them? > How effectively are children and young people's rights upheld?	> Children and young people > Child, Youth and Family staff > Child, Youth and Family documentation
Material conditions	> How well do children and young people's living conditions uphold their dignity? > How well do the living conditions contribute to children and young people's sense of dignity and wellbeing?	> Children and young people > Child, Youth and Family staff > Observation and inspection of the physical environment > Child, Youth and Family documentation
Regime and activities	> How well does the regime of activities encourage the personal development of children and young people? > How well are young people's needs for medical services being responded to? > How well are children and young people's rights to their culture and religion upheld? > How well are children and young people's transitions home facilitated? > How effective is children and young people's access to health services?	> Children and young people > Child, Youth and Family staff > Community providers of activities > Child, Youth and Family documentation > Health providers
Personnel	> How well do staff ensure that children and young people are treated with respect for their individual and collective dignity and humanity?	> Children and young people > Child, Youth and Family staff

	> How well are staff trained and developed to ensure a safe, secure and respectful environment?

Further information on the NPM function is held separately, in documents that are specifically relevant to our NPM work.

Appendix 4: Summary of Monitoring Approach and Process

Monitoring Approach	• Focus on achieving systemic understanding of site or residence performance and outcomes for children • Taking a strengths based organisational development approach through purposeful inquiry, observation and reflective discussion with managers and staff • Looking at where the site or residence is positioned now, what's required to build on strengths, mobilise development and achieve improved results for children, young people and their families and whanau • Continuously improving our processes for engaging with children and young people, so their views and experiences inform and influence our assessments and are strongly visible in our reports • Evidenced reports including systemic recommendations, inviting sites and residences to design and implement action plans that achieve tangible outcomes for children and young people.

Preparation, Scoping, Planning	• For all residence reviews (except for unannounced OPCAT reviews) and for all single site and thematic reviews, meet with relevant national, regional and/or site and residence managers, discuss and scope review • Write up scope including focus and domains to be assessed and send to CYF • Design visit programme, access stakeholder information from CYF, agree itinerary details with site/residence, arrange meeting venues, send meeting invitations and scope to external stakeholders • For site visits and thematic reviews, identify children and young people and families and whanau who will be invited to meet with the Office, agree arrangements with site and provide information pamphlet • For residence visits, agree arrangements with management and school for young people to participate in survey and focus groups, provide information pamphlet • Identify with site or residence the data and documentation to be available for review: for example, supervision records, training records, incident reports, paper client files and individual care plans • Review CYRAS records in advance of visit, where relevant to inform focus of inquiry • Refine monitoring interview prompts specific to scope and focus of visit.

Post-visit feedback, analysis and reporting	- Provide high level verbal summary of findings (strengths and areas for development) either on site at completion of visit or shortly afterwards by video or teleconference - Complete CYRAS analysis as required - Complete full analysis of findings under each domain; agree ratings for domains and sub domains, using evaluative rubric - If further information or clarification of evidence is required, contact site/residence manager - Story-board report using analysis of the evidence gathered - Draft report, take to peer review and re-edit as necessary until final draft is signed off by Deputy Commissioner - Send final draft to CYF for content accuracy review and feedback on framing of recommendations - Meet with the CYF managers involved to discuss and resolve any content accuracy issues and discuss the recommendations - Make any agreed adjustments to the report or recommendations; finalise report for sign off by the Deputy Commissioner - Forward final report to Minister of Social Development, Chief Executive of Ministry of Social Development (MSD), Deputy Chief Executive of CYF and all national, regional and/or site/residence managers involved.

Review of plans and monitoring of implementation	- Meet by video or teleconference with site or residence managers involved and the relevant national, regional and/or site managers to hear whether recommendations have been accepted - Where recommendations have not been accepted, seek to fully understand the reasons for this - Where recommendations have been accepted, discuss the proposed action plan and explore what tangible differences the site/residence, regional and/or national office are seeking to achieve for children and young people through these actions, notice and discuss evidence of positive change and barriers to change - Minutes of monitoring review meetings are recorded by CYF's relationship manager for the Office and checked with all present before being finalised as a formal record - If the Office assesses that further monitoring of the action plan is required, another review meeting is scheduled for several months forward and a similar process is followed - The cycle of meetings continues until the Office is satisfied that sufficient tangible progress has been evidenced, to ensure improvement will continue without further monitoring - In some cases, particularly for residences where the Office visits on a regular cycle, progress with plans will also be reviewed through subsequent visits.