

EDUCATION AND COMMUNITY SERVICES - MANAGEMENT AND QUALITY ASSURANCE ARRANGEMENTS

1. Reason for Report

1.1 The Education and Community Services Committee at its meeting on 23rd January 2007 agreed changes to management arrangements in the Service and to the establishing of a Social Work Services Improvement, Performance and Quality Team in light of the Social Work Inspection Agency (SWIA) report and as proposed in the "Delivering Change" plan which was built on the recommendations of that report. Members also agreed to forward these recommendations to Asset Management Committee for confirmation.

1.2 The reports on Management Arrangements and on the Improvement, Performance and Quality Team as discussed at ECS Committee on 23rd January are attached as **Appendices A and B** to this report.

2. Report Summary

2.1 The SWIA report on Social Work in Dumfries and Galloway stated that "the Chief Executive should review structures, particularly in Social Work services, with a view to reducing their complexity and ensuring clarity of professional and legal accountability".

2.2 The existing senior management structure within the Directorate of Education and Community Services includes interim arrangements agreed by Dumfries and Galloway Council on 31 October 2006. The proposed new arrangements have been developed in the context of the SWIA Action Plans approved by the Education and Community Services Committee at its meeting on 14 December 2006. They take into account recommendations from the Council's independent Social Work adviser.

2.3 The new structure would retain Education and Community Services as a strategically linked group of services which have a direct input to individuals. It also seeks to consolidate and strengthen the position of Social Work within the Directorate, while securing the continued effective management of other services, following recent early retirements, and promoting cross-service operational links.

2.4 The report proposes the retention of a Corporate Director post together with a re-alignment of responsibilities at Group Manager level, including a new post of Service Director Social Work, which would be recruited through advertisement, incorporating the duties of Chief Social Work Officer, and with a link to the Chief Executive and Child Protection Committee function. These new arrangements are intended to build on, and supersede, the temporary arrangements put in place as an initial response to the SWIA report.

2.5 The proposed structure reporting to the Service Director Social Work would consist of a Lead Officer for Children and Criminal Justice, a Lead Officer for Adults and the Joint Strategic Planning and Commissioning post. These three posts would make up, with the Service Director, the Social Work Senior Management Team and be operationally responsible to the Corporate Director of Education, Social Work and Community Services. This structure would be supported by the Business Support functions within the Directorate.

2.6 Operationally, the Children and Criminal Justice service should maintain lead posts for Criminal Justice, for Operations East (+ specialisms), for Operations West (+ specialisms) and the Child Protection lead. For Adults the existing structure should be maintained with a single joint lead for Learning Disabilities, a single joint lead for Mental Health, a single lead for Older People/Physical Disabilities and maintain the Housing/Homelessness Supporting People service.

2.7 The second report (**Appendix B**) sets out a vision for frontline improvement, performance and quality, the links to the establishment of Quarterly Business Reviews (QBR) meetings for Social Work services, an analysis of the existing posts, identifies gaps in current arrangements and proposes a structure that provides a coherent approach to improving performance and quality across Social Work services. The intention of the QBR meetings is to develop a framework of performance indicators which provides a view of how well Social Work services are serving the residents of Dumfries and Galloway. This framework should also give staff information on their achievements and should allow Social Work services to report to Committee on progress in achieving national and local objectives and on resources needed to meet these objectives.

3. Recommendations

Members are asked to:

3.1 approve the proposed new management structure for Education Social Work and Community Services as outlined in the **Appendix B** in respect of changes in the existing structure, including the new post of Service Director Social Work.

3.2 agree to the creation of two new posts of Operations Manager, Frontline Improvement Team, and a Strategy, Policy and Procedures Development and Review Officer as part of a new Frontline Improvement, Performance and Quality Team.

4. Financial Implications

4.1 The proposals introduce an additional post at senior management level within the Social Work grouping, Service Director Social Work, and additional resources of approximately £100,000 will be required to fund this post and related costs. In addition, the two new posts for the Frontline Improvement Performance and Quality Team will cost an additional estimated £114,529 including all support costs.

4.2 The funding requirement was included in the budget approved by Council on 8 February 2007.

5. Risk Assessment

5.1 There is a risk that, if the Council does not respond positively and effectively, though clear improvements contained in the Action Plans, this could subsequently lead to further intervention by the Social Work Inspection Agency.

5.2 As an immediate response to the SWIA report the Council has agreed arrangements, including a temporary post of Group Manager Adult and Children's Services, to fulfil all CSWO responsibilities and clarify lines of responsibility and accountability. These arrangements were, however, intended to be temporary and are not sustainable in the long term in view of the range of responsibilities placed on the holder of this temporary post.

6. Consultations

6.1 As the initial report to ECS Committee indicates, there was widespread consultation prior to going to Committee and it was agreed at Committee that proposals be subject to further consultation with interested parties, including the unions.

6.2 The trade unions have welcomed the creation of a Service Director for Social Work services within the overall Corporate Directorate structure for Education and Community Services and welcome also the establishing of a Frontline Improvement, Performance and Quality Team. However, in accepting the need to have appropriate management structures in place, they would wish to emphasise the undertaking given to address recruitment and retention needs for fieldwork social workers supported by a trainee scheme. They highlight the need to address a shortfall in qualified social workers as highlighted in previous reports to Education and Community Services Committee. It has been agreed that this will be taken forward both through the SWIA Project Board and through the Improving Frontline Services Group.

6.3 Comments from Group Manager Human Resources

"The report aids our understanding of the proposed changes and management structure and provides greater clarity of the revised roles.

Human Resources are happy with the contents of the report but have not had sight of job descriptions to be able to formally grade any of the new roles."

Fraser Sanderson
Corporate Director
Education and Community Services

Date of Report: 13 February 2007
File Ref: GenRepECSSMan/F

APPENDICES - 2

EDUCATION AND COMMUNITY SERVICES – MANAGEMENT ARRANGEMENTS

1. Reason for Report

This report presents proposals for a revised management structure across Education and Community Services, in the light of the Social Work Inspection Agency (SWIA) report and other factors.

2. Report Summary

2.1 The SWIA report on Social Work in Dumfries and Galloway stated that “the Chief Executive should review structures particularly to Social Work services with a view to reducing their complexity and ensuring clarity of professional and legal accountability”.

2.2 The existing senior management structure within the Directorate of Education and Community Services includes interim arrangements agreed by Dumfries and Galloway Council on 31 October 2006. The proposed new arrangements have been developed in the context of the SWIA Action Plans approved by the Education and Community Services Committee at its meeting on 14 December 2006. They take into account recommendations from the Council’s independent Social Work adviser.

2.3 The proposals also allow the Directorate to respond to other factors including restructuring within Schools Services and the need for succession planning at senior management level. The new structure would retain Education and Community Services as a strategically linked group of services which have a direct input on individuals. It also seeks to consolidate and strengthen the position of Social Work within the Directorate, while securing the continued effective management of other services, following recent early retirements, and promoting cross-service operational links.

2.4 The report proposes the retention of a Corporate Director post, together with a re-alignment of responsibilities at Group Manager level, including a new post of Service Director Social Work, which would be recruited through advertisement, incorporating the duties of Chief Social Work Officer, and with a link to the Chief Executive and Child Protection Committee function. These new arrangements are intended to build on, and supersede, the temporary arrangements put in place as in response to the SWIA report.

2.5 The proposed structure reporting to the Service Director Social Work would consist of a Lead Officer for Children and Criminal Justice, a Lead Officer for Adults and the Joint Strategic Planning and Commissioning post. These three posts would make up, with the Service Director the Social Work Senior Management Team and be operationally responsible to a Corporate Director of Education, Social Work and Community Services. This structure would be supported by the Business Support functions within the Directorate.

2.6 Operationally, the Children and Criminal Justice service should maintain lead posts for Criminal Justice, for Operations East (+ specialisms), for Operations West (+ specialisms) and the Child Protection lead. For Adults the existing structure should be maintained with a single joint lead for Learning Disabilities, a single joint lead for Mental Health, a single lead for Older People/Physical Disabilities and maintain the Housing/Homelessness Supporting People service and a single lead for Performance and Quality.

2.7 The overall aim is to develop management structures which are fit for purpose in terms of meeting current demands on Education and Community Services, but are also able to respond to national policy directions for Education, Social Work, and Community Services.

2.8 The report focuses on structures at senior management level. If the proposed arrangements are accepted, there will be a need for further organisational development involving service areas within the Directorate.

3. Glossary of Terms

CSWO – Chief Social Work Officer

SWIA – Social Work Inspection Agency

4. Recommendations

Members are asked to:

4.1 agree to recommend to Full Council to re-designate the Education and Community Services Directorate as Education, Social Work and Community Services;

4.2 approve the proposed new management structure for Education, Social Work and Community Services, as outlined at **Appendix 3**, subject to final approval by the Asset Management Committee in respect of changes in the existing structures, including the new post of Service Director Social Work;

4.3 agree that appropriate consultations on the proposed structure should be undertaken with staff and trade unions; and

4.4 agree that the Chief Executive should begin the implementation and recruitment process, subject to the outcome of consultation, directly after any approval of the proposed structure by Asset Management Committee, to ensure these issues are progressed within the financial year 2006/07, noting that this will require additional resources of approximately £100,000 and that this forms part of the budget pressures detailed in the separate report to this Committee on the 2007/08 budget.

5. Corporate Plan Links and Contributions

5.1 Education and Community Services is responsible for managing around 63% of the Council's annual budget, and approximately 50% of its total work force. Securing effective management arrangements for these services must continue to be a priority for the Council as a whole.

5.2 *The Directorate has a key role in implementing the Council's Corporate Plan objectives, and makes a major contribution to the three themes of the Plan: Enterprising and Learning Communities, Inclusive Communities, and Safe and Healthy Communities. The proposed structure will take forward outcomes that contribute to progressing the Corporate Plan by confirming the Council's vision for Social Work services and improving services to produce better outcomes for people who use these services.*

5.3 *The proposals in the report also align with Council requirements for strong and effective management arrangements.*

6. Resources/Value for Money

6.1 *The revised management structure provides value for money by introducing clearer lines of management responsibility within a structure comprising a reduced number of senior management posts. The new structure requires four posts at Group Manager level, compared to the Directorate's original complement of five Group Managers. However, the proposals introduce an additional post at senior management level within the Social Work grouping (Service Director Social Work) and additional resources of approximately £100,000 will be required to fund this post and related costs. This funding requirement forms part of the budget pressures detailed in the separate report to this Committee on the 2007/08 budget.*

6.2 *Other resource implications relate to proposed changes in Social Work services. These issues will be developed as part of the "Delivering Change" Action Plans, within the context of the Council's three year Financial Efficiency Strategy, and will be the subject of progress reports on the Action Plans.*

7. Risk Assessment

7.1 *There is a risk that, if the Council does not respond positively and effectively, though clear improvements contained in the Action Plans, this could subsequently lead to further intervention by the Social Work Inspection Agency.*

7.2 *As an immediate response to the SWIA report the Council has agreed arrangements, including a temporary post of Group Manager Adult and Children's Services, to fulfil all CSWO responsibilities and clarify lines of responsibility and accountability. These arrangements were, however, intended to be temporary and are not sustainable in the long term in view of the range of responsibilities placed on the holder of this temporary post.*

7.3 *Similarly, the recent decision by Asset Management Committee on 19 December 2006 to approve the early retirements of the Group Manager Adult Services and Group Manager Schools Services has placed further pressures on the remaining management capacity in Education and Community Services. In the space of the last 12 months, the Directorate has seen a reduction from six Group Managers to three, with the Corporate Director assuming, for the moment, direct line management of the Schools Service.*

7.4 *Education and Community Services is facing a series of major demands in 2007, including implementation of the SWIA Action Plans, implementation of the Schools PPP Programme, and improvements to the wider schools estate, HMIE Inspection Report on Education Services, and achieving savings to meet the requirements of the Financial Efficiency Strategy. Taken together with the reductions in the number of senior managers over the last year, there is a serious risk that the responsibilities for managing this crucial group of services will exceed the remaining senior management capacity in the Directorate. It is therefore recommended that the revised arrangements presented in this report be implemented without delay.*

8. Consultations

8.1 *The Chief Executive, Chief Social Work Officer, Group Manager Business Support, Group Manager Community Services, Strategic Planning and Commissioning Manager, Group Manager Human Resources, Director of Finance and Group Manager Corporate Support and Governance have been consulted in the preparation of this report and any comments received have been taken into account. The President of the Association of Directors of Social Work has also been consulted on the conclusions of this report and has endorsed these proposals.*

8.2 *It is proposed that if the proposals in this report are accepted by Members as a basis for new management arrangements in Education and Community Services, they will then be the subject of appropriate consultation with interested parties including NHS Dumfries and Galloway.*

9. Background

9.1 *The original structure of Education and Community Services was established in 2002 following the Review of Council Structures. One of the aims of the review was to move from a structure made up of a number of individual departments, to a new structure based around strategic groupings of services. Education and Community Services brought together services generating social outcomes, focussed on individuals as well as the community as a whole.*

9.2 *The Review of Management of Change (2005) concluded that the management and decision making arrangements put in place as a result of the Review of Council Structures were generally fit for purpose. The review identified the role and status of the CSWO, and the relationship of the post to the Group Management structure as an issue which was being addressed.*

9.3 *The senior management structure within Education and Community Services originally provided for a Corporate Director, Group Managers for Schools Services, Adult Services, Children's Services, Community Services, and Business Support, a Joint Head of Strategic Planning and Commissioning, and a CSWO.*

9.4 *This structure remained unchanged until February 2006, when, on the retirement of the Group Manager Children's Services, the post was deleted and the duties re-allocated principally to the CSWO. The existing structure is illustrated at **Appendix 1.***

9.5 A report to Full Council on 31 October 2006 on management and decision making structures of the Council proposed further changes, as part of the Council's immediate response to the SWIA report, and in particular the requirement to address the reporting and management structure to reduce complexity and ensure clarity of professional and legal accountability.

9.6 The Council agreed that, in order to clarify legal and management accountability, a temporary post of Group Manager Adult and Children's Services should be created with Education and Community Services, to have responsibility for Adult and Children's Services and statutory CSWO responsibilities on an interim basis. The Council noted that long term proposals for Social Work Services were already under consideration as part of the Action Plan to address the recommendations of the SWIA Performance Report, and that discussions were ongoing with NHS Dumfries and Galloway regarding potential joint decision making structures.

9.7 Education and Community Services Committee at its meeting on 28 November 2006 agreed a restructuring within the Directorate and recognised that this may be part of a wider restructuring within the Council in due course.

9.8 The 'Delivering Change' response to the SWIA reports were approved by Education and Community Services Committee at its meeting on 14 December 2006.

9.9 The creation of the temporary post of Group Manager Adult and Children's Services allowed consideration of the early retirement of the Group Manager Adult Services.

9.10 In Schools Services, the retiral of an Operations Manager has created the opportunity to reduce five Operational Teams to four with the accompanying deletion of one Operations Manager post. This is part of a managed and phased process of restructuring in Schools Services and the Education and Community Services Committee at its meeting in November supported the early retirement of the Group Manager Schools Services as part of this restructuring process, with the Corporate Director assuming direct line management of Schools Services on an interim basis.

9.11 The Asset Management Committee at its meeting on 19 December 2006 approved the early retirements of the Group Manager Adult Services and the Group Manager Schools Services as part of a management restructuring in Education and Community Services.

10. Key Issues

10.1 Scope of Review

10.1.1 The implementation of the SWIA report Action Plans is a priority for Education and Community Services and the Council as a whole. A re-structuring of Education and Community Services should support and facilitate that implementation, and avoid creating further upheaval and uncertainty. There also remain significant advantages in linking Education and Social Work within one major service grouping. Increasingly, Councils across Scotland have adopted broadly similar models to encourage closer joint working between the main 'people' services. For example in Fife (Children and Adult Services), Edinburgh (Children and Families) and East Ayrshire (Educational and Social Services), Education and Social Work functions have been brought together in a single department.

10.1.2 It is therefore recommended that the Council does not undertake a wholesale re-structuring of the service. The SWIA report identified a need for major improvement across the Social Work service and there would be a danger that a fundamental re-structuring would lead to a focus on re-organisation rather than on the improvement work that is required.

10.1.3 It is also recommended that structural changes should be regarded as organisational development, and taken in two phases. Phase one should be to resolve senior management organisation issues, which is the subject of this report, and phase two would involve a more detailed review of service areas.

10.1.4 It is therefore proposed that the Education and Community Services Directorate, under the overall management of a Corporate Director, should be retained.

10.2 Proposed New Structure

10.2.1 The SWIA report identified concerns that the existing structure presented obstacles to effective working for staff and managers in Social Work Services. There were also concerns about the perceived loss of status and profile for Social Work within the wider Directorate.

10.2.2 In response to these concerns it is recommended that the Education and Community Services Directorate should be re-designated as the Directorate of Education, Social Work and Community Services.

10.2.3 It is also recommended that a new post of Service Director Social Work be created, replacing the post of Group Manager Adult Services and the previous post of Group Manager Children's Services. This new post would carry the CSWO responsibilities, with a direct reporting line to the Chief Executive as necessary, and would also have responsibility for the Child Protection Committee.

10.2.4 The post of Group Manager Schools Services should remain, but should be re-designated as Service Director Schools Services in recognition of the scale of responsibilities of this post. This post should be filled as soon as possible. The posts of Group Manager Business Support Services and Group Manager Community Services should also remain. The responsibilities of the Group Manager Community Services may, however, be subject to change, depending on decisions on the future locating of Community Learning and Development and decisions on the development of a Leisure and Cultural Trust.

10.2.5 The proposed new structure is shown at **Appendix 2**. The adoption of this structure would achieve a simple and straightforward organisation arrangement and creates minimal disruption.

10.2.6 The proposed structure achieves a number of objectives:

- it maintains the benefits of a Corporate Directorate, providing opportunities for clearer operational links;
- it re-establishes the identity of Social Work;
- it is an incremental, rather than fundamental, review;

- *it provides flexibility to respond to any national policy decision that may be developed; and*
- *it allows closer working with partners to be developed.*

10.3 Arrangements within Social Work

*10.3.1 The proposed arrangements for Social Work are shown at **Appendix 3**.*

These proposals have been developed with the advice of the Council's independent adviser on Social Work, who has been assisting the Council in producing its response to the SWIA report.

10.3.2 The proposals for service management below the Service Director Social Work reflect the original structure, by maintaining a Lead Officer for Children and Criminal Justice, a Lead Officer for Adults, and the Joint Head of Strategic Planning and Commissioning. These three posts, with the Service Director would make up the Social Work Management Team and be operationally responsible to the Corporate Director.

10.3.3 The Social Work Management Team would require support from the Business Support Group, and from Finance, particularly as the SWIA report made reference to improving the financial expertise in Social Work. The CSWO link to the Chief Executive is maintained.

10.3.4 Operationally, the Children and Criminal Justice Service should maintain service manager posts for Criminal Justice, for Fieldwork East, for Fieldwork West and the Child Protection service manager role. For Adults, the existing structure should be maintained with a joint Operations Managers for Learning Disabilities, for Mental Health, for Older People/Disabilities and for Housing, Homelessness and Supporting People.

10.3.5 It is also recommended that a further report be presented on the establishment of a new Performance Improvement and Quality Unit as part of Social Work.

10.4 Succession Planning

10.4.1 Succession planning is a key aspect of the Council's Human Resource Strategy. The age profile of senior management in a number of Council services, including Education and Community Services, means that active consideration needs to be given to how and when senior posts should be filled over the next few years. The Corporate Director of Education and Community Services has indicated an intention to retire within the lifetime of the existing Council. Approval of the proposed new structure would allow succession planning to proceed within Education and Community Services, and this should be the subject of a further report.

Tel: (01387) 260015

Date of Report: 16 January 2007

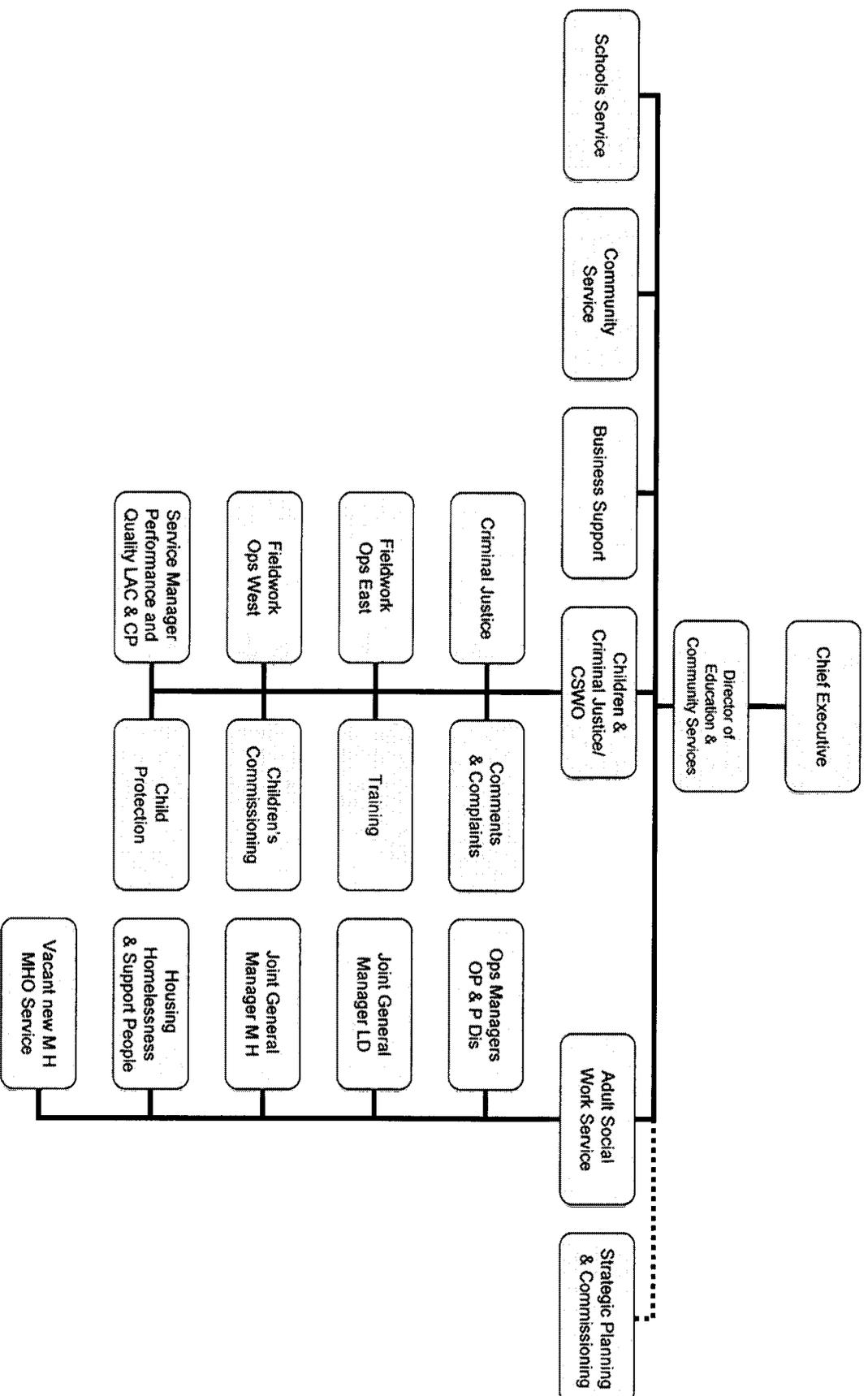
*Fraser Sanderson
Corporate Director of Education and
Community Services*

*Leslie Jardine
Corporate Director of Corporate Services
Council Offices
English Street
Dumfries*

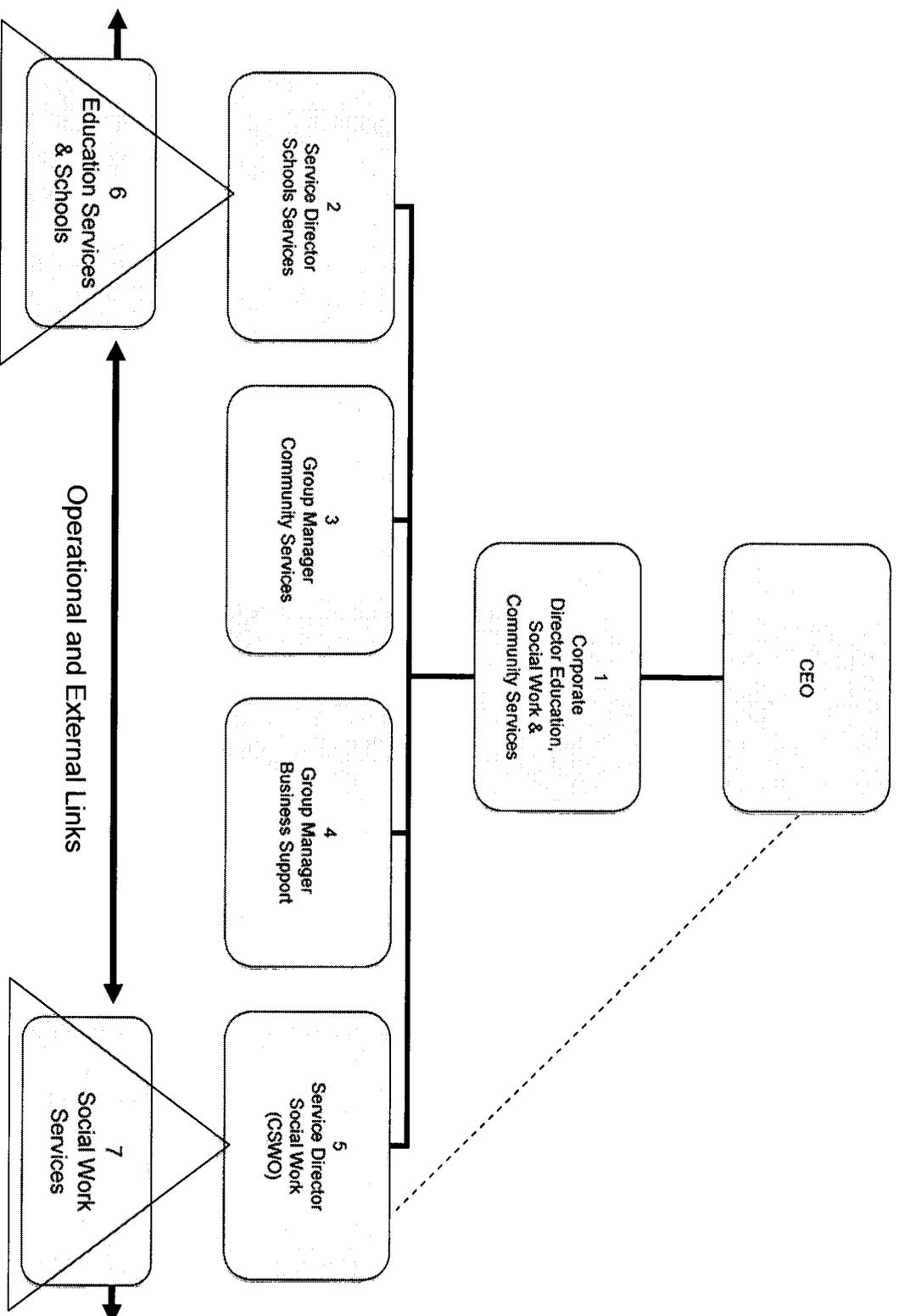
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APPENDICES - 3

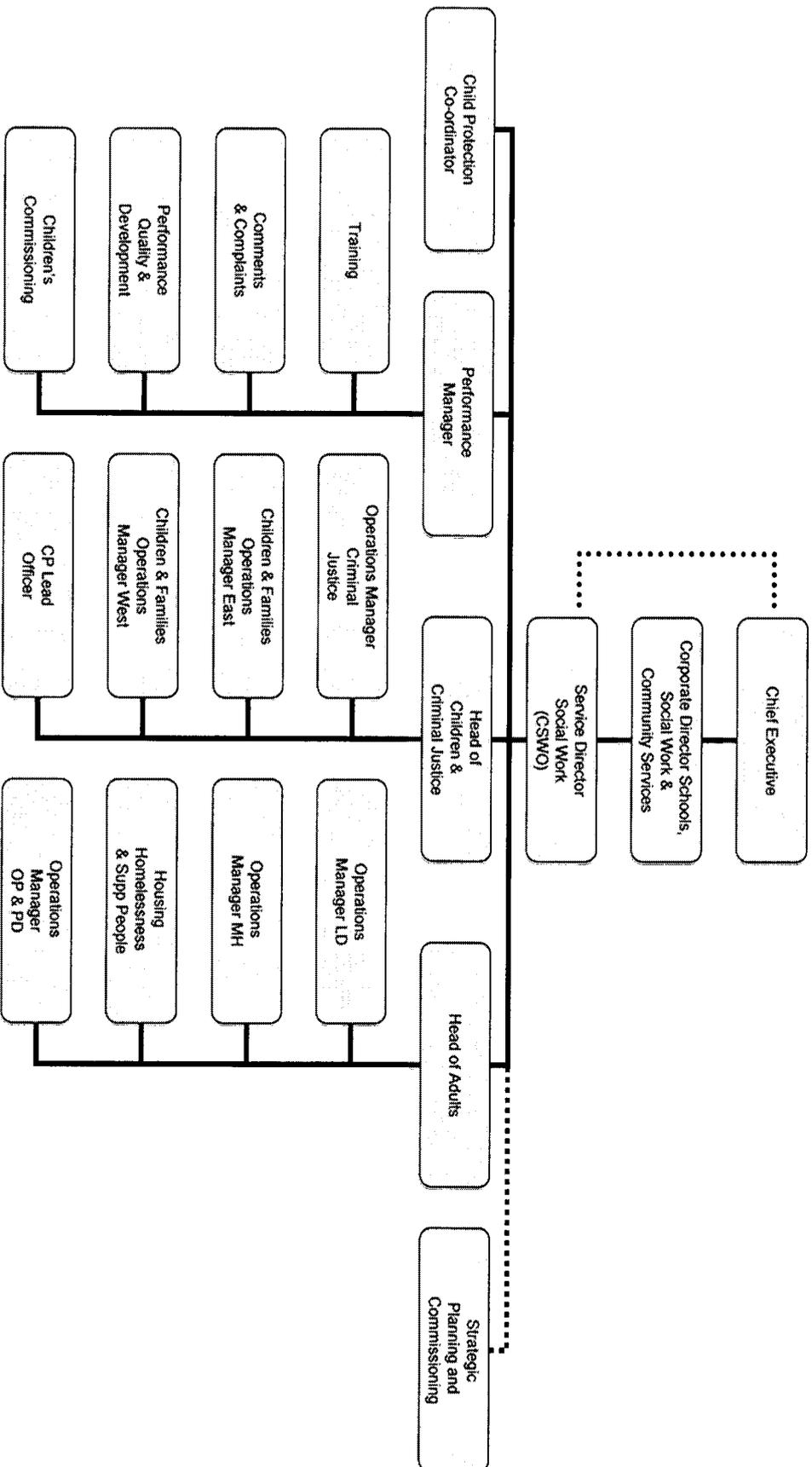
Appendix 1 – Existing Education and Community Services Organisational chart



Appendix 2 – Proposed New Education and Community Services Structure



Appendix 3 – Proposed New Social Work Structure



'DELIVERING CHANGE' ESTABLISHMENT OF A SOCIAL WORK SERVICES FRONTLINE IMPROVEMENT, PERFORMANCE AND QUALITY TEAM

1. Reason for Report

Following Committee agreement (Education and Community Services Committee 14th December 2006) to establish a Frontline Improvement, Performance and Quality Team this report brings forward, for consideration, detailed arrangements and costs for implementation.

2. Report Summary

2.1 The Social Work Inspection Agency (SWIA) Performance Inspections of Social Work Services and Criminal Justice Social Work Services reports published on 8th September 2006 made a number of recommendations that required improvements in performance and quality of social work services

2.2 Prior to the SWIA inspections, Education and Community Services had developed an outline of the functions required to deliver aspects of performance and quality across social work services

2.3 This Committee report links to the 'Delivering Change' Organisational Structure For Social Work Services Committee report tabled at Education and Community Services Committee on 14 December 2006 that shows where Frontline Improvement , Performance and Quality fits with that proposed structure

2.4 The report sets out a vision for frontline improvement, performance and quality, the links to the establishment of Quarterly Business Reviews (QBR) meetings for social work services, an analysis of the existing posts that relate to the function required at 2.2. above, identifies gaps in current arrangements and proposes a structure that provides a coherent approach to improving performance and quality across social work services. The intention of the QBR meetings is to use this to develop a framework of performance indicators which together provide a view of how well social work services are serving the residents of Dumfries and Galloway. This framework should also give staff information on their achievements and should allow social work services to report to Committee on progress in achieving national and local objectives and what additional resources are needed to meet local and national targets. Detailed information about the QBRs is provided in the attached report.

2.5 An incremental approach is outlined that takes account of existing structures and joint arrangements that require further examination.

3. Glossary of Terms

SWIA – Social Work Inspection Agency

QBR – Quarterly Business Review meetings to set targets and measure performance.

SWSMT – Social Work Senior Management Team

4. Recommendations

Members are asked to:

4.1 agree to implement arrangements for the Frontline Improvement, Performance and Quality Team within the structure for social work services within financial year 2006/7 at an annual cost of £114,529, noting that additional funding will be required for this proposal and that this budget pressure is included in a separate report to this Committee in respect of the 2007/08 budget and to recommend this proposal to the next Asset Management Committee;

4.2 agree that the Corporate Director for the proposed 'Education, Social Work and Community Services' should initiate recruitment processes immediately for Operations Manager Frontline Improvement, Performance and Quality, and the Strategy, Policy and Procedures Development and Review Officer and initiate re-engineering to establish the two posts of Performance and Quality Assurance Improvement Manager – Criminal Justice and Adult Services;

4.3 note the initiation of the Quarterly Business Report meetings in the first quarter of 2007 in line with 'Delivering Change'; and

4.4 instruct the Corporate Director to bring forward a report after one year of the team being established that considers further arrangements in particular with joint services.

5. Corporate Plan Links and Contribution

Frontline Improvement, Performance and Quality has a direct impact on evidencing the delivery of outcomes that contribute to progressing the Corporate Plan by confirming the Council's vision for social work services and improving services to produce better outcomes for people who use these services. In doing so, the proposed structure complements the themes of Inclusive Communities and Safe and Healthy Communities within the Corporate Plan

6. Resources/Value for Money Assessment

6.1 Education and Community Services had identified gaps in evidence based performance management and this was confirmed in the SWIA inspection reports. Some of the requirements can be addressed by deploying resources to become more coherent and focussed within a single team. However, a minimum number of four posts have been identified to proceed with the development of the team. Two of these posts could be re-engineered through existing resources within Education and Community Services. The remaining two posts will require additional funding to ensure the establishment of the team as a priority. (See Appendix 1 attached independent report for detailed outline). Given staff will remain in current locations, administrative support will be provided from within current resources.

6.2 *Two posts will require to be resourced.*

- **Operations Manager, Frontline Improvement Team** – needed to lead the unit, introduce strategic, cultural, performance and practice change to underpin the QBR process, and to ensure appropriate linkages with other parts of the social work, the corporate frameworks and its partners particularly NHS.
- **Strategy, Policy and Procedures Development and Review Officer** – to link national and local strategic policy with procedures and briefings for frontline staff

6.3 *A job evaluation has been carried out for the Operations Manager Frontline Improvement, Performance and Quality, while a broad job outline has been developed for the Strategy, Policy and Procedures Development and Review Officer. The costs for this had originally been estimated at £203,000, but, further work has been carried out to make better use of existing resources and the costs of the two post are now confirmed for the Operations Manager and estimated for the Strategy, Policy and Procedures Officer of £114,529 at maximum point and including equipment/ office costs.*

7. Risk Assessment

If the Council does not respond to the Social Work Inspection recommendations it runs the risk of good practice and improvements in practice not being evidenced with the consequence that 'Delivering Change' cannot confirm that targets have been met. This may result in further intervention by the Social Work Inspection Agency.

8. Consultations

8.1 *The Group Manager Human Resources has been consulted in relation to staffing costs for the additional posts proposed from the Frontline Improvement, Performance and Quality Team.*

8.2 *The Joint Trades Unions will be consulted in relation to this report along with the report to Committee on organisational change for Education and Community Services. This will include UNISON, Transport and General Workers Union (TGWU) and General and Municipal Boilermakers Union (GMB).*

8.3 *The Chief Executive NHS has been consulted in the incremental nature of the proposal.*

8.4 *The Corporate Management Team has been consulted in relation to the proposals and also Group Manager Policy and Improvement in relation to the links to the corporate arrangements to performance and quality.*

8.5 *The Director of Finance have been consulted on this report.*

9. Background

9.1 *The Social Work Inspection Agency (SWIA) carried out inspections between January and April 2006 and subsequent reports were published on 8th September 2006. Dumfries and Galloway Council have drawn up the 'Delivering Change' improvement plans along with its partners and agreed these at the Education and Community Services Committee on 14th December 2006.*

9.2 *Recommendation 1, 6, 9, 11, 19 along with areas for improvement within the SWIA Performance Inspection were considered to link to the workstream of Frontline*

Improvement, Performance and Quality of Social Work Services along with associated areas for improvement in the Criminal Justice Inspection.

10. Key Issues

The establishment of a Frontline Improvement, Performance and Quality Team was identified as a priority for immediate action in the 'Our Priorities' section within 'Delivering Change'.

<p><i>Fraser Sanderson Corporate Director of Education and Community Services Woodbank, 30 Edinburgh Road DUMFRIES, DG1 1NW</i></p>	
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*Date of Report: 16 January 2007
File Ref:*

APPENDICES – 1

**REPORT FROM INDEPENDENT ADVISORY ARRANGEMENTS SET UP AS A
CONSEQUENCE OF THE SWIA REPORT**

**'DELIVERING CHANGE' – ESTABLISHMENT OF A FRONTLINE
IMPROVEMENT, PERFORMANCE AND QUALITY TEAM WITHIN SOCIAL
WORK SERVICES**

1. PURPOSE OF THIS REPORT

1.1. *This report provides independent recommendations from the advisory arrangements set up as a consequence of the SWIA report on the establishment of a frontline improvement, performance and quality team within social work services.*

2. BACKGROUND

2.1. *The Council agreed to the establishment of a Frontline Improvement, Performance and Quality Team within social work services at the Education and Community Services Committee on 14th December 2006 and set out as one of its immediate priorities in 'Delivering Change', that*

'in year one (2007), in the context of our vision, are to meet the immediate requirements from the inspection report through: performance management; by setting up by April 2007 processes and a Frontline Improvement, Performance and Quality Team that will provide managers with information to make decisions based on evidence. The intention is that this will be used for the improvement of services.'

2.2. *The Social Work Senior Management Team has agreed a functional framework for frontline improvement, performance and quality. This is illustrated in Appendix 1. In addition they have agreed to performance and quality as a distinct operational team within the social work structure. The independent advisory arrangements commend this stance.*

- 2.3. *The unit should be led by an operations manager responsible to the proposed Service Director of Social Work / Chief Social Work Officer. The unit should be formed by bringing together the existing posts/functions and addressing gaps where currently there are no posts undertaking particular functions. This should be achieved by re-grouping of some existing posts, a reconfiguration of other existing posts and the creation of some new posts.*
- 2.4. *The main aim of the 'Frontline Improvement Team – Performance and Quality', should be, as its title indicates, to improve frontline social work services by focusing on the quality of services delivered to users and by collecting quantitative and qualitative data on overall social work performance. These activities should be directly linked to the strategic aims and objectives of social work.*
- 2.5. *The unit should focus on continuously improving the delivery of social work functions by measuring outcomes and impacts and responding to SWIA reports, founding this on the social work Performance Inspection Model (See Appendix 2) and its associated Performance Improvement Framework. It should collect hard data, conduct surveys of users of our services and frontline staff delivering services, as well as undertaking regular case file audits.*
- 2.6. *The unit should interface with Schools Services, Health and other agencies for children via processes established for the Integrated Children's Services Plan; with Health and other agencies concerned with Adults via the Joint Futures agenda and processes; and with Criminal Justice via the new Community Justice Authority arrangements. The unit should run alongside the Council's central performance management systems in order to ensure Best Value and continuous improvement.*

3. RECOMMENDATIONS

3.1. *An incremental approach is recommended to ensure immediate action by the Council in response to the SWIA recommendations contained in the inspection reports of 8th September 2006. Phase 1 should introduce immediate improvements with Phase 2 reviewing the immediate actions and considering with NHS the best arrangements with the Joint Strategic Planning and Commissioning Team.*

3.2. **Phase 1:** *Social Work Senior Management Team commissioned an analysis of existing and required posts within Education and Community Services to meet the functional requirements of the Frontline Improvement, Performance and Quality Team, with a view to identifying posts that corresponded to the functional framework and gaps where posts that could undertake the functions required were not available.*

This analysis is illustrated (See Appendix 3) outlining the posts and line management required for a Frontline Improvement, Performance and Quality team. Further work should be initiated at Phase 2 to consider the best arrangement with the Joint Strategic Planning and Commissioning Team.

The existing posts identified that undertake functions and are envisaged to be line managed directly by the operations manager are:

- *Development Manager, Business Systems Development*
- *Team Manager, Training and Personal Development*
- *Service Manager, Performance and Quality, Children and Families.*
- *Team Manager, Commissioning, Children and Families.*
- *Team Manager, Comments and Complaints.*

Post identified that undertake functions should be managed by this group of managers are:

- *Council Corporate Children's Services Manager – Integrated CSP.*
- *Management Information Officer, Social Work Services.*

- *Information and Research Officer, Child Care Residential Services.*
- *Information and Research Officer, Family Placement Team.*
- *Information Officer, Criminal Justice Services.*
- *Information Officer, Youth Offending Team.*
- *Team Manager, Planning and Assessment, Children and Families.*
- *Child Protection Officer, Children and Families.*
- *Team Manager, Looked After Children.*
- *Business Systems Development Team*
- *Training and Personal Development Team*

These posts above should be subject to an impact analysis by the Operational Manager once appointed regarding movement of line management responsibilities.

The Communications Officer, Education and Community Services is currently managed by Corporate Communications and close links should be formed with this officer but they will not be line managed by the Operations Manager.

3.3. The immediate gaps in developing the team are

Operations Manager, Frontline Improvement Team – needed to lead the unit, introduce strategic, cultural and practice change to underpin the Quarterly Business Review process, ensure appropriate linkages with other parts of the social work and health network and provide the focus for line managing by bringing together the disparate posts identified within social work services and making strong non line management links across social work services with the Joint Strategic Planning and Commissioning Team.

Strategy, Policy and Procedures Development and Review Officer – to link strategic policy with procedures - a significant gap in the organisation, both within adult services and children services

Performance and Quality Assurance Improvement Manager – Criminal Justice – to work with and through frontline staff and operational

managers to challenge and support professional practice, best value and continuous improvement.

Performance and Quality Assurance Improvement Manager – Adult Services - *to work with and through frontline staff and operational managers to challenge and support professional practice, best value and continuous improvement.*

The Social Work Senior Management Team (SWSMT) have indicated at their Performance and Quality development meeting that the two posts of Performance and Quality Assurance Improvement Manager – Criminal Justice and Adult Services should be funded from existing resources identified within Education and Community Services. The other two posts of Operations Manager, Frontline Improvement Team and Strategy, Policy and Procedures Development and Review Officer will require additional funding. The break down of costs is outlined below and include on costs of 26.8%

	Grade	Cost
Operations Manager	OPM1	£64,150
Strategy, Policy and Procedures Development and Review Officer	PO2	£40,379
Total		£104,529

- 3.4. *Further costs will be required for premises and equipment to be identified by the Operations Manager. Some equipment and use of existing premises should continue as location may remain the same for staff with the change being in line management. Decisions in respect of this should not hold up the immediate requirement from 'Delivering Change' target to implement the establishment of the team by April 2007.*
- 3.5. *The Planning and Assessment Team are subject to an evaluation to determine whether they should be line managed by the operations manager or the children's services line management.*
- 3.6. *The first task of the operations manager is to undertake a risk analysis of the impact on the service of the establishment of the team*

*3.7. **Phase 2:** A review of the best arrangements for joint performance and quality services with the Joint Strategic Planning and Commissioning Team should be undertaken one year following inception of the Frontline Improvement, Performance and Quality Team. This should not preclude efforts to make performance and quality more coherent across social work services during Phase 1.*

4. QUARTERLY BUSINESS REPORTS

Performance Indicators, Quarterly Business Reviews and Quality Assurance

4.1 First Draft Performance Indicators

Officers have gathered together existing performance information requirements across social work services. The intention is to use this to develop a framework of indicators which together provide a view of how well social work services are serving the residents of Dumfries and Galloway.

This framework should also give staff information on their achievements and should allow social work services to report to Committee on progress in achieving national and local objectives and what additional resources are needed to meet local and national targets.

There are 5 sections:

- Children and Families*
- Adult Care Services*
- Criminal Justice*
- Housing*
- Staff Management and Support*
- Housing and Homelessness*

There are six main domains, based on the Performance Inspection Model, that require to capture data including:

- *What key outcomes have we achieved?*
- *What impact have we had on people who use our services and other stakeholders?*
- *How good is our delivery of key processes?*
- *How good is our management?*
- *How good is our leadership?*
- *What is our capacity for change?*

Each domain should be represented by a set of indicators, which combined should make up the finally agreed set of indicators.

A decision will be required on what the indicators should be with the need to settle on a manageable number – say between 50 and 60 – that, taken together, inform on overall performance.

4.2 Quarterly Business Reviews (QBR)

The QBR process provides a systematic structure to measure performance against set targets and objectives and allows managers to make decisions on resource deployment and/or service development based on evidence.

The QBR process provides the discipline to deliver an improved approach to performance management.

The timetable for the introduction of the QBR process is set out in 'Delivering Change'.

The initial stage is to identify the range of performance indicators (PIs) to be recorded and to set targets. Alongside this, processes, either existing or new, should be set in place to record and report activity quarterly on all the targets to inform management decisions and resource deployment.

The timetable for QBRs is:

- *Now to February 2007 – review systems and staffing to ensure QBR processes can be achieved.*
- *February to March 2007– identify a basket of PIs and set targets.*
- *April/May/June 2007 – data recording undertaken systematically to report to QBR meeting.*
- *July 2007 – first QBR meeting to review first quarter of the year and make consequential decisions.*
- *July/Aug/Sept 07 - data recording undertaken systematically to report to QBR meeting.*
- *October 2007 – second QBR meeting to review first and second quarters of the year and make consequential decisions.*
- *Oct/Nov/Dec 07 - data recording undertaken systematically to report to QBR meeting.*
- *Jan 08 - third QBR meeting to review first, second and third quarters of the year and make consequential decisions.*
- *Jan/Feb/March 08 - data recording undertaken systematically to report to QBR meeting.*
- *April 08 - fourth QBR meeting to review whole year and make consequential decisions and set targets for forthcoming year(s).*
- *Process repeats on ongoing basis.*

Early in the New Year decisions will be required to refine and confirm the set of performance indicators to be recorded and establish targets for the financial year 2007/08.

4.3 Quality Assurance

Accompanying the QBR process there should be regular thematic inspections of services based on case file audits. These should complement the quantitative performance measurement. There will also require to be regular surveys of service users and staff.

The case file audits should also establish how well social work services are assessing service user needs and meeting these. They should examine the responsiveness of operational systems and the robustness of frontline day-to-day management.

4.4 Change Management – Ownership at the Frontline

Accompanying the introduction of the QBR system and quality assurance audits, attention should be paid in promoting the approach to frontline teams and their managers. The QBR process should facilitate improvements..

The broad social work vision statement set out in 'Delivering Change' can be translated into specific objectives for each service area, with the PI's then being directly linked to these objectives. This should facilitate ownership of the PI's and the targets we set.

The Social Work Operational Managers meeting in January 2007 should start the process of refining the PI's to be collected. Initially, this should be a 'top-down' process.

It would be helpful in facilitating the deeper cultural change needed to embed performance and quality in frontline teams through a process of managing the change. This should entail organising a series of workshops in February 2007 to involve staff in identifying specific objectives for their service area and to make direct links with the selected PI's.

5. CONCLUSION

5.1. A Frontline Improvement, Performance and Quality Team should be formed

5.2. An Operations Manager should be recruited to lead the team

- 5.3. The Operations Manager should undertake a risk analysis for posts being aligned within the team*
- 5.4. A Strategy, Policy, Procedures, Development and Review Officer should be recruited*
- 5.5. The Performance and Quality Assurance post for Criminal Justice and Adults Services should be established by SWSMT from existing resources.*
- 5.6. An incremental approach should be taken regarding comprehensive structural arrangements with the joint arrangements while ensuring progress in establishing coherence immediately*
- 5.7. Quarterly Business Review Meetings should be initiated for the first quarter of 2007*
- 5.8. Further review arrangements should be initiated after one year of operation including the best arrangements for the joint services*

Dumfries and Galloway Education and Community Services

Adult, Children's and Criminal Justice Social Work Services

Strategic Planning, Leadership, Vision, Values, Management, Partnership Planning, Performance Culture Change, Performance Overview, Direction, Profiling the Organisation, Best Value, Link to Corporate Performance Framework, Link to Strategic Management Framework, Link to Key Management Groups for routine consideration and decisions about performance trends and Completion of Audits and National Requirements

Link to Corporate Performance Management Framework And Strategic Management Framework

External Drivers- e.g. SWIA, Audit of Best Value and Community Planning, Changing Lives

Customer First Focus

Service/ Staff Development

Performance Improvement and Quality Assurance

Strategic Planning and Commissioning

Training and Personal Development

Business Systems Development And IT Development

Policy and Procedures Development and Review

Linked

Specialist Children and Families Quality Assurance

Specialist Criminal Justice Quality Assurance

Specialist Adults Quality Assurance

Quality assurance challenge and support for professional practice – Best Value & Continuous improvement – Self Evaluation – Benchmarking

Adults Commissioning Contracting and Compliance

Children and Families Commissioning Contracting and Compliance

Training Strategy and Plan – Mentoring

Framework for delivery of key business processes – Service development – Project Planning - Business Reports

Policy Review and development Drafting Policies and Procedures Updates re new legislation across Adults and Children's services

Communication, Consultation Public Information updates and Impact on people, staff and community

Management Information - - Extraction of information from systems - Analysis of information Mapping of need - Checking Performance against national targets e.g .JPIAF - JLITS Performance Targets - Checking reliability and validity of information - Research

Comments and Complaints – Loop into culture of organisation

Strategic Service Planning and Commissioning -Drafting plans. -Development range of services to address gaps in provision and unmet need. -Development of integrated services -Joint development of strategic service aims -Development of service specifications -Service re-engineering -Link between planning aspirations and Finance and Resources -Procurement of services

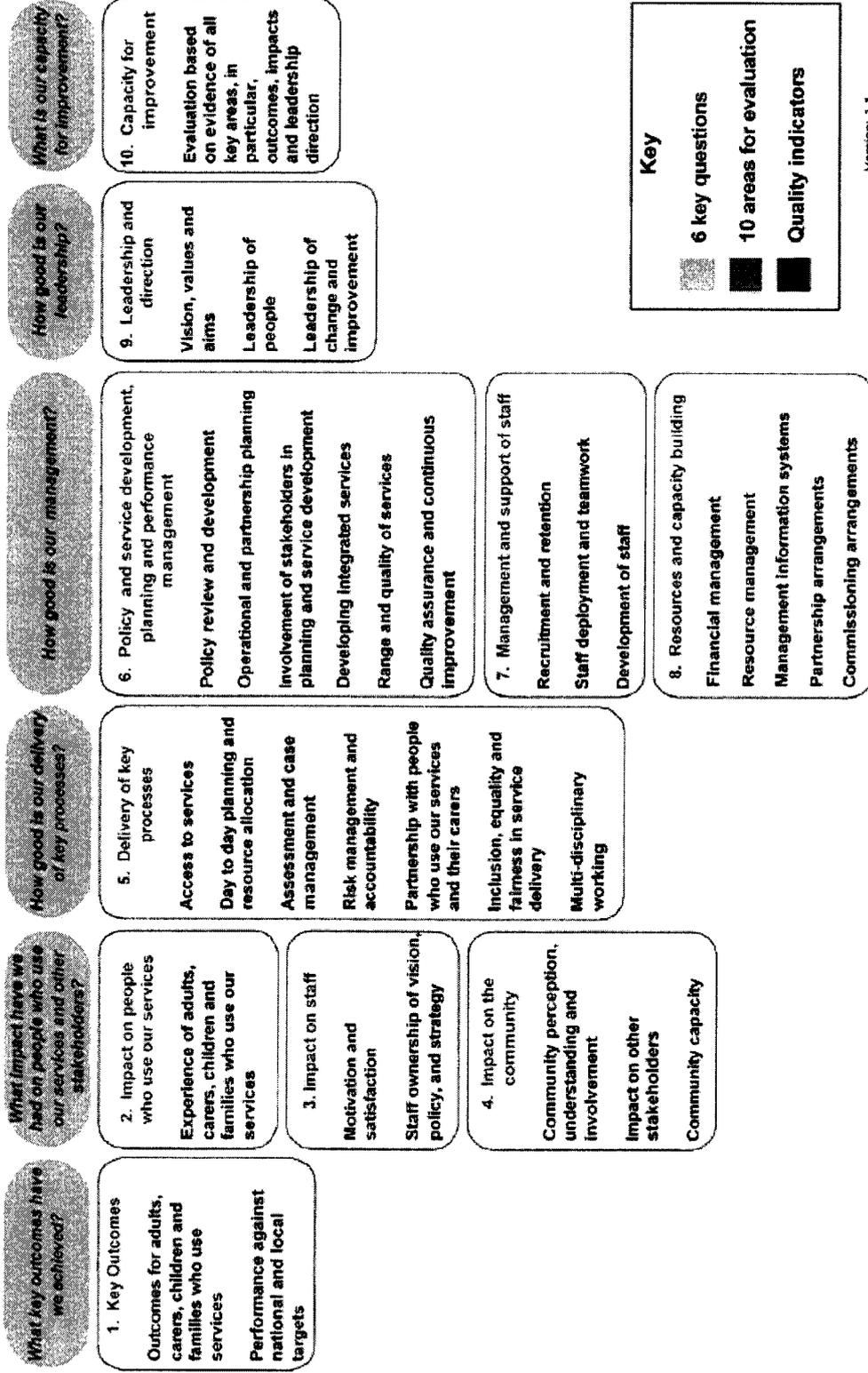
Performance Monitoring and Contracting --JLITs development -Contract monitoring and evaluation -Assessing and developing service form and function in relation to National Standards

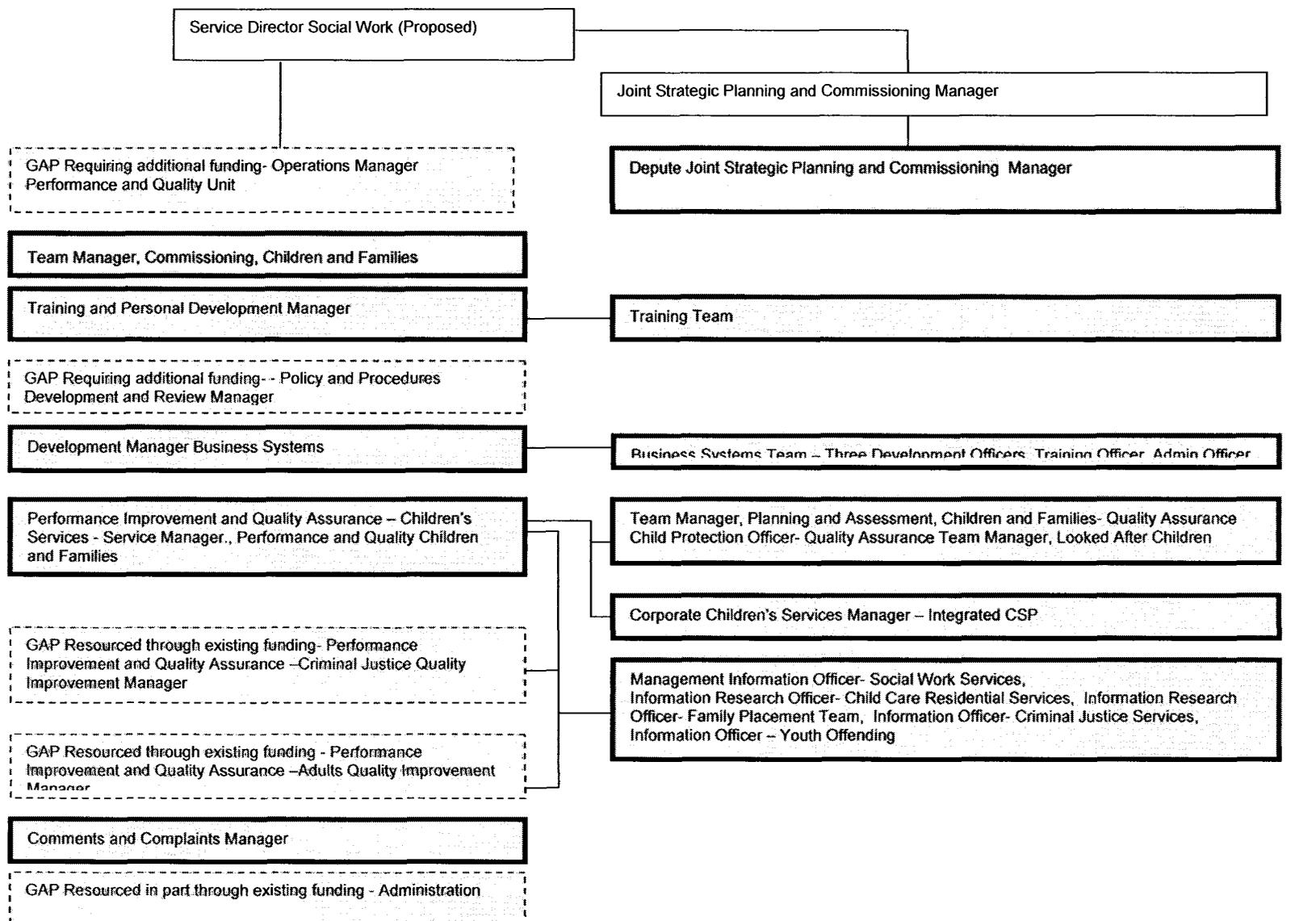
Audit of performance compliance -Consultation with users and carers across the voluntary and public sector stakeholders -Engagement with other local authority areas on service change and service development

Administration of Performance and Quality - Logistical Organisation of External Audit Arrangements- Collation and Cataloguing Key Performance Reports – Maintenance of Action Plans – Ensuring information is logged on systems by front line staff



Performance Inspection Model (PIM)





KEY

- Strategic Planning and Commissioning
- Service/ Staff Development
- Performance and Quality Assurance
- No existing post holders