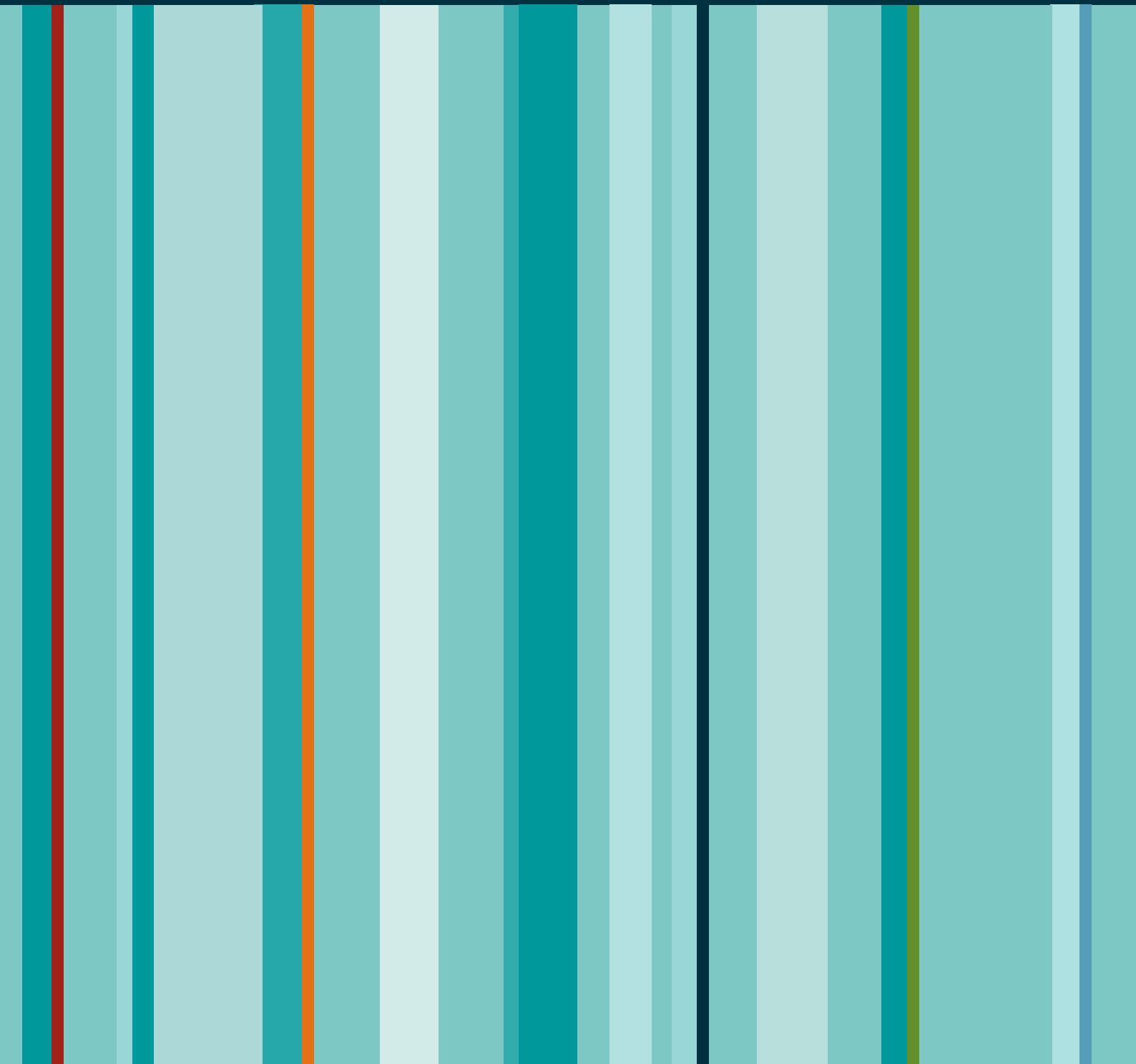


guide to **LEADERSHIP**

taking a closer look at leadership in the voluntary and private social care sectors



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ISBN: 978-0-9567630-4-4

Social Work Inspection Agency (SWIA)
Ladywell House
Ladywell Road
Edinburgh
EH12 7TB

Produced for the Social Work Inspection Agency by APS Group 149322 (03/11)

Published by the Social Work Inspection Agency, March 2011

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An electronic version is available along with our contact details on the SWIA website at swia.gov.uk

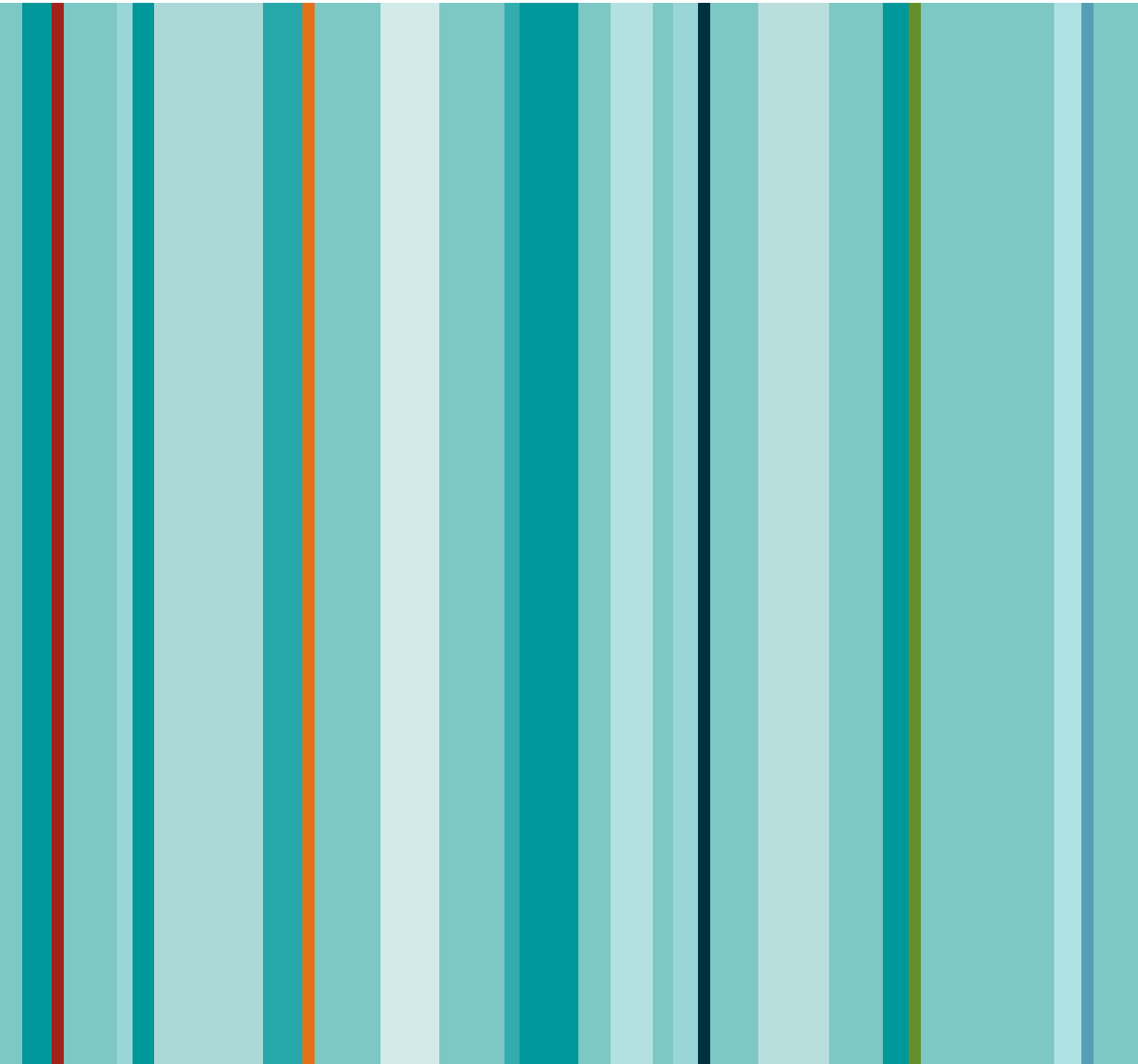
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CONTENTS

	Page
Section 1: Introduction	2
Section 2: Overview	4
Section 3: How to use the self-evaluation material	10
Section 4: Producing an improvement action plan	13
Section 5: Evaluating performance	15
Appendix 1: The Performance Improvement Model	33
Appendix 2: Links to source material used in producing the guide	34
Appendix 3: The six-point evaluation scale	35
Appendix 4: Self-evaluation record	37

01

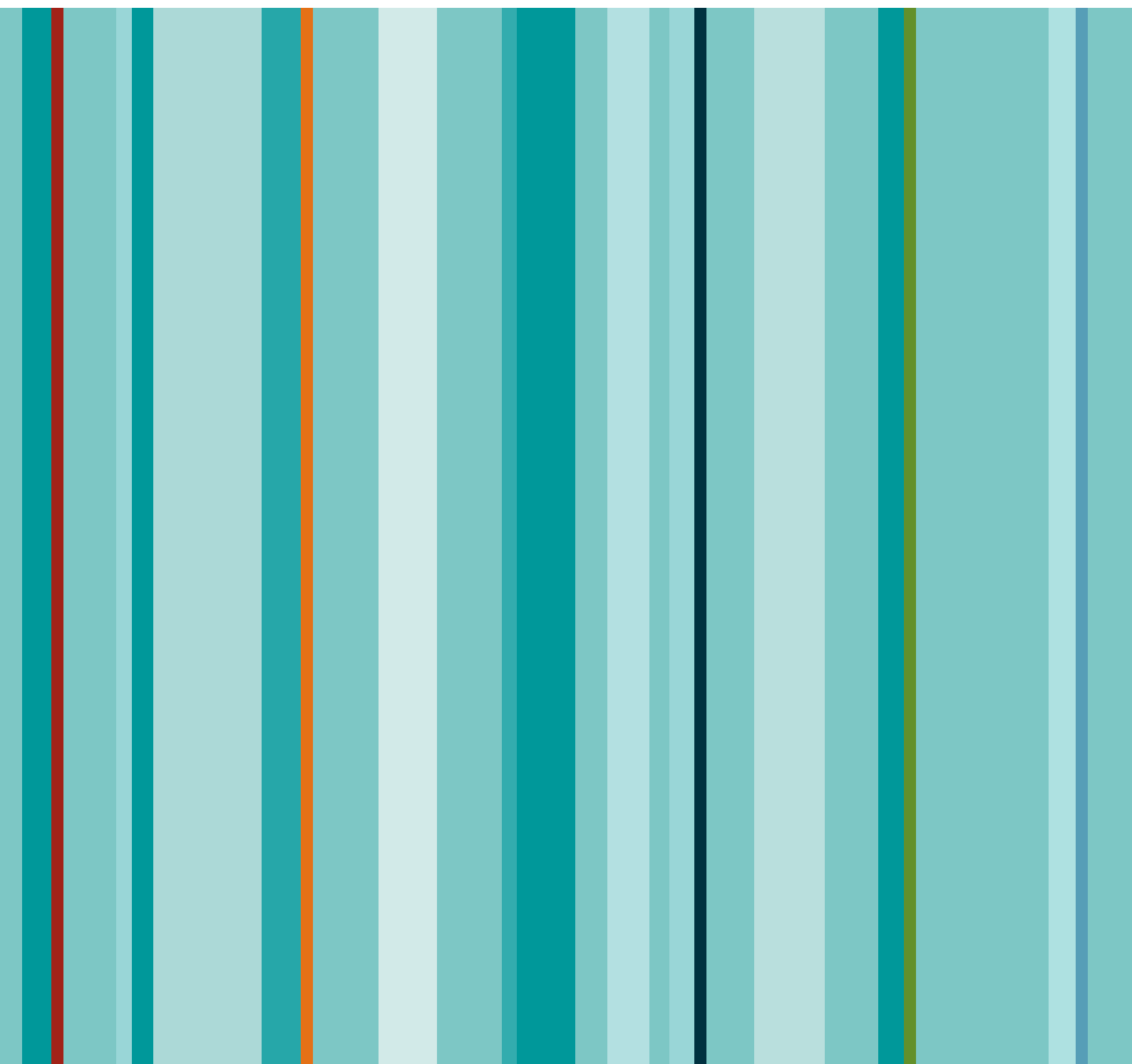
INTRODUCTION



- 1.1 This guide is designed to be used by voluntary and private sector social care providers. It is directed mainly towards chief executives, senior managers, board members/trustees, directors and owners. It will assist board members/directors and senior management teams to assess the quality of strategic leadership in their organisations.
- 1.2 The social work inspection agency (SWIA) has produced a range of self-evaluation material, including a general guide on supported evaluation, a guide to leadership for use in council social work services, and guides on commissioning and performance management.
- 1.3 The importance of strategic leadership of social work services was prominent in SWIA's performance inspection reports and findings. Organisations will find a copy of the Performance Improvement Model (PIM) used by SWIA in performance inspections in Appendix 1. Leadership was closely associated with the quality of individual outcomes for people. Many of the issues we identified are relevant to leadership in voluntary and private sector organisations and this is an adapted version of the leadership self-evaluation material for use in these sectors. It should also be seen as complementing the SWIA self-evaluation guide on assessing governance in voluntary organisations who provide social care in Scotland.
- 1.4 The guide is primarily about strategic leadership at an organisational level. In Scotland, work on leadership development is being taken forward by the Scottish Social Services Council (SSSC) and the Scottish Social Services Learning Networks.
- 1.5 The quality of leadership and management of care services is graded in Care Commission inspections. Organisations may find some parts of the guide helpful when they are evaluating the leadership and management of the individual services they provide, although the guide is intended to assist with the self-evaluation of organisational and strategic leadership.
- 1.6 The guide should be viewed as complementing existing frameworks which organisations may use for self-evaluation purposes, including adapted versions of the European Foundation for Quality Management (EFQM) model.
- 1.7 The guide is not prescriptive – it is for organisations using it to decide how best to use the material. However, the guide contains key questions to be asked when evaluating leadership, whatever approach to self-evaluation is adopted.
- 1.8 In the preparation of the guide we have used leadership material produced by a number of other agencies. Appendix 2 contains a list of these references.
- 1.9 We worked closely with the workforce units based in Scottish Care and the Coalition of Care and Support Providers in Scotland (CCPS) in the production of this guide.

02

OVERVIEW



CONTEXT

- 2.1 The importance of leadership in organisational performance is well recognised and is supported by a body of evidence from research in the UK and internationally.
- 2.2 Leadership was one of the main themes highlighted in the *Changing Lives* review of social work in Scotland. The review identified significant issues for the quality of leadership and management. Two of the main products of *Changing Lives* were a leadership development toolkit (underpinned by a framework known as the '4Ps model')¹ and the Continuous Learning Framework (CLF). This focuses on:
 - the qualifications and training that are needed in social services;
 - the knowledge, skills, values and understanding required;
 - personal capabilities that describe the way people manage themselves and their relationships with others; and
 - organisational capabilities which describe the culture and conditions in the workplace that enable social service workers to be the best they can be.
- 2.3 In evaluating leadership, SWIA looks at three dimensions, vision and values, leadership of people and leadership of change and improvement.
- 2.4 SWIA has published its findings on leadership of council social work services in *Improving Social Work in Scotland* (2010). There is no parallel source of information on strategic leadership of voluntary and private sector organisations involved in the delivery of social care in Scotland, although the Care Commission published *Making the Grade* (2010), which provides results from the first year of grading registered services – 2008/09.

LEADERSHIP QUALITIES

- 2.5 The resource materials in Appendix 2 provide a range of information about leadership models and toolkits used by public sector and other organisations in Scotland and the rest of the UK. There is widespread acceptance that effective leadership includes:
 - scanning the horizon, planning ahead and anticipating future demands;
 - communicating a powerful vision. This provides a sense of direction, inspiring and uniting people with a shared sense of commitment;
 - adapting leadership styles to suit particular circumstances, and developing a high-performing senior management team; and
 - driving change and managing communication effectively during periods of change.
- 2.6 There is no clear research evidence on the personal qualities which constitute effective leadership. However, it is generally accepted that desirable characteristics include self-awareness, leading change through people and collaborative working.

¹ The 4Ps stand for Purpose, People, Performance and Process

ORGANISATIONAL LEADERSHIP IN VOLUNTARY AND PRIVATE ORGANISATIONS

2.7 Leading voluntary and private sector social care organisations involves some service specific issues. These include:

- establishing a vision for your organisation that is person-centred and promotes dignity, respect, equality and inclusion;
- balancing complex and divergent responsibilities. These include working with statutory agencies on the delivery of care and protection to some of the most vulnerable children and adults, as well as public protection risks in the management and supervision of high-risk offenders;
- assessing and managing risk in ways that are responsible but do not undermine individuals' rights;
- demonstrating efficient and effective delivery of services where outcomes for individuals are not always easily identified or measured;
- giving professional leadership to staff; and
- working with the local authority and other relevant agencies to provide high quality commissioned services.

LEADING CHANGE AND IMPROVEMENT

2.8 Public services are currently facing a unique set of circumstances, including significant reductions in real terms public spending with major financial, service and workforce implications for all sectors.

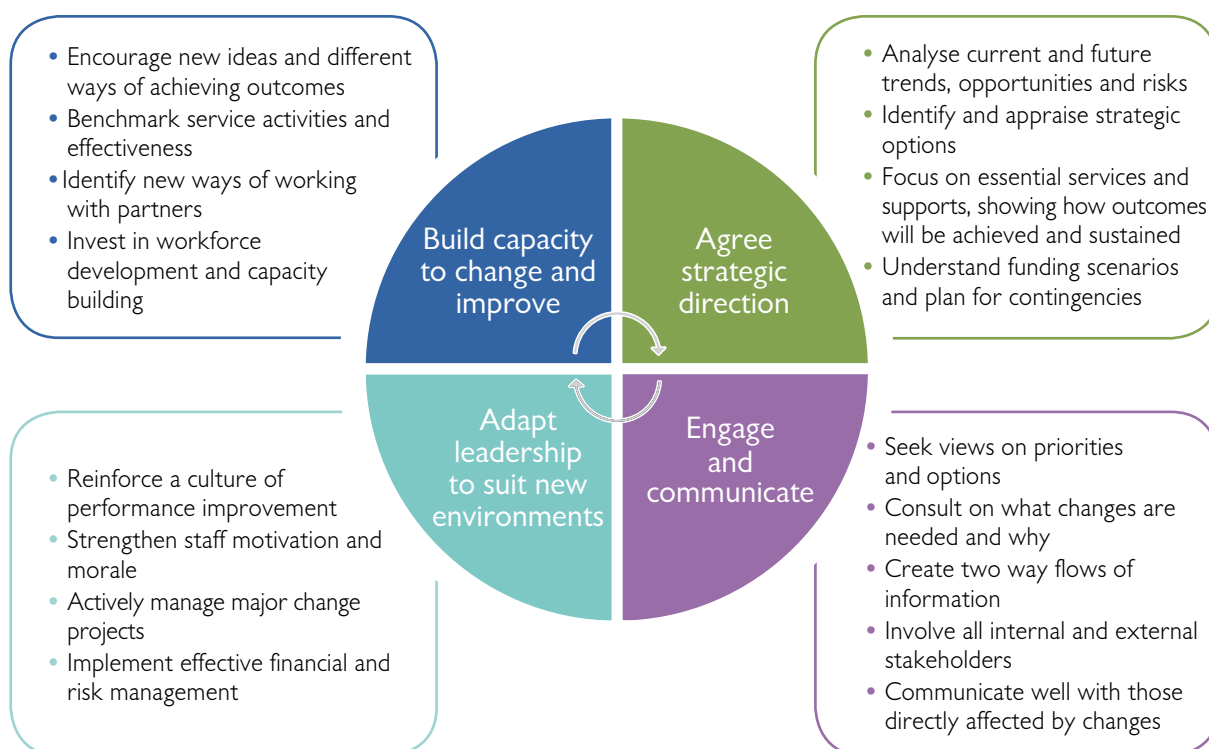
2.9 In recent years, voluntary and private organisations working in social care have faced a number of challenges and opportunities linked to rapidly growing demand, funding constraints and a clear consensus for re-design and personalisation. These include:

- competitive tendering of existing and new social care provision²;
- the implementation of revised guidance to councils on commissioning and procurement of social care services;
- reduced funding for social care services, requiring organisations to manage down the level of service they provide, and the staff they employ;
- transfers of staff under TUPE rules, and staff redundancies;
- supporting and motivating staff who remain with the organisation;
- development of social enterprise models with an emphasis on local service provision;
- promotion of community engagement and involvement in local service planning;
- growing emphasis on co-production, where people who use services actively collaborate with staff in service improvement;
- maintaining the confidence of people who use services, staff, board members/directors and strategic partners through job and service cuts;
- maximising community, family and volunteer resources.

2 Competitive tendering in social care and support services: A position statement and Guidance on Social Care Procurement in Scotland (SCPS)

2.10 Many of the sources in Appendix 2 contain information relevant to leaders adapting to new circumstances and challenges. Some of the main points are summarised in Figure 1.

Figure 1: Leading improvement and change in social work services



TERMS USED IN THE GUIDE

2.11 In this guide, we use definitions from other SWIA publications and the sources given in Appendix 2.

2.12 **‘Outcomes’** is the term we use for the impact or end results that receiving support and/or services has on a person’s life. An outcomes approach involves focusing on achieving the aspirations, goals and priorities identified by the person and creating choices about the different support options the person may have. A person’s needs are not defined solely in terms of what services can offer.

2.13 Detailed discussion of the different types of private and voluntary sector agencies is beyond the scope of this report. Broadly, we follow the Scottish Council of Voluntary Organisations’ definition of voluntary organisations as ‘non-profit distributing, non-statutory, autonomous, may be charitable’. The definition of companies in the private sector is governed by the Companies Act 1985.

2.14 We use the term **‘leaders’** to refer to board members/directors, and paid senior managers who are directly responsible for delivering social care services. We use the term ‘senior managers’ when we mean the chief executive and members of the senior management team.

- 2.15 Generally, we use **'management'** to mean overseeing the operation of the service, accomplishing goals and achieving tasks. The term 'leadership' spans a wider remit that includes influencing and inspiring others, generating ideas and defining a strategy and vision, and making sure that good management systems are in place.
- 2.16 Leadership and management can be considered as distinctive tasks, although in practice there is likely to be some overlap – at times leaders may need to manage tasks and projects, while managers need to influence and inspire others. What matters is getting the right balance for the particular circumstances. Skilled and capable people are required for both.
- 2.17 We use the term **'statutory partners'** to mean:
- all relevant council services, including social work, education and housing;
 - NHS Boards and primary care services delivered through Community Health Partnerships (in some areas, Community Health and Care Partnerships);
 - other local statutory agencies, such as the Police, the Reporter to the children's panel, the Scottish Prison Service and other parts of the criminal justice system;
 - the care regulator, and other regulatory and scrutiny bodies; and
 - relevant central government organisations and agencies.
- 2.18 By **'strategic partners'**, we mean
- all relevant statutory partners with responsibility for, or an interest in, the services being examined;
 - people who use services, their carers and representative organisations;
 - advocacy organisations;
 - community and voluntary organisations; and
 - existing and potential service providers across all sectors.
- 2.19 By **'whole systems approaches'** we mean taking a broad view across the full range of responsibilities of all strategic partners. A whole systems approach considers the impact of decisions taken by one partner on the demand and supply of services provided by other partners.
- 2.20 We use the term **'people who use services'** to mean adults, young people or children who receive care services and/or wider supports, or who may use these in the future.
- 2.21 The term **'carer'** means a relative or friend who provides unpaid care and support.
- 2.22 We use the term **'personalised approaches'** to mean approaches which focus on the individual in a person centred way, giving them the greatest possible choice and control over how they are cared for and supported. We emphasise that services can and should adopt personalised approaches in all settings.

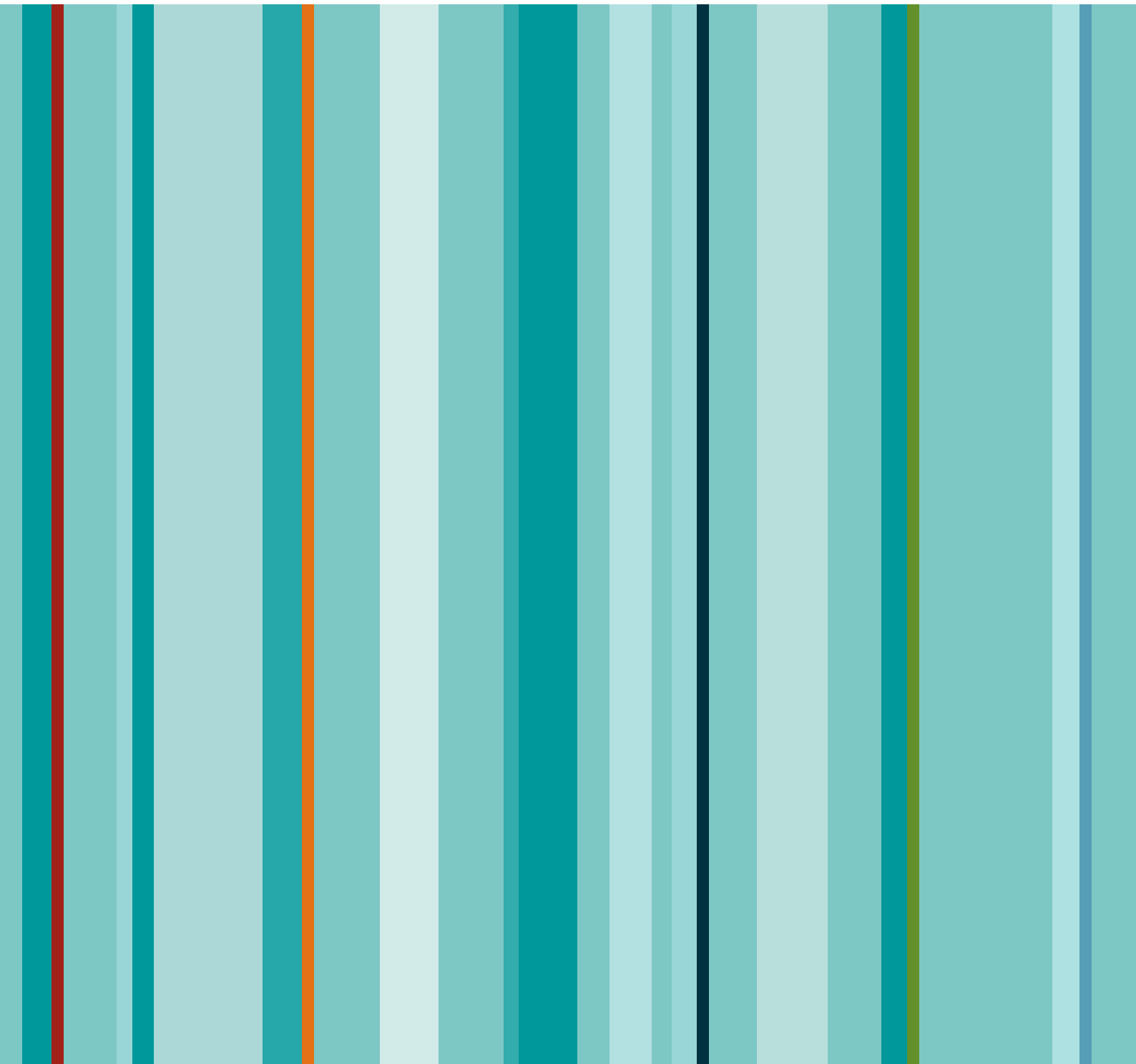
THEMES FOR SELF-EVALUATION

2.23 In this guide, we examine four themes for self-evaluation of leadership. All four themes link directly with two areas for evaluation in the SWIA performance improvement model (PIM). These are area 9 (leadership and direction) and area 10 (capacity for improvement).

Theme	Description
Theme 1: Direction	This theme is about vision and strategic direction. It includes leadership of change and improvement.
Theme 2: Empowering staff	This theme is about leaders motivating and empowering staff, valuing their contribution and leading them effectively. It covers managing and developing staff.
Theme 3: Resources	This theme looks at whether leaders in social care services manage finance and other resources effectively and efficiently to achieve best value.
Theme 4: Governance arrangements and partnership working	This theme is about governance of the organisation and the roles of board members/directors and how well the organisation works in partnership.

03

HOW TO USE THE SELF-EVALUATION MATERIAL



- 3.1 In self-evaluating leadership, senior managers have the opportunity to model positive approaches and can show that self-evaluation should be an open and rigorous process.
- 3.2 When taking a closer look at leadership, some of the key points from SWIA's guide to supported self-evaluation are:
 - reliable self-evaluation uses a range of evidence to support conclusions;
 - reliable self-evaluation involves benchmarking;
 - use of the key features and self-evaluation prompts will guide your evidence gathering and the analysis of your performance;
 - use of the illustrations will help you decide where your performance sits on the six point scale; and
 - the essential features, and the themes as a whole, will not have identical weight and will contribute differently to the overall rating. You will need to use your judgement here to weigh up their relative importance.

DECIDING TO TAKE A CLOSER LOOK AT LEADERSHIP

- 3.3 There are a number of possible starting points for your self-evaluation of leadership. It may be part of regular learning and improvement activity. You may wish to benchmark to improve your performance. You may feel that your leadership is working well and wish to check this out. Or possibly an inspection or internal review may have highlighted this as an area for improvement.
- 3.4 When you are carrying out your self-evaluation you may find it helpful if you think in terms of a cycle of improvement. You will have the opportunity to revise and refine your approach next time round.
- 3.5 You do not have to evaluate all four themes at once, or in a particular order. You can decide the most useful place to start to suit your organisation and your particular circumstances.
- 3.6 Your self-evaluation should have a strong element of external challenge. Without this, it will not be sufficiently rigorous. It is good practice to involve your staff and strategic partners, including other similar agencies, as well as representatives of people who use services in your self-evaluation. Options include 360 degree appraisal to obtain the views of staff and other stakeholders, involving internal or external peer reviewers and representatives of people who use services to assist with the evaluation.
- 3.7 You should brief all those involved in the self-evaluation, including board members/ directors, about the importance of making sure that external peer reviewers have the capacity to bring objectivity and challenge to the evaluation process.

SELF-EVALUATION TOOLS

- 3.8 Section 5 presents four themes to assist your self-evaluation. For each theme we provide:
- a short overview;
 - a list of recommended features;
 - a series of self-evaluation prompts. As noted earlier, these are informed suggestions. You are encouraged to adapt the questions. You may decide to ask other questions that you think are relevant; and
 - illustrations of evidence that would indicate a rating of very good (level 5) and weak (level 2) performance. These are not a checklist – they are examples to assist you in making judgements about your level of performance.
- 3.9 For each of the recommended features, you should:
- give a short summary of current practice;
 - record your assessment of strengths and areas for improvement; and
 - rate your performance on the six-point evaluation scale.

The Six Point Evaluation Scale:

Level	Definition	Description
Level 6	Excellent	Excellent or outstanding
Level 5	Very good	Major strengths
Level 4	Good	Major strengths with some areas for improvement
Level 3	Adequate	Strengths just outweigh weaknesses
Level 2	Weak	Important weaknesses
Level 1	Unsatisfactory	Major weaknesses

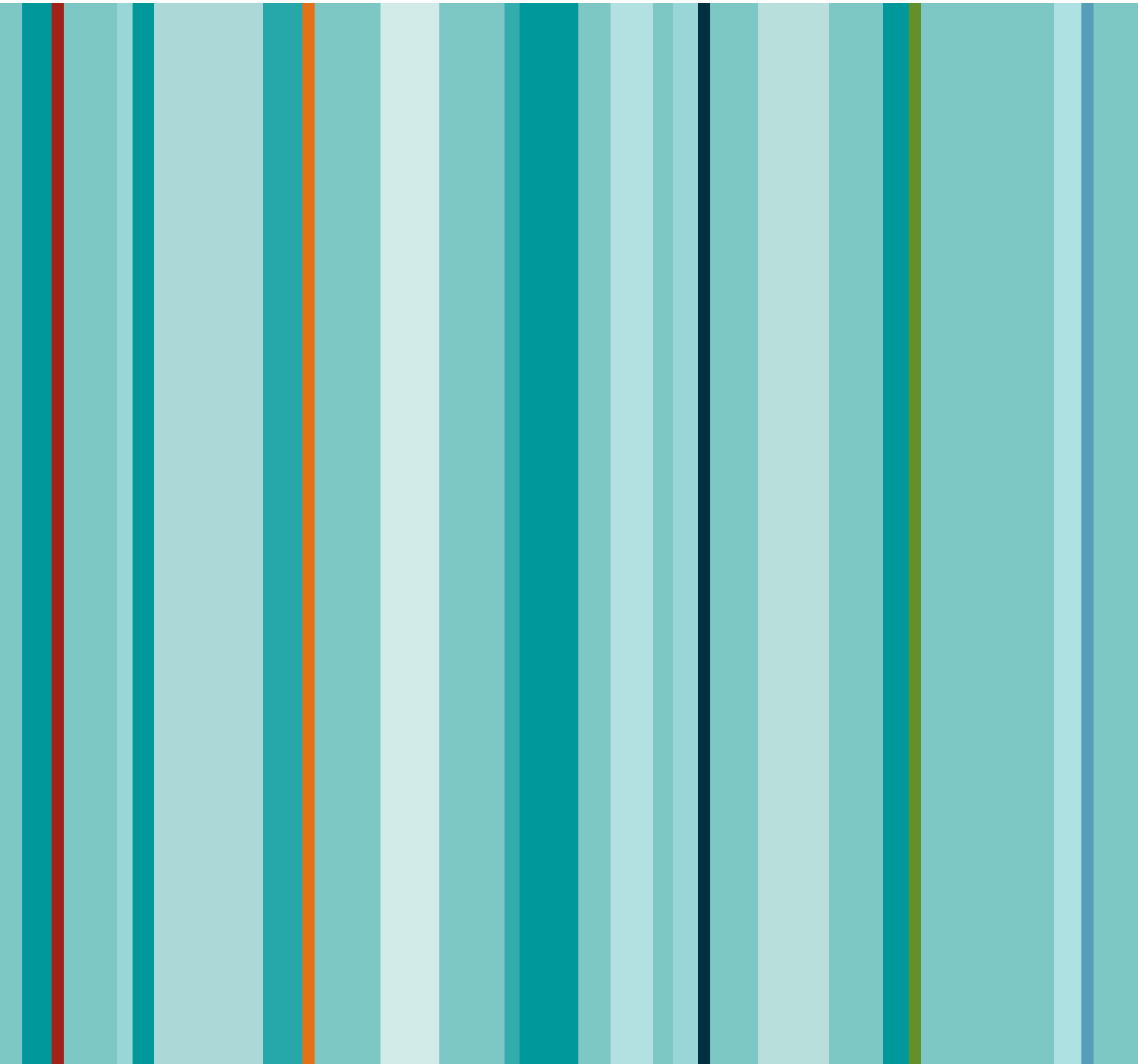
- 3.10 A more detailed description of each level of performance in SWIA's guide to supported self-evaluation is attached at Appendix 3.
- 3.11 As well as rating performance on each of the recommended features, you should rate your summary performance on each of the four themes.

RECORDING YOUR SELF-EVALUATION

- 3.12 You can record your self-evaluation on an electronic or paper record. We suggest you use the format in Appendix 4 for your self-evaluation record.
- 3.13 When rating your overall performance on each theme, you should record the rationale for the conclusions you have reached, the evidence you have used to support this, and any evidence gaps you will fill at a later stage. You should also record any initial priorities for action. You can review and refine these when you reach the stage of developing an improvement action plan.

04

PRODUCING AN IMPROVEMENT ACTION PLAN

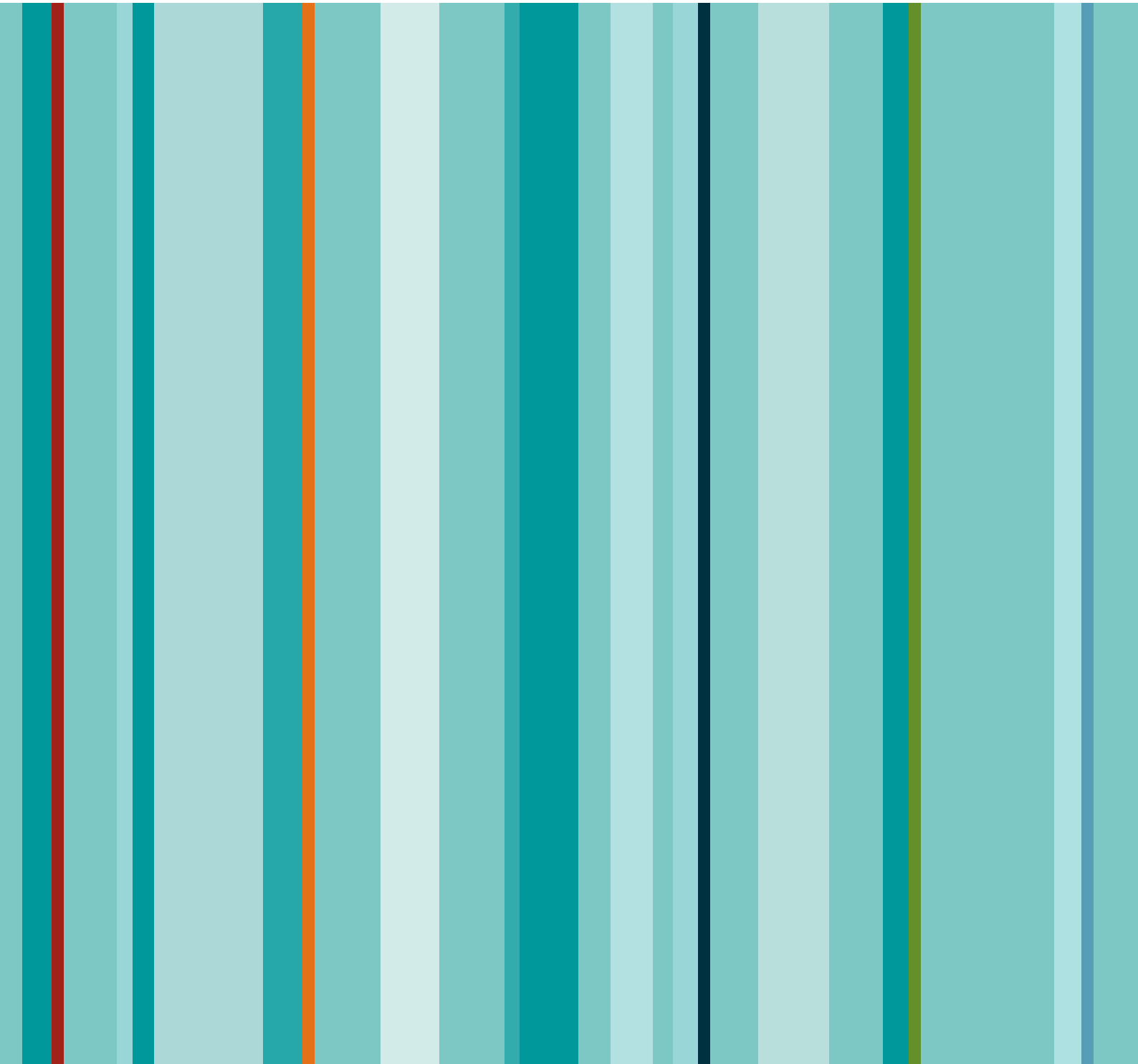


- 4.1 The information you have gathered should allow you to undertake some further analysis and discussion, and come to conclusions about:
 - strengths and weaknesses for each theme;
 - your overall performance on leadership of social care services; and
 - whether you have identified good practice, which should be recognised celebrated and shared more widely.
- 4.2 If you have identified a need to improve leadership in parts of your organisation, you will need to consider what approaches are appropriate in your particular circumstances and most likely to succeed. The sources in Appendix 2 will assist you to identify methods that have successfully brought about change in other organisations. Examples include mentoring, learning sets and regular events such as informal business breakfasts.
- 4.3 It is important to be realistic about the timescales for improvement, recognising that issues such as low staff morale may take sustained efforts before improvements can be seen.
- 4.4 Actions should be written up in a SMART³ improvement action plan that can be submitted to the organisation's chief executive and board members/directors. The final action plan should integrate as closely as possible with the organisation's strategic and business plans.

3 Specific, measurable, achievable, realistic and time limited

05

EVALUATING PERFORMANCE



THEME 1: DIRECTION

This theme is about how leaders set the mission, strategic direction and culture of the organisation. It considers whether leaders look to the medium- and long-term future. It asks if the culture is performance oriented and if there is effective leadership of change and improvement. It looks at the operation and effectiveness of the senior management team. This theme also emphasises the importance of leaders making sure that the organisation meets its responsibilities for assessing and managing risks to people who use services, staff, and the wider public. Theme 4 (page 29) covers the contribution of board members/directors in greater detail.

Recommended features
The extent to which:

(a) Leaders are effective in setting and communicating a vision and strategic direction for the organisation.

Self-evaluation prompts

- What are the main elements of our vision for the services we deliver? Does it include the values of person-centred services and choice as well as equality, diversity and fairness?
- Do leaders actively raise the public profile of the organisation in order to promote its vision for the future?
- What internal and external factors shape our vision for the future? In particular, can we show that the outcomes people want have influenced our vision and strategic direction?
- What opportunities are there for people who use services, staff and strategic partners to influence our vision and strategic direction?
- Can we demonstrate that we take a long-term view in setting our strategic direction and how we intend to achieve it?
- How widely have we consulted, internally and externally, about future options and risks, and the best way forward for our services?
- Do we need to improve how we communicate and involve key groups of stakeholders in setting out future direction?

Recommended features The extent to which:

(b) Our organisation has an open and performance oriented culture.

Self-evaluation prompts

- Are we as leaders personally and actively involved in improvement activities?
- Have we consulted with people who use services about what is working well and what needs to change?
- As an organisation, are we successful in driving change? Do we have systems for identifying significant changes that our organisation needs to make?
- Can we demonstrate ways in which we encourage innovation and a commitment to leading edge services across different parts of our organisation?
- Do we have a performance-oriented culture, based on:
 - customer focus – a focus on the end-result for people who use services and the wider community;
 - a can-do attitude – our managers and staff feel empowered and supported to innovate and contribute to service improvement;
 - learning – feedback from people who use services, our staff, our strategic partners and performance information systems are all used to improve what we do; and
 - leaders, managers and staff taking a very positive approach to performance management as a tool for improvement, not merely a form-filling exercise?
- Do we have a comprehensive performance framework, implemented in all parts of the organisation? Can we show this is effective in driving up performance?
- Do we regularly publish performance information in accessible formats?
- Do we meet all relevant national standards and improve services in line with recommendations made by the regulator?

Recommended features The extent to which:	Self-evaluation prompts
<p>(c) We have effective systems in place for planning and delivering our services.</p>	<ul style="list-style-type: none">• Can we demonstrate that our chief executive and senior managers work effectively as a team? Do they promote collaboration between different parts of the organisation and with external partners.• Have we systems in place for regular dialogue between board members/directors and senior managers, and do we review these to check they are working effectively?• Can we show that we have a strategic commitment to equality that is implemented effectively throughout all aspects of service planning and delivery, with systems in place for monitoring and reporting performance on equality issues?• How well do we as an organisation contribute to national/ local strategic plans for groups for whom we provide services? Can we show that our business plans are aligned to relevant strategic plans? Are there any major gaps?• Do we have sound implementation and monitoring arrangements for our strategic/business plans?• As an organisation, do we have a comprehensive framework of operational policies and procedures? What systems have been put in place to make sure there is effective communication and implementation of policy and procedures throughout our organisation? Are there any major gaps?

Recommended features The extent to which:

(d) Leaders make sure that the organisation has effective arrangements for assessing and managing risk to individuals in the areas of child, adult and public protection.

Self-evaluation prompts

- Can we show that as an organisation we have effective systems for managing risk to individuals and dealing with public protection issues?
- What systems are in place to make sure there is effective learning from incidents, inquiries and significant case reviews which have taken place locally and elsewhere?
- Is there evidence from senior management and board meetings that senior managers and board members regularly scrutinise performance in relation to key areas of risk?
- Does our organisation take a balanced approach to risk that avoids being risk averse and wherever possible promoting the rights of individuals to make their own decisions and choices?
- How do we rate our organisation's performance in relation to the areas of child, adult and public protection, where these are relevant to our activities and the services we provide?
- Can we demonstrate that our approach to assessing and managing risk in the areas of child, adult and public protection is cross cutting and collaborative? Have we systems and procedures in place to make sure our services liaise with all relevant local agencies?
- What action have we taken to make sure that staff in our own and other agencies, as appropriate have a common understanding and approach to assessing and managing risk?
- Is there a shared and responsible approach to staff safety and public protection? Is there the appropriate involvement of external partners? Have we checked that statutory agencies and other strategic partners are satisfied with our organisational arrangements for identifying and managing risk, and sharing of information?

Illustrations for Theme 1 Very Good (Level 5)	Weak (Level 2)
<ul style="list-style-type: none"> • Leaders of the organisation look ahead and plan a strategy for its future. They have a high level of awareness of future trends, risks and partnership opportunities. • Plans produced by the organisation are comprehensive, easy to read, successfully implemented and regularly updated. • Leaders communicate the organisation's mission and vision with conviction and confidence. • Staff and strategic partners are confident that the culture is one of staff empowerment and continuous improvement. • Leaders model positive behaviours in communicating with people who use services and engaging with strategic partners. • Senior managers put in place a range of methods to assess what individual outcomes are being achieved and what needs to improve. These include reviews of individual plans as well as surveys, focus groups and case file audits. • People who use services, staff and strategic partners are confident about the achievement of good outcomes for people. • Organisational policies and procedures are fit for purpose and comply with relevant national standards. • There is consistent good practice in the areas of adult, child and public protection and the organisation contributes effectively to inter agency protection processes. 	<ul style="list-style-type: none"> • Staff and strategic partners lack confidence that the organisation is clear about its mission or strategic direction. • Leaders focus mainly on immediate issues at the expense of taking a long term, strategic view. Decisions tend to be crisis-driven. • The organisation is more focused on internal processes than outcomes for people. • The organisation does not have effective systems to ensure that all the services it provides comply fully with national standards. There is little evidence of shared learning from good or weak practice across the services it provides. • Services provided by the organisation do not/are unable to promptly implement recommendations made by the regulator about service improvements. Leaders and senior managers fail to take effective action to deal with this. • Business planning is not well developed or communicated. Staff are not aware of business plans or consulted on their content. • Leaders take a fragmented approach to performance management. Staff feel there is a blame culture. • Good performance is not recognised and poor performance goes unchallenged. • The organisation does not deal effectively with child, adult or public protection issues.

THEME 2: EMPOWERING STAFF

This theme is about motivating and empowering staff. It involves leaders showing that staff are valued, communicating effectively with them and getting the best from them. It asks if leaders have taken the action needed to build a confident and successful workforce. It considers whether individuals and teams are encouraged to take responsibility for developing new ideas, and positively challenged to do better. It emphasises the importance of recognising achievements, and considers staff morale and confidence in leadership. This theme also covers staff development and workforce planning. It asks whether there is effective knowledge management and whether the organisation develops and supports evidence-based learning and practice.

Recommended features The extent to which:	Self-evaluation prompts
(a) Leaders communicate well with staff who feel valued and supported.	<ul style="list-style-type: none">• Are there regular events which board members/directors attend and give staff feedback about the value they attach to the organisation's services and the contributions staff make to this?• What systems are in place for recognising staff for doing well? (e.g. supervision/appraisal systems, employee of the month, annual awards ceremony etc.)• Does the organisation have a staff communication strategy? What approaches do senior managers use to communicate with staff at different levels (e.g. opportunities for face-to-face/telephone contact, intranet, use of social media such as blogs, Chief Executive's column in the staff newsletter, regular staff/front line manager briefings)?• Can we give examples of using feedback from staff to improve communication?• Can we show that we have identified any significant external and internal issues affecting staff morale and put systems in place to deal with these if it is possible to do so?• During service change and redesign do we effectively communicate with staff directly affected by changes? Do we involve staff at an early stage and create opportunities for them to contribute their ideas?• Do we have up-to-date policies on equality issues as they impact on our staff, as well as personal safety, health and well-being, and prevention of violence and harassment? Do these explicitly take account of issues relevant to the delivery of the services our organisation provides (e.g. systems to identify risks posed by individuals, lone worker policies)? Can we show these are operating effectively to promote the well-being of our staff?

Recommended features The extent to which:	Self-evaluation prompts
<p>(b) There is a strategic approach to employee development.</p>	<ul style="list-style-type: none"> • Do we have comprehensive workforce planning and development strategies in place for all parts of our organisation and for all staff groups/teams? What systems have we put in place for monitoring their effectiveness? • Do we explore and implement new approaches to employee development, including reciprocal arrangements with other agencies? • Can we demonstrate an integrated approach to employee development, which makes links between our broad strategic direction and: <ul style="list-style-type: none"> • our equality strategy; • training plans; • the recruitment and induction of new staff; • supervision policies and practice; • compliance with relevant codes of practice; • continuous professional development; and • performance appraisal systems? • Can we show that we manage knowledge effectively, and develop and support evidence-based practice at different levels across our organisation? • What strategies do we have in place to address any recruitment and/or retention issues within our workforce? Is further action needed? • Do our training strategies strike an appropriate balance between personal development and investment in training to meet the current and future needs of our organisation? • What approaches have we adopted to management training, leadership development and succession planning? What benefits are being delivered in terms of employee development?

Illustrations for Theme 2	Weak (Level 2)
<p>Very Good (Level 5)</p> <ul style="list-style-type: none"> • Leaders have effective systems to routinely share important information with all staff. • A communication strategy is in place and staff report that they feel informed and consulted. • Staff morale is high and senior managers are viewed as accessible. Board members/directors are seen to value and support staff. • Senior managers employ a range of methods (such as regular phone in times, walk-about and staff briefings) to have direct face-to-face contact with staff and managers. • Innovation, learning and evidence-based practice are promoted throughout the organisation. Staff are encouraged to come forward with ideas about improvements. • Senior managers are systematic in giving positive feedback to staff through initiatives such as yearly awards ceremonies, long service awards, and other celebrations of employee achievements. • Leaders give high priority to developing the skills and competence of managers and the wider workforce. • There are clear links between workforce planning and development, training and supervision, as well as management and leadership development. • At times of crisis or major incident, all staff give maximum commitment to dealing with the problem. • The service has up to date equality and health and safety policies and procedures which are relevant to the organisation's role and the services it delivers. 	<ul style="list-style-type: none"> • Senior managers communicate some information to staff but do this in an unsystematic way. • A significant number of staff do not know about important changes in policies and procedures that are relevant to their responsibilities. • Staff feel cut off from important decisions and new developments and are not aware of relevant plans. • There are few opportunities for employee or team achievements to be recognised or celebrated. • There is low staff morale in some or all parts of the service, with surveys showing poor confidence in leadership. Leaders have not taken action to address these issues. • Staff welfare is not given high priority, and the service does not have health and safety policies which address risks experienced by staff. • There is little evidence that senior managers encourage staff and teams to find new ways to improve services. • New ideas tend not to be tried out and this adversely affects staff motivation. • Managers and staff lack confidence that they have received sufficient training to do their job well.

THEME 3: RESOURCES

This theme is about how well leaders plan and manage the organisation's resources, other than those aspects of human resources which are covered under Theme 2. It focuses mainly on financial planning and the management of budgets as key responsibilities for leaders. It asks about information systems and the management of the organisation's assets. It also considers whether social work services take action to achieve best value, and whether strategic risks are well identified and managed.

Recommended features The extent to which:

(a) The organisation is supported by sound financial planning

Self-evaluation prompts

- Are financial plans produced and updated on a regular (at least annual) basis? Are they formally approved and adopted by the board/directors? Is there regular monitoring and reporting of these plans?
- Are managers at different levels consulted, and enabled to contribute to financial plans?
- Do financial plans include a relevant focus on, as a minimum, the medium term as well as making reference to longer term trends?
- Do we focus on immediate and longer-term financial uncertainties and risks facing our organisation, giving sufficient attention to modelling different financial scenarios, service delivery options and contingency planning.
- Are planned commitments reliably costed? Can we demonstrate that current and future commitments (e.g. as documented in business plans) are realistic and take account of any funding uncertainties? Do we have contingency plans which are based on a sound analysis of opportunities and risks?
- Have business plans been updated to take account of challenging financial reductions taking place in public sector funding and have we analysed their likely/possible impact on the services we provide?
- What approaches have we taken to the measurement and assessment of best value? Do we have accurate and relevant information to make well judged assessments on value for money, and procurement of goods and services? Do we benchmark our financial performance, including unit costs, against high performing organisations in our own and other sectors?
- Are there joint financial plans for any partnership ventures we are involved in? Are these supported by detailed written agreements regarding resource contributions, and governance arrangements? Have we carried out joint analyses of financial risks, and have these been recorded and actively managed? Is there financial monitoring and regular reporting to all agencies involved in partnerships?
- Can we demonstrate areas of partnership working where sharing information and resources has improved efficiency and achieved agreed priorities?

Recommended features The extent to which:

(b) The organisation has effective systems for budgetary management.

Self-evaluation prompts

- Are financial procedures comprehensive and effective? Are our procedures regularly reviewed to make sure they are fully compliant with legal requirements as well as the financial regulations of funding bodies and our own organisation?
- Has action been taken, where necessary, to align all budgets with actual and planned spend? Are there significant areas of mismatch that require action?
- Do we have effective systems for managing and reporting significant budget variances, based on sound financial information?
- Do we analyse the underlying reasons for variances (for example, looking at demand, service quality and patterns of spend) in order to identify opportunities to improve efficiency and service quality?
- Are budgets appropriately devolved to managers with operational responsibility for the services, within a framework of financial controls? Is there appropriate induction, training and supervision of all budget holders and staff with financial management responsibilities?
- Does our organisation have a good understanding of the costs of different services, including unit costs, and the costs of different types of care and support packages? Do managers use this information to consider options for improving service quality and efficiency?
- Do we have a programme for benchmarking and improvement of overall organisational efficiency as well the individual services we provide? Are there any significant areas of spend which have not been the subject of benchmarking and best value review? How do we plan to address these?
- Can we show that we have adopted strategic approaches to achieving efficiencies whilst maintaining/improving outcomes for people?
- Do we have systems in place to meet the different requirements of commissioning bodies for budgetary information?

Recommended features The extent to which:	Self-evaluation prompts
<p>(c) Management of assets and strategic risks effectively support service delivery.</p>	<ul style="list-style-type: none">• Do we have sound processes for managing our organisation's assets? In particular, does the organisation maintain an asset register that is appropriately detailed and regularly updated?• Are our services delivered from pleasant, clean, suitable buildings which comply with relevant legislation, including health and safety and disabled access?• As appropriate, are we involved in local initiatives to promote public access to local services, for example through shared access points and community use of buildings?• Do we have a comprehensive and up-to-date strategic risk register and effective arrangements for managing and reporting risks to our Board/Directors?• How does the service identify emerging risks, and take action to respond appropriately to these?• Have we carried out scrutiny and audit of performance in key areas of risk across all our organisation's activities and the services we provide? Are there any significant gaps or areas which have been identified for improvement? Can we show that we benchmark our performance internally and externally and take a consistent approach to managing risk?

Recommended features The extent to which:

(d) There is effective use of information and technology and this results in improved service delivery.

Self-evaluation prompts

- Do we have reliable information systems that meet the needs of the organisation as a whole, as well as each of the services we provide? Do we review their effectiveness and programme improvements where needed?
- Have we assessed whether our information systems are useful to our staff in their day-to-day work?
- Are our information systems effective in delivering tangible benefits in terms of safe and effective practice as well as producing aggregate information for our planning purposes?
- Do we meet legal requirements and good practice standards when collecting, storing and retrieving personal data about people who use services and our staff? Are these arrangements reviewed regularly and subjected to quality assurance checks?
- What range and quality of information do our systems routinely generate for management purposes? Is information used effectively by managers?
- Do we have systems and protocols to facilitate electronic information sharing across the organisation and with partner agencies? Do these effectively support shared assessments and out-of-hours service delivery, as appropriate?
- Have we taken action to maximise the benefits of assistive technology through the development of telecare and telehealth, in partnership with other relevant agencies?
- Are we involved in identifying and evaluating alternative and emerging technologies, in order to improve the quality and efficiency of services?
- Have we developed web-based options to provide the public and prospective service users and carers with information about our organisation and the services we provide?

Illustrations for Theme 3 Very Good (Level 5)	Weak (Level 2)
<ul style="list-style-type: none"> • Organisational plans are based on realistic financial assumptions and commitments. • Senior managers demonstrate effective financial management and maximise the availability and use of resources. • Senior managers and board members/Directors take a strategic approach to managing financial uncertainties and identifying efficiencies. • Spend to save opportunities are sought out. There is innovation in the use of technology resulting in more efficient use of resources. • Budgets are reviewed and aligned with strategic objectives. • Regular benchmarking takes place and leads to service improvements and efficiencies. • There is good financial reporting, which includes partnership activity. Board members/directors scrutinise reports. • Financial training results in a good understanding of costs by relevant staff at all levels. The costs of care and support packages are well quantified and scrutinised • Managers actively seek ways of improving the quality and efficiency of the service the organisation provides. • Information systems are well implemented and used, with the result that service delivery and improvement are well supported. 	<ul style="list-style-type: none"> • Board members/directors and senior managers take a short-term view of resource management. • Business planning is not linked to sound financial plans. • Services are delivered in inefficient ways and there is little benchmarking to support improvement. • Budget holders' do not routinely monitor financial data. • Financial reports to board members/directors are irregular, unclear and incomplete. Reports attract a low level of scrutiny. • Managers do not investigate the underlying reasons for major areas of overspend and do not take corrective action. • Partnership agreements are entered into without a clear understanding of costs and financial responsibilities. • Low priority is given to the strategic management of risks. • Information systems are not fit for purpose and not properly utilised by staff. Managers lack accurate information for delivering and planning services and negotiating contracts with funding agencies. • The organisation delivers its services from buildings that are in poor repair and unfit for purpose, with no clear plans for improving them. This has a negative impact on people who use services as well as on staff morale.

THEME 4: GOVERNANCE ARRANGEMENTS AND PARTNERSHIP WORKING

This theme looks at whether the organisation has effective governance arrangements. It considers the role of board members/directors in leading and scrutinising performance. It looks for evidence of the organisation adopting cross cutting approaches. The theme also considers the effectiveness of partnership working with relevant agencies at strategic and local levels. It asks whether the organisation makes appropriate links with local communities so that people using services are encouraged and supported to participate in community activities.

Recommended features The extent to which:

(a) Board members/directors exercise effective leadership and governance.

Self-evaluation prompts

- What evidence do we have that board members/directors have a good understanding of our organisation's activities and responsibilities?
- What action have we taken (e.g. induction and training for new board members/directors) to make sure that they are knowledgeable about their responsibilities?
- Do our board members/directors have the range of skills necessary to run our business?
- Can we show that recruitment procedures for board members/directors comply with good practice in our sector? Do we have succession planning for board members/directors?
- Is there a code of conduct for board members/directors supported by written protocols and guidance about their roles and responsibilities?
- Do we have systems to appraise the performance of board members/directors?
- Are board members/directors active in leading change in our organisation? Do they take a lead in making sure we have a good reputation based on service quality and improvement?
- Have we created opportunities for people who use services and carers to have a direct involvement in the leadership and governance of our organisation?
- Do board members/directors exercise regular scrutiny of performance by receiving accurate and timely reports? Do they recognise good performance and challenge managers when appropriate?
- Do we have the right systems in place to ensure ethical behaviour in all transactions and activities.
- Do we have systems in place to make sure that the organisation meets its equality and diversity obligations and promotes best practice in relation to equality and diversity?

Recommended features The extent to which:	Self-evaluation prompts
<p>(b) The organisation has engaged with strategic partners and formed effective partnerships with them.</p>	<ul style="list-style-type: none"> • What are our key partnerships? Do these include other organisations in the voluntary and private sectors, and community organisations as well as all relevant statutory partners? • Is there clarity about the legal status of partnerships, if relevant? Can we demonstrate that these have appropriate governance arrangements? • Do senior managers make sure that there is a clear rationale for partnership activity? • Are partnerships regularly evaluated and adjusted to make them fit for our organisation's purpose? • Are new opportunities sought to form strategic partnerships that will deliver benefits for people who use our services and supports? • Can we show that as an organisation, we regularly consult our strategic partners about what is working well in the services we provide, and what needs to change?
<p>(c) The organisation makes a positive contribution to building local partnerships and the capacity of local communities in which it is active.</p>	<ul style="list-style-type: none"> • Are leaders in the organisation pro-active in linking with the local communities within which it operates. So that people using services are encouraged and supported to participate in community activities. • Do we have examples of our organisation actively seeking out opportunities to develop partnership working where this will benefit people receiving our services, or improve the efficiency of the organisation? • Can we show that leaders in our organisation make an appropriate contribution to public engagement in keeping with the scale of our organisation, the nature of the services we provide and our impact on local communities? • Do we promote public awareness and build support in local communities for people who use our services and require support within their local area? • Is our organisation active in building community capacity and making good use of local community resources (such as volunteers, carers, befrienders etc.)? • Do we promote staff involvement in the local communities in which we operate?

Illustrations for Theme 4

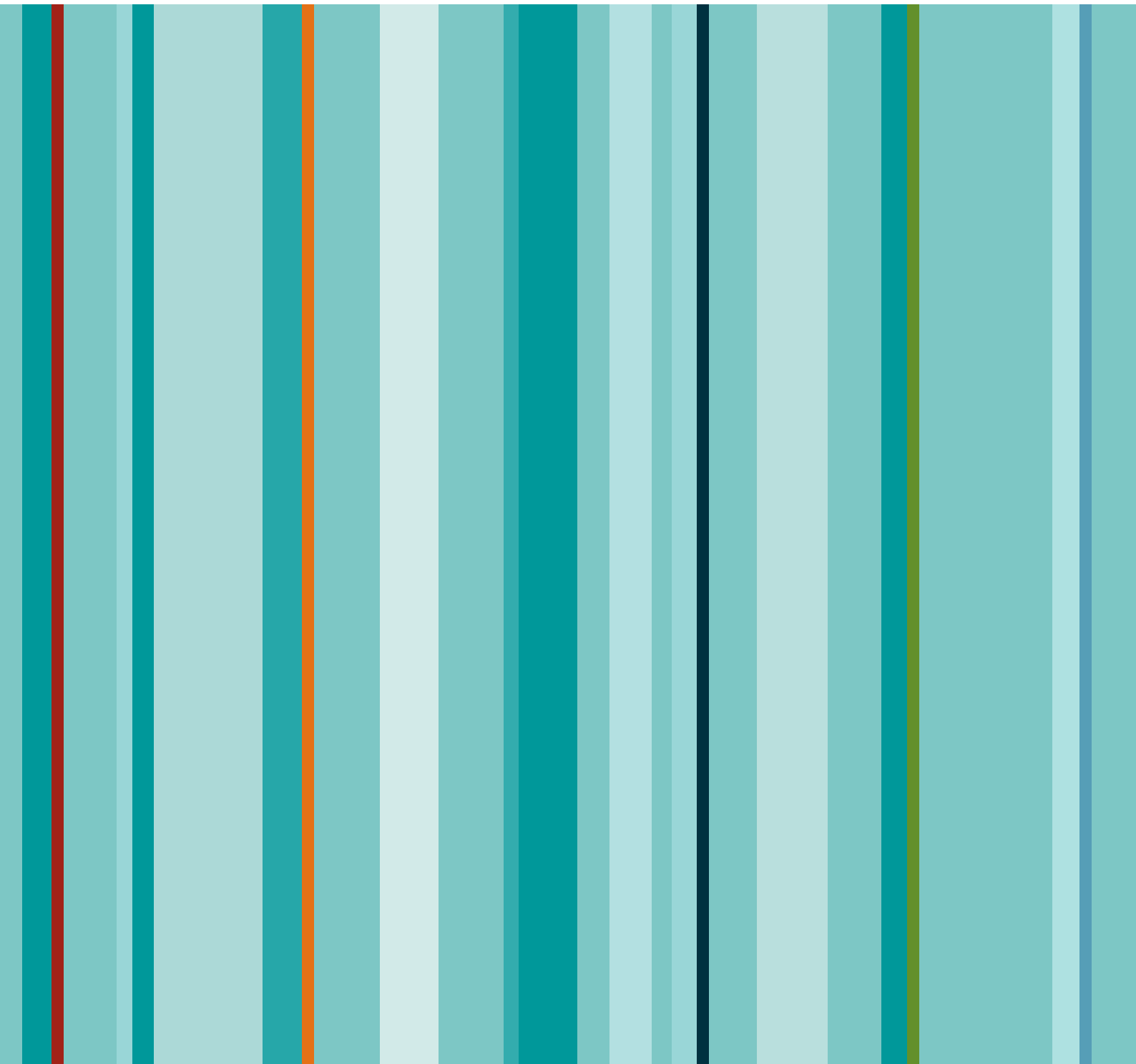
Very Good (Level 5)

- The organisation has sound governance arrangements in place and follows best practice when recruiting board members/directors.
- Board members/directors receive induction and training and have the knowledge and skills necessary to discharge their responsibilities
- The organisation is outward looking and actively seeks to make links with local communities and organisations.
- Board members/directors make a positive contribution to continuous improvement through scrutiny and challenge.
- Senior managers are proactive in engaging with strategic partners, including local authorities, the NHS and other statutory services.
- There is evidence of innovation in partnership working to maximise resources and improve outcomes for people.
- There are agreed strategic and operational frameworks for all partnerships the organisation enters into.
- Board members/directors and senior managers are active in encouraging the contribution of local communities and this results in good links with other local organisations, carers, volunteers and befrienders.

Weak (Level 2)

- The governance arrangements of the organisation are outdated or not fit for purpose. As a result, the integrity of the organisation is compromised at board/director or senior management level.
- Board members/directors are not well informed about the activities of the organisation, and critical decisions are taken without their implications being analysed or understood.
- The organisation lacks systems to make sure senior managers and Board members/directors are accountable for decisions they take.
- Board members/directors intervene at individual case level and this undermines approved policies and procedures and erodes staff confidence.
- Senior managers are not well sighted on partnerships and do not invest time and effort to make them work well. Partnership opportunities are missed.
- The organisation does not consistently put best interests of people who use services as the paramount consideration in decisions that affect service provision and quality.
- Partnership arrangements are not well defined or agreed.
- Senior managers focus exclusively on formal/paid supports and underestimate the potential contribution of local people and communities to supporting people who receive services.

APPENDICES



THE PERFORMANCE IMPROVEMENT MODEL (PIM)

APPENDIX I

<p><i>What key outcomes have we achieved?</i></p> <p>1. Key outcomes Outcomes for adults, carers, children and families Performance against national and local targets</p>	<p><i>What impact have we had on people who use our services and other stakeholders?</i></p> <p>2. Impact on people who use our services Experience of individuals, children and their parents and carers who use our services</p> <p>3. Impact on employees Motivation and satisfaction Employees' ownership of vision, policy and strategy</p> <p>4. Impact on the community Community perception, understanding and involvement Impact on other stakeholders Community capacity</p>	<p><i>How good is our delivery of key processes?</i></p> <p>5. Delivery of key processes Access to services Day-to-day planning and resource allocation Assessment, care management and statutory supervision Risk management and accountability Personalised approaches Inclusion, equality and fairness in service delivery Joint and integrated delivery of services</p>	<p><i>How good is our management?</i></p> <p>6. Policy and service development, planning and performance management Development of policy and procedures Operational and service planning Strategic planning including partnership planning Involvement of users, carers and other stakeholders Range and quality of services Quality assurance and continuous improvement</p> <p>7. Management and support of employees Recruitment and retention Employee deployment and teamwork Development of employees</p> <p>8. Resources and capacity building Financial management Resource management Social work information systems Partnership arrangements Commissioning arrangements</p>	<p><i>How good is our leadership?</i></p> <p>9. Leadership and direction Vision, values and aims Leadership of people Leadership of change and improvement</p>	<p><i>What is our capacity for improvement?</i></p> <p>10. Capacity for improvement Global judgement based on evidence of all key areas, in particular, outcomes, impacts and leadership direction</p>
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APPENDIX 2

LINKS TO SOURCE MATERIAL USED IN PRODUCING THE GUIDE

1. *The Role of the Chief Social Work Officer* (Scottish Government 2009); <http://www.socialworkscotland.org.uk/resources/pub/GuidanceRoleCSWODocMarch2009.pdf>
2. *Public Service Improvement Framework* (PSIF Operational Board 2008) & other leadership material and tools (The Improvement Service); <http://www.improvementservice.org.uk/public-service-improvement-framework-psif/>
3. *Social Services Leadership and Management Framework* (Scottish Government 2009); <http://member.goodpractice.net/SS-LIC/Welcome.gp>
4. *The Future of Public Services in Scotland – Solace (Scotland) Strategy Paper* (Solace 2010); http://www.solacescotland.org.uk/webdocuments/SOLACE%20_Scotland_%20Strategy%20Paper%20FINAL%202020210.pdf
5. *Leading Improvement – Personal and organisational development* (NHS Institute for Innovation and Improvement 2005); http://www.clahrc-northwestlondon.nihr.ac.uk/inc/files/documents/improvement-methodology-resources-section/ilg_3.4_leading_improvement.pdf
6. *The Leadership Journey & other leadership and governance material and tools* (The Improvement Network); <http://www.improvementnetwork.gov.uk/imp/core/page.do?pagelId=1074228>
7. *Leadership at all levels – leading public sector organisations in an age of austerity. A Deloitte Research paper* (Deloitte LLP 2010); http://www.deloitte.com/view/en_GB/uk/industries/government-public-sector/index.htm
8. *Leading Change in the Public Sector 2010* (Institute of Leadership and Management 2010); http://www.i-l-m.com/downloads/ILM_PS_REP.pdf
9. *Inside Top Teams – the research report & other leadership materials and tools* (The Improvement and Development Agency); <http://www.idea.gov.uk/idk/core/page.do?pagelId=1>

APPENDIX 3

THE SIX-POINT EVALUATION SCALE:

Level	Definition	Description
Level 6	Excellent	Excellent or outstanding
Level 5	Very good	Major strengths
Level 4	Good	Major strengths with some areas for improvement
Level 3	Adequate	Strengths just outweigh weaknesses
Level 2	Weak	Important weaknesses
Level 1	Unsatisfactory	Major weaknesses

An evaluation of **'excellent'** will apply to provision that is a model of its type:

- Service user outcomes and experiences will be of a very high level.
- An evaluation of **'excellent'** will represent an outstanding standard of leadership, management, and service delivery that others will aspire to equal and emulate.
- It will imply these very high levels of performance are sustainable and sustained.

An evaluation of **'very good'** will apply to provision characterised by major strengths:

- There will be very few areas for improvement and any that do exist will not significantly diminish service user outcomes and experiences.
- Evaluations of **'very good'** will represent a high standard of leadership, management, and service delivery.
- Strengths will completely outweigh weakness, but there will be clear areas where things can get better.
- It is a highly achievable standard that all should attain.
- Services may continue 'as are'. However, there should be an intention to improve further and aim for excellent services.

An evaluation of **'good'** will apply to provision characterised by important strengths which, taken together, clearly outweigh any areas for improvement.

- An evaluation of **'good'** represents a standard of provision in which the strengths have a significant positive impact. Strengths will significantly outweigh weaknesses.
- An evaluation of **'good'** will apply to performance where significant improvement is possible and where there are important strengths to build upon.

An evaluation of **'adequate'** will apply to provision characterised by strengths that just outweigh weaknesses:

- An evaluation of **'adequate'** will indicate that service users have access to a basic level of provision.
- It represents a standard where the strengths have a positive impact on service users' outcomes and experiences.

- Most users will experience a competent and professional service, but obvious weaknesses will constrain the overall quality of outcomes and experiences.
- It will indicate that the local authority should take robust action to fix weaknesses while building on its strengths.

An evaluation of **'weak'** will apply to provision that has some strength, but where there will be important weaknesses:

- In general, an evaluation of **'weak'** will mean that while there may be some strength, the important weaknesses will diminish the capacity to deliver good outcomes for users.
- It will indicate the need for structured and planned action on the part of the local authority.

An evaluation of **'unsatisfactory'** will apply when there are major weaknesses in provision in critical aspects:

- This will require urgent investigation of the practices behind this performance and immediate remedial action – particularly where there are clear risks to users or the public arising from the unsatisfactory practice.

APPENDIX 4

SELF-EVALUATION RECORD

Self-evaluation Record			
Theme I Direction			
(a)	Brief description of current practice	Summary of strengths	Areas for improvement
	How do you rate performance in this area?		1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/> 6 <input type="checkbox"/>
(b)			
(c) etc			
Overall rating for Theme I			
Rationale for Rating <i>(You should include some comment on how you have weighed strengths and weaknesses in reaching your conclusions about performance on this theme)</i>			
Note of evidence available used to support your evaluation (if not already listed above) and any evidence gaps you need to fill at a later stage			
Priorities for Action <i>(Include areas of strong performance to be recognised and shared, as well as action needed to improve performance)</i>			

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An electronic version is available along with our contact details on the SWIA website at www.swia.gov.uk and www.scswis.com

APS Group Scotland

149322 (03/11)

