

# Swindon Borough Council Benefits Review 2007

(Outcomes of the contract with Kent County Council)



## Executive Summary

This report sets out the findings following an evaluation of the benefits of the Swindon Borough and Kent County Councils Improvement Partnership. The stated purpose of the partnership was to improve Swindon Social Services performance within a period of up to 3 years. The headline measure of this improved performance was to be a move from no to two stars. Implicit in this is the expectation that improved performance would be demonstrable in a wide range of measures in addition to the star rating. This report seeks to capture those other measures.

At the start of the partnership in October 2004, Swindon Borough Council had experienced a lengthy period of under performance and adverse inspections and reports. It had plans in place to start the process of improvement, but there was scepticism at Corporate level within the authority that these plans might not be sufficient. In contrast, Kent County Council Social Services had been rated three-star excellent for several years before the partnership started. In December 2005 CSCI awarded Swindon Social Services 1 star for 2004/5, and in the following year, for 2005/6 with the addition of "promising prospects".

Over the past three years both local authorities have committed experts to identifying areas for improvement in Swindon Social Services' systems, processes, people and relationships and bringing about transactional and transformational changes. Over that period expectations of the partnership and style of delivery changed to respond to progress made, emerging priorities and the particular challenges at the time.

The experience of the partnership supported the principles of franchising and underlined its potential as an innovative approach to intervention and one which incorporated opportunities to share best practices within local government and to develop products and services which could have wider deployment. At the same time, the partnership revealed the massive challenges this type of relationship presents to the traditional ways of thinking, working and intervening.

The message emerging from the interviews underpinning this report is that this form of partnership between two very different local authorities has succeeded in bringing about holistic improvements in a relatively short period of time. This of itself is a very positive message for the partnership, as the considerable changes to culture now demonstrated in Swindon (a "can do" approach) will normally take significant time to develop. The journey has been a challenging one that has been impacted by events unforeseen by the franchising model architects. There is evidence of benefits being realised by both councils and lessons learned.

The view shared by interviewees (from both Swindon and Kent) is that Swindon has grown in ambition, improved its leadership, developed more effective relationships, improved the management of performance and shifted its culture. The significant contribution of Kent in enabling and supporting Swindon Social Services to deliver flexible working and modern practices was acknowledged. All of this was suggested to have improved delivery and strengthened Swindon Members and Officers' confidence. The improvements to delivery can be witnessed in the performance reports submitted annually, where there has been a general trend of improvement across the majority of indicators. There is joint confidence that this performance improvement will be sustained beyond the life of the partnership.

## 1. The Scope of the Study

This study is based on semi-structured interviews conducted by consultants with Members and Officers of both local authorities who have or had responsibility for establishing the franchising initiative in 2004, overseeing its management or delivering services and products under the partnership up to May 2007.

This interview material has been enhanced to give hard evidence by desktop research of files, meeting and other papers together with analysis of statistical performance data.

## 2. Nature of the partnership

The Swindon/Kent Partnership piloted a model of Local Government Franchising (LGF). The ethos behind this model was that local government is a family, and, rather than rely on external agencies, such as consultants, to assist in performance improvement, this could be undertaken within the “family” by bringing strong and weak performing authorities together.

Franchising was a way of describing a relationship whereby a high performing authority (Kent) aligned itself with an authority with difficulties (Swindon) to assist in stimulating and then supporting the whole systems changes required to lift performance. This relied upon Kent committing its most able practitioners to working alongside and supporting Swindon during and following a contracted period, in this instance three years.

An unexpected outcome of this partnership has been the way Kent staff have felt personally engaged in the progress of Swindon. They feel fully involved in the achievements of Swindon staff, and are genuinely and justifiably proud of their successes.

## 3. The Timeline of the Journey

The programme was recorded as logically breaking down into four phases:

- **Phase 1:** Introductions & initial work-streams October 2004 – March 2005 (Note that Andrew Ireland was Kent Lead from January 2005)

- **Phase 2:** Interim Management: Acting Director Andrew Ireland – April– December 2005
- **Phase 3:** Kent lead with revised work-streams: Link Jan Bumstead - Jan 2006 – March 2007
- **Phase 4:** Swindon lead and planned withdrawal April 2007 – September 2007

Readers with long-term involvement in the partnership will note two phases have been named after Officers who originated from Kent; this denotes their significant contribution, as recognised by those we interviewed.

## 4. Project Processes

The strength of the franchising model is that it works with the whole system, instead of traditional consultancy which focuses merely on specific service(s) for improvement. This means that the complex interrelationships between policies and operational issues could all be kept within the frame together; while the support needs could also be explored at the same time. The partnership was also fundamentally different from consultancy, in that it provided support from officers who were grappling with the same issues and policies on behalf of their parent authority (Kent), and thus whose knowledge and experience was always current. This has also enabled a strength and depth of relationship and working experience to be developed which would not be conceivable in a traditional consultancy model. This is one of the reasons why the project can be deemed to have succeeded.

At the start of the project, Kent was keen not to be diverted into responding to the individual symptoms of lack of success. Rather the need was felt to engage critically with the basic causes. As a result activity in the first year was focused in HR and finance, as there was urgent need to stabilise staffing and financial issues, in order to create more solid foundations on which performance improvement could be built.

The role played by Andrew Ireland, although not initially planned, proved to be a key turning point. His assessment of this is that “I could only make it work by throwing myself into it fully as the Director for Swindon.....I couldn't have

managed by being semi-detached and feeling like I had a foot in both camps, although in formal terms I did.” This commitment and focus added real impetus to the work.

## 5. Workstream and Projects

During the first year, the main priorities of the partnership were to stabilise the personnel and financial issues. These were seen as critical success factors on which more detailed, service based performance improvement work could be added. In addition work was done on performance management, service improvement for learning disability, and a major review of care management. Subsequently the work was arranged into two service based workstreams: Adults and Children’s services and four generic workstreams: finance, personnel, IIP, and contracting and commissioning. (While the latter workstream is defined as generic, it principally supports the Adults workstream).

Details of the workstreams can be found in Appendix 1.

## 6. Financial background

Under the contract Swindon Borough Council agreed to pay up to £3.6 million to Kent County Council over three years to deliver the objectives of the partnership. The Department for Communities and Local Government (formerly the Office of the Deputy Prime Minister) contributed £820,000 to the franchise pilot, and the Department of Health contributed £180,000. These contributions helped to ease the financial weight upon Swindon.

## 7. Respondent Views

The people interviewed for this report are listed at Appendix 2. A range of views were expressed, a high proportion of which were in favour of the principle of assistance between different local government authorities, and who further felt that this partnership had been a success. There was some concern that, should Swindon fail to receive two stars on assessment for 2006/07, it would be judged by outsiders to have failed. Generally those working in the partnership felt that this would be an unfair judgement, on the grounds that there was much evidence of improvement having taken place.

Other comments made include:

- Although Swindon was already working on improvements when the partnership began in October 2004, it was strongly felt that without the partnership, progress would have been slower and more difficult without Kent’s involvement.
- The partnership has, in the majority of cases, received strong support over several years and generated enthusiasm and goodwill for the programme. With few exceptions, stake holders (that is, Members and Officers from both authorities) and external stakeholders recognised the impact the partnership has already made on Swindon Social Services and are confident that, as the end of the partnership approaches and subsequently, the partnership will deliver further important benefits.
- The partnership has had a substantial positive impact on staff, as evidenced by the staff survey carried out earlier this year. There is clear evidence of empowered leadership and an increase in participation from staff below management level. This has led to a visible evidence of increase in confidence within the services.
- The partnership is perceived by many key participants as having made a positive contribution to facilitating the beginning of a cultural shift and different mindsets, which are necessary for transformational change and continuous improvement.
- As with most partnerships, the partnership faced serious management challenges. In particular it was necessary to respond to changes in structures, arising from legislation, and with the loss of key personnel. The partnership has demonstrated itself to be flexible and robust, and as a result has been able to respond well to changing circumstances.
- The development of the relationship with CSCI was also felt to be important. In particular the ability to demonstrate that Swindon was serious about performance improvement for the benefit of the people of Swindon, and not just to achieve the star rating.

- However, it is equally apparent that the actual achievement of the first star in 2005 gave a real boost to the morale and confidence of Swindon staff, which itself gave added impetus to the work of improvement.

“We knew we would be stretched but that was part of the attraction”

“We were very clear about the areas we wanted to focus on. These areas included recruitment, retention, rebranding. The partnership supported that. Kent had done it and we could do what Kent did”

“Kent gave what we were already doing momentum and confidence. We might have struggled to meet the costs attached to this”

“Learning how Kent managed relationships has been beneficial”

“Mentoring hasn’t changed our behaviours, giving us the support to drive things through has.”

“We would not have got this far without Kent’s help. They brought breadth and depth of experience to this relationship. The continuity of relationships has been an important factor.”

## 8. Key Achievements

A detailed list of achievements can be found in Appendices 3 and 4, and the impact on Swindon’s performance figures is tabulated in Appendix 5. The more major successes of the partnership are listed below:

- Bringing the partners together was regarded as the most major and impactful decision because previous forms of intervention had failed to improve Swindon’s performance. The decision was regarded as helping joint working, joint approaches, joint understanding, higher status for both authorities to evolve, and providing role models of good practice on both sides.
- Since partnering with Kent County Council, Swindon Borough Council Adult Social care has been awarded 1 star CSCI rating (December 2005 and 2006). The Department

is now regarded as being on track to achieving a second star.

- In the recent JAR, it was generally accepted that children are now safe in Swindon. This is a major shift from earlier regulatory judgements
- The Human Resources work and the achievement of the Investor in People (IIP) status by Children Services in December 2006 and Adult Services in July 2007 was regarded as a major success. The recruitment of an IIP champion within Swindon, trained and qualified as an internal reviewer is a measure of the commitment of Swindon to sustain this positive momentum. A side benefit is that this creates a focus of expertise available to the rest of the Borough Council.
- The partnership provided a platform for investing in improvement in recruitment, retention, and refreshment. Prior to the partnership, the department had significant recruitment and retention problems and in some teams, half the posts were vacant. With Kent’s help, Swindon Borough Council successfully started changing the perceptions of itself as an employer and developed:

- the Quality Service Awards
- a new career grade structure for qualified social workers; and
- a comprehensive staff care package

These measures were successful in shifting perceptions of employment in Swindon, and evidence from financial and human resource records now show that the number of filled social worker posts has increased and the department is saving on agency costs.

- The use of mentoring, linking a number of key individuals and developing long-term relationships, has been a success and facilitated the personal and professional development of officers from both authorities. This has had a demonstrable impact in improving the confidence of Swindon officers, and through this a beneficial impact on performance.

- In Finance, Swindon was encouraged to develop a more mature consideration of financial issues. Kent assisted Swindon to consider new and effective financial and activity reporting processes; these have brought about new ways of working, delegations and accountability. The development of a Social Services Finance Board (Member led) built an improved understanding of social care service and financial issues, including risk management and planning. The aligning of budgets with spending decisions has been a key element of work during the latter stages of the contract. This is work that will continue to develop beyond the conclusion of the partnership, but good foundations have been laid. There is clear understanding of both the opportunities and risks around delegating budgets, and a strong willingness to engage with this process, both by finance and non-financial managers.
- Financial reporting to Corporate Board and Cabinet has been sharpened. It focuses on the major activity and finance trend lines (“elephants”) and associated risks. This has enabled a much clearer understanding of issues to be achieved.
- In Performance Management, the partnership has helped to highlight the weight and importance of this function and associated processes; whilst managers have been empowered to take greater responsibility for ensuring delivery.
- For both performance and financial management a harder edged focus is developing in Swindon, beginning the transformation of approach from one of merely monitoring, to one that is truly management.
- Swindon Social Services has matured considerably during the course of the partnership and has become a more ‘intelligent’ client, a better customer, and as a result, been able to exercise more influence over the commercial market.
- There is increased capacity in the Commissioning and Contracting function. An effective Contracts function has been established and staffed; appropriate structures are now in place; staff have been trained and developed for their role, and there is increased potential to leverage the market to deliver better public value. For example, the planned introduction of call-off contracts will enable Adult Services to utilise capacity on a demand-led basis and improve value-for-money.
- A Certificate in Community Care Contracting has been established for Swindon by the University of Leicester (School of Social Work) following the Kent model. This is a six day programme which was designed in partnership with the East Midlands Purchasing and Contracting Group and has been running in Kent for some years.
- Staff training for financial and non-financial managers has generated fundamental understanding of what it means to budget and performance management when activity and finance are linked, and these different professional staffs work together.
- As Kent lead Member, Keith Ferrin made a significant contribution to the project in supporting and mentoring Swindon Members, particularly in the early days.
- The partnership has also facilitated improvements in relationships with other key partners. Most important of these was with the PCT which has moved from a position of virtually no relationship to one of great strength, developing integrated structures and appointing to a shared management structure.
- An indirect, and indeed unplanned, achievement of the Partnership is the fact that many of the initiatives developed within social care have subsequently been adopted more widely within Swindon. This is particularly the case in HR and IIP where good practice such as the new starter induction, the supervision policy and the general method for implementation of the IIP standard have all been rolled out authority-wide, as have Quality Service Awards (renamed Excellence Awards). At the same time the staff development boards, staff forums and conferences are also in place in several other directorates.

- There was also a wider impact on the Council in terms of its general functioning and organisation. Much was done in the early days to improve the way in which business was organised and run, providing a stronger leadership base. The appointment of Sir Michael Pitt (formerly Kent Chief Executive) as Chief Executive in Swindon was a key factor in this process and accelerated its development.

## 9. Key Challenges

This stage of evaluation found that the partnership experience offered relevant lessons for both authorities over what makes an effective strategic partnership, its implications for partner organisations and the role of external stakeholders. The evaluation found that:

- Confidence and morale in Swindon was initially low, apparently due to the number of poor inspection reports, and the failure and wasted effort of previous interventions by specific consultancies (eg PAT teams) which led to -
- Some Swindon staff initially perceived the interventions as threatening, and as an imposition of Kent processes ('a take-over'). However, as confidence grew on both sides, the partnership was able to develop into one of genuine shared development.
- Reaching agreement on the key priorities and developing capacity in both Councils took longer than anticipated as Kent County Council experienced a degree of resistance from some key Swindon players, and had to develop strategies to address this. As the relationship matured, this became far less of an issue.
- Building trust among the lead partners took some time, given the above concerns, but, once established, has added to the strength of the partnership.
- Moving from action planning to delivery was challenging; a clear delineation of roles and responsibilities, and protocols for joint working was needed. This required the Kent team to develop skills to influence and persuade Swindon staff of the value of proposed

changes. At the same time it also required Swindon staff to be receptive to new ideas and different ways of doing things. As the partnership matured, and work-streams were jointly agreed, this became a more equally based relationship

- Kent found the resourcing of gaps left by its own experts to be a challenging undertaking. Backfilling was not easily achieved, and alternative strategies had to be developed to enable the release of people to go to Swindon whilst minimising the risk to Kent's own performance.
- Although interim management was not within the scope of partnership staffing, when the Swindon Director of Social Services left during Phase 1, a senior Officer from Kent was appointed. This interim appointment was an important stage in developing the relationship, and demonstrated the commitment of both partners to its ultimate success.
- The distance between Kent and Swindon created some personal pressure for the staff involved, and over diary management. Again various strategies were devised to alleviate this, where possible. It was also acknowledged that staff generally remained good humoured about this.
- There were several changes in key personnel in both Kent and Swindon over the lifetime of the project. The risks of this were acknowledged, and one of the key strengths of this partnership was the way that it has sustained momentum, despite the loss of some significant players.
- The implementation of the "Aspire" programme in Swindon (externalisation of some support services to CAPITA) has diluted the management relationship between operational managers and the support on which they rely. This needs strong client management if it is not to be a potential risk to the long term sustainability of the Programme.

## 10. What has worked well and why

- Working through evidence based intervention, checking and analysing files and other available information, and using the results to



inform future actions. This has worked particularly well in Children's services, where there has been a programme of review of child social care practice through significant case audits and in-depth analysis of looked after children profiles.

- Presentation of a programme of facilitated workshops, bringing together service, finance, activity and support issues with key players present from both organisations. These have been supplemented as appropriate with action learning sets. Together these have followed through learning derived from file audits and other work and enabled the agreed changes, such as devolution of budget management to be developed.
- Significant provision of opportunities for key staff to visit Kent, join in conferences and view service provision there. This enabled Swindon staff to see services in action, and to engage with a much wider cohort of Kent staff, thereby broadening the experience.
- Recognition of the importance of support functions in delivering improvement. This manifested itself in many ways, but critically the engagement of professionals in HR and Finance who understand how their support contributes to the overall success of social care services has enabled the whole systems approach to deliver real performance improvement.
- The development of formal mentoring arrangements between Swindon and Kent partnered officers. This has formalised the process of knowledge transfer, and put a framework around the risks of sharing confidential data.
- The HR work stream was acknowledged as highly successful, especially its positive impact on recruitment, retention, and refreshment. The success is visible because like other streams, there are tangible end products, which were produced from the work stream activities. New Quality Service Awards, new detailed job descriptions, and the new career grades are particularly noteworthy.
- Without exception all staff commented upon the impact of the progress made by the

generic work streams favourably. In particular the positive effect of the Kent contribution on IIP and the hard work of the Swindon representative and all staff involved was widely praised.

- The Children's Services and Adult Social Care work will have long-term impact and continue to evolve. Benefits realised such as the review of how Swindon looks after children, the introduction of case file audits and the achievement of 1 star are some of the achievements in which the partners can take pride.
- Both authorities have learned how to work effectively together. Members and Officers attested to the positive impact the partnership has had on their personal development and professional practice – and in some teams, there is positive evidence of team building.
- Swindon is growing into a more confident local authority and partner and has taken greater ownership of the delivery and outcomes of the partnership. The last phase of the project has been carefully planned to support onward sustainability with Swindon taking over the lead for the programme management.
- Leadership at Chief Executive level with the interim appointment of Sir Michael Pitt to CEO in Swindon Borough Council during phase 2 ensuring the partnership was understood Council wide, included other aspects of the Council, and enabling the development of strategic partnerships.
- The integration agenda being pursued in Swindon with the coterminous PCT, in both Children's and Adults' Services is providing interesting learning for Kent staff.

## **11. What could have worked better**

Initial concerns and suspicions about the programme (particularly for Swindon managers) might have been more quickly resolved if time had been allowed in an appropriate forum to work these through and staff from Kent had arrived sooner to demonstrate the nature of the partnership. In July 2006, a highly successful joint Swindon and Kent team-building workshop

was held, which opened up and dealt with some challenging relationships. It was noticeable that overall working arrangements improved from that point, and embraced the developing partnership agenda in Swindon.

At first, Kent officers could feel quite isolated when working in Swindon. This position was much improved during the Jan Bumstead phase (Jan 2006-March 2007) when the workstream leads were formed into a virtual team, and an induction manual was produced to assist staff in engaging more easily in Swindon. It is acknowledged that these team-building actions would have been beneficial at an earlier stage in the programme.

There was also some initial difficulty in attaining a shared view of what the issues were and what needed to be done. Strong project management from the start could have assisted in easier identification of initial work streams enabling an improved sense of ownership early on. Andrew Ireland (in his acting Director role from April 2005), by straddling both authorities, was able to engage more directly with both staff groups, thereby helping to develop the clarity needed.

## 12. Sustainability

Both Swindon and Kent have worked hard over the period to develop a sustainable improvement in Swindon Social Services performance. The performance figures attached with this report evidence the progress made. Positive recruitment and retention, and improved partnership working is further evidence of Swindon's changing image. Given that the changes have been profound, and some are still of relatively recent date (and indeed continue to evolve), they will be vulnerable to changes to any key personnel in Swindon, after the partnership ceases. It is considered important that the focus on performance improvement is sustained, and that to do this Swindon officers continue to work with the processes and other arrangements that have been jointly developed during the partnership, unless external issues force a change. The Council's management of the independent sector and its role as 'commissioners' with local providers has developed and improved, creating longer term stability and improved value-for-money.

The project team have been planning towards the sustainability of the project since July 2006. At that point specific agreement was reached with Swindon managers that each would "own" the reporting of progress on their respective workstreams. Similarly, over time the workshop programme has been re-engineered so that the sessions are more clearly run by Swindon managers with Kent staff in support, rather than the other way around. These changes have been deliberately made to help Swindon managers own and develop confidence in the outcomes of the programme. Stronger performance management systems are helping support managers in ensuring ongoing effective delivery.

It was generally recognised that the work of the generic work streams has made a significant contribution to the success of the project. This must continue and be nurtured by Swindon Corporate Directors once the partnership concludes. It is of concern that the corporate nature of the support functions, and the involvement of a third party (Capita) in managing some aspects of them, take these critical functions out of the direct influence of the social care Directors.

As part of Swindon's assessment about longer term sustainability and capacity, the importance of integrated working with the coterminous Swindon PCT was seen as critical. This has been integrated into the joint programme with Kent through the last two phases so that PCT staff have been included in the work-streams to consolidate partnership working in front line services. This further Swindon partnership is supporting onward improvement in service linked to national policy implementation around *Every Child Matters* and *Our health, our care, our say* and providing scope for more streamlined working and easier access to services.

## 13. Conclusion

Although the headline of the partnership agreement was the aspiration to achieve two star performance in Swindon, it is clear from the analysis in this report that the overall benefits of the partnership extend much more widely than this. There is indeed clear evidence of performance improvement and good potential for long term sustainability; and it is hoped that this

will be sufficient to deliver the two stars in Adult services and continued improvement in children's services when Inspection results are announced in the Autumn. The improving position has enabled wider partnership working supporting a proactive response to national policy implementation.

However beyond the performance numbers there have also been real gains in self-confidence, in staff morale and in leadership in Swindon. It is these less measurable developments which give confidence that this improved performance trend will be continued.

## **Supporting Documents**

The following documents have assisted the benefits review exercise:

- The Partnership Contract
- Workstream documents
- Meeting notes from the Partnership Operations Meeting (POM), the Partnership Business Group (PBG), and the Joint Partnership Steering Group (JPSG)  
DCLG Capacity Building Programme  
Evaluation Reports
- I-APU Franchising Guides
- Programme management documents
- Annual performance returns by Swindon

## Appendix I: Partnership Work Streams

ID	Improvement Streams	General Description
1	<b>Adult Work Stream</b>	<p>To modernise team structures, improve management styles, and to facilitate integration with health, to include:</p> <ul style="list-style-type: none"> <li>• The review and revision of existing care management procedures</li> <li>• The implementation of the joint community team action plan, which includes reviewing team structures, improvement against PAF indicators and PSA targets, devolution of budgets and management training</li> <li>• Improvement of contracts and commissioning of domiciliary care and care home places.</li> <li>• The review of the usage of FAC's criteria</li> <li>• Demographic data analysis and reports to enable improved project planning &amp; development.</li> </ul>
2	<b>Children's Work Stream</b>	<p>To improve child protection, commissioning of Children's services, and to build managerial and strategic capacity. Specific work that has been done include:</p> <ul style="list-style-type: none"> <li>• Reviewing the function and structure of the Looked After Children's provider unit</li> <li>• Reviewing the strategy for looked after children Assistance with the preparation for, and the outcome measures resulting from JAR</li> <li>• Assistance with the review of operation for managers with financial responsibility</li> </ul>
3	<b>Human Resources</b>	<p>To address workforce issues identified by senior management and inspection reports. Specific work has been done, including:</p> <ul style="list-style-type: none"> <li>• The development of a workforce strategy for social services to improve retention and recruitment for long term sustainability.</li> <li>• The development of the training function</li> <li>• Implementation of staff care strategies as a key lever for recruitment and retention</li> <li>• Improvement in social worker/care manager recruitment</li> <li>• Promotion and further development of staff care</li> </ul>

ID	Improvement Streams	General Description
4	<b>Investors in People (IiP)</b>	<p>To implement Investors in People to achieve external accreditation and to address human and organisational issues identified in inspection reports. A series of projects have been delivered to provide the underpinning infrastructure for evidencing the IiP standard including:</p> <ul style="list-style-type: none"> <li>• A New Starter Induction programme</li> <li>• A Core Supervision Policy</li> <li>• Setting up a Staff (Workforce) Development Board</li> <li>• A Competence Based Appraisal</li> <li>• Mentoring and specific development of lead for IiP in Swindon with 'champions'.</li> </ul>
5	<b>Finance</b>	<p>To build capacity, skills training, and to improve systems and processes, including:</p> <ul style="list-style-type: none"> <li>• Training for non-finance staff</li> <li>• Activity based budget forecasting and management</li> <li>• Budget build and analysis</li> <li>• Budget monitoring</li> <li>• Financial management and accountability framework review</li> <li>• Medium term financial planning</li> <li>• Developing reporting processes for Members, cabinet and Corporate Board.</li> </ul>
6	<b>Contracts &amp; Commissioning</b>	<p>To improve contracts and commissioning processes and methods.</p> <ul style="list-style-type: none"> <li>• Advice on the revision of all contracts.</li> <li>• Support recruitment, induction and training of a new Contracts Team.</li> <li>• Support improved market management with independent sector</li> <li>• Support the development and implementation of cost &amp; volume contracts</li> </ul>

## **Appendix 2: People Interviewed for the report**

### **From Swindon:**

Gavin Jones, CEO Swindon Borough Council  
Caroline Fowles, Group Director Housing,  
Social Care and Community (joint post with Swindon PCT)  
Hilary Pitts, Group Director Children's Services  
Graham Pearson, Joint Director of Service Delivery (joint post with Swindon PCT)  
Jean Pollard, Director, Children and Families  
John Hughes, Adult Social Care Service Manager  
Haydn Jones, Group Finance Manager  
Stuart McGregor, Group Finance Manager - projects  
Eve Dennis, HR Business Partner of Adult Social Care, Housing and Community  
Dimity Linsell, IIP Champion and Complaints Manager  
Nicki Funnell, Commissioning & Contracts Manager  
Cllr Mike Bawden, Conservative Group, Previous Leader of the Council  
Cllr Renard, Cabinet Member for Health, Housing and Social Care  
Cllr Perkins, Cabinet Member for Children's Services  
Cllr Ian Dobie, Previous Cabinet Member for Health, Housing and Social Care  
Rebecca McKenzie, Director of Human Resources  
Shannon Oak, Learning and Development, Practice Learning Co-coordinator

### **From Kent:**

Cllr Keith Ferrin, Cabinet Member Environment, Highways and Waste, Lead Kent Member for the Partnership  
Peter Gilroy, Chief Executive  
Oliver Mills, Managing Director, Kent Adult Social Services  
Jan Bumstead, Head of Business and Performance Management, West Kent, Workstream lead for contracting, project manager from January 2006 to March 2007  
Bronwyn Henry, Modernisation Manager, Workstream lead for adults, and project manager from April 2007  
David Guy, Former Head of Children's Services, East Kent, Workstream lead for children  
Ian Allwright, Personnel Manager Employee Relations and Change, Workstream lead HR  
Mags Harrison, Continuous Improvement Manager, Workstream lead IIP  
Caroline Highwood, Director Resources, Workstream lead for finance  
Hugh Miller, Finance Policy Manager, Development of finance workstream  
Janice Grant, Policy Manager, Support to adults workstream  
Alex Cole, Head of I-APU

### **Others:**

Imelda Richardson – Regional Director CSCI  
Andrew Ireland – now Director of Children's Services for LB Havering  
Kevin Skinner – former head of I-APU  
Rob Moore – Department of Health

### Appendix 3: Benefits Realised by Swindon Borough Council

ID	Performance area	Benefit Realised	Evidence
1	<b>Leadership</b>	<p>Empowered leadership.</p> <p>Leadership confidence was boosted through observation of Kent County Council subject matter experts.</p> <p>Personal development for work stream leads through the mentoring process.</p> <p>Shift in attitude and behaviours.</p> <p>Development of the Management Teams.</p> <p>Good progress in Performance Management through a strong partnership between the Kent and Swindon 'role mirrors'.</p> <p>Strategic leadership from the interim appointment of Sir Michael Pitt as CEO SBC</p>	<p>Evidence for these changes can be derived from meeting notes over the life of the project</p> <p>Cabinet reports and processes Workshops (feedback reports)</p> <p>Investors-in-People</p> <p>Annual CSCI reports (ROPA)</p> <p>Local Area Agreement</p> <p>Community Strategic Partnership</p> <p>Cabinet and Council processes</p>
2	<b>Culture and staff morale</b>	<p>Development of a 'can do' culture.</p> <p>Change in language to "<i>we feel more in charge, and we expect more</i>".</p> <p>Proficiency improvement and increased awareness of the need to continuously monitor and examine.</p> <p>More open systems.</p> <p>Change in engagement with support services to make them more integral to the planning and delivery of services.</p> <p>Improved morale</p> <p>Empowerment of junior and middle managers</p>	<p>Progress updates from minutes of the Partnership Board Group, the Joint Partnership Steering Group, and other meetings.</p> <p>Evidence of new ways of working.</p> <p>Role of support heads in management teams. HR issues mainstreamed in business plans Staff survey (2007)</p> <p>Workshops on finance and activity (feedback)</p> <p>Inclusion of support staff in all workshops and planning groups associated with work-streams – (feedback and action plans).</p> <p>Appraisal reports and SBC Staff survey</p>

ID	Performance area	Benefit Realised	Evidence
3	<b>Capacity</b>	<p>Increased capacity through shadowing and skills transfer.</p> <p>The demographics map helped to allocate resources better and to put systems in place.</p> <p>Improved performance management.</p> <p>Improved understanding of demand-led budgets.</p> <p>Adult Social Care received a CSCI star.</p>	<p>Achievement of 1 CSCI star for Social Services (2004/5 &amp; 2005/6).</p> <p>New processes and systems. Project plans</p> <p>Progress updates from minutes of the Partnership Board Group, the Joint Partnership Steering Group, and other meetings. CSCI DIS &amp; ROPA</p> <p>CSCI report 2006</p>
4	<b>Finance</b>	<p>Adult care broke even on the budget for 05/06.</p> <p>The implementation of Swift Financial software.</p> <p>The implementation of improved budget monitoring and activity-based forecasting and management.</p> <p>Improvements in Social Care Finance processes and systems.</p> <p>Establishment of a social services finance committee to enable Members to develop a clearer understanding of the risks and issues associated with social care budgets</p>	<p>Financial reports</p> <p>Progress updates from minutes of the Partnership Board Group, the Joint Partnership Steering Group, and other meetings.</p> <p>Finance reports to Cabinet &amp; Corporate Board</p> <p>Sub-Committee reports and presentations to Members financial planning group (FPAG)</p>



ID	Performance area	Benefit Realised	Evidence
5	HR and IIP	<p>Development of a recruitment and retention strategy for Social Work / Care Management which, particularly in the first year when the need was greatest, saw a significant reduction in vacancy levels in children's social work teams, and a decrease in turnover across the board</p> <p>Re-branding services and promotional campaign, developing supported undergraduate scheme to attract social work students, developing competitive employment package to assist in making Swindon an employer of choice</p> <p>Implementation of a new social worker/care manager career grading structure, including Occupational Therapy. This included establishing the Senior practitioner role to allow progression within practice, rather than moving into management. This increased the focus on developing and improving practice within the Social Work and Care Management teams</p> <p>Re-positioning of human resources as a strategic function and improvement in management standards. These include development of a workforce strategy and active management of risk arising from vacancies.</p> <p>The implementation of a Competency Based Appraisal System.</p> <p>Introduced and established a Staff Care scheme that includes:</p> <ul style="list-style-type: none"> <li>• Quality Service Awards</li> <li>• New Induction Scheme</li> <li>• New work/life balance policies</li> <li>• And links to existing developments in Swindon for training and development</li> </ul> <p>The establishment of a Workforce Development Board to meet regularly to discuss and resolve workforce development issues.</p>	<p>A new grading structure that is working.</p> <p>HR records on the use of agency staff, recruitment, retention, and attrition rates.</p> <p>Improved HR policies, systems and processes.</p> <p>Investor in People award for Children's Services and Adult Services</p> <p>Improved recruitment</p> <p>Improved staff retention and staff morale</p> <p>Investors-in-People recognition reports</p> <p>Data gathered by Corporate HR</p> <p>Staff, service users and carers feedback on QSA.</p> <p>Staff feedback on induction programme</p> <p>Increasing take-up of training. Exceeded national targets on NVQ.</p>

ID	Performance area	Benefit Realised	Evidence
5	<b>HR and IIP (cont)</b>	<p>Developed joint working agreement and protocols for managing staff within Joint Community Teams</p> <p>The implementation of a core Supervision Policy that conforms to CSCI and Skills for Care standards.</p> <p>Reduced dependency on agency staff leading to cost savings.</p> <p>Good progress on development of Resource Personal Accountability Statement models for financial management.</p> <p>Agreement to a Care Management Model in Learning Disability services which 'reunites' the professional, semi-professional and support roles, ready for potential mapping across to Adult Services as a whole</p>	<p>Action plans and minutes of Joint Services Development Group.</p> <p>CSCI service unit inspection reports</p> <p>Budget out-turns 2005/6</p> <p>Social Care Finance Board reports</p> <p>CSCI inspection June 2007</p>
6	<b>Contracts &amp; Commissioning</b>	<p>Contracts and commissioning advice on key areas to cover capacity gaps.</p> <p>Detailed scoping of the Care Management and Contracting requirements in Swindon Social Services to enable vital improvement strategies to be applied</p> <p>Introduction of formal training for contracts staff</p> <p>Development and introduction of quality monitoring processes and protocols</p> <p>Development of provider forums</p>	<p>Records and documentation held by Contracts team. Reports to Corporate Procurement.</p> <p>Reports to Social Care Finance Board and Corporate Procurement Group</p> <p>New Contracts Team established 2006</p> <p>Contracts and compliance</p> <p>Minutes of meetings</p>

ID	Performance area	Benefit Realised	Evidence
7	<b>Adult Care Services</b>	<p>Assistance with devolution of financial responsibility to managers with operational accountability aligning financial and managerial accountability leading to:</p> <ul style="list-style-type: none"> <li>• better managerial decisions</li> <li>• making more effective use of resources</li> <li>• empowered staff</li> <li>• help with business planning</li> </ul> <p>Review of care management procedures.</p> <p>Additional planning guidance for the learning disability team.</p> <p>Review and revision of agreements and contracts to demonstrate outcome based commissioning.</p> <p>Detailed demographic analysis of Swindon population, and projected growth, to facilitate planning future service provision</p> <p>Assistance with planning for Annual Review 06/07.</p> <p>Use of strategic information, aligning finance and activity, and understanding of client populations to inform service management</p> <p>Team building days for team managers to support management development</p>	<p>Records and documentation Improved performance indicators and matching with finance.</p> <p>Workshops feedback and JSDG action plans</p> <p>Kent reports</p> <p>Contracts documentation</p> <p>RCH modernisation &amp; Extra-care sheltered accommodation reports for Cabinet, and Capital programme development</p> <p>ARM September 2007</p> <p>Reports to SCFB</p> <p>Workshops feedback and JSDG minutes</p>

ID	Performance area	Benefit Realised	Evidence
8	<p><b>Children's Services</b></p>	<p>Assistance with devolution of financial responsibility to managers with operational accountability aligning financial and managerial accountability , leading to:</p> <ul style="list-style-type: none"> <li>• Better managerial decisions</li> <li>• Making more effective use of resources</li> <li>• Empowered staff</li> <li>• Help with business planning</li> </ul> <p>Preparation JAR, and improved outcome measures. Assistance including 2 major case audits (100+ cases), which clarified the need for practice changes</p> <p>Assistance with and refocusing leaving care services</p> <p>Improved understanding of the looked after children population to enable their objectives to be realised</p> <p>Improved use of strategic information to inform managerial decision making</p> <p>Improvement in child protection, with proactive management of process</p> <p>Setting new standards for File Audits. Tailoring and adoption of Files Audit Tools. Improvement in writing effective processes.</p> <p>Improvement in the 16+ Programme.</p> <p>Assistance with review and re-prioritisation of supervision policy and practice</p> <p>Joint planning and provision of child protection training to address the management of risk</p>	<p>Regular senior management meetings of all key partnership staff (SWENT)</p> <p>Service review of leaving care services</p> <p>Consultation and review of provider function</p> <p>Joint training on risk management Case files.</p> <p>Improved performance indicators</p>

## Appendix 4: Benefits Realised by Kent County Council

ID	Performance area	Benefit Realised	Evidence
1	<b>Personal development</b>	<p>Gains in self-confidence, understanding own role and ability to explain to others</p> <p>Challenge to pre-conceived views, facilitating the development of alternative strategies</p>	Career progression (some) and personal appraisals
2	<b>Networking</b>	<p>Development of good working relationships with Swindon counterparts leading to exchanges of mutually useful information (e.g. the implementation of SWIFT financials)</p> <p>Understanding of challenges of working in joint front line teams in a resource constrained environment. Including PCT activity in team reports.</p>	<p>From individual participants in the programme</p> <p>Workshop feedback</p>

## Appendix 5: Swindon's performance figures

Indicator	PAF ref	2003.04 Actual	2004.05 Actual	2005.06 Actual	2006.07 Actual
<b>All Adults</b>					
Intensive home care as a percentage of intensive home and residential care	B11	18.0%	21.3%	23.35%	27%
Availability of single rooms	D37	85%	86%	87%	87%
Percentage of people receiving a statement of their needs and how they will be met	D39	78%	91.5%	95%	98%
Clients receiving a review	D40	63.3%	69.7%	60%	74%
Assessments of adults and older people leading to provision of service (E50)	E82	59.9%	61.7%	75%	68%
Direct payments per 100,000 population	C51	26.8	42.2	45.3	69
Percentage of items of equipment and adaptations delivered within 7 working days	D54	94%	94.4%	97%	95%
<b>Older people</b>					
Older people helped to live at home per 1,000 population	C32	61.1	56.2	73.6	81
Intensive home care per 1,000 population aged 65 or over	C28	8.1	9.5	9.1	11
Older people aged 65 or over admitted to residential / nursing care during the year per 10,000 population	C26 / C72	101.1	94.5	82.5	84
Acceptable waiting times for assessments	D55	54.1%	57.8%	62%	82%
Acceptable waiting times for care packages	D56	82.2%	80.7%	76%	83%
<b>Adults aged 18 to 64</b>					
Adults aged 18 to 64 or over admitted to residential / nursing care during the year per 10,000 population	C27 / C73	3.1	2.9	1.8	2.0
Adults with physical difficulties helped to live at home per 1,000 population	C29	2.4	2.0	2.9	3.1
Adults with learning disabilities helped to live at home per 1,000 population	C30	2.7	2.1	2.6	2.6
Adults with mental health problems helped to live at home per 1,000 population	C31	6.2	7.1	6.3	7.1
<b>NHS Interface</b>					
Delayed transfers of care per 100,000 population aged 65 or over	D41	58.6	44	44	44

Indicator	PAF ref	2003.04 Actual	2004.05 Actual	2005.06 Actual	2006.07 Actual
<b>Children</b>					
Percentage of children looked after with 3 or more placements during the year	A1	13.2%	13.5%	14.2%	15.8%
Percentage of young people leaving care at the age of 16 or over with at least 1 GCSE at grade A*-G or GNVQ	A2	60.9%	32.0%	53.6%	44.8%
Percentage of child protection re-registrations during the year	A3	11.8%	4.9%	12.7%	17.6%
Percentage of young people looked after on 1 April in their 17th year (aged 16) who were engaged in education, training or employment at the age of 19	A4	Definition changed	0.47	0.68	0.69
Progress made towards a comprehensive Children and Adolescents Mental Health Service (CAMHS)	A70	New	New	12	14.0
Of children looked after at 31 March (excluding those placed with parents) the percentage who were in foster placements or placed for adoption (was B7)	B79	87.5%	80.8%	85.0%	90.5%
Ratio of the percentage of children aged 10 or over who had been looked after continuously for at least 12 months, who were given a final warning / reprimand / caution or convicted during the year for an offence committed whilst they were looked after, to the percentage of all children aged 10 or over given a final warning/reprimand/caution or convicted for an offence in the area (was C18)	C81	4.8	3.0	4.4	1.1
The average of the percentages of children looked after at 30 September who had been looked after continuously for at least 12 months, and who had had their teeth checked by a dentist during the previous 12 months, and had an annual health assessment during the previous 12 months	C19	78.5%	93.2%	90.5%	91.3%
The percentage of child protection cases which should have been reviewed during the year that were reviewed	C20	75%	100%	100%	100%
The percentage of children deregistered from the Child Protection Register during the year who had been on the register continuously for two years or more	C21	4.3%	3.2%	3.8%	6.5%
The number of looked after children adopted during the year as a percentage of the number of children looked after at 31 March who had been looked after for six months or more on that day	C23	11.1%	9.2%	9.4%	7.2%
The percentage of children who had been looked after continuously for at least 12 months and were of school age, who missed a total of at least 25 days of schooling for any reason during the previous school year	C24	4.8%	1.4%	6.3%	5.3%
Percentage of looked after children who communicated their views at Statutory Review who had been looked after for more than 4 weeks. (Now includes all reviews held during the year)	C63	New	73.7%	84.2%	90.7%

<b>Indicator</b>	<b>PAF ref</b>	<b>2003.04 Actual</b>	<b>2004.05 Actual</b>	<b>2005.06 Actual</b>	<b>2006.07 Actual</b>
The percentage of core assessments that were completed within 35 working days of their commencement	C64	New	67.6%	77.7%	89.7%
The percentage of children looked after cases which should have been reviewed during the year that were reviewed during the year	C68	New	New	80.5%	87.7%
The percentage of children who were placed at March 31 more than 20 miles from their home address from which first placed	C69	New	New	19.7%	15.6%
Percentage of children aged under 16 who had been looked after continuously for 4 or more years, who have been living in the same placement for at least 2 years (was D35 – now looks at those in care for 2.5 years instead of 4)	D78	52.5%	51.1%	61.8%	53.2%
Gross expenditure on children in need but not looked after, as a percentage of gross expenditure on all children's services	E44	45.7%	42.1%	35.6%	36.0%









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