

DOCUMENTS REQUIRED FOR ADVANCE INFORMATION TEMPLATE

NAME OF AUTHORITY.....

Documents from the Local Authority

1 ACCESS

	SOURCE	LA	INTERNET
1.1	Eligibility criteria for all client groups		
1.2	Standards (in terms of response times to those making contact, customer care, etc.) and monitoring arrangements		
1.3	Duty and screening arrangements (including screening criteria for all assessment services; arrangements for dealing with contacts, taking referrals and prioritising them)		
1.4	Guidance for staff about risk management		
1.5	Any access or information strategy for social services (including use of the local authority web-site)		
1.6	Any local authority social inclusion strategy		
1.7	The local authority's Welsh Language Scheme		
1.8	The local authority's equality and diversity policies		
1.9	Publicity material about services (including information for service users and carers)*		
1.10	Information for potential referrers, including protocols with other agencies and professionals*		
1.11	Any review of access arrangements, including out-of-hours		
1.12	Referral forms for all services		
1.13	Evidence of any response to service users' comments about access.		

2. ASSESSMENT

Documents from the Local Authority

	SOURCE	LA	INTERNET
2.1	Any social services strategy for assessment practice		
2.2	Case allocation policies and decision-making arrangements		

2.3	Policy decisions about waiting lists for assessment		
2.4	Information for service users and carers (including their involvement in assessment processes)*		
2.5	Information for other agencies and professionals about assessment (including protocols for information-sharing and shared assessment)*		
2.6	Standards (including response times) and monitoring arrangements		
2.7	Guidance for staff (including prioritisation, different levels of assessment and the management of risk)*		
2.8	Assessment forms for all services		
2.9	Evidence of the response to service users' comments about assessment processes.		

3. CARE MANAGEMENT AND REVIEW

Documents from the Local Authority

	SOURCE	LA	INTERNET
3.1	Any social services strategies for care management and review		
3.2	Progress reports on implementation of the <i>Unified Assessment Process</i> and the <i>Framework for the Assessment of Children in Need and their Families</i>		
3.3	Policies in respect of case allocation (prioritisation, unallocated cases, waiting lists)		
3.5	Standards and monitoring arrangements		
3.6	Information for service users and carers*		
3.7	Guidance for staff (including statutory obligations, procedures for caseload management, case recording, risk management)*		

3.8	Arrangements for workload management (including case transfer protocols)*		
3.9	Budget management, costing and decision-making in individual cases		
3.10	Reviewing arrangements		
3.11	Protocols with other agencies and partners*		
3.12	Forms used for care plans		
3.13	Review forms		
3.14	Evidence of trends for improvement or decline in practitioners' work loads over the last 3 years		

4. RANGE OF SERVICES PROVIDED

Documents from the Local Authority

	SOURCE	LA	INTERNET
4.1	Eligibility criteria for all provided services		
4.2	Policies to inform prioritisation, choice, risk management and decision-making		
4.3	Service plans for provided services (e.g. day care, residential care, domiciliary services)		
4.4	Standards (including response times) and monitoring arrangements		
4.5	Service provision maps/handbooks/guides*		
4.6	Information for service users and carers about the range of services provided by the local authority* Evidence of how information from users and carers has been used in helping to develop, change and improve services;		
4.7	Arrangements for profiling need and/or matching needs and services		
4.8	Statements of purpose for individual service settings*		
4.9	Evidence of how information from users		

	and carers has been used in helping to develop, change and improve services;		
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5. QUALITY OF SERVICES PROVIDED

Documents from the Local Authority

	SOURCE	LA	INTERNET
5.1	Quality standards, assurance and monitoring arrangements		
5.2	Inspection reports (including CSIW) over the last 24 months*		
5.3	Strategy for empowering service users and carers		
5.4	Complaints policies, processes, monitoring reports (including the last annual complaints report) and examples of how information from complaints has led to change		
5.5	Compliment procedure (if not included in 5.4)		
5.6	5.6 Outcome of service reviews*		
5.7	Outcome of service user and carer surveys		
5.8	Policies and procedures for multi-disciplinary arrangements for managing avoidance of admissions to hospital and for ensuring safe and timely hospital discharge.		

6. ARRANGEMENTS TO PROTECT VULNERABLE PEOPLE

Documents from the Local Authority

	SOURCE	LA	INTERNET
6.1	Policy documents or strategies for the protection of vulnerable people		
6.2	Annual plans and reports (including ACPC business plan) for the last two years		

6.3	Serious case reviews in the last three years*		
6.4	Procedures (multi-agency and social services) for the protection of vulnerable people*		
6.5	Inter-agency protocols and monitoring arrangements (including case conferences, strategy meetings, etc.)*		
6.6	Staff guidance (case management, decision-making, risk management, management of unallocated cases and response to emergencies)*		
6.7	Standards (including response times) and monitoring arrangements		
6.8	Safeguarding arrangements for recruitment of staff and volunteers		

7 SUCCESS IN PROMOTING INDEPENDENCE AND SOCIAL INCLUSION

Documents from the Local Authority

	SOURCE	LA	INTERNET
7.1	Corporate documents in respect of social inclusion and the role of social care		
7.2	Joint strategies with other stakeholders, including the voluntary sector and health services		
7.3	Strategies for re-ablement and rehabilitation		
7.4	Hospital discharge protocol		
7.5	Direct payments policy		
7.6	Carers' strategy		
7.7	Income maximisation policy		
7.8	Strategies for empowerment of service users and carers, including outreach work		

	(especially in respect of hard-to-reach groups)		
7.9	Reports on implementation of the Disability Discrimination Act 1995		
7.10	Policies and strategies setting out how the authority meets the needs of black and minority ethnic communities (if not included in the above).		
7.11	The local authority's Welsh Language Scheme (see 1.3)		
7.12	Details of your ethnic monitoring recording over the past year		

8. RESOURCES

Documents from the Local Authority

	SOURCE	LA	INTERNET
8.1	Budget-setting and review processes, including the capital programme		
8.2	The local authority budget book		
8.3	The annual audit letter		
8.4	Financial plans, investment and funding strategies*		
8.5	Policies for achieving best value		
8.6	Charging policies		
8.7	Asset management plans*		
8.8	Arrangements for budget management and control		
8.9	Guidance for staff in respect of budget management and control*		
8.10	Outcomes of service reviews*		

9. PLANNING AND PARTNERSHIPS

Documents from the Local Authority

	SOURCE	LA	INTERNET
9.1	Local authority overall planning framework		
9.2	Local authority community plan		
9.3	Relevant corporate plans		
9.4	Framework for planning social services		
9.5	Health, Social Care and Wellbeing Strategy		
9.6	Statutory service planning documents (e.g. Children's Services Plan)		
9.7	Voluntary sector compact		
9.8	Operational plans for services to specific user and carer groups*		
9.9	Joint service plans with other departments, agencies and organisations*		
9.10	Use of grants		

10. COMMISSIONING AND CONTRACTING

Documents from the Local Authority

	SOURCE	LA	INTERNET
10.1	Corporate procurement strategy		
10.2	Framework for commissioning social services (including joint commissioning forums for stakeholders)		
10.3	Commissioning strategies for specific service areas		

10.4	Profiles of need and the range of service options		
10.5	Contracting arrangements (including monitoring, compliance and review)		
10.6	Market maps*		
10.7	Service reviews conducted under the Wales Programme for Improvement (including arrangements for benchmarking)*		
10.8	Service specifications*		
10.9	Joint investment plans with key partners (including pooled budgets, service level agreements)		

11. WORKFORCE

Documents from the Local Authority

	SOURCE	LA	INTERNET
11.1	Social care workforce development strategy		
11.2	Staff development and training plans (including qualification targets, management development programme, etc.)		
11.3	Human resource strategies		
11.4	Relevant personnel policies and procedures (including recruitment, retention, management of sickness and absence, use of disciplinary or capability procedures, health and safety)*		
11.5	Guidance for staff on registration with the Care Council and adherence to the Codes of Practice		

11.6	Framework for dialogue with trade unions		
11.7	Outcomes from staff surveys*		
11.8	Whistleblowing policy		

12. PERFORMANCE MANAGEMENT

Documents from the Local Authority

	SOURCE	LA	INTERNET
12.1	Performance management strategy, related documents and arrangements for monitoring		
12.2	Practice and service standards and targets		
12.3	Monitoring and reporting framework and systems (including routine reporting)		
12.4	Other quality assurance systems in use (e.g. EFQM, balanced scorecard, etc.)		
12.5	Operational or business planning framework		
12.6	Supervision policy and monitoring arrangements		
12.7	Systems for appraisal and individual performance planning		
12.8	Reports of any quality assurance exercises (e.g. case audits)*		
12.9	Response to external inspection and review findings*		
12.10	ICT and management information strategies and details of the systems in use		
12.11	Ombudsman complaints*		

13. LEADERSHIP AND CULTURE

Documents from the Local Authority

	SOURCE	LA	INTERNET
13.1	Schemes of delegation		
13.2	Documents expressing the overall strategic direction for social services (including key principles, aims and objectives)		
13.3	Objectives for senior officers in social services		
13.4	Minutes of meetings for the current year (social services management team, adult services management team and children's services management team)		
13.5	Communication strategy and monitoring arrangements		
13.6	Outcome of staff surveys		
13.7	Systems for project management		

14. CORPORATE AND POLITICAL SUPPORT AND SCRUTINY

Documents from the Local Authority

	SOURCE	LA	INTERNET
14.1	The Wales Programme for Improvement joint risk assessment		
14.2	The Wales Programme for Improvement regulatory plan		
14.3	The improvement plan audit		
14.4	Overview and scrutiny report		

14.5	Arrangements for the executive and scrutiny functions in respect of social services		
14.6	Relevant council, cabinet and committee minutes and papers (last four months)		
14.7	Relevant cross-cutting strategies (e.g. consultation, community safety, supporting people)		
14.8	Key briefing documents for elected member		
14.9	Elected member training programme		