

# Advance information

## Local Authority

## Joint Reviews in Wales

THE ADVANCE  
INFORMATION TEMPLATE

DATE OF REVIEW

## Introduction

Before working with the template, it is important that you are familiar with the sections in the Joint Review Handbook that deal with:

- advance information and its place in the overall process (Section 1.3). This guidance emphasises that, in providing advance information, there is particular merit in emphasising:
  - quantitative material, rather than narrative descriptions;
  - information about performance trends;
  - illustrating points with data;
  - evidence of activity and achievements;
  - the impact upon service users, including case examples.
- Guidance to completing the advance information template (Section 1.3.1).

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# How good are the services?

## 1. Access

### 1.1 Annual performance evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on access arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on access arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 1.2 National Performance Indicators

There are no national performance indicators relevant to this section.

### 1.3 Documents

The local authority may wish to provide the following documents, clearly referenced. An asterisk (\*) is used in the template to identify where the local authority is asked to provide a list of documents rather than individual items. Please use your own judgement about any other category of document where the local authority feels it is sensible to use this approach.

#### Desirable

- 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

## Other

- 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.

Any additional documentary evidence should be listed below, referenced 1.14 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

### 1.4 Quantitative information

- SCA/004 The percentage of enquiries that trigger an assessment
- SCC/006 The percentage of referrals during the year on which a decision was made within 1 working day

### 1.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

### 1.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your assessment of how effective your access arrangements are overall.

Poor	Inconsistent	Mainly good	Excellent.

## 2. Assessment

### 2.1 Annual performance evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on assessment arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on assessment arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 2.2 National Performance Indicators

The joint review team will insert the following national performance indicators relevant to assessment for the last 3 years:

- NAWPI 3.10 The rate of assessments of people aged 65 and over per thousand population as at 31 March
- Number of assessments for adults aged 18-64 per thousand population as at 31 March
- Number of completed assessments for adults aged 18-64 with a physical or sensory disability per thousand population as at 31 March
- Number of completed assessments for adults aged 18-64 with a learning disability per thousand population as at 31 March
- Number of completed assessments for adults aged 18-64 with mental health problems per thousand population as at 31 March
- Number of completed assessments for adults aged 18-64 who suffer from substance misuse per thousand population as at 31 March
- Number of completed assessments for other vulnerable adults ages 18-64 per thousand population as at 31 March

### 2.3 Documents

#### Desirable

- 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

**Other**

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.

Any additional documentary evidence should be listed below, referenced 2.10 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

## 2.4 Quantitative information

- SCA/005 The average number of working days between initial enquiry and completion of the care plan
- SCA/012a) The percentage of identified carers of adult service users who were offered an assessment
- SCA/012b) The percentage of identified carers of adult service users who had an assessment
- SCC/007 The percentage of referrals that process to allocation for initial assessment during the year:
  - a) Allocated to a social worker for initial assessment
  - b) Allocated to someone other than a social worker for initial assessment
- SCC/008 a) The percentage of initial assessments carried out within 7 working days;

- SCC/008 b) The average time taken to complete initial assessments that took longer than 7 working days to complete
- SCC/009 a) The percentage of required core assessments carried out within 35 working days
- SCC/009 b) The average time taken to complete those required core assessments that took longer than 35 days
- SCC/011 The percentage of initial assessments that took place during the year where there is evidence that
  - a) The child has been seen by the Social Worker
  - b) The child has been seen alone by the Social Worker
- SCC/018 The percentage of health assessments for Looked after Children due in the year that have been undertaken
- SCC/028 The percentage of children looked after who had a fully completed and updated Assessment and Action Record at their third review

## 2.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 2.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your assessment of how effective your assessment arrangements are overall.

Poor	Inconsistent	Mainly good	Excellent.

## 3. Care management and review

### 3.1 Annual performance evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on care management and review arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on care management and review arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 3.2 National Performance Indicators

The joint review team will insert the following national performance indicators relevant to care management for the last 3 years:

- NAWPI 3.3 The percentage of young people in care on their 16th birthday who have a care plan and/or pathway plan for their continuing care.
- PA11a The percentage of first placements (for looked after children) beginning with a care plan in place.
- NAWPI 3.9 The percentage of adult clients receiving a written statement of their needs and how they will be met
- NAWPI 3.12 The percentage of children on the child protection register whose cases should have been reviewed that were reviewed on time.
- NAWPI 3.15a The percentage of cases of children with an allocated social worker who is providing a service appropriate to the child's need, for children on the child protection register.
- NAWPI 3.15b The percentage of cases of children with an allocated social worker who is providing a service appropriate to the child's need, for children looked after (excluding children in (a) above)
- NAWPI 3.15c The percentage of cases of children with an allocated social worker who is providing a service appropriate to the child's need, for children in need (excluding children in (a) and (b) above).

### 3.3 Documents

## **Desirable**

- 3.1 Any social services strategies for care management and review
- 3.2 Progress reports on implementation of the *Unified Assessment Process* and the *Framework for the Assessment of Children in Need and their Families*
- 3.3 Policies in respect of case allocation (prioritisation, unallocated cases, waiting lists)

## **Other**

- 3.4 Transition policies
- 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

Any additional documentary evidence should be listed below, referenced 3.15 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

## **3.4 Quantitative information**

- SCA/007 The percentage of clients with a care plan at 31<sup>st</sup> March whose care plans should have been reviewed that were reviewed during the year
- SCC/013a) The percentage of open cases of children with an allocated social worker where the child is receiving a service in each of the following groups;
  1. Children on the Child Protection Register

2. Children looked after
3. Children in need
  - SCC/013b The percentage of open cases of children allocated to someone other than a social worker where the child is receiving a service in each of the following groups;
    1. Children on the Child Protection Register
    2. Children looked after
    3. Children in need
  - SCC/016 The percentage of reviews of child in need plans carried out in accordance with the statutory timetables
  - SCC/001a) The percentage of first placements of looked after children during the year that began with a care plan in place
  - SCC/001b) For those children looked after whose second review (due at 4 months) was due in the year, the percentage with a plan for permanence at the due date
  - SCC/021 The percentage of looked after children reviews carried out within statutory timescales
  - SCC/024 The percentage of children looked after during the year with a Personal Education plan within 20 school days of entering care or joining a new school



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Visio-Children in Need  
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Visio-Looked After  
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### 3.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

### 3.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your assessment of how effective your care management arrangements are overall.

Poor	Inconsistent	Mainly good	Excellent.

## 4. Range of services provided

### 4.1 Annual performance evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on range of services provided (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on range of services provided (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 4.2 National Performance Indicators

The joint review team will insert the following national performance indicators relevant to range of services provided for the last 3 years:

NAWPI 3.11 The number of nights of respite care provided or funded by the authority per 1,000 adults.

Rate of looked after children

Number of looked after children

Looked after children by placement

Adults with PSI supported by setting

Adults with learning disability supported by setting

Adults with mental health needs supported by setting

Adults with substance misuse needs supported by setting

Other vulnerable adults supported by setting

### 4.3 Documents

#### Desirable

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

**Other**

- 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\*
- 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;

Any additional documentary evidence should be listed below, referenced 4.10 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

#### 4.4 Quantitative information

- SCA/010 The rate per 1,000 adult clients assessed during the year who are provided with assistive technology as part of a package of care
- SCC/019 The percentage of children looked after at 31 March who were registered with a provider of general medical services at that date.
- SCC/020 The percentage of looked after children who have had their teeth checked by a dentist during the year.

#### 4.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

#### 4.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your assessment of how effective your range of services provided are overall.

Poor	Inconsistent	Mainly good	Excellent.

## 5. Quality of services provided

### 5.1 Annual performance evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on quality of services provided (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on quality of services provided (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 5.2 National Performance Indicators

The joint review team will insert the following national performance indicators relevant to quality of services for the last 3 years:

- NAWPI 3.1 Stability of placements of children looked after by the authority by reference to the percentage of children looked after on 31 March in any year with three or more placements during the year.

### 5.3 Documents

#### Desirable

- 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

#### Other

- 5.5 Compliment procedure (if not included in 5.4)
- 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.

Any additional documentary evidence should be listed below, referenced 5.9 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

## 5.4 Quantitative information

- SCA/006 The average number of working days taken from completion of the care plan to provision and/or installation of aids/equipment.
  
- SCA/011 The percentage of delayed transfers of care due to:
  - a) Healthcare reasons
  - b) Social care reasons
  - c) Other reasons
  
- SCC/010 a) The percentage of referrals that are repeat referrals within 12 months  
b) The percentage of referrals during the year where the child had been on the CPR or who had been looked after during the previous 12 month period.
  
- SCC/004 The percentage of children looked after on 31 March who have had three or more placements during the year.
  
- SCC/032 The percentage of children who had been looked after continuously for at least 4 years and had been in their foster placement for at least 2 years for:
  - a) Children aged 4-5 years
  - b) Children aged 6-10 years
  - c) Children aged over 11years

## 5.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 5.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your overall assessment about how effective your services are in terms of quality.

Poor	Inconsistent	Mainly good	Excellent.

## 6. Arrangements to protect vulnerable people

### 6.1 Annual performance evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on arrangements to protect vulnerable people (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on arrangements to protect vulnerable people (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 6.2 National Performance Indicators

The joint review team will insert the following national performance indicators relevant to quality of services for the last 3 years:

Table of children on CPR showing additions and removals in last year

Rate of children on CPR

Percentage of children placed on CPR for "neglect only"

No of children on CPR by length of time

### 6.3 Documents

#### Desirable

- 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\*

#### Other

- 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

Any additional documentary evidence should be listed below, referenced 6.9 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

## 6.4 Quantitative information

- SCA/008
  - a) The number of adult protection referrals received during the year per 1,000 population aged 18+
  - b) Of the adult protection referrals completed during the year, the percentage:
    - i) That lead to an adult protection investigation
    - ii) That were admitted or proved
    - iii) Where the client or their property is no longer at risk
- SCC/014 The percentage of initial child protection conferences due in the year which were held within 15 working days of the strategy discussion
- SCC/015 The percentage of initial core group meetings due in the year which were held within 10 working days of the initial child protection conference
- SCC/017 The percentage of children on the child protection register whose cases were reviewed within statutory timescales
- SCC/025 The percentage of statutory visits to looked after children due in the year that took place in accordance with regulations.



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## 6.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 6.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements                      Areas for improvement / development

You may use the following table to record your overall assessment about the effectiveness of your arrangements to protect vulnerable people.

Poor	Inconsistent	Mainly good	Excellent.

## 7.Success in promoting independence and social inclusion

### 7.1 Documents

#### Desirable

- 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 reablement and rehabilitation
- 7.4 Hospital discharge protocol
- 7.5 Direct payments policy
- 7.6 Carers' strategy
- 7.7 Income maximisation policy

#### Other

- 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

Any additional documentary evidence should be listed below, referenced 7.13 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

### 7.2 Quantitative information

- SCA/002 The rate of older people (aged 65 or over):
  - a) Helped to live at home per 1,000 population aged 65 or over.
  - c) Whom the authority supports in care homes per 1,000 population aged 65 or over.

- SCA/003 The percentage of clients who are supported in the community during the year, who are:
  - a) Aged 18-64
  - b) Aged 65+
  
- SCA/009 The rate per 1,000 adults (aged 18+) receiving a service in the community who receive a direct payment.
  
- SCC/012 The percentage of initial assessments taking place during the year where the following is recorded:
  - (a) Ethnicity
  - (b) Religion
  - (c) First language choice
  - (d) Preferred communication method (where the child relies on means other than spoken language)
  
- SCC/002 The percentage of children looked after at 31 March who have experienced one or more changes of school, during a period or periods of being looked after, which were not due to transitional arrangements, in the 12 months to 31 March.
  
- SCC/022
  - a) The percentage attendance of looked after pupils whilst in care in primary schools;
  - b) The percentage attendance of looked after pupils whilst in care in secondary schools
  
- SCC/023
  - a) The percentage of children looked after who were permanently excluded from school during the school year
  - b) The average number of days spent out of school on fixed-period exclusions for children looked after.
  
- SCC/027 The percentage of looked after children placed at a distance less than 20 miles from their home address.
  
- SCC/029
 

The percentage of eligible, relevant and former relevant children that

  - a) have pathway plans as required, and;
  - b) have been allocated a personal advisor.
  
- SCC/030
  - a) The percentage of young carers known to Social Services who were assessed
  - b) The percentage of young carers known to Social Services who were provided with a service

- SCC/031 The percentage of children and young people with disabilities receiving services who are receiving direct payments.
- SCC/032

The percentage of children who had been looked after continuously for at least 4 years and had been in their foster placement for at least 2 years for:

- Children aged 4-5 years
- Children aged 6-10 years
- Children aged over 11 years

- SCC/033

- The percentage of young people formerly looked after with whom the authority is in contact at the age of 19.
- The percentage of young people formerly looked after with whom the authority is in contact, who are known to be in suitable, non-emergency accommodation at the age of 19.
- The percentage of young people formerly looked after with whom the authority is in contact, who are known to be engaged in education, training or employment at the age of 19.

### 7.3 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

### 7.4 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements                      Areas for improvement / development

You may use the following table to record your overall assessment about your success in promoting independence and social inclusion.

Poor	Inconsistent	Mainly good	Excellent.

# How well placed is the authority to sustain and improve services?

## 8. Resources

### 8.1 Annual Performance Evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on commissioning and contracting arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on commissioning and contracting arrangements (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 8.2 National Performance Indicators

There are no performance indicators for this domain

### 8.3 Documents

#### Desirable

- 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

#### Other

- 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\*

Any additional documentary evidence should be listed below, referenced 8.11 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

## 8.4 Quantitative information

- SCC/026 The gross weekly expenditure per looked after child in:
  - (a) Foster Care
    - (i) Local authority own provision
    - (ii) Externally purchased provision
  - (b) Children's homes excluding secure accommodation
    - (i) Local authority own provision
    - (ii) Externally purchased provision
  - (c) Secure accommodation

## 8.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 8.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your overall assessment about the effectiveness of your resource arrangements.

Badly placed	Uncertainly placed	Well placed	Strongly placed

## 9. Planning and partnerships

### 9.1 Annual Performance Evaluation

#### Self-assessment

The joint review team will insert the authority's most recent self-evaluation on performance management (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

#### SSIW Performance Evaluation Summary

The joint review team will insert the authority's most recent self-evaluation on performance management (submitted to SSIW as part of the annual performance evaluation process) and the date that the self-evaluation was submitted.

### 9.2 National Performance Indicators

There are no performance indicators for this domain

### 9.3 Documents

#### Desirable

- 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)

#### Other

- 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

Any additional documentary evidence should be listed below, referenced 9.11 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

## 9.4 Quantitative information

There is no quantitative data for this domain

## 9.5 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 9.6 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements                      Areas for improvement / development

You may use the following table to record your overall assessment about the effectiveness of your arrangements for planning and partnerships.

Badly placed	Uncertainly placed	Well placed	Strongly placed

## 10. Commissioning and contracting

### 10.1 Documents

#### **Desirable**

- 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)

#### **Other**

- 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)

Any additional documentary evidence should be listed below, referenced 10.10 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

### 10.2 Quantitative information

### 10.3 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 10.4 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your overall assessment about the effectiveness of your arrangements for commissioning and contracting.

Badly placed	Uncertainly placed	Well placed	Strongly placed

# 11. Workforce

## 11.1 Documents

### Desirable

- 11.1. Social care workforce development strategy
- 11.2. Staff development and training plans (including qualification targets, management development programme, etc.)

### Other

- 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

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

Any additional documentary evidence should be listed below, referenced 11.9 onwards.

## 11.2 Quantitative information

- SCA/013 The number of Whole Time Equivalent staff in post, per 10,000 population aged 18+, who are:
  - (a) Registered Social Workers for adults
  - (b) Occupational Therapists employed or funded by Social Services
  - (c) Other staff undertaking assessments, care management and review activities employed or funded by Social Services

### 11.3 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

### 11.4 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements                      Areas for improvement / development

You may use the following table to record your overall assessment about the effectiveness of your workforce arrangements.

Badly placed	Uncertainly placed	Well placed	Strongly placed

# Performance management

## 12.1 Documents

### **Desirable**

- 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\*

Any additional documentary evidence should be listed below, referenced 12.12 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

## 12.2 Quantitative information

## 12.3 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 12.4 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your overall assessment about the effectiveness of your performance management arrangements.

Badly placed	Uncertainly placed	Well placed	Strongly placed

## 13. Leadership and culture

### 13.1 Documents

#### **Desirable**

- 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)

#### **Other**

- 13.5. Communication strategy and monitoring arrangements
- 13.6. Outcome of staff surveys
- 13.7. Systems for project management

Any additional documentary evidence should be listed below, referenced 13.8 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

### 13.2 Quantitative information

### 13.3 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

### 13.4 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your overall assessment in respect of leadership and culture.

Badly placed	Uncertainly placed	Well placed	Strongly placed

## 14. Corporate and political support and scrutiny

### 14.1 Documents

#### **Desirable**

- 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)

#### **Other**

- 14.7. Relevant cross-cutting strategies (e.g. consultation, community safety, supporting people)
- 14.8. Key briefing documents for elected members in respect of social services\*
- 14.9. Elected member training programme

Any additional documentary evidence should be listed below, referenced 14.9 onwards.

If you have any evidence of impact (on service users and carers) and effectiveness, please attach such information as appendices to the relevant documents.

### 14.2 Quantitative information

### 14.3 Comment

This space should be used by the authority to comment on or explain any particular trends or data set out in the information provided. Please cross reference comments to the supporting documents provided.

## 14.4 Updating your self assessment

If you wish to update your assessment of current strengths and areas for improvements use the table below.

Particular strengths / achievements

Areas for improvement / development

You may use the following table to record your overall assessment about the effectiveness of your arrangements for corporate and political support and scrutiny.

Badly placed	Uncertainly placed	Well placed	Strongly placed

## Section 2 - The Context

*This section should be completed by the joint review team, drawing on data and information available from WAO, SSIW, LGDU, ONS (and other sources)*

### 1. Introduction

The introduction should describe the size (square miles) and location of the authority and the nature of the local area (e.g. largely rural and dispersed population, suffering from decline of local heavy industries, nature of local economy). The major centres of population in the authority should be identified.

### 2. Demographics

	Welsh Average	(Authority)	Difference
Children 0-19			
Working age			
Older people			

This section should state the population of the authority, describe how the age distribution of the population compares to Welsh averages, and refer to any specific local differences (e.g. any particularly high or low proportions amongst specific age ranges). The table above should be completed using data from (**source**).

(Insert graph showing age/gender distribution) (**source**)

Reference should be made to the overall change in population since the 1991 census and how this compares with the Welsh trend of population change. The nature of any change should be described (e.g. has the population has grown due to increased birth rates or inward migration, or vice versa?).

Provide details of the population density of the authority, its ranking amongst Welsh authorities and how density compares with the Welsh average

Set out details of the percentage of white British people in the population and how this compares to the Welsh average. Provide details of any main minority ethnic groups in the authority and, where appropriate, any wards with high minority ethnic populations.

Provide details of the proportion of the local population that can speak Welsh, (using census definitions) and how this compares with other Welsh authorities. Provide details of the Welsh average.

### 3. Environment

This section should describe the spread of houses by council tax band, setting out the bands which cover most houses. It should also set out any significant local environmental factors such as the percentage of land deemed severely disadvantaged or disadvantaged by the European Community.

### 4. Health, deprivation and socio-economic factors

Indicator	Wales	(Authority)	Percentage Difference
1. Summary of Physical Health Scores			
2. Summary of Mental Health Scores			
3. Proportion of population in 'most deprived' quintile on Welsh Index of Multiple Deprivation			
4. Proportion of population with limiting long-term illness			
5. Teenage conceptions per thousand			
6. Proportion of low weight babies			
7. Proportion of lone-parent households			
8. Proportion of pupils entitled to free school meals			
9. Proportion of pupils achieving 5 or more A*-C GCSE passes			
10. Average rate of claimant unemployment			
11. Average gross weekly earnings			

***(also death rates, numbers of pupils not gaining any GCSEs, DTOC figures?)***

***Insert graph setting out position of above against Welsh average***

Describe how the authority's population is split across the five quintiles of the Welsh Multiple Index of Deprivation and how this compares with the rest of Wales. List the most deprived and least deprived electoral wards, and any which are benefiting from the Communities First programme.

Use narrative form to describe the data set out in the tables above.

Provide details of the police force serving the authority, the proportion of people found guilty of drug offences, and how this compares with other areas in Wales.

Provide details of the number of hospital beds within the authority's boundaries. Equate this to beds per thousand residents and describe how this compares to other Welsh authorities by ranking and percentage above/below the Welsh average. Provide details of DTOC figures.

## 5. The Council

*This section will be completed by WAO, and will be factual and descriptive. The authority's Relationship Manager will co-ordinate the preparation of required information, drawing on local knowledge of the authority, local strategic plans, the Joint Risk Assessment and other sources of information which are already in the public domain.*

Describe the political and management arrangements within the authority, and its key vision and priorities.

Describe the political control of the council, with details of the number of seats held by each party (illustrated using a pie chart) and, if no party has overall control, set out which parties control the council. If the political control of the council has changed at or since the last election describe how control has changed. Set out details of any key changes in personnel such as the leader or portfolio holder that have taken place since the last election.

Describe how the council has responded to the modernisation of local government. Set out local political management arrangements within the council (eg cabinet etc), details of the portfolios held at cabinet/board level and scrutiny arrangements (with details of the number and titles of all scrutiny committees).

Set out brief details of the corporate structure of the council. Insert a structure diagram which includes details of key postholders. Highlight any key responsibilities relevant to social and health care. Where relevant, set out details of any recent changes in this structure.

Set out the council's vision statement and key priorities, as recorded in its corporate plan, improvement plan, community plan, Health, Social care and Wellbeing Strategy, etc.

## 6. Summary of regulatory work

*This section will be completed by the Relationship manager and appointed auditor.*

Use this section to set out details of the main regulatory work relevant to corporate management, social and health care that has been carried out in the council over the last two years. This should include:

- all relevant inspections (WAO, SSIW, Estyn and BFI) and the key judgements of these inspections;
- audit and performance work relevant to social services, corporate management and health care.

Relevant subject matter may include the following:

- corporate management;
- human resources;
- community planning;
- performance management;
- managerial capacity;
- partnership;
- Health, Social Care and Wellbeing;
- joint review follow up.

## 7. The Council's budget and financial management

*This section will be completed by the Relationship Manager and appointed auditor and will be based on audit and regulatory work which has already been reported to the council.*

Provide details of the council's budget for the current financial year, and previous 4 years to establish a trend of growth/decline.

Describe how effective the council has been at managing its budget, providing details of any significant under/overspends, levels of reserves and any other significant issues relating to overall financial management.

## 8. Performance management arrangements

*This section will be completed by the Relationship Manager and appointed auditor, drawing on evidence gathered in previous regulatory work.*

Describe corporate performance management systems within the council, and highlight any significant strengths or areas for concern as identified in previous regulatory work.

## 9. The Council's social services functions

*This section will be completed by SSIW, drawing on evidence gathered in previous regulatory work, the annual performance evaluation and the knowledge of the link inspector, and by the authority's auditors (social services budget information).*

Use this section to summarise the structure of social services within the council and any key issues relating to it.

Set out the judgement and date of the last joint review of social services in the council and provide a reference to the summary of key strengths and weaknesses detailed in the report.

Describe briefly the senior management arrangements of the department and its main divisions, and note any major structural changes since the last joint review. Describe how corporate management receives information and provides strategic management and corporate leadership for social services. What arrangements exist to provide political management and leadership for social services (include scrutiny and cabinet/board systems, and details of any service areas or client groups that have a champion at council level)?

Insert the following sections from SSIW's last performance evaluation:

- Context (section 4)
- Strengths and Achievements (section 5)
- Priorities (section 6)

Provide details of social services budgets over the last 4 years (**auditors/RM**). This should include planned and actual expenditure and highlight any major areas of under/overspend, along with any measures taken by the council to address these and an assessment of the success of such measures, if this can be made from previous regulatory work.

## Section 3 - Mapping the Authority

The final section of the template provides basic information about the authority's social services:

- team and service locations;
- interagency relationships and joint planning structures; and
- breakdown of services purchased from the independent sector.