

DUNDEE CITY COUNCIL

REPORT TO: SOCIAL WORK AND HEALTH COMMITTEE – 25 FEBRUARY 2008

REPORT ON: EUROPEAN FOUNDATION OF QUALITY MANAGEMENT (EFQM) CASE STUDY ON DUNDEE CITY COUNCIL SOCIAL WORK DEPARTMENT

REPORT BY: DIRECTOR OF SOCIAL WORK

REPORT NO: 131-2008

1.0 PURPOSE OF REPORT

- 1.1 This report informs members of the production of the bi-annual EFQM case study on the Social Work Department and of proposals for improvement actions. A previous report provided details of the most recent EFQM self-assessment undertaken within the Social Work Department (106-2007).

2.0 RECOMMENDATIONS

It is recommended that the Social Work Committee:

- 2.1 notes and approves the content of this report;
- 2.2 instructs the Director of Social Work to ensure that necessary actions are incorporated into the new Departmental Service Plan 2007-2011 or in the departmental Performance Management Plan which is due to be completed in March 2008.
- 2.2 instructs the Director of Social Work to produce a further bi-annual EFQM case study assessment for the period 2008 and 2009.

3.0 FINANCIAL IMPLICATIONS

- 3.1 There are no financial implications arising from this report.

4.0 MAIN TEXT

4.1 Background

Dundee City Council Social Work Department is working towards the continued development of an effective organisation which is performance focused. The Director and his staff work to continuously improve what they do and how they do it. To help them achieve their aim of continuous improvement in all that they do, they have adopted the European Foundation of Quality Management framework (EFQM) for achieving business excellence. This model of excellence places a high value of people both as employees and customers.

As a means of supporting organisational development and to help deliver on the efficiency, effectiveness, economy and continuous improvement expected through Best Value, the Department has commenced on a plan to build on, and further develop, the use of the EFQM model of self assessment.

An initial EFQM self-assessment was undertaken in 1999-2000. This assessment was repeated in full until 2004/05 and again in 2006/07. After the EFQM self assessment in 2004/05, and as a continuing part of the self-assessment process, the Department produced a case study report on the functioning and performance of the Department. This case study had a strong focus on the development of an organisational culture which supports effective management and performance improvement. It set baseline indicators for benchmarking future performance and consolidated a set of actions to be taken to achieve improvement.

As well as information from the EFQM self-assessment, the case study also drew on information gained through Best Value reviews, Performance Management Planning Audits (PMP), SWSI inspection reports and visits, and staff surveys.

The Social Work Department used the information from previous self-assessments and the case study to identify areas for improvement.

The issues which were addressed included:

- improving communication throughout the Department;
- ensuring staff have access to the training required to fulfil the requirements of their job;
- developing managers as leaders and improvers;
- incorporating staff survey results into future planning.

In this, the department's second case study, information has been used from the most recent EFQM self-assessment, along with results from other surveys, audits, and external inspection reports to assess progress against the nine criterion of EFQM: leadership; strategy and policy; people; partnerships and resources; processes; customer results; people results; societal results and key performance results. An extra chapter has been added to this case study on 'Our Capacity for Improvement' in line with the performance improvement model used by the Social Work Department and its planning and service delivery partners. The production of this case study was delayed to take account of the findings of the Social Work Inspection Agency Performance Inspection report which was published in November 2007.

The EFQM Model of Self- Assessment

The EFQM Excellence Model is particularly helpful to providers of social services as it has, as its focus, all important components of organisational performance, including leadership, people, customers, processes and results.

The use of the EFQM case study approach to self-assessment offers significant advantages to organisations. It provides a vehicle for collating and analysing self-assessment activities and for planning for continuous improvement. It also:

- provides an additional method of scrutiny on organisational performance by elected members;
- focuses on continuous improvement over time, in keeping with Best Value,
- ensures that best use is made of assessments information and is low cost compared to external consultation;
- generates fresh motivation;
- gives an insight into good practice;
- encourages a sense of participation and ownership;
- contributes to a process of continuous improvement;

- improves the understanding of the organisation; and
- identifies strengths and areas for improvement.

Sources of Evidence Used in the Case Study

In this case study the sources of evidence include:

- departmental employee surveys
- results from EFQM self-assessment
- information from self-evaluation questionnaire submitted to the Social Work Inspection Agency (SWIA)
- Council wide employee surveys
- output from Director's town hall meetings with staff in February 2007
- results of questionnaires distributed by SWIA to staff, service users and carers
- key annual performance reports
- the Performance Inspection Report from the Social Work Inspection Agency 2007
- the 2004/05 departmental case study

Findings

The findings from the case study are extensive and a brief summary of some of the key findings is provided in Appendix 1 of this report. Copies of the Case Study 2006/07 can be found in the members' lounge.

Next Steps

It is important that the information gathered in the self-assessment and self-evaluation processes are collated and prioritised for action. This process allows the department to build on the progress already made and to identify areas that should be concentrated upon for further improvement. It also identifies what needs to be done to achieve shared aims and those objectives set by external scrutiny and regulation. This updated case study enables the department to reflect new information and to prioritise areas for improvement.

Priorities for improvement actions will be included in the projects identified in the Social Work Department Service Plan 2007-2011 and the department's Performance Management Plan which will be submitted to Committee for approval later in the year.

Conclusion

EFQM self-assessments have been an important step forward in terms of organisational development in the Social Work Department. They have clearly indicated the approach the department should be taking in order to achieve continuous improvement. The information from the case study enables the Director and his staff to make improvements to the organisation which will have the maximum benefit to service users. In keeping with the EFQM focus on people and customers, the Department recognises the importance of seeking the opinions of service users and staff in such an improvement agenda and will strive to continue to find the most effective ways of achieving this.

5.0 POLICY IMPLICATIONS

- 5.1 Self-assessment and external audit processes have evidenced that the department is making progress in involving its customers in the development and delivery of services to meet need. This includes working with people from minority ethnic communities, disabled people and their families and people from other target groups. The proposed actions will ensure that staff in the department continues to promote anti-discriminatory practice and to challenge discrimination and disadvantage in their day-to-day work.

6.0 CONSULTATION

- 6.1 The Chief Executive, Depute Chief Executive (Support Services), Depute Chief Executive (Finance), Assistant Chief Executive (Community Planning), Assistant Chief Executive (Management) and the Head of Finance were consulted in the preparation of this report.

7.0 BACKGROUND PAPERS

- 7.1 None

A G Baird
Director of Social Work

DATE: 6 February 2008

Summary Report on Findings of Social Work Department EFQM Case Study 2006/07

Criterion 1 - Leadership

Definition: How leaders develop the mission, vision, and values required for long-term success and implement these via appropriate actions and behaviours, and are personally involved in ensuring that the organisation's management system is developed and implemented.

EFQM Results 2006 – overall improvement on all 8 sub criterion, with significant improvements in 7 sub criterion (CD 2006).

The Social Work Inspection Agency concluded that performance in the area of Leadership was good, with important strengths and some areas for improvement (SWIA 2007).

Strengths:

In relation to strengths the following have been identified:

- a clear departmental vision, values and aims have been agreed, communicated and incorporated into key strategic documents
- 97% of staff are aware of their responsibilities set out in the Code of Conduct for Social Services Workers (ES 2007)
- there is evidence of good leadership of change by senior managers (SWIA 2007)
- senior managers openly acknowledge good practice and model a culture of valuing staff (SWIA 2007). 63% of staff say they feel valued (ES 2007). This compares to 55% in 2004.

Areas for Improvement:

To improve performance across the department there is a need to:

- ensure that service managers and section leaders produce annual performance reports
- ensure that all staff have adequate supervision

Criterion 2 - Policy and Strategy

Definition: How the organisation implements its mission and vision via a clear stakeholder focused strategy, supported by relevant policies, plans, objectives, targets and processes.

EFQM Results 2006 – overall improvement on all 11 sub criterion, with significant improvements in 6 sub criterion (CD 2006).

The Social Work Inspection Agency concluded that performance in the area of Policy and Service Development, Planning and Performance was good, with important strengths and some areas for improvement (SWIA 2007).

Strengths:

In relation to strengths the following have been identified:

- inspectors found policies and procedures to be 'generally of a good standard, strategic in nature, reflecting a clear aspiration to deliver better outcomes in the future' (SWIA 2007)
- there is clear evidence of actions taken arising from issues identified in the Service Plan 2004-07 and EFQM Case Study 2004/05 and their positive impact
- there is an improvement in the proportion of staff who understand their contribution to the organisation's strategy and goals

- 88% of staff are aware of policies and procedures. This is an improvement from 80% in 2001. (ES 2007)

Areas for Improvement:

To improve performance across the department there is a need to:

- develop implementation plans to accompany key strategies and policies
- implement a strategy data base so all staff can access key policies and strategies, both local and national
- be more effective in the use of surveys and questionnaires to inform strategy and policy development

Criterion 3 - People

Definition: How the organisation manages, develops and releases the knowledge and full potential of its people at an individual, team based and organisation-wide level, and plans these activities in order to support its policy and strategy and the effective operation of its processes.

EFQM Results 2006 – overall improvement on all 11 sub criterion, with significant improvements in 6 sub criterion (CD 2006).

The Social Work Inspection Agency concluded that performance in the area of Management and Support of Staff was very good, with major strengths (SWIA 2007).

Strengths

In relation to strengths the following have been identified:

- there is a culture, ingrained throughout, which results in staff feeling valued and supported and wishing to remain (SWIA 2007)
- an Investor in People (IP) assessor singled out the fact that the department demonstrated 'a strong commitment to ensuring excellent opportunities for people development (SWIA 2007)
- staff results show a significant improvement in this area. Significantly more staff think that:
 - the organisation trains and develops employees to meet business needs
 - the organisation produces and reviews people plans
 - people are appraised of their performance
 - career development is discussed with employees (CD 2006)
- employee survey results show improved performance in relation to staff development

Areas for Improvement:

To improve performance across the department there is a need to:

- review procedures for K2 alerts and the use of the corporate potentially violent person's database
- improve communication by senior managers
- establish action learning sets and practitioners' for across the department'
- develop a more robust work force plan and registration strategy
- develop tools and methods for assessing quality in respect of induction, supervision and Employee Development Review (EDR)

Criterion 4 - Partnership and Resources

Definition: How the organisation plans and manages its external partnerships and internal resources in order to support its policies and strategy and the effective operation of its processes.

EFQM Results - overall there has been an improvement in 10 out of 12 sub criterion results in relation to Partnerships and Resources (CD 2006).

The Social Work Inspection Agency concluded that performance in the area of Resources and Capacity Building was adequate with strengths just outweighing weaknesses.

Strengths

In relation to strengths the following have been identified:

- there are joint strategic planning groups for each service area
- 90% of staff agree that their team works well with others to protect children or vulnerable adults (ES 2007 (a))
- there are excellent working arrangements between corporate finance, social work finance and budget holders (SWIA 2007)
- 85% of staff understand what Best Value means for the department

Areas for Improvement:

To improve performance across the department there is a need to:

- achieve the correct balance between accessibility and prevention of unauthorised data disclosure (SWIA 2007)
- ensure that elected members have the opportunity to scrutinise partnership financial information (SWIA 2007)
- update financial management training for service managers and budget holders
- further develop business continuity planning processes
- put in place a Health and Safety Steering Group

Criterion 5 - Processes

Definition: How the organisation designs, manages and improves its processes in order to support its policy and strategy.

The Social Work Inspection Agency concluded that in relation to Delivery of Key Processes, the department performed to an adequate standard, with strengths just outweighing weaknesses.

Strengths

In relation to strengths the following have been identified:

- 87% of service users and 76% of carers agree they got a good response when they were first in contact with social work services
- eligibility criteria and procedures for allocation and prioritisation of resources are in place
- 98% of staff think they have a good understanding of the needs of customers
- there is clear evidence that key processes deliver good outcomes for people

Areas for Improvement:

To improve performance across the department there is a need to:

- roll out single shared assessment to all care groups
- ensure case files have a chronological history
- ensure reviews are undertaken for people in care home settings
- extend the use of workload management across the department
- try to reduce the volume and occurrence of unallocated work
- ensure planning and service delivery partners are effectively involved in adult protection, including senior managers

Criterion 6 - Customer Results

Definition: What the organisation is achieving in relation to its external customers. These measures are of the customers' perception of the organisation (obtained, for example, from customer surveys, focus groups, vendor ratings, compliments and complaints).

EFQM Results 2006 - overall our performance in respect of customer results has improved. We have demonstrated improvement in 13 out of 14 sub criterion, with significant improvement in 4.

The Social Work Inspection Agency concluded that in relation to Outcomes for People Who Use Services the department performed to a good standard, with important strengths and some areas for improvement.

The Social Work Inspection Agency concluded that in relation to Impact on People Who Use Services and Other Stakeholders the department performed to a good standard, with important strengths and some areas for improvement.

Strengths

In relation to strengths the following have been identified:

- Care Commission reports provide positive evidence of the impact of services on service users
- overall service users and carers are very positive about social work services
- 86% of complainants were satisfied with the action proposed as a result of their complaint
- information on compliments as well as complaints is collected
- 90% of users and 90% of carers agree they are treated with dignity and respect

Areas for Improvement:

To improve performance across the department there is a need to:

- continue to increase the percentage of complaints acknowledged within 5 working days
- improve the response to carers, including foster carers, OOHS and at weekends
- improve the provision of help to carers at the time it is most needed
- better harness the expertise of service users and carers in service planning and development
- help carers to have time for family, work and other commitments

Criterion 7 - People Results

Definition: What the organisation is achieving in relation to its people. These measures are of the people's perception of the organisation (obtained, for example, from surveys, focus groups, interviews, structured appraisals).

EFQM Results - overall improvement in People results with 11 out of 12 sub criterion showing improvement, 4 of which show significant improvement.

The Social Work Inspection Agency considered performance in the area of Impact on Staff to be very good, with major strengths (SWIA 2007).

Strengths

In relation to strengths the following have been identified:

- overall staff are positive about social work services and there were no negative responses recorded in any part of the SWIA staff survey
- overall improvement in relation to communication confirmed through EFQM and staff surveys
- significant improvement over time in relation to staff perception about staff development and training
- the key outcomes achieved by the staff support service

Areas for Improvement:

To improve performance across the department there is a need to:

- make staff more aware of survey and evaluation results and performance information as both the SWIA survey and EFQM results show they have a poorer perception of results than is justified
- improve communication by senior managers
- ensure that all staff have a personal development plan
- continue to extend the range of methods of communication as no one size fits all

Criterion 8 - Society Results

Definition: What the organisation is achieving in relation to local, national and international society as appropriate.

EFQM Results 2004-06. Results against sub criterion in relation to society results are mixed. Out of 10 sub criterion clear improvement is recorded in relation to 4, stayed the same in relation to 3 and reduced in relation to a further 3.

The Social Work Inspection Agency considered performance in the area of 'Impact on the Community' to be good, having important strengths and some areas of improvement.

Strengths

In relation to strengths the following have been identified:

- the department keeps the community informed about social work services in a variety of different ways, including via the internet, leaflets, media presentations and by sponsoring and attending public events (SWIA 2007)
- a noteworthy aspect of social work services in Dundee is the localisation of services to individual communities in the city (SWIA 2007)
- the department is involved in multi agency work to reduce anti-social behaviour in the city the NCH Dundee Families Project and the Kick It Kick Off Project
- elected members and senior corporate managers have confidence in the department's strategies to meet the needs of the most vulnerable people in the community (SWIA 2007)

Areas for Improvement:

To improve performance across the department there is a need to:

- ensure effective social work contributions to the new local community planning partnerships
- develop a range of results which cover areas that are important to the community
- record and publicise what the department does in local communities
- develop and implement a strategy for raising public awareness about adult protection

Criterion 9 - Key Performance Results

Definition: What the organisation is achieving in relation to its planned performance.

The Social Work Inspection Agency concluded that the department performed to a good standard in relation to Outcomes for People Who Use Services, with important strengths and some areas for improvement (SWIA 2007).

Strengths

In relation to strengths the following have been identified:

- there is a range of information on performance
- a culture of performance management and continuous improvement is well established in the department
- results will be used to focus activity on priorities for improving outcomes for people
- a performance management plan is being developed to drive continuous improvement across the department

Areas for Improvement:

To improve performance across the department there is a need to:

- ensure that staff are more aware of the use made of data and information
- develop a performance reporting calendar
- ensure that performance management is everyone's business

Criterion 10 - Capacity for Improvement

The Social Work Inspection Agency concluded that the department's Capacity for Improvement was good, with important strengths and some areas of improvement (SWIA 2007).

Strengths

In relation to strengths the following have been identified:

- social work has a strong identity within the Council
- there is a widespread recognition of the importance of performance management
- there is a culture of using self-assessment and self-evaluation to drive change
- there is a committed and well-motivated workforce
- an ability to respond quickly to change
- an ability to be creative and innovative in the pursuit of excellence

Areas for Improvement:

To improve performance across the department there is a need to:

- deliver person-centred planning and improved employability for people with learning disabilities
- reduce the delay in transfer of CP cases to the locality teams in Children's Services
- better integrate the work of the Criminal Justice Service
- address the issue of workforce planning
- perform better in partnership working with carers
- set out more consistently how results from surveys and studies are used to drive improvements