

APPENDIX A

A GUIDE TO QUALITY ASSURANCE INFORMATION AVAILABLE FROM DIRECTORATES FOR ACCESSIBLE BY SCRUTINY

1. ECONOMY AND INFRASTRUCTURE

Economy and Infrastructure (previously BEC) has looked at quality from the customer service perspective with the use of the Customer Service Excellence standard, however in this exercise customer facing services were not assessed separately. E & I prepared an assessment document which is used along with an on-site assessment (5 days for E & I by the external assessor to achieve the standard).

E & I Customer Service Excellence initial assessment report covers its key service delivery areas, identifies areas for improvement and is benchmarking to some degree the council's services in respect of this directorate.

The comprehensiveness of the report adds real value. Safety audits and other mechanisms enhance the QA arrangements.

Other mechanisms include:

Highways

Road Safety Audit Reports up to Stage 3 **before** a road is opened and Stage 4 once the programme is complete.

General Road Condition Visual Inspection

Focus groups on the condition of the roads

Viewpoint

Legal insurance claims – trends

Term contracts for highways and transport services all contain pro-active performance management metrics. These control time, cost and quality of services and major infrastructure projects. They are reported and monitored monthly and each contract requires the supplier to take action on any adverse trends in result. These measures contribute to a score and the supplier has to meet certain scores to win contract extensions. Therefore the supplier is incentivised to perform at or above the required service level.

One such measure, 'service compliance inspections' involves WCC staff inspecting work and scoring compliance against the specification. There is a role in Street Lighting to carry out this function:

- to carry out planned and random audits of the lighting asset for the purpose of contractor performance monitoring.
- to inspect lighting assets, as directed, including carrying out immediate minor electrical safety measures as directed and within policy guidelines and electrical competencies.

Transport

Annual Customer Survey – do they run on time?
Sampling – other questions

Broadband - Programme Quality

Quarterly Milestone Assurance Process at various stages in deployment cycle (planning, build, premises passed) – Intelligent Q&A of what has been delivered, ensuring it meets WCC requirements. Process includes Finance, Audit, Research and Project officers.

Quarterly review of finance invoices ensuring the spend corresponds to the build assurance.

Quarterly BDUK (Central Government) comparison report. Including analysis of 'broadband speeds achieved'

Reporting Requirements in contract ask for variety of indicators that can be used to measure benefits. One such report brings back estimated speeds of connections enabled at a postcode level.

Broadband - Deployment Quality

Highways undertake inspections of working practices and reinstatements (as part of Business as Usual)

Planning

Waste

Customer Viewpoint survey questions about Household Recycling Centres
Pollution Control Monitoring of former household waste sites
Severn Waste Services holds ISO 9001, 14001 and 18001 for all household waste sites and their Quality and Environment System holds a record of assessment dates and findings.

Archaeology

Chartered Institute for Archaeology

Economy & Infrastructure plan to tighten up QA in relation to projects and commissioned services and the commissioning framework.

Key personnel: Heads of Service

Key Links:

[Customer Excellence Standard](#)

The Directorate Risk Register



BEC Directorate Risk Register -August 15.c

2. CHILDREN FAMILIES AND COMMUNITY DIRECTORATE (CFC)

SOCIAL CARE

Objective measures of quality are tricky in this area. QA is dependent on Partnership activity in many cases. Quality information sets the scene but does not guarantee. This Council and its partners aim high, which is deemed to be the most appropriate approach, others set a more achievable benchmark. There is always a danger of the high challenge setting hares running if standards are not achieved. The quality of Children's Social Care, bearing in mind the previous caveat, can be tracked and assessed as follows:

- Minutes of the Local Children's Safeguarding Board,
- The Back to Basics Improvement Board monthly reports,
- Ofsted reports on all services provided and commissioned: Residential homes, IFS's, Children's Centres,
- CQC where inspections are carried out,
- Serious Case Reviews – which, in a redacted format – names etc, are public documents,
- Performance Board case file audit reports - which have a strong focus on QA,
- Peer Reviews,
- Corporate Parenting Board receives reports on performance indicators and interrogates the quality of services for all Looked after Children.
- Feedback from the IRO (Independent Reviewing Officers) for Looked after Children and Conference Chairs

EDUCATION AND SKILLS

In Education, progress and attainment are measured nationally at "Key Stages" including performance in public examinations, and these are accepted quality outcomes. Comparative information is available for children from different ethnic backgrounds, by gender, who come from deprived areas, or are in receipt of Free School Meals. The Council contributes to the achievement of outcomes through commissioned or directly provided services, but it is schools themselves which make the largest impact.

The Government has announced a review of local authority functions in education. At present key responsibilities include ensuring a sufficiency of places, co-ordinating admissions, deciding the formula which allocates funding to schools, assessing children with special educational needs, championing the needs of vulnerable children, and particular responsibilities towards children in care.

Apart from the educational outcomes described above there are additional indicators of quality in this area:

- the percentage of schools judged by Ofsted to be good and outstanding,
- the outcome of a Local Authority School Improvement Inspection (LASI),
- Children Missing Education or in alternative provision
- Temporary and permanent exclusions
- Rates of persistent absence

In addition to performance information, the commissioning out of services will generate contract performance measures, some of which can be used to measure quality. Without disclosing commercially sensitive information red and amber indicators can be shared with the Children, Families and Community Panel in an appropriate way twice yearly.

Services commissioned out:

Although many education services have been commissioned to Babcock International, see below, the Council retains overall accountability for outcomes for children and young people. We have maintained a core of retained services within the council in order to monitor and evaluate the effectiveness of this contract. We have also maintained direct responsibility for some services, specifically for school place planning, the Virtual Headteacher for Looked after Children, and the strategic overview of services for children and young people with special educational needs.

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Special Education Needs Service (at a date to be agreed with the provider and WCC)

School Admissions

Children missing Education (CME)

Elective Home Education (EHE)

Exclusions

Post 16 Engagement

Specialist Inclusion Services:

- Educational Psychology Service
- Learning Support Service (LST)
- Integrated Specialist Support Service (ISSS)
- Gypsy Roma Traveller Service (GRT)
- Physical Difficulties Outreach Service
- Early Years Inclusion Team
- The Virtual School for Looked After and Adopted Children
- School Improvement
- Governor Services
- Early Years and Childcare
- Education Investigation Service
- Children in Entertainment and Employment
- Education Welfare Service
- Newly Qualified Teachers (NQTs)

Key Performance Indicators are part of the contract with the provider. They are available, dependent on the service and its level of risk, monthly, quarterly, annually. To avoid doubling up on work it is recommended the red and amber indicators are shared with the Children & Families Overview and Scrutiny Panel in an appropriate way twice yearly. This information should, with soft intelligence help the Panel determine areas for its work programme.

SKILLS

The Directorate has a key role to play in the Council's Open for Business Strategy. Working through the Employment and Skills sub-group of the LEP, this is to support delivery of the LEP's key strategic aims. This is managed through the Connecting Schools and Business Programme, which seeks to:

- Further develop links between schools and business through programmes such as careers guidance systems and work experience programmes
- Contribute to the further reduction of the proportion of young people who are not in education, employment and training (NEETs)
- Develop the range and number of apprenticeships on offer in the county
- Develop links with adult education to foster a culture of lifelong learning

In addition to this the Directorate is leading the Council's involvement in the proposed development of a University Technical College to provide greater skills and expertise in STEM subjects (science, technology, engineering and maths). We will also continue to expand our links with further and higher education, for example through the 2016 national review of further education provision.

ADULT SERVICES AND HEALTH DIRECTORATE.

The national ASCOF framework and the West Midlands ADASS peer challenge programme provide comparative data about the quality of services in Worcestershire compared to other areas.

The Directorate has a QA policy and procedures in place for in-house as well as externally commissioned services.

In-house social work and safeguarding adult's services are judged according to a range of measures including whether staff are properly trained, the timeliness and completeness of assessments and the associated records, and whether people's outcomes are being met. Corporate performance management reports include some measures of service quality and further detail is provided to DLT on a regular basis. Assurance on the quality of safeguarding adult's services is also provided the Safeguarding Adults Board and sub-groups. In house adult social care services are judged based on CQC inspections.

For externally commissioned services, quality standards are set out in contracts. The Directorate risk then stratifies services into groups based on the risk of harm arising – for example nursing homes are higher risk than Health Checks. Each group of services then has a QA regime based on a combination of proactive contract monitoring as well as use of intelligence. The Directorate receives and collates intelligence from a range of sources including the CQC, CCGs, local health and care staff, users, carers, as well as local members and MPs. Contract monitoring information and intelligence is used to form a judgement about the quality of each service and identify concerns. Low level concerns are managed through the contractual process. Those services with serious quality concerns are reported monthly to DLT and Lead Members along with the action being taken to resolve these. Public facing information about care home and home care services is available on the CQC website.

In addition, useful documents might be:

- Adult social services quality report
- QA Policy and procedure: externally commissioned services
- The Reports of the Adult Safeguarding Board,
- The Community Safety Partnership minutes,
- CQC reports where inspections are carried out,
- Performance Board reports have a strong focus on QA,
- A set of quality reports is sent to DLT. They have a specific focus on red rated risks – Care Homes / Domiciliary Care - there are 4 aspects of risk, and the reports give clear and extensive detail of active and proactive actions.
 - QA and Compliance Quarterly Exception report – all red rated risks.
 - QACT report *Appendix 1 contracts and QA team log
 - QACT report *Appendix 2 and Appendix 3 combined – monthly report – providers, location, contract value, start /end date contract, service users funded, hours , beds as applicable - contractual status.
 - QACT report *Appendix 4 Consumer relationships - details issues, complaints, risk level and learning.
 - QACT CU Contract with Worcestershire Health and Care Trust and CCGs – *Appendix 5 is quarterly report to DCT C & QA
 - QACT Contracts relating to individuals with complex needs report to DLT C & QA *Appendix 8 also comes quarterly and includes information re children’s services: camhs, complex needs. The CMR of DASH receives these reports but historically not the CMR ChS

*These are not appendices to this document but the name re the DLT reports

Helpful background reading (one off) to this area and the reports are:

- the Domiciliary Care Guidance to Providers on Monitoring Process (PDF)
- the Domiciliary care Contract and Appendix 1 to that document
- the Service Specification for Domiciliary Care

COMERCIAL AND CHANGE DIRECTORATE

This Directorate provides support for strategic commissioners who are responsible for outcomes, budget and value for money. It ensures that the QA standards and performance measures that the different Directorates set are embedded within legal contracts where services are commissioned to 3rd parties. All relevant contracts will have service credit regimes which help ensure that QA and performance standards are met. It also ensures that effective and efficient provider QA monitoring of performance is embedded within contracts including statutory reporting requirements. This includes defining key roles, key staff, escalation processes, regular service delivery meeting, QA meeting and commercial meeting regimes. The Directorate also ensures that in the unlikely event of continued and fundamental failure the authority is able to take measures to correct a failure or exit a contract.

The QA of contracts is proactive. The quality of each commissioned service is monitored by the individual Directorates. The Commercial & Change Directorate on an ongoing basis will monitor and assist with the commercial value for money of contracts and will assist with any changes to quality requirements through the use of the change control processes which are defined within a contract. Furthermore it gets involved in any disputes or variations that might arise during the lifetime of the contract. The approach taken is very much a seamless partnership between the Commercial Team and the Directorate owning the contract.

The Directorate also provides Directorates with performance management statistics to the individual Directorates owning the delivery of services through the contracts. As such it will work with Directorates and Scrutiny to define what useful performance information and key performance indicators can be shared to improve and monitor ongoing QA and service performance of contracts.

Apart from the cross council responsibilities described above the Commercial & Change Directorate owns a number of substantial contracts for the provision of its own services. These include:

- A framework contract with Liberata for the provision of Transactional HR & Finance services
- A contract with HPE for the provision of the council's IT service management and infrastructure services
- A contract with Civica for the provision of the Shared Hub Services providing the vast majority of customer service for the authority
- Bromsgrove School PFI contract with BAM for 7 schools building repair, maintenance and facilities management services in Bromsgrove.

All the above contracts have clear quality measures and a defined governance structure to manage those contracts.

The Scrutiny HP and Civica attended in November identified some key points

- how they are able to piggy back internally to gain greater returns on the contracts in a way we could not,
- how they track and monitor customer satisfaction,
- how they are increasing productivity,
- the high value they put on QA and performance

