

**ADCS**

Leading Children's Services

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**east midlands**

# **Regional Improvement Alliance**

**2018/19**

**Self-Evaluation & Improvement Planning  
Framework/Guidance**

## Agreed RIA approach to self-evaluation and improvement planning

This framework builds on the experience of sector-led improvement pilot work both in the East Midlands and across the country, combined with a desire to better align with the Ofsted process.

It will enable the completion of the East Midlands ADCS Peer Challenge and Ofsted Annual Engagement Meeting(s).

The process will now consist of:

- A set of key summary self-evaluation templates:
  - Children's Social Care
  - Education and School Improvement
  - Special Educational Needs and/or Disability
  - Youth Offending
  - Children's Community Health Services (where applicable)
  - Summary Report
- Guidance for the completion of the three individual self-evaluations, including the minimum performance data to be included/examined;
- A template improvement plan which has been developed by regional improvement leads and is based on best practice; and
- A timetable for delivery to be agreed by all LAs.

## 2018/19 Timetable of activity

A summary timetable details the key points in the revised Peer Challenge process. Detailed information is provided below.

<b>24<sup>th</sup> September 2018</b>	Self-Evaluation Framework circulated
<b>1<sup>st</sup> October 2018</b>	Local Authorities/Local Areas commence self-evaluation
<b>20<sup>th</sup> November</b>	Children's Social Care - Peer 'sense check' via Tier 2 Safeguarding Leads
<b>29<sup>th</sup> November</b>	Education & School Improvement - Peer 'sense check' via EMSIG
<b>29<sup>th</sup> November</b>	SEND - Peer 'sense check' via EMSIG
<b>14<sup>th</sup> December</b>	Completed Self-Evaluation submitted
<b>January 2019</b>	Peer Challenge Conversations
<b>January 2019</b>	Ofsted Annual Engagement Meetings commence
<b>15<sup>th</sup> March 2019</b>	East Midlands DCS (Initial headlines)
<b>March 2019</b>	Ofsted Annual Engagement Meetings conclude
<b>End March 2019</b>	Regional priorities meeting (EMADCS, Ofsted, Regional Schools Commissioner)
<b>April 2019</b>	Local and Regional Improvement Plans developed.
<b>End April 2019</b>	Regional Improvement Plan signed off by EM DCS.

- **Sept/Oct: Self-Evaluation Framework** – circulated to Directors of Children’s Services no later than 24<sup>th</sup> September 2018, the new framework will assist local authorities and their partners to complete proportionate self-evaluations across Children’s Services.
- **November: ‘Sense check’** – harnessing the expertise of Assistant Directors and their equivalents through the established East Midlands sub group structure, leads for School Improvement, Social Care and SEND will utilise part of their routine autumn meetings to complete this element. It is anticipated that peers will provide initial reflection and challenge on the identification of strengths, improvement priorities and risks. Amendments and adjustments to self- evaluations should be made by local authorities following this stage of the process. The targeted engagement of the office of the Regional Schools Commissioner is sought to augment this stage in the process.
- **December: Completion/Authorisation** – led by the Director of Children’s Services, the latter part of December will see the completion of self-evaluation and endorsement by LA Chief Executive and Lead Member for Children’s Services. Completed self-evaluations will include a summary of local leadership; the context for Children’s Services and a summary of strengths, priorities and risks across the local area.
- **January: Peer Challenge Conversations**– to be held in the triad groups of:
  - Nottingham, Derby and Leicester.
  - Lincolnshire, Northamptonshire and Rutland; and
  - Leicestershire, Nottinghamshire and Derbyshire.

A summary of the challenge will be completed and sent to each DCS within a week of the Peer Challenge Conversation. This should be utilised to inform the agenda for the Ofsted Annual Engagement Meetings and any final changes to self- evaluation documentation.

- **January-March: Ofsted Annual Engagement Meetings** – delivered in a coordinated fashion with Peer Challenge conversations, meetings will take place at least 3 weeks after the relevant conversation. DCSs should share their final self- evaluation with Ofsted at least 1 week before the planned meeting. Where necessary, Directors may wish to consider a set-up discussion with Ofsted colleagues to agree agenda/attendance.
- **March/April: Improvement Plans** – following the completion of Peer Challenge and Annual Engagement meeting processes, local Improvement Plans will be completed by each LA using the agreed best practice template. This will then enable the development of a Regional Improvement Plan for sign off by EMDCS end of April 2019.

## Guidance for completion of the self-evaluations

### Considerations for self- evaluation for all authors:

- Concise - simple and focussed narrative, avoiding repetition
- Analytical – evaluation focusses on analysis and avoids unnecessary description or use of data (refer to ‘Evidence table’ as necessary)
- Child-focussed – clear link between provision and lived experience of children and young people.
- Impact – relentlessly focus on impact or, on an exception basis, intended/anticipated impact
- Honest - if something requires strengthening, be clear what needs to change and what the impact is for children (e.g. lack of broad and balanced curriculum) that needs to be addressed.
- Evidence-based – use a balance of quantitative, qualitative and outcomes-based evidence. Where impact cannot yet be evidenced or is not evidenced in a widespread way, use evidence such as examples from pilot initiatives (e.g. Strategic School Improvement Fund/Opportunity Area projects).
- Language – consider language carefully, particularly negative terms or those used for graded judgements, to achieve a balanced and honest evaluation.

## Children's Social Care

This chapter of your self- evaluation should be completed in a way with enables it to be extracted for use during any focused, short or standard inspection under the Inspection of Local Authority Children’s Services (ILACS) framework. Proposed sections or headings are included along with considerations for those preparing the self- evaluation. Self- evaluations should address the following key questions:

- **What do you know about the quality and impact of social work practice in your local authority?**
  - **How do you know it?**
- **What are your plans for the next 12 months to maintain or improve practice?**

### **Proposed sections/headings:**

The following areas are offered to bring consistency and focus to the form of self- evaluations. They link closely to thematic areas for potential focused ILACS inspections and grade descriptors for short and standard inspection. You may wish to amend or add to these based on your local circumstances.

- The front door
- Early Help
- Children in Need and subject of Child Protection Plans
- Protection of vulnerable adolescents/specific groups
- Children in care
- Permanency planning and achieving permanence
- Care leavers and transition
- Leadership and management
- Workforce
- Performance management and learning

### **Performance data**

Self-evaluations should be accompanied by a **report generated from the Children’s Services Analysis Tool (ChAT) based on the end of September 2018 data using Annex A Child Level data lists**. An updated version can be used to support Annual Engagement Meeting with Ofsted.

## Education and School Improvement

This part of your self-evaluation should be able to be extracted to inform engagement with Ofsted, Regional Schools Commissioner and other delivery mechanisms of the Department for Education. Proposed sections or headings are included along with considerations for those preparing the self- evaluation. Local authorities are expected to conduct an analysis of local performance utilising the East Midlands regional performance profile 'Tableau' as the basis for self- evaluations which address the following key questions:

- **What does your analysis tell you about education provision in your area?**
- **What is the impact of your previous strategies on the priorities in your area?**
  - **What do you plan to do as a result of your analysis?**

### **Proposed sections/headings:**

The following areas are offered to bring consistency and focus to the form of self- evaluations. You may wish to amend or add to these based on your local circumstances.

- Partnership arrangements – the role of the LA and partners in a self-improving, school-led system.
- Most recent outcomes/trends – Attainment and Progress from Early Years to Key Stage 5
- Inspection judgements – current position and trends
- Performance of specific/vulnerable groups – Disadvantaged, EAL, LAC, CiN, SEN, Most Able, White British and other groups as relevant.
- Behaviour, attendance and inclusion – absence, persistent absence; fixed/permanent exclusions; Elective Home Education; 'off-rolling'; In Year Fair Access; managed moves; delayed admissions
- Destinations – FE/HE; Apprenticeships; employability; and NEET.
- Academies (Multi-Academy Trusts/Stand Alone Trusts) - context and performance
- Local system capacity - teacher and leadership recruitment, school places, Teaching Schools, National/Local Leaders in Education, Academy sponsors, partnership working with other agencies.

### **Performance data:**

Self-evaluations should utilise the regional performance data in the Tableau tool as a minimum.

## Apprenticeships

For those Local Authorities which are an Apprenticeship provider consider:

- **Key Strengths**
- **Areas for Improvement**

### **Proposed sections/headings:**

SAR Bullet point headings below obtained from Further Education and Skills Handbook page 66 para 198 .....Need to make judgements against each bullet point heading. Inspectors will consider how well:

- apprenticeships are planned and managed and fully meet the principles and requirements of an apprenticeship
- the provider's staff engage with employers to plan the training, assessments, review points and milestones throughout, agree any additional qualifications to be included, if any, and monitor and support apprentices to progress quickly, gain new skills and achieve to their full potential
- trainers, assessors, coaches and mentors communicate up-to-date vocational and technical subject knowledge that reflects the expected industry practice and meets employers' needs and apprentices acquire that knowledge effectively
- apprentices develop the skills and behaviours, including English, mathematics and digital skills, that enable them to meet expectations, contribute to their workplace and fulfil their career aims
- apprentices complete their apprenticeship successfully, progress to their intended job role or other sustained employment, get promoted or, where appropriate, move to a higher level of apprenticeship or qualification
- apprentices contribute to their employer's business.
- whether or not arrangements for safeguarding learners are effective

### **Performance data:**

To include information on number of apprenticeships, summary of what delivered, Functional Skills undertaken etc.

Data Table to include number of apprentices / Apprenticeship framework/standard

E&D data table to pull out data on males, LLDD, ethnic minorities, care leavers, young apprentices, low/no quals.

## Special Educational Needs and/or Disabilities

This chapter of your self- evaluation should be completed in a way which enables it to be extracted for use during Local Area Inspection of effectiveness of identifying and meeting the needs of children and young people who have Special Educational Needs and/or disabilities. Proposed sections or headings are included along with considerations for those preparing the self- evaluation. Self- evaluations should address the following key questions:

- **How effectively do you identify children and young people who have special educational needs and/or disabilities?**
- **How effectively do you assess and meet the needs of children and young people who have special educational needs and/or disabilities?**
- **How effectively do you improve outcomes for children and young people who have special educational needs and/or disabilities?**

### **Proposed sections/headings:**

- Multi-agency working and joint commissioning
- SEN Support
- Quality and impact of Education, Health and Care evaluations and plans
- Inclusion
- The local offer
- Personal budgets
- Preparing for adulthood
- Participation/ co-production
- Workforce development

### **Performance data:**

Self-evaluations should utilise the regional performance data in the Tableau tool as a minimum.

## Youth Offending

This chapter of your self- evaluation should be completed in a way with enables it to be extracted for use during any Full Joint Inspection (FJI) or the short inspection programme (SQS). In particular to support the presentation by the YOT at the start of the inspection process. Self- evaluations should address the following key questions:

- **How do organisational delivery arrangements in this area make sure that the work of your YOT is as effective as it can be, and that the life chances of children and young people who have offended are improved?**
  - **What are your priorities for further improving these arrangements?**

### **Proposed sections/headings:**

The following areas are offered to bring consistency and focus to the form of self- evaluations. They link to the three domains outlined in the inspection guidance:

- Organisational delivery
  - Governance and leadership
  - Staff
  - Partnerships and services
  - Information and facilities
- Quality of post-court supervision
- Quality of out-of-court disposals

### **Performance data:**

Self-evaluations should utilise local and national performance data.

## Children's Community Health Services

This chapter of your self- evaluation should be completed in a way with enables it to be extracted for use during any CQC inspection of Community Health Services for children, young people and families. Self- evaluations should consider the following in relation to the services being delivered:

- **Safe**  
**By safe, we mean people are protected from abuse\* and avoidable harm.**  
**\*Abuse can be physical, sexual, mental or psychological, financial, neglect, institutional or discriminatory abuse.**
- **Effective**  
**By effective, we mean that people's care, treatment and support achieves good outcomes, promotes a good quality of life and is based on the best available evidence.**
- **Caring**  
**By caring, we mean that the service involves and treats people with compassion, kindness, dignity and respect.**
- **Responsive**  
**By responsive, we mean that services meet people's needs**
- **Well-led**  
**By well-led, we mean that the leadership, management and governance of the organisation assures the delivery of high-quality person-centred care, supports learning and innovation, and promotes an open and fair culture.**

### Proposed sections/headings:

The following areas are offered to bring consistency and focus to the form of self- evaluations. This links to the key lines of enquiry outlined in the inspection framework: community health services: services for children, young people and families.

- **Safe**
  - How do systems, processes and practices keep people safe and safeguarded from abuse?
  - How are risks to people assessed, and their safety monitored and managed so they are supported to stay safe?
  - Do staff have all the information they need to deliver safe care and treatment to people?
  - How does the provider ensure the proper and safe use of medicines, where the service is responsible?
  - What is the track record on safety?
  - Are lessons learned and improvement made when things go wrong?
- **Effective**
  - Are people's care, treatment and support achieves good outcomes, promotes a good quality of life and is based on the best available evidence.
  - How are people's care and treatment outcomes monitored and how do they compare with other similar services?
  - How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?
  - How well do staff, teams and services within and across organisations work together to deliver effective care and treatment?
  - How are people supported to live healthier lives and where the service is responsible, how does it improve the health of its population?

- Is consent to care and treatment always sought in line with legislation and guidance?
- Caring
  - How does the service ensure that people are treated with kindness, dignity, respect and compassion, and that they are given emotional support when needed?
  - How does the service support people to express their views and be actively involved in making decisions about their care, support and treatment as far as possible?
  - How is people's privacy and dignity respected and promoted?
- Responsive
  - How do people receive personalised care that is responsive to their needs?
  - Do services take account of the particular needs and choices of different people?
  - Can people access care and treatment in a timely way?
  - How are people's concerns and complaints listened and responded to and used to improve the quality of care?
- Well-led
  - Is there the leadership capacity and capability to deliver high-quality, sustainable care?
  - Is there a clear vision and credible strategy to deliver high-quality sustainable care to people who use services, and robust plans to deliver?
  - Is there a culture of high-quality, sustainable care?
  - Are there clear responsibilities, roles and systems of accountability to support good governance and management?
  - Are there clear and effective processes for managing risks, issues and performance?
  - Is appropriate and accurate information being effectively processed, challenged and acted upon?
  - Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?
  - Is there transparency and openness with all stakeholders about performance?

**Performance data:**

Safety performance measures – e.g. safety thermometer, harm free care, reported incidents

- Mandatory training data
- Safeguarding training and safeguarding supervision data
- Serious Incidents involving CYP
- Safeguarding notifications to CQC
- Records audit and other safety audit results
- Actual staffing numbers compared to establishment, including progress against National Health Visitor Plan
- Staff caseloads
- Staff vacancy rates and use of bank/agency staff

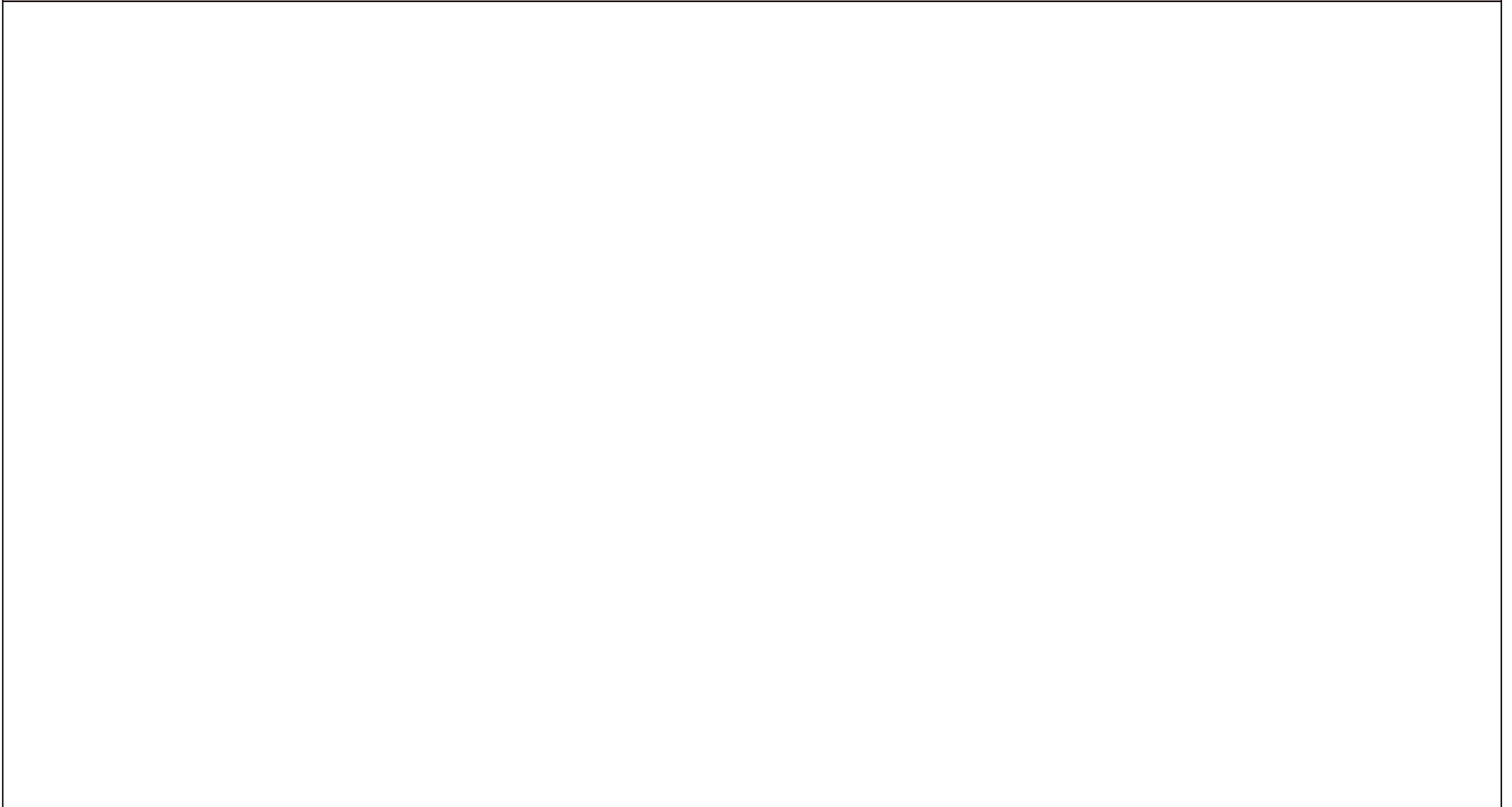
### Self-Evaluation Summary Report

<b>Local Authority:</b>	
<b>Self-Evaluation Contact Name:</b>	
<b>Director of Children's Services:</b>	
<b>Lead Member:</b>	

<b>Our local area:</b>

<b>Our services:</b>

**High level Structure Chart and description:**



## Children's Services

Areas for improvements identified from the last Inspection/Peer Challenge/Annual Conversation:	Outcomes achieved:

**Support we have provided to other LAs:**

**Outcomes we are proud of:**

**Improvement priorities for the next 12 months:**

**Key risks to achieving the improvement priorities:**

### Summary of Signature of Success:

	RAG 2017	RAG 2018	Direction of Travel
Impact of Leadership and Governance			
Performance, Culture and Challenge			
The Child's Journey - consider all priority groups e.g. SEND, CWD, YOS, Prevent			
Resource and Workforce Management			
Partnership and Working Together			

**Children's Social Care**

<b>Areas for improvements identified from the last Inspection/Peer Challenge/Annual Conversation:</b>	<b>Outcomes achieved:</b>

**Support we have provided to other LAs:**

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**Outcomes we are proud of:**

--

**Improvement priorities for the next 12 months:**

--

**Key risks to achieving the improvement priorities:**

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## Education and School Improvement

Areas for improvements identified from the last Ofsted Visit/Peer Challenge/Annual Conversation:	Outcomes achieved:

**Outcomes we are proud of:**

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**Improvement priorities for the next 12 months:**

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**Key risks to achieving the improvement priorities:**

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## Apprenticeships

Areas for improvements previously identified:	Outcomes achieved:

### Outcomes we are proud of:

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### Improvement priorities for the next 12 months:

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### Key risks to achieving the improvement priorities:

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**Special Educational Needs and/or Disabilities**

<b>Areas for improvements identified from the last Ofsted Visit/Peer Challenge/Annual Conversation:</b>	<b>Outcomes achieved:</b>

**Outcomes we are proud of:**

**Improvement priorities for the next 12 months:**

**Key risks to achieving the improvement priorities:**

## Youth Offending

Areas for improvements identified from the last Ofsted Visit/Peer Challenge/Annual Conversation:	Outcomes achieved:

### Outcomes we are proud of:

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### Improvement priorities for the next 12 months:

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### Key risks to achieving the improvement priorities:

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**Children's Community Health Services**

<b>Areas for improvements identified from the last Ofsted Visit/Peer Challenge/Annual Conversation:</b>	<b>Outcomes achieved:</b>

**Outcomes we are proud of:**

--

**Improvement priorities for the next 12 months:**

--

**Key risks to achieving the improvement priorities:**

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**Risk Support and Offer**

In order to achieve your improvement priorities what support do you need from the Regional Improvement Alliance:	What does that support look like - for example peer review, diagnostic evaluation?:	When would you need this support – month/time of year:

What are areas of expertise are we willing share as part of the Regional Improvement Alliance:	What does that support look like - for example peer review, diagnostic evaluation?:	Are there any constraints on capacity to deliver this support? If so what are they e.g. time of year etc:

## Improvement Plan Guidance

There is not a prescribed format for improvement plans and it was evident from a review of LA improvement plans they are all different and context dependent. In order to further strengthen improvement plans, and to support the development of the overarching Regional Improvement Plan it is suggested that LA improvement Leads commit to attending the regional performance and improvement leads group in order to further develop this work. There will also be an agreement to share LA improvement plans within this group in order to identify best practice and to help to further develop and shape local plans.

A suggested, non-mandatory format based on plans analysed thus far, could consist of the following:

PRIORITY (confirm how this fits into the local LA improvement priorities)	ACTION (What?)	ACCOUNTABLE OFFICER (Who?)	TIMESCALE (When?)	EVIDENCE (provide links to electronic evidence library, publicly available evidence)	IMPACT