

**East Midlands Regional Improvement and Innovation Alliance (RIIA)**

**2020/21**

**Self-Evaluation**

**Framework/Guidance**

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| **Agreed RIIA approach to self-evaluation and improvement planning** |

This framework builds on the experience of the sector-led improvement and the work of the RIIA 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 RIIA 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
	+ Early Help
	+ Education and School Improvement
	+ Apprenticeships (where applicable)
	+ Special Educational Needs and/or Disability
	+ Youth Offending
	+ Children's Community Health Services(where applicable)
	+ Summary Report
* **January/ February: Peer Challenge Conversations–**  to be held in the triad groups of:

• Nottingham City, Derbyshire, Rutland,

• Derby City, Leicestershire, Northamptonshire

• Leicester City, Lincolnshire, Nottinghamshire

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| **2020/21 Timetable of activity** |

A summary timetable details the key points in the Self-Evaluation and Peer Challenge process. Detailed information is provided below.

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| **w/c 5th October 2020** | Self-Evaluation Framework circulated |
|  **w/c 12th October 2020** | Local Authorities/Local Areas commence self-evaluation |
| **November 2020** | Review progress towards completion at EM DCS  |
| **November 2020** | Triads book dates for Peer Challenge conversations |
| **11th December 2020** | Completed Self-Evaluation submitted to paula.whitehead@lincolnshire.gov.uk |
| **By end December 2020** | Self-evaluations shared in triads. Format and focus of Peer Challenges agreed |
| **January/ Early Feb 2021** | Peer Challenge Conversations |
| **January 2021** | Ofsted Annual Engagement Meetings commence |
| **March 2021** | Initial headlines shared with East Midlands DCS and a summary presented to Lead members  |
| **March 2021** | Ofsted Annual Engagement Meetings conclude |
| **April 2021** | Support and development offers agreed with each DCS |
| **April 2021** | DCS and Executive Group review Plan and Priorities |
| **End April 2021** | Any amendments to Regional Improvement Plan signed off by EM DCS, and RIIA Executive Group  |

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| **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.

**You may send supporting documents; however an analysis of their content should be included within the template.**

**It is at the discretion of each Local Authority whether they integrate learning from Covid 19 throughout; or include a separate section. A new template for this can be found at the end of this document.**

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| **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:

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| * **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
* 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 2020 data using Annex A Child Level data lists**. An updated version can be used to support Annual Engagement Meeting with Ofsted.

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| **Early Help** |

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:

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| * **What do you know about the quality and impact of Early Help 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 Strategy
* Team Around the Child/Family arrangements
* Troubled Families Programme
* Partner relationships and engagement
* Leadership and management
* Workforce
* Performance management and learning

**Performance data**

Self-evaluations should be accompanied by **a report against Early Help Data generated for the same time period as the Social Care data.**

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| **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:

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| * **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?**
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**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, CiC, 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.

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| **Apprenticeships** |

For those Local Authorities which are an Apprenticeship provider consider:

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| * **Key Strengths**
* **Areas for Improvement**
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**Proposed sections/headings:**

SAR Bullet point headings below obtained from Further Education and Skills Handbook page 66 para 198, making 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 qualifications.

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| **Special Educational Needs and/or Disabilities** |

This chapter of your self- evaluation should be completed in a way with 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:

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| * **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?**
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**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.

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| **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 YOS at the start of the inspection process. Self- evaluations should address the following key questions:

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| * **How do organisational delivery arrangements in this area make sure that the work of your YOS 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?**
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**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.

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| **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:

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| * **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.**

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| * **Effective**
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| **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.**  |

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| * **Caring**
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| **By caring, we mean that the service involves and treats people with compassion, kindness, dignity and respect.**  |
| * **Responsive**
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| **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.**  |

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**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

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| **Local Authority:** |  |
| **Self-Evaluation Contact Name:** |  |
| **Director of Children's Services:** |  |
| **Lead Member:** |  |
| **Chief Executive:** |  |

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| **Our local area:** |
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| **Our services:** |
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| **High level Structure Chart and description:**  |
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| **Children's Services** |

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| **Areas for improvements identified from the last Inspection/Peer Challenge/Annual Conversation:** | **Outcomes achieved:** |
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| **Areas of work within the region in 2019/20 where you have been the lead, provider or receiver indicating evidence of impact, if any:** |
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| **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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| **Summary of Signature of Success:** |

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|  | **RAG****2018** | **RAG****2019** | **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 |  |  |  |

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| **Children's Social Care** |

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

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| **Areas for improvements identified from the last Inspection/Peer Challenge/Annual Conversation:** | **Outcomes achieved:** |
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| **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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| **Education and School Improvement** |

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

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| **Areas for improvements previously identified:** | **Outcomes achieved:** |
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| **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** |

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

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

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| **Areas for improvements identified from the last Ofsted Visit/Peer Challenge/Annual Conversation:** | **Outcomes achieved:** |
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| **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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| **Covid 19 Response** |

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| **What we did:** | **Learning:** |
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| **Impact and 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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| **Risk Support and Offer** |

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| **In order to achieve your improvement priorities what support do you need from the Regional Improvement & Innovation Alliance:** | **What does that support look like - for example peer review, diagnostic evaluation?:** | **When would you need this support – month/time of year:** |
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| **What are areas of expertise are we willing share as part of the Regional Improvement & Innovation 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:** |
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| **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.

There is 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:

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| **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** |
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