



Leicester
City Council

Outcome of Test of Assurance - Briefing

Audit and Risk Committee

6 March 2019

CYP & Schools Scrutiny Commission

7 March 2019

Adult Social Care Scrutiny Commission

19 March 2019

Useful information

- Ward(s) affected: All
- Report author: Jane Pierce, Snr Project Manager
- Author contact details: 0116 454 6123
- Report version number plus Code No from Report Tracking Database:

1. Purpose

This report summarises the process and outcome of the Local Authority Test of Assurance undertaken by the Local Government Association (LGA) in November 2018.

2. Background

In June 2018, adults social care and children's services combined to form a new Social Care and Education Department, under the operational leadership of the Strategic Director Steven Forbes. Lead Member portfolios for Children's and Young Peoples and Adult Social Care remained unchanged.

The Strategic Director role for the new department holds responsibility for both the statutory Director of Children's Services (DCS) and the statutory Director of Adult Social Services (DASS). The remit and responsibilities for both these statutory posts are set out in guidance by Government and summarised in Appendix A attached.

Where a local authority has combined the DCS functions with other officer responsibilities, government guidance states that in such circumstances:

'local authorities should undertake a local test of assurance so that the focus on outcomes for children and young people will not be weakened or diluted as a result of adding other such responsibilities.

The Test of Assurance is generally undertaken some months after the combining of the two functions to be assured of the local authority and leadership's capacity to support the combined adults and children's social care responsibilities. The test checks that:

- the combined departmental structure works well,
- statutory duties are met relating to the roles of the Director of Children's Services (DCS) and the Director of Adult's Social Services (DASS),
- leadership and partnerships are operating well,
- effective governance arrangements and delivery mechanisms are in place
- staff have a shared and common purpose

Leicester City Council requested the Local Government Association to undertake this Test of Assurance. Two LGA advisors were appointed to undertake the Test of Assurance. They were Edwina Grant OBE (Senior Children's Improvement Adviser) and Sandie Keene, CBE (Consultant on Adult Services). Both are experienced leaders within children's and adults social care.

Prior to their 2-day visit, two advisors from the LGA reviewed the key documents submitted (see Appendix B). During the 2-day visit, they met with key professionals and practitioners (see Appendix C) in Leicester City.

Their areas of focus were:

- Leadership and Governance
- Performance and Outcomes
- Commissioning and quality
- National priorities and partnerships
- Resource and workforce management
- Culture and Change

3. Outcome

The LGA review team provided a feedback session on the last day where they described a positive outcome. They were clear that the Test of Assurance was met. Both Advisors commented positively on the morale of staff that they had met across the department and of a positive, delivery focused culture. Appendix D contains a copy of the confirmation letter from LGA.

As can be seen from the PowerPoint slide in Appendix E, the LGA review team identified several strengths and some areas for development.

The LGA review team concluded that the integration of Adults and Childrens Services was being approached in a measured and systematic way to give a good foundation for further development. The LGA also observed that the service is rapidly developing, and arrangements would need to be kept under regular review.

The areas for development were highlighted by LGA as:

- Resolve the future shape of Adults and Childrens Safeguarding Boards
- Further develop existing strategies for SEND and Transitions
- Continue to integrate case management systems to improve efficiency
- Build on existing cross council preventative approaches e.g. housing, transport, social value and community engagement
- Develop a deeper understanding of future demand and contingencies for market failure

4. Next steps

Leadership will continue to build on the good foundation created and act across the Council with respect to the areas for development identified by the LGA. It is not intended to create a separate action plan to follow-up on sustaining any of the strengths or areas for development identified through this Test of Assurance process. Any recommendations will be adopted within the existing departmental improvement and action planning processes. These will be predominately:

- The Departmental Annual Operating Plan for 2019/20
- Children's Services Improvement Plan (relating to last Ofsted inspection of 2017)
- Departmental and divisional quality audit systems and reporting formats (through to respective Lead Members and Scrutiny Commissions)
- Service level improvement plans

Consideration will be given by the two Lead Members and the Departmental Leadership Team to undertaking an internal review of the areas undertaken by the Test of Assurance in the quarter after the full year of departmental operating – i.e. around September 2019.

5. Recommendations

To note the outcome of the Test of Assurance and pass any comments to the Strategic Director for Social Care and Education.

Appendix A

Statutory Responsibilities of the DASS and DCS

Local authorities are bound by over 299 statutory duties which cover or have an impact on vulnerable children young people and adults, adults social care, education, safeguarding and children's services.

Statutory guidance on the role of the Director of Adult Social Services (DASS) was issued in 2006. The guidance covers responsibilities in relation to: -

- a. Accountability for assessing local needs and ensuring availability and delivery of a full range of adult social services
- b. Professional leadership, including workforce planning;
- c. Leading the implementation of standards
- d. Managing cultural change
- e. Promoting local access and ownership and driving partnership working;
- f. Delivering an integrated whole systems approach to supporting communities
- g. Promoting social inclusion and wellbeing

Statutory guidance on the role of the Director of Children's Services (DCS) was issued in 2013. The guidance covers responsibilities and over 200 statutory duties in relation to the DCS and Lead member of Children's Services (LMCS).

The guidance covers, for example, responsibilities in relation to:

- a. Work together to provide strong strategic local leadership and development of the education and children's services sector and support a smooth transition from children's to adults' services.
- b. Provide a clear and unambiguous line of local accountability
- c. Discharge and are responsible for the education and children's social services functions of the LA.
- d. Have responsibility for children and young people receiving education or social care services in their area and all children looked after by the local authority or in custody wherever placed.
- e. Ensure that the safety, educational, social and emotional needs of children and young people are central to the local vision.

The DCS has professional and operational responsibility. The LMCS has political responsibility

The following legislation shapes the role of the DCS and the DASS:

DCS:	DASS:
<ul style="list-style-type: none">• Children Act 1989; 2004• Children & Social Work Act 2017• Responsibilities for DCS and LMCS 2013• Extending Personal Adviser support to all care leavers to age 25 (2018)• Statutory Framework for Early Years foundation stage (2018 update)• Schools: Statutory guidance (2017 update)• Working Together to safeguard children 2018• Equality Act 2010	<ul style="list-style-type: none">• The Care Act 2014• The Mental Capacity Act (2005) and Deprivation of Liberty Safeguards• The Mental Health Act 2007• The Human Rights Act 1998• The Domestic Violence, Crime and Victims Act 2004 and subsequent legislation relating to Domestic Violence Protection Notices and Orders, the criminal offence of Coercive and Controlling Behaviour, Modern Slavery and Forced Marriages.

Appendix B

Documents provided to LGA

Documents are coded: S –Social Care & Education/corporate/partnership/ C - Children’s / A – Adults

Item/Area	Document description/Reference&Name/Comment
Local Account	A1- ASC Local Account 2016-17 C1 - Self Evaluation 2018 Leicester City 18April 2018 vf
Market position	A2 - ASC Market Position Statement 2017-18
Health and Wellbeing Strategy	S1 - Leicester City Joint Health and Wellbeing Strategy 2018-23 Link to Leicester Health and wellbeing surveys S2 - JICB-HWBsurvey2018 3.0 (Draft H&WB survey not for wider circulation) C20- Healthy Workplace survey for adults and children’s social care & early help
Integration plans	A5 - BCT Next Steps A19 - BCF_Plan_Refresh_18_19_Narrative – final A20 - Leicester City Better Care Fund 2017-19
M/T Financial plan	S3 LCC Budget 2018-19 - 2020-21
External reviews	A8 - Domiciliary Care Service CQC Report A9 - Integrated Crisis Response Service CQC Report A11 - Integrating Health and Social Services A13 - Leicester EM ADASS Peer Review Feedback - April 2018 A14 - Leicester SAB Peer Review Feedback A16 - LLR TCP Peer Review Feedback A18 - Shared Lives Service CQC Report C2 - Leicester City Challenge KLOES and Record of Challenge Conversation - Feb 2018 C3 - Leicester SC Annual Conversation Letter 220618 C4 - Local Area Review outcome letter C5 - Leicester Written Statement of Action - Final Version C10 - LSCB YOS HIMP Training Inspection Feedback 200918 C11 - SC038961- Childrens home inspection C12 - SC039001- Childrens home inspection C13 - SC039025 - Childrens home inspection C14 - SC039038- Childrens home inspection C15 - SC039056- Childrens home inspection
Risk Register	A6- LCC Risk Register ASCC A7 - LCC Risk Register ASC&S C6 - CSC Early Help - Caroline Tote C7 - RiskRegisterLearning&Inclusion0918
Safeguarding Board Annual reports	A17 - LSAB Annual Report 2017-18 C17 - Draft LSCB Annual Report 2017-2018 v0.8
Housing strategies	Link to Leicester City’s Homelessness Strategy A15 - LLR TCP Accommodation Strategy
Workforce plan	S5 - July 16 Leicester City Council Workforce Strategy A4 - ASC Workforce Action Plan 2016-19 Update C16 - Education and Childrens Services Workforce Strategy 2017 - 2020
Prevention planning/strategies	C9 - Leicester’s-early-help-strategy 2016-19 A21 - Independent Living Strategy A22 - Carers Strategy A23 - Dementia Strategy C19 – Draft Transitions Strategy and Delivery Plan
Other	S4 - Social Care and Education Governance flowchart S6 - Structure charts for SCE, Childrens and Adults services A3 - ASC Monthly Activity and Business Processes Tracking Report A10 - Integrated Performance Report - Q1 2018-19 C8 - 1808 Childrens Services Performance Book v05 C18 - Q1 QA Quarterly report – children’s S7 – Coproduction briefing July 18 S8 – Embedding coproduction in Commissioning

Appendix C

Professionals interviewed by the LGA

Title	Name
City Mayor	Sir Peter Soulsby
Chief Operating Officer	Andy Keeling
Deputy City Mayor and Lead Member Children, young people and education	Cllr Sarah Russell
Assistant City Mayor and Lead Member for Adult Social Care & Wellbeing	Cllr Vi Dempster
Scrutiny Commission Chair	Cllr Virginia Cleaver
Strategic Director Social Care and Education	Steven Forbes
Director Adults Social Care and Safeguarding	Ruth Lake
Director Adults Social Care and Commissioning	Tracie Rees
Director Children Social Care & Early Help	Caroline Tote
Director of Nursing and Quality (Leicester City CCG)	Chris West
T/Detective Superintendent – Serious Crime Head of Public Protection	Matt Ditcher
Director of Commissioning (CCG)	Mel Thwaites
Director of Finance	Alison Greenhill
Principal Social Workers Principal Occupational Therapist	Kate Wells (Children) Jo Dyke (Adults) Miral Joshi (OT)
Chair of Leicester Safeguarding Children Board	Jenny Myers
Chair of Leicester Safeguarding Adults Board	Robert Lake
Head of Adults	Ranjan Ravat
Head of SEND	Joe Dawson
Head of Looked After Children	David Thrussell
Group of ASYEs and Frontline practitioners	Bhavini Pankhania; Leona Robinson; Poonam Jansari; Shazia Akram; Melissa Potts; Nyasha Motiwa; Claire Wiltshire; Inderjit Kullar; Chris Ball
Group of Managers for Commissioning, market management and provider quality	Tracie Rees; Kate Galoppi; Sue Welford; Mark Pierce (CCG);
Director of Public Health Consultant in Public Health	Ruth Tennant Ivan Browne
Social Work Team Manager Group	Gemma Euden; Phil Hazledine; Zarirun Asan; Gina Needham; Luke Dickinson; James Tingley; Leanda Cank

Appendix D

Letter from LGA



Sir Peter Soulsby
City Mayor Leicester City Council
By e mail

2 November 2018

Dear Sir Peter

Letter Following Test of Assurance

We are writing following the test of assurance conducted by the Local Government Association on 24 October and 1 November 2018.

The test of assurance, conducted by peers, follows the decision of Leicester City Council to bring together services for adults and children and is designed to test that there is sufficiency in capacity to deliver services.

The assurance test took place over two days and reviewed management arrangements, supporting resources, operational arrangements and took account of the views of some key partners. Staff consultation took place at a number of levels and leading politicians took part in the discussions. 50 written documents were reviewed and we conducted 20 on site meetings.

The test of assurance conclusion is that *on the basis of submitted documentation, interviews and reflections on interviews, the Local Government Association review team considers that the assurance test is met.*

Leicester City Council have approached the integration of Adults and Children's Services with a measured and systematic approach which has given a good foundation for further development. This is a rapidly developing service and its arrangements will need to be kept under regular review.

In the course of our discussions we also identified a number of strengths and areas of development that we shared with you in our final feedback. We hope you found those suggestions useful.

Thank you for the efficient way in which you organised the arrangements for the test of assurance. We wish you well in your future development.

Yours sincerely

Sandie Keene CBE Consultant on Adult Services to the Local Government Association.

Edwina Grant OBE Senior Children's Services Adviser Local Government Association.



Leicester City Childrens and Adults Social Care Test of Assurance

Edwina Grant
Sandie Keene

24 Oct /1 Nov 2018

www.local.gov.uk



Test of Assurance areas of search and process

- Management arrangements
 - Discharge of Adult and Childrens functions
 - The development of efficient and sustainable social care system and market with effective financial performance
 - Trend analysis and future resource planning
 - Safeguarding and Mental Capacity Act decision making
 - Breadth of responsibilities to individuals
 - Involvement and experience of people in receipt of services
 - Safeguarding systems, leadership and practice challenge with early help
 - Adequacy of partnerships
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- submission of 50 documents
 - 20 on site meetings - partners and staff, excellent support and hospitality

Test of Assurance - conclusion

On the basis of submitted documentation, interviews and reflections on interviews, the Local Government Association review team considers that the assurance test is met.

Leicester City Council have approached the integration of Adults and Childrens Services with a measured and systematic approach which has given a good foundation for further development. This is a rapidly developing service and its arrangements will need to be kept under regular review.

Quotes

- 'Morale is higher than its been for years'
 - 'The guiding principles are a golden thread which unite us to perform with a purpose'
 - 'I feel safe and secure at work'
 - 'This is the happiest period of my working life' (a partner)
 - 'Savings targets are equally horrible for everyone'
 - 'I feel listened to and held to account'
 - 'We can cope but we are at our limits'
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Leadership and Governance- strengths

- Strong and engaged Political leadership
 - Effective, visible, credible leadership from Steven
 - Clear vision and direction of travel
 - Measured approach to integration and change
 - Clear governance framework
 - Unifying principles widely owned and supported
 - Area of strength in management teams
 - Assurance processes adopted by Ofsted well understood
 - Good use of regional support network
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Finance and resources- strengths

- Clear approach to financial planning and delivery
 - Adult services delivery of savings and redesign of services
 - Stable resourcing in Childrens services through Ofsted journey
 - Growing understanding of pressures and profiling of future need
 - Staff ownership of the financial position and their role
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Commissioning- strengths

- Positive joint learning and initiatives between Adults and Childrens services
 - Increasing focus on commissioning for outcomes and review
 - Excellent integrated approaches with Clinical Commissioning Group and Health partners achieving good outcomes
 - Good provider and market awareness
 - Effective reprovision of services and use of Better Care Fund
 - Management grip on current operational issues
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Practice - strengths

- Good performance and quality audit arrangements
 - Practice standards and governance Boards are evident
 - Good partnership work at various levels
 - Staffing stability, workforce planning and high morale
 - Numerous positive examples of alignments and opportunities of service integration
 - Staff responding to reduced resources in teams in creative ways
 - Growing narrative about 'the way we do things round here'
 - Positive workforce development/apprenticeships
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Culture- strengths

- Strong commitment to the Council and City
 - Learning and development culture
 - The senior management models integration of teams to the staff
 - Member presence is welcomed and understood
 - Staff are aware of the drive towards stability
 - Increasingly outward looking to partners and the region
 - Understanding of diversity and inclusion
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Big Picture - Areas for development

- The future shape of Adults and Childrens Safeguarding Boards needs to be resolved
 - Existing strategies for SEND and Transitions need further development
 - Continue to integrate case management systems to improve efficiency
 - Build on existing cross council preventative approaches eg housing, transport, social value and community engagement
 - Develop a deeper understanding of future demand and contingencies for market failure
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Day to day- future work

- Understanding of the impact of poverty in the community and impact on staff
 - Ensure equity in supervision management and safe working practices
 - Maximising effectiveness with good access to IT equipment and phones
 - Extending opportunities for integration throughout the whole service (front line staff)
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