



social work
inspection agency

BUSINESS PLAN 2007/8

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Who we are and what we do.

SWIA's main task is to evaluate the quality of social work services in Scotland through inspection or review and to advise the First Minister of the Scottish Parliament and the Scottish Executive about social work services. Our function is to work with others to continually improve social work services by identifying areas for improvement and disseminating best practice.

Powers of Inspection

The Social Work Inspection Agency (SWIA) is an Executive Agency of the Scottish Ministers under the terms of the Scotland Act 1998 (section 1.1 of the framework document).

Mission statement.

SWIA's mission is to continuously improve social work services by driving up standards through partnership working, identifying areas for improvement where they need to be addressed and identifying and sharing best practice.

Our vision

"Throughout Scotland, people are able to rely on excellent social work services that improve the quality of their lives."

SWIA aims to achieve this vision by:

- delivering a national inspection programme that acknowledges good performance in social work services and assists poor performers to improve;
- working with other inspection bodies to deliver integrated inspection programmes;
- encouraging self evaluation and improvement by providers of social work services;
- connecting policy development with practice through a knowledge base derived directly from inspections; and
- providing professionally-based advice to Scottish Ministers.

Core values

SWIA aims to realise its objectives by building an agency that encourages improvement of its processes while exemplifying the values of integrity, honesty and objectivity. This approach ensures that SWIA's activities are:

- always improving/evolving;
- based on the highest standards and best practice;
- respected for the focus on service users' needs; and

- backed up by informed analysis and intelligence.

Principal activities

SWIA was established as an executive agency in April 2006. Its role is to scrutinise social work services provided by or on behalf of local authorities. SWIA aims to be a leader in promoting and disseminating good practice. Its approach places those people who use services at the heart of the inspection process. SWIA's inspection practices are robust, objectively delivered and publicly reported.

SWIA undertakes the following functions:

- inspection, review and reporting across social work and social care services;
- sectoral and aspect evaluations of social work and social care services;
- commissions from the Scottish Ministers, relevant departments of the Scottish Executive and other bodies; and
- provision of professional advice to Scottish Ministers and others.

Our staffing and financial resources

Staffing

SWIA has a core establishment of almost 50 FTE posts (49.85) as at the start of the January 2007.

Grade	Admin/policy	Inspectors	Project Managers	Statisticians	Total
SCS1A		1.0			1.0
C3		3.0			3.0
C2	1.0	23.6			24.6
C1				1.2	1.2
B3	2.0				2.0
B2	1.0			1.0	2.0
B1	1.0		6.8		7.8
A3	13.0				13.0
	18.0	27.6	6.8	2.2	54.6

Financial Resources

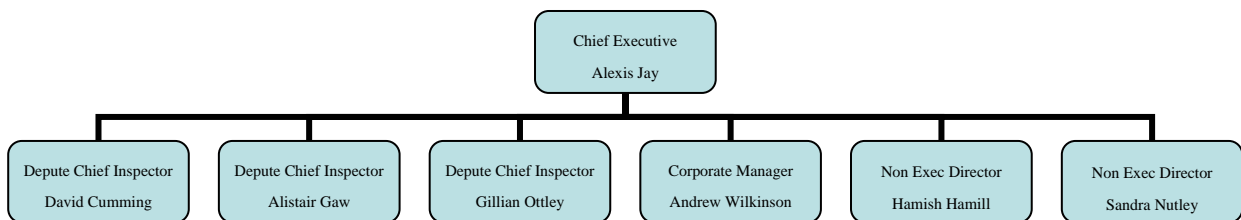
Our projected budget for 2007/8 Direct Running Costs is detailed at annex 1.

Organisational structure

The Chief Inspector of SWIA is its Accountable Officer. As Accountable Officer, the Chief Inspector is responsible to Scottish Ministers. The Accountable Officer is supported by the Management Board.

Management board

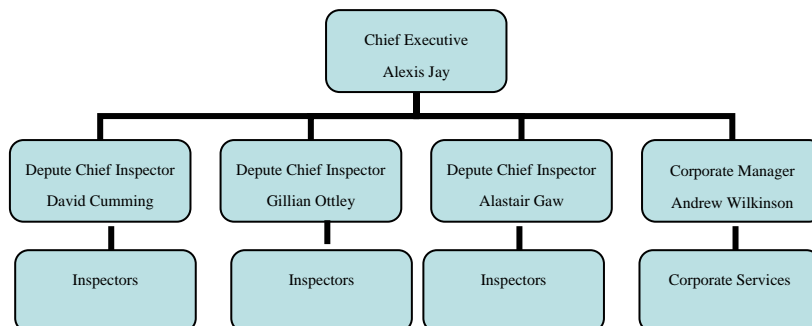
SWIA's Management Board structure as at 01 April 2007 was as follows.



The Management Board meets quarterly and oversees the work of SWIA.

A senior management team (SMT) comprising the board less the two non-executive directors meets regularly and reports to the Management Board.

Reporting Lines



Councils for inspection in 2007/8

Inspections Starting & Reporting

Shetland PI & CJ

Midlothian (file reading only)

North Ayrshire PI

Argyll and Bute PI

Youth justice inspection

Multi-agency inspection (older people)

Dundee PI

Voluntary sector body governance systems inspection

Moray PI

East Lothian PI

Multi-agency inspection (substance misuse)

Edinburgh PI

Inspection of criminal justice through care services

Aberdeen City PI

Multi-agency inspection (learning disabilities)

Inspections Finishing & Reporting

Highland PI

Glasgow PI

Ayrshire CJ

Multi-agency inspection (substance misuse)

Multi-agency inspection (older people)

Inspection Starting

Inspection of high risk offenders in the community

Corporate Parenting (yet to be decided)

SWIA Business Plan Objectives April 2007/08

Strategic Priority	Aim	Objective	Key tasks	From	Completed	
Priority 1 Improve the quality of social work services across Scotland	1. Deliver local authority performance inspection programme by end-2008	1.1 Carry out 8 performance inspections	1.1.1 Identify local authorities to be inspected	May 07	April 08	
			1.1.2 Produce inspection timetable	October 06	April 07	
			1.1.3 Determine inspection teams	October 06	April 07	
			1.1.4 Deliver inspections	April 07	March 08	
			1.1.5 Produce/publish reports	April 07	March 08	
			1.1.6 Pursue follow-up action	June 07	Onwards	
	2. Initiate new criminal justice services inspection programme by April 07	2.1 Carry out criminal justice inspection of through care services	2.1.1 Agree and produce methodology	April 07	May 07	
			2.1.2 Deliver inspection	May 07	September 07	
			2.1.3 Produce/publish reports	October 07	November 07	
			2.1.4 Pursue follow-up action	December 07	Onwards	
			2.2 Carry out criminal justice inspection of high risk offenders in the community	2.2.1 Agree and produce methodology	January 07	February 07
				2.2.2 Deliver inspection	March 07	July 07
				2.2.3 Produce/publish reports	August 07	September

Strategic Priority	Aim	Objective	Key tasks	From	Completed
					07
			2.2.4 Pursue follow-up action	October 07	Onwards
	3. Deliver multi-agency inspections and thematic reviews	3.1 Carry out multi-agency inspection of older people's services	3.1.1 Deliver inspection	December 07	April 08
			3.1.2 Produce/publish reports	April 08	July 08
			3.1.3 Pursue follow-up action	August 08	Onwards
		3.2 Carry out multi-agency inspection of substance misuse services	3.2.1 Deliver inspection	December 07	April 08
			3.2.2 Produce/publish reports	April 08	July 08
			3.2.3 Pursue follow-up action	August 08	Onwards
		3.3 Carry out multi-agency inspection of Learning Disability Services	3.3.1 Deliver inspections	April 07	April 08
			3.3.2 Produce/publish reports	April 08	July 08
			3.3.3 Pursue follow-up action	August 08	Onwards
	4. Participate in multi-agency inspections and thematic reviews	4.1 Contribute as required	4.1.1 Provide SWIA inspectors to work in the inspection team	April 07	April 08
	5. Follow through on previous investigations	5.1 Deliver rolling programme of follow-up inspections 1 year after publication of initial report	5.1.1 Link inspector to initiate and carry out follow-up inspection 1 year after publication of initial report	April 07	April 08
	6. Deliver investigation reports that are authoritative and evidence-based	6.1 Conduct and Publish ad hoc investigations as directed by Scottish Ministers		April 07	April 08
		6.2 Deliver inspection of youth	6.2.1 Produce methodology	April 07	May 07

Strategic Priority	Aim	Objective	Key tasks	From	Completed
		justice services			
			6.2.2 Deliver inspection	May 07	September 07
			6.2.3 Produce/publish report	October 07	November 07
			6.2.4 Pursue follow-up action	December 07	Onwards
		6.3 Deliver inspection of voluntary sector body governance systems	6.3.1 Produce methodology	May 07	June 07
			6.3.2 Deliver inspection	June 07	October 07
			6.3.3 Produce/publish report	November 07	December 07
			6.3.4 Pursue follow-up action	January 08	Onwards
		6.4 Deliver inspection of corporate parenting ??	6.4.1 Produce methodology	September 07	April 08
			6.4.2 Deliver inspection	June 07	November 07
			6.4.3 Produce/publish report	December 07	December 07
			6.4.4 Pursue follow-up action	April 08	Onwards
Priority 2	1. Secure the confidence of the social work sector	1.1 Make sure inspection process is fair and open	1.1.1 Publish and highlight internal moderation processes.	April 07	April 08
Secure improved public confidence in social work services			1.1.2 Review Framework Document, Corporate Plan and other corporate	June 07	September 07

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			documentation		
			1.1.3 Appoint and maintain pool of sessional, lay and associate inspectors	April 07	ongoing
			1.1.4 Produce sessional, lay and associate inspector protocols	April 07	April 07
			1.1.5 Produce and implement outcome-based evaluation process for inspections	April 07	April 08
			1.1.6 Review/update Race Equality impact assessments	September 07	December 08
		1.2 Validate local authority quality assurance and risk management	1.2.1 Follow up outcomes of audit of local authority sex offender risk management	April 07	April 08
	2. Demonstrate the role of social work to the wider community	2.1 Publish reports that show good practice as well as areas for improvement	2.1.1 Publish reports.	April 07	April 08
		2.2 Take opportunities to highlight contribution of social work in Scotland	2.2.1 Pursue opportunities to contribute input about inspection outcomes in a variety of venues.	April 07	April 08
			2.2.2. Provide guest speakers at events	April 07	April 08
			2.2.3 Publish CI's annual report	April 07	July 07
Priority 3	1. Work in partnership with local authorities and other service providers	1.1 Build local authority involvement in the inspection process	1.1.1 Host stakeholder event	August 07	August 07
Build capacity in social work services		1.2 Establish effective inspection and developmental	1.2.1 Review link inspector responsibilities	April 07	July 07

Strategic Priority	Aim	Objective	Key tasks	From	Completed				
		partnerships between SWIA inspectors and local authority managers							
		1.3 Build use of local resources into inspection processes	1.3.1 Refresh and maintain pool of associate and lay inspectors	April 07	April 08				
		1.4 Build role in promoting best practice	1.4.1 Hold seminars, conference, expand website capability	April 07	April 08				
		1.5 Minimise burden of regulation and inspection	1.5.1 Plan inspection programme with other regulators to minimise overlaps	April 07	Onwards				
			1.5.2 Review/refresh memoranda of understanding with HMIE, Care Commission, NHS QIS, Audit Scotland, MWC, HMIP, HMIC, CS	April 07	Onwards				
Priority 4	1. Support policy-making by authoritative inspection-led knowledge	1.1 Second/assign SWIA staff to/from policy divisions, other inspectorates and/or local authorities	1.1.1 Stella Perrott to Youth Justice; Jackie Deas to Head of Effective Practice (3/10/05–3/10/07); Linda Reid to Mental Health Division (18/8/04-31/3/08); Michael Mass-Lowitt to Mental Health Division (7/11/05-ongoing); Joanna McCreadie to HMle (20/3/06-20/3/08). Peter Lindsay from Audit Scotland 1/10/6-ongoing.	April 07	April 08				
Inform social work policy development									
						1.2 SWIA staff contribute directly to policy development	1.2.1 Inter-country adoptions (16 days per year)	April 07	April 08
							1.2.2 Investigation of deaths of looked after children (50 – 80 days per year)	April 07	April 08
							1.2.3 Membership of panel assessing applicants for Disqualified from Working	April 07	April 08

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			with Children list (90 days per year)		
			1.2.4 Membership of SE social work Education & Training Group	April 07	April 08
			1.2.5 Membership of hidden Harm implementation group (12 days per year)	April 07	April 08
			1.2.6 Membership of Advisory Group on alcohol misuse	April 07	April 08
			1.2.7 Membership of Secure Care Forum (2 days per year)	April 07	April 08
			1.2.8 Membership of Rehabilitation Advisory Group Guide Dogs (4 days per year)	April 07	April 08
			1.2.9. Membership of Eye Care Review Group.	April 07	April 08
			1.2.10 Membership of S E group reviewing deaths of children (12 days per year)	April 07	April 08
			1.2.11 Membership of S E Expert Reference group (4 days per year)	April 07	April 08
			1.2.12 Membership of Child Protection Steering Group (6 days per year)	April 07	April 08
			1.2.13 Membership of PIF Steering Group (12 days per year)	April 07	April 08
			1.2.14 Membership of SIRCC	April 07	April 08

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			Management Committee (4 days per year)		
			1.2.15 Membership of SER Review Group (12 days per year)	April 07	April 08
			1.2.16 Membership of youth justice group (24 days per year)	April 07	April 08
	2. Contribute to the outcomes of the 21 st Century social work review	2.1 SWIA contributes to development of recommendations	2.1.1 Participate on implementation working groups.	April 07	April 08
Priority 5					
Be an Excellent Organisation					
<i>Leadership</i>	1. Facilitate delivery of the Agency's objectives	1.1 Continuously promote improvement activity inside and outside the organisation	1.1.1 Encourage a culture of excellence	April 07	April 08
			1.1.2 Fully involve staff and stakeholders in the development of mission, vision, values and ethics	April 07	April 08
			1.1.3 Identify and champion organisational change	April 07	April 08
<i>Policy and Strategy</i>	2. Strategic direction understood by all stakeholders	2.1 Develop/review inclusive policies and strategies based on information from performance measurement, research, learning and		April 07	April 08

Strategic Priority	Aim	Objective	Key tasks	From	Completed
		external related activities			
<i>People management</i>	3. Deliver effective Communications	3.1 Deliver aims of communications strategy	3.1.1 Carry out communications strategy actions	April 07	April 08
	4. Make best use of HR	4.1 Maximise use of staff	4.1.2 Develop pool of sessional, lay and associate inspectors	April 07	ongoing
			4.1.5 Operate the appraisal scheme in accordance with SE policy	April 07	April 08
			4.1.6 Provide opportunities for people to be involved in improvement teams	April 07	April 08
			4.1.7 Comply with SE equal opportunities policy.	April 07	April 08
	5. Build capacity in SWIA	5.1 Develop skills, knowledge and behaviours of staff	5.1.1 Review/deliver training and development strategy	April 07	April 08
			5.1.2 Deliver training programme tailored to LA inspection programme	April 07	April 08
			5.1.3 Hold away-day	December 07	December 07
		5.2 Recruit necessary staff	5.2.1 Ensure recruitment/retention of staff identified to deliver SWIA's objectives	April 07	April 08
		5.3 Secure necessary analytical resources	5.3.1 Ensure analytical resource requirements are delivered	April 07	April 08
		5.4 Secure necessary accommodation	5.4.1 Ensure delivery of appropriate accommodation requirements in Edinburgh and Glasgow	April 07	April 08
		5.5 Review location requirements in compliance with SE relocation policy	5.5.1 Carry out and implement as necessary location review process	April 07	April 08

Strategic Priority	Aim	Objective	Key tasks	From	Completed
<i>Resources</i>	6. Apply sound financial and risk management	6.1 Implement sensible corporate governance procedures	6.1.1 Apply agreed governance procedures	April 07	April 08
			6.1.2 Review governance documentation	December 07	April 08
			6.1.3 Implement agreed audit report recommendations	July 07	September 08
	7. Make best use of IT that is integrated into operational processes	7.1 Fully integrate ERDM	7.1.1 Ensure full use of ERDM and integration within SWIA processes	April 07	April 08
		7.3 Consolidate website functionality and accessibility	7.3.1 Establish website as central resource on social work practice and policy	April 07	April 08
		7.4 Implement HMle's FLINT inspection template software for SWIA use and HMle's data scanning software as appropriate	7.4.1 Work with HMle to introduce FLINT and data scanning tools	April 07	April 08
		7.5 Pursue ICT enhancements to inspection process	7.5.1 Knowledge Management Group to work with CISD in identifying and pursuing useful ICT developments	April 07	April 08
<i>Processes</i>	8. Ensure SWIA has effective internal quality assurance processes	8.1 Implement best internal QA processes	8.1.1. Introduce and apply QA system	April 07	April 08
<i>Customer satisfaction</i>	9. Deliver stated Service standards	9.1 Meet or exceed stated service standards	9.1.1 Reply to all correspondence as quickly as possible, and within 20 working days of receipt of the correspondence	April 07	April 08

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			9.1.2 Answer all telephone calls within 5 rings using a standard protocol - welcome, name, branch and ending "How can I help you" – and clear and positive language	April 07	April 08
			9.1.3 See customers within 10 minutes of any appointment made in advance and customers without an appointment within 15 minutes	April 07	April 08
			9.1.4 Provide appropriate information within 20 working days of receipt of request or, in the case of information requested under the Data Protection Act, within 40 days of receipt of request	April 07	April 08
			9.1.5 Handle all complaints in accordance with SWIA complaints procedure	April 07	April 08
People satisfaction	10. Employee satisfaction is high	10.1 Seek staff and stakeholder views via the staff survey and stakeholder meetings	10.1.1 Utilise results as part of EFQM continuous improvement actions	April 07	April 08
		10.2 Grievances are handled quickly by line management	10.2.1 Grievances handled in accordance with SE policy	April 07	April 08
	11. Health & safety is treated seriously	11.1 Ensure compliance with health & safety strategy	11.1.1 Apply health & safety strategy	April 07	April 08
			11.1.2 Regular PAT and safety checks to be carried out	April 07	April 08
			11.1.3 Individual incidents to be dealt with in accordance with strategy	April 07	April 08
Business results	12. Deliver business objectives	12. Apply performance indicators and monitoring systems	12.1.1 Achieve suite of KPIs	April 07	April 08

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			12.1.1 Apply auditable monitoring systems	April 07	April 08

2007/2008 DRAFT BUDGET

	2006/7		2007/8	
Budget Line	Annual Budget (£)	Year-end Forecast (£)	Annual Inc on Forecast (£)	2006/7
Staff Costs	2,781,000	2,475,000	2,858,517	15.50%
Accommodation Costs	168,000	212,500	288,057	35.56%
Supplies & Services	59,000	125,000	100,600	-19.52%
Administrative	341,000	315,000	288,845	-8.30%
Other Costs	951,000	604,547	696,146	15.15%
Gross Expenditure	<u>4,300,000</u>	<u>3,732,047</u>	<u>4,232,165</u>	13.40%
Other				
Income	300,000	12,000	25,000	108.33%
Net Expenditure	<u>4,000,000</u>	<u>3,720,047</u>	<u>4,207,165</u>	13.09%
Capital		80,000	43,000	
		<u>3,800,047</u>	<u>4,250,165</u>	
Spring Budget Revision	4,278,000	3,800,047	4,000,000	-6.50%
Youth Justice transfer and other areas of work			250,000	Percentage increase on Spring Budget
2007/8 Required Funding			<u>4,250,000</u>	