



social work
inspection agency

BUSINESS PLAN 2008/09

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Who we are and what we do.

The Social Work Inspection Agency's (SWIA) 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 Government 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

SWIA is an executive agency of the Scottish Ministers under the terms of the Scotland Act 1998 (section 1.1 of the framework document). SWIA derives its powers to inspect from the Joint Inspection of Children's Services and Inspection of Social Work Services (Scotland) Act 2006; Children (Scotland) Act 1995; and Regulation of Care (Scotland) Act 2001. The scope of our inspections extends to all duties and functions of local authorities and other bodies under the Social Work (Scotland) Act 1968 and related legislation.

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 2005. 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 Government 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 54 full-time equivalent posts (53.76) as at the start of January 2008.

Grade	Admin/policy	Inspectors	Inspection support Managers	Statisticians	Total
SCS1A		1.0			1.0
C3		3.0			3.0
C2	1.0	21.8			22.8
C1				1.2	1.2
B3	1.6				1.6
B2	1.0			1.0	2.0
B1	1.0		7		8
A3	14.16				14.16
	18.76	25.8	7	2.2	53.76

Financial resources

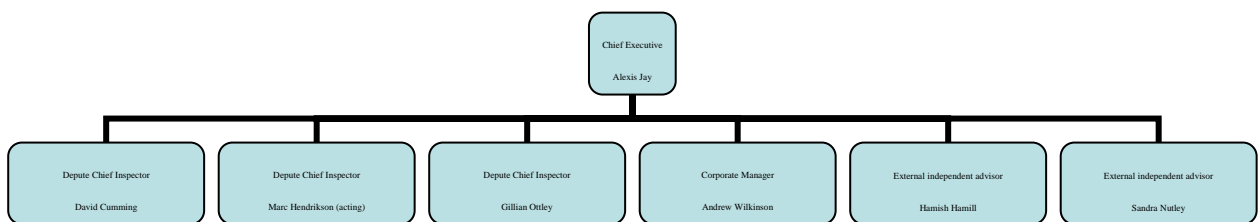
Our projected budget for 2008/09 direct running costs is detailed at Annex 1.

Organisational structure

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

Management Board

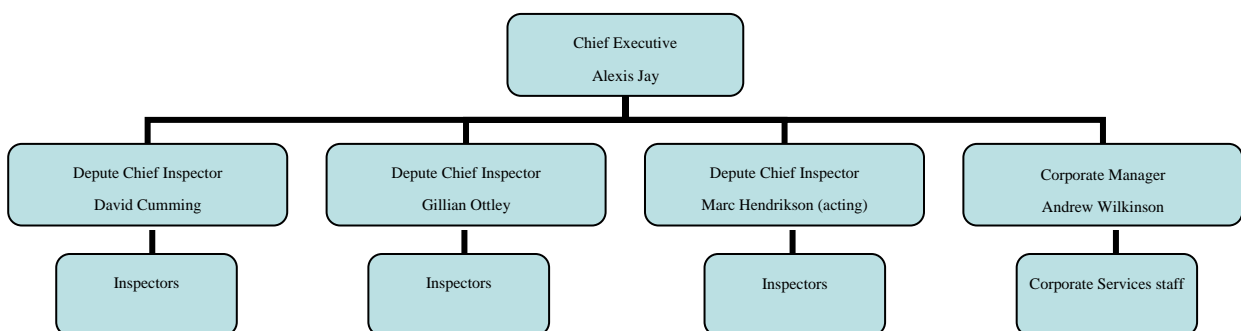
SWIA's Management Board structure as at 01 April 2008 was as follows.



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

A senior management team (SMT) comprising the board less the two external independent advisors meets regularly and reports to the Management Board.

Reporting lines



Inspections in 2008/09

Inspections starting and reporting

Argyll & Bute 6-month follow up
Highland follow up
Multi-agency older people's services follow up (Tayside)
Western Isles follow up
Glasgow follow up
Shetland follow up
Falkirk PI
Multi-agency substance misuse services follow up
Borders PI
North Lanarkshire PI
West Dunbartonshire PI
Multi-agency inspection of learning disability services
Moray follow up
Dundee follow up
North Ayrshire follow up
Multi-agency older people's services follow up (Forth Valley)
Edinburgh follow up

Inspection starting

East Ayrshire PI
Stirling PI
Renfrewshire PI
East Lothian follow up
South Ayrshire PI
Aberdeen City follow up
East Dunbartonshire follow up

Inspections finishing and reporting

Aberdeen PI
Dumfries & Galloway follow up
East Dunbartonshire PI
Multi-agency inspection of criminal justice through care services
Perth & Kinross follow up
Multi-agency learning disability services follow up
Orkney follow up
West Lothian follow up
Clackmannanshire PI
Midlothian PI

SWIA business plan objectives April 2008/09

Strategic Priority	Aim	Objective	Key tasks	From	Completed	
Priority 1 Improve the quality of social work services across Scotland	1. Complete local authority performance inspection programme (including integrated criminal justice services inspection) by end-2008	1.1 Carry out 12 performance inspections	1.1.1 Identify local authorities to be inspected	October 07	April 08	
			1.1.2 Produce inspection timetable	October 07	April 08	
			1.1.3 Determine inspection teams	October 07	April 08	
			1.1.4 Deliver inspections	April 08	March 08	
			1.1.5 Produce/publish reports	April 07	August 09	
			1.1.6 Pursue follow-up action	September 08	Onwards	
	2. Deliver multi-agency inspections and thematic reviews	2.1 Carry out multi-agency thematic criminal justice services inspection of pre and post release arrangements for high risk of harm offenders	2.1.1 Deliver inspection	February 08	June 08	
			2.1.2 Produce/publish reports	June 08	September 08	
			2.1.3 Pursue follow-up action	October 08	Onwards	
			2.2 Carry out multi-agency inspection of learning disability services	2.2.1 Deliver inspection	October 08	February 09
				2.2.2 Produce/publish reports	February 09	May 09
				2.2.3 Pursue follow-up action	June 09	Onwards
				3. Participate in	3.1 Contribute as required	3.1.1 Provide SWIA inspectors to work

Strategic Priority	Aim	Objective	Key tasks	From	Completed
	multi-agency inspections and thematic reviews		in the inspection team		
	4. Follow through on previous investigations	4.1 Deliver rolling programme of follow-up inspections 1 year after publication of initial report	4.1.1 Link inspector to initiate and carry out follow-up inspection 1 year after publication of initial report	April 08	March 09
	5. Contributing to cross-sectoral and cross-service inspection developments	5.1 Work collaboratively with the Care Commission, HM Inspectorate of Education, HM Inspectorate of Prisons, HM Inspectorate of Constabulary, the Mental Welfare Commission, NHS Quality Improvement Scotland and Audit Scotland	5.1.1 Liaise closely with partner scrutiny bodies 5.1.2 Provide SWIA inspectors to work in the inspection teams	April 08	March 09
	6. Deliver investigation reports that are authoritative and evidence-based	6.1 Conduct and Publish ad hoc investigations as directed by Scottish Ministers		April 08	March 09
Priority 2	1. Secure the confidence of the social work sector	1.1 Make sure inspection process is fair and open	1.1.1 Review, amend, and publish inspection handbook highlighting internal moderation processes.	April 08	April 09
Secure improved public confidence in social work services			1.1.2 Review Framework Document, Corporate Plan and other corporate	June 08	September 09

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			documentation		
			1.1.3 Appoint and maintain pool of sessional, lay and associate inspectors	April 08	ongoing
			1.1.4 Review sessional, lay and associate inspector protocols	April 08	March 09
			1.1.5 Review outcome-based evaluation process for inspections	April 08	March 09
			1.1.6 Review/update Race Equality impact assessments	September 08	December 09
		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 08	March 09
	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 09	March 09
		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 08	March 09
			2.2.2. Provide guest speakers at events	April 08	March 09
			2.2.3 Publish CI's annual report	April 08	August 08
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	February 09	February 09
Build capacity in social work services		1.2 Establish effective inspection and developmental partnerships between SWIA	1.2.1 Review link inspector responsibilities	April 08	July 08

Strategic Priority	Aim	Objective	Key tasks	From	Completed
		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 08	March 09
		1.4 Build role in promoting best practice	1.4.1 Hold seminars, conferences, enhance website materials	April 08	March 09
		1.5 Support self-evaluation through the production of self evaluation materials	1.5.1 Produce and publish self evaluation guides and audit tools	April 08	October 08
		1.6 Minimise burden of regulation and inspection	1.6.1 Plan inspection programme with other regulators to minimise overlaps	April 08	Onwards
			1.6.2 Review/refresh memoranda of understanding with HMle, Care Commission, NHS QIS, Audit Scotland, MWC, HMIP, HMIC	April 08	Onwards
Priority 4 Inform social work policy development	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 Joanna McCreadie to HMle (20/3/06-20/3/09). Katie Lamb to Kerelaw Enquiry team (14/01/08- Irene Scullion to Edinburgh City Council (12/1/08- Margaret Anne Gilbert from Mental Welfare Commission Scotland (05/11/07-05/11/08) Susan Blythe from Audit Scotland 12/11/07-12/11/08.	April 08	March 09
		1.2 SWIA staff contribute directly to policy development	1.2.1 Inter-country adoptions (16 days per year)	April 08	March 09

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			1.2.2 Investigation of deaths of looked after children (50 – 80 days per year)	April 08	March 09
			1.2.3 Membership of panel assessing applicants for Disqualified from Working with Children list (90 days per year)	April 08	March 09
			1.2.4 Membership of SG social work Education & Training Group	April 08	March 09
			1.2.5 Membership of hidden Harm implementation group (12 days per year)	April 08	March 09
			1.2.6 Membership of Advisory Group on alcohol misuse	April 08	March 09
			1.2.7 Membership of Secure Care Forum (2 days per year)	April 08	March 09
			1.2.8 Membership of Rehabilitation Advisory Group Guide Dogs (4 days per year)	April 08	March 09
			1.2.9. Membership of Eye Care Review Group.	April 08	March 09
			1.2.10 Membership of SG group reviewing deaths of children (12 days per year)	April 08	March 09
			1.2.11 Membership of SG Expert Reference group (4 days per year)	April 08	March 09
			1.2.12 Membership of Child Protection	April 08	March 09

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			Steering Group (6 days per year)		
			1.2.13 Membership of PIF Steering Group (12 days per year)	April 08	March 09
			1.2.14 Membership of SIRCC Management Committee (4 days per year)	April 08	March 09
			1.2.15 Membership of SER Review Group (12 days per year)	April 08	March 09
			1.2.16 Membership of youth justice group (24 days per year)	April 08	March 09
	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 08	March 09
Priority 5					
Be an Excellent Organisation					
Leadership	1. Facilitate delivery of SWIA's objectives	1.1 Continuously promote improvement activity inside and outside the organisation	1.1.1 Encourage a culture of excellence	April 08	March 09
			1.1.2 Fully involve staff and stakeholders in the development of mission, vision, values and ethics	April 08	March 09
			1.1.3 Identify and champion organisational change	April 08	March 09

Strategic Priority	Aim	Objective	Key tasks	From	Completed
<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 external related activities		April 08	March 09
<i>People management</i>	3. Deliver effective Communications	3.1 Deliver aims of communications strategy	3.1.1 Complete communications strategy actions and review strategy	April 08	March 09
			3.1.2 Maximise use and dissemination of inspection derived knowledge	April 08	March 09
	4. Make best use of HR	4.1 Maximise use of staff	4.1.1 Develop pool of sessional, lay and associate inspectors	April 08	ongoing
			4.1.2 Operate the appraisal scheme in accordance with SG policy	April 08	March 09
			4.1.3 Provide opportunities for people to be involved in secondments, improvement teams and policy work	April 08	March 09
			4.1.4 Comply with SG equal opportunities policy.	April 08	March 09
			4.1.5 Review and enhance programme planning and staff utilisation tools	April 08	March 09
	5. Build capacity in SWIA	5.1 Develop skills, knowledge and behaviours of staff	5.1.1 Review/deliver learning and development strategy	April 08	March 09
			5.1.2 Deliver training programme tailored to LA inspection programme	April 08	March 09
			5.1.3 Review and progress EFQM continuous improvement activities	April 08	August 08
		5.2 Recruit necessary staff	5.2.1 Ensure recruitment/retention of staff identified to deliver SWIA's	April 08	March 09

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			objectives		
		5.3 Secure necessary analytical resources	5.3.1 Ensure analytical resource requirements are delivered	April 08	March 09
		5.4 Secure necessary accommodation	5.4.1 Ensure delivery of appropriate accommodation requirements in Edinburgh and Glasgow	April 08	March 09
		5.5 Review location requirements in compliance with SG relocation policy	5.5.1 Carry out and implement as necessary location review process	April 08	March 09
Resources	6. Apply sound financial and risk management	6.1 Implement sensible corporate governance procedures	6.1.1 Review and enhance agreed governance procedures	April 08	March 09
			6.1.2 Review governance documentation	April 08	March 09
			6.1.3 Implement agreed audit report recommendations	July 08	March 09
			6.1.4 Develop measures to meet best value and efficient government objectives	April 08	March 09
	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 08	March 09
		7.3 Consolidate website functionality and accessibility	7.3.1 Establish website as central resource on social work practice and policy	April 08	March 09
		7.5 Pursue ICT enhancements to inspection process	7.5.1 Knowledge Management Group to work with ISIS and HMIE in identifying and pursuing useful ICT developments	April 08	March 09
Processes	8. Ensure SWIA has effective internal quality	8.1 Implement best internal QA processes	8.1.1 Review and enhance QA system	April 08	March 09

Strategic Priority	Aim	Objective	Key tasks	From	Completed
	assurance processes				
Customer satisfaction	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 08	March 09
			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 08	March 09
			9.1.3 See customers within 10 minutes of any appointment made in advance and customers without an appointment within 15 minutes	April 08	March 09
			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 08	March 09
			9.1.5 Handle all complaints in accordance with SWIA complaints procedure	April 08	March 09
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 08	March 09
		10.2 Grievances are handled quickly by line management	10.2.1 Handle grievances in accordance with SG policy	April 08	March 09
	11. Health & safety is treated seriously	11.1 Ensure compliance with health & safety strategy	11.1.1 Apply and review health & safety strategy	April 08	March 09

Strategic Priority	Aim	Objective	Key tasks	From	Completed
			11.1.2 Regular PAT and safety checks to be carried out	April 08	March 09
			11.1.3 Individual incidents to be dealt with in accordance with health and safety strategy	April 08	March 09
Business results	12. Deliver business objectives	12. Apply performance indicators and monitoring systems	12.1.1 Achieve suite of KPIs	April 08	March 09
			12.1.1 Apply and review auditable monitoring systems	April 08	March 09

2008/2009 BUDGET

Annex 1

Based on un-audited results as at 30/04/2008

	2007/08		2008/09	
Budget Line	Annual Budget (£)	Year-end Result (£)	Annual Budget (£)	Budget inc on 2007/08 (%age)
Staff Costs	3,345,112	2,925,751	3,423,012	2.33%
Accommodation Costs	288,057	330,121	329,574	14.41%
Supplies & Services	100,600	118,903	103,000	2.39%
Administrative	288,845	266,896	331,500	14.77%
Other Costs	209,550	173,236	152,000	-27.46%
Gross Expenditure	4,232,164	3,814,907	4,339,086	2.53%
Income	25,000	0	0	
Net Expenditure	4,207,164	3,814,907	4,339,086	3.14%
Capital Charge		-10,588	10,000	
2007/08 Un-audited Result		3,804,319		
Required Funding - 2008/09			4,349,086	3.37%

Note - Staffing complement not met in 2007/08.