

**FALKIRK COUNCIL**

**Subject: SERVICE RE-DESIGN**  
**Meeting: FALKIRK COUNCIL**  
**Date: 24 June 2015**  
**Author: CHIEF EXECUTIVE**

**1. INTRODUCTION**

- 1.1 Members will recall my reports of 12 November 2014 and 31 March 2015 regarding a re-design of the Service structure arrangements of the Council. The purpose of this report is to provide Members with an update on the steps taken to progress the re-design process. The report also presents a recommendation to Members in respect of the functional Service and chief officer structures of the Council.

**2. BACKGROUND**

- 2.1 In my report to Council on 31 March 2015, I outlined to Members the history of Service arrangements since the inception of Falkirk Council in 1996, when the Council delivered its Services through 12 separate Departments. Members will be aware that the current structure of the Council has 4 substantive Services with Finance and Governance reporting through an operational Chief Executive Office; a copy of the current structure is attached as Appendix 1 for ease of reference. The review which resulted in this structure was undertaken in 2010 and generated savings of c£0.500m through a c30% reduction in chief officer posts.
- 2.2 Members will also be aware from my report of 31 March that in undertaking a review of the functional Service structure, I considered a number of principles to assist me in re-designing the structure. These included the following areas:
- Any revised structure must enable the Council to continue to meet its statutory requirements;
  - Structure arrangements must be efficient and effective. Given the Council's current budgetary position and the financial savings of c£45m which requires to be achieved over the next 3 years, any revised arrangements must result in savings, as agreed by Council on 11 February 2015;
  - Structure arrangements should avoid duplication, whilst ensuring that effective services are delivered for the people of Falkirk;
  - The structure design should be logical and customer friendly;
  - The structure should be designed in a way which enables the Council to continue to deliver its Corporate Plan.
- 2.3 I also took into account the range and variety of arrangements within other Councils and considered what may be appropriate for Falkirk Council, its culture and the priorities of the Council as set out in the Corporate Plan.

- 2.4 As a result, a draft functional Service structure was presented to Members on 31 March 2015 for consideration prior to consultation with relevant officers and Trade Unions. This is attached as Appendix 2 for Members' information.

### **3. STRUCTURE RE-DESIGN**

#### **Consultation**

- 3.1 As agreed by Members, I have now shared and obtained feedback on the draft functional structure chart with relevant officers and Trade Unions.
- 3.2 It is worth highlighting that the Trade Unions had no substantive comments on the structure proposals. They were keen however, to obtain a copy of the supporting chief officer structure which would support such arrangements, as were officers.
- 3.3 With regards to officers, the following provides a summary of the comments made on the shape of the functional structure:
- Ensure a better link between risk management and internal audit. I have taken this comment on board by moving risk management to Service 2, to ensure it sits within the same Service as internal audit. I will ask the Director of this Service to ensure operational arrangements are made to build a link between these functions.
  - Consider the links between Service 1 and Housing. This can be achieved in a number of ways which the Service Directors will put in place. I consider the appropriate location for Housing remains as Service 2, achieving a more balanced structure across the Council with appropriate senior support.
  - Consider the location of Growth and Investment. This function is directly linked to the work of Economic Development and should therefore remain within Service 1.
- 3.4 In addition and as requested by Members, I asked for comments in relation to the appropriate location for Grounds Maintenance. The feedback supported this remaining in Service 1 whilst maintaining an appropriate working relationship with Housing Services. It was felt that this structure location enabled the service to be delivered efficiently, retaining a single supervision and management structure for employees.
- 3.5 On the basis of the feedback received and my consideration of this, I have set out in Appendix 3 a revised functional Service structure which takes account of any accepted changes. I am presenting this to Members for approval with effect from 1 August 2015.

#### **Children's Services and Adult Services**

- 3.6 Further to my report of 12 November 2014 and Members' agreement to create a new Children's Service, work has been undertaken on the functional responsibilities for this Service, focusing on the core activities which would be implicit within any such structure. The aim of this was to ensure that:
- The remit of Children's Services is clearly focused on core activities to deliver the best quality services, within the available resources, for the children of the Council area, and the families in which they live. As noted in my report of 12 November, this currently includes criminal justice services for the time being, pending conclusion of the current national review of criminal justice;
  - Those services for adults which are within the remit of the Health & Social Care partnership, as previously agreed by Members, are retained within an Adult Services division which replaces the former Community Care division;

- Those support functions which currently sit within both Education and Social Work Services but are also delivered within central support services, be delivered instead by the central support services to avoid duplication and achieve efficiencies.

3.7 This work has now concluded and I have outlined the functions which will sit within Children's Services in Appendix 3. I have also shown those functional areas which will be within Adult Services. Consultation with relevant employees and their Trade Union representatives has also now been undertaken. Responses to the consultation are currently being considered by the Director of Children's Services, in discussion with the Director of Social Work, and whilst it is possible that this may result in a change to the functional responsibilities of the Heads of Service from that which are set out in Appendix 3, it will not result in a change to the range of functional areas which will remain in Children's Services. The Director of Children's Services will conclude this work with a view to implementing the new functional arrangements as soon as possible and by no later than 1 August 2015.

3.8 As advised in my report of 31 March 2015, an appointment to the post of Head of Education was also being progressed. I can confirm that Anne Pearson has now been appointed to this post on an acting basis for a period of 2 years.

#### **Chief Officer Structure**

3.9 Feedback from the consultation highlighted that officers and Trade Unions were keen to see the proposed chief officer structure which would support any new Service structure arrangements. It was important however, that the functional Service structure consultation was concluded prior to any work being undertaken on this. I am also conscious that Members may wish to consider the savings that any such changes will generate prior to agreeing to a re-designed structure, and this requires the chief officer structure to be developed.

3.10 As a result, I have now undertaken work to develop a chief officer structure which will support the functional Service structure arrangements presented in Appendix 3. I have provided Members with a copy of the current chief officer structure at Appendix 4 for information. The proposed revised chief officer structure is set out as Appendix 5 for Members' consideration and approval. In developing this structure, I have taken into consideration the current cohort of chief officers, those who potentially could leave the Council over the duration of the current budget strategy, and the request from Members that I achieve savings in developing a new structure.

3.11 In this regard, the chart at Appendix 5 includes the following:

- Deletion of the post of Director of Social Work;
- Deletion of one Head of Service post from Development Services over the duration of the budget strategy. To facilitate this and a change in functional responsibilities to accommodate this change, it is proposed that the Head of Operational Services, which is currently vacant, be filled on a temporary basis by either secondment or external recruitment. This will enable the reduction from four to three Heads of Service to be made in due course, following a further examination of the design of the Service by the Director;
- Deletion of one Depute Chief Finance Officer in due course, pending a review of working arrangements within Finance.

- 3.12 These changes will be implemented over the period of the budget strategy. It is estimated that once all changes are in place, total annual savings of c£0.240m (excluding on-costs) will be achieved. These will be used to help achieve the £2m of savings agreed by Members on 11 February 2015 from transformational change projects.
- 3.13 I would stress that this structure has been designed to provide Members with an option to achieve savings whilst avoiding compulsory redundancies. As opportunities arise, for example if other chief officers choose to consider voluntary severance or resign for some other reason, as is their right, each situation will be considered to determine what if any, further changes can be implemented to enable savings to be achieved, whilst still maintaining the level of service delivery agreed by Members.

### **Statutory Posts**

- 3.14 Members will be aware that the Council is required to have a number of statutory posts in place within its structure. These include:
- Section 95 Finance Officer – this will be carried out by the Chief Finance Officer;
  - Monitoring Officer – this will be carried out by the Chief Governance Officer;
  - Chief Social Work Officer – this will be carried out by the Head of Social Work.
- 3.15 With regards to the role of the Chief Social Work Officer, the Head of Social Work will undertake this role for both the Council and the Health & Social Care Integration Joint Board. For Members' information, the Chief Social Work Officer must undertake a range of roles and responsibilities. This includes a requirement for the officer undertaking this role to have the option to attend the Council's Corporate Management Team and meetings of the Integration Joint Board. In addition, the Chief Social Work Officer provides professional supervision to the Head of Adult Services. It must be stressed that this is for professional purposes only, to ensure the areas within the remit of the Chief Social Work Officer role are being undertaken to a satisfactory level. It does not in any way reflect a line management responsibility, as the Head of Adult Services will initially report directly to myself during the interim period until full implementation of the integration arrangements by April 2016; at which point this post will report to the Chief Officer for Health & Social Care Integration, whilst remaining employed by the Council.
- 3.16 The role of the Chief Social Work Officer was previously considered and agreed by Members. This has now been revised by the Director of Social Work to take account of the changes in structure and the new arrangements for the Integration Joint Board. A copy of the revised role for the Chief Social Work Officer is attached as Appendix 6 for Members' consideration and approval.
- 3.17 Given the complexity of this remit on top of a normal Head of Service remit, I am intending to appoint to a manager level SJC post which will provide direct support to the Head of Social Work to enable them to fulfil this role. This will be funded from within existing budget.
- 3.18 It should be highlighted that deputising arrangements will also be in place for all statutory roles.

### **Consultation**

- 3.19 I can advise Members that in advance of presenting this chief officer structure, I issued a copy of the proposed chief officer structure to Corporate Management Team and Trade Unions for comment. The feedback from this exercise did not result in any changes to

the chief officer structure or the proposed posts within this. Some comments were received on the description of functional areas with the aim of ensuring clarity in the structure. These have now been incorporated into Appendix 3. The chief officer structure at Appendix 5 is now being presented to Members for approval and implementation on the same date as the functional structure, i.e., 1 August 2015, subject to the further changes to the structure which I have set out in paragraphs 3.10 to 3.14 and on the structure chart.

#### **4. PERSONNEL IMPLICATIONS**

##### **Recruitment**

- 4.1 If the Service and chief officer structures set out in Appendices 3 and 5 of this report are agreed by Members, there is a need to fill the post of Temporary Head of Operational Services.
- 4.2 In addition, I can advise Members that the Head of Community Care has taken the decision to resign from the Council with effect from 31 July 2015. As per the decision of Council on 12 November 2014, the Head of Community Care would have been slotted in to the Head of Adult Services post. On this basis, there is a need to fill the post of Head of Adult Services. Having considered the changes being implemented through the integration of Health & Social Care, it is clear that there are a number of areas for development which may change the role and remit of this post as the integration partnership develops. To provide Members with flexibility in such circumstances, it is suggested that Members may wish to consider whether it is more appropriate to appoint to the post of Head of Adult Services on a temporary 2 year basis. This would enable a longer term decision in relation to the future of this post to be taken once the Strategic Plan for the integration partnership has been developed, and more is known of the changes this may bring to adult services.
- 4.3 Members are asked to agree to delegate appropriate authority to make an appointment to both the temporary post of Head of Operational Services and the post of Head of Adult Services, in accordance with the Council's normal procedures. In addition, Members are asked whether they would wish the post of Head of Adult Services to be filled on a permanent basis, or temporary 2 year basis. I should confirm that given the imminent departure of the Head of Community Care, interim arrangements will be implemented pending any longer term appointment.
- 4.4 As agreed by Members in November with regards to Children's Services, appropriate slotting and matching arrangements will also be put in place for all other chief officer posts within the structure.

##### **Grade Implications**

- 4.5 Given the changes to the structure, a number of chief officers will assume different and/or additional responsibilities. On this basis, where duties change, to ensure compliance with equal pay, there is a need to evaluate the post to ensure the grade remains appropriate. This will be undertaken using the Hay evaluation scheme, for those chief officer posts where there is a change in the remit of the post since it was last evaluated.
- 4.6 I would stress that in undertaking this work, there is no intention to amend the grading structure used for chief officers, but instead to ensure that each post is appropriately

placed within this structure. Any changes in grade will be effective from the date of the implementation of the revised structure.

- 4.7 There may however, be situations which arise where as a result of this work, the grade for a post is reduced. With regards to the conditions which will apply in such circumstances, I can advise that as chief officer conditions were generally aligned with those of all other employees at the time of the last re-structure exercise, there is no facility within current conditions to protect the salary of an officer where the grade is reduced. In addition, as a result of a more recent review of the national conditions which apply to chief officers, the previous right to life-time salary protection for chief officers has been removed, with the national conditions reverting any decision on this to Councils for a local decision to be taken. In this regard, Members are asked to take a decision on the approach to be taken for chief officers, if circumstances arise where the post they are being slotted or matched to is graded lower than their current grade. There are a number of options available to Members for this purpose:

- Implement the new lower grade with immediate effect, recognising the impact this may have on the personal circumstances and future pension of the employee;
- Implement the new lower grade following a period of advance notice, for example, 6 to 12 months notice could be provided to the employee;
- Implement the new grade with a defined period of protection (if Members were to prefer this option, further work will require to be undertaken on what may be justifiable from an equality perspective).

- 4.8 Members may wish to note that there is no protection policy currently in place for SJC or Craft employees in such circumstances, although discussions have taken place with Trade Unions in this regard and it remains under consideration. Such discussions have focused on the significant cost implications any form of protection could potentially have for the Council, as well as the equal pay risks which would require to be assessed prior to any protection being put in place. As such, if any form of protection or advance notice arrangements were to be agreed for chief officers, they would also require to be considered for all other employees, and the cost and equality implications would require to be assessed. All such arrangements would also require to be subject to on-going equality impact assessments.

## **5. CONCLUSIONS**

- 5.1 Following the decisions taken by Members in November 2014 and March 2015, work has been undertaken to develop both a functional Service and chief officer structure for the Council which, as requested by Members, generates savings. These are attached as Appendices 3 and 5 to this report and if agreed, will generate £0.240m in savings, excluding on-costs, once all changes have been implemented. In agreeing to this structure there are two vacancies which require to be filled as outlined in paragraphs 4.1 to 4.3. It is proposed that these be filled as soon as possible.

## **6. RECOMMENDATION**

- 6.1 It is recommended that Members:

- (a) Note the work undertaken to devise and consult on both the functional Service structure and chief officer structure;
- (b) Agree the functional Service structure attached as Appendix 3 of this report;

- (c) Agree the chief officer structure attached as Appendix 5 of this report;
- (d) Agree that the revised Service and chief officer structures be implemented from 1 August 2015;
- (e) Note the arrangements with regards to statutory posts as outlined in paragraphs 3.14 to 3.18;
- (f) Agree the role of the Chief Social Work Officer as attached as Appendix 6 of this report;
- (g) Note the recruitment arrangements set out in paragraphs 4.1 to 4.4;
- (h) Agree to delegate authority to fill the vacancies outlined in paragraphs 4.1 to 4.3, either by secondment or by external advert as appropriate to the post, with officers being asked to undertake the process for any secondment and the Appointments Committee undertaking any external recruitment process;
- (i) Confirm whether the post of Head of Adult Services should be filled on a temporary or permanent basis, as detailed in paragraphs 4.2 and 4.3;
- (j) Agree the arrangements that will be implemented in the event that an officer's grade is reduced as a result of this re-design exercise, as outlined in paragraphs 4.7 and 4.8.

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**CHIEF EXECUTIVE**

Date: June 2015  
Ref: MP/KA  
Contact Name: Mary Pitcaithly, Extension 6002

**LIST OF BACKGROUND PAPERS**  
None.

**CURRENT COUNCIL SERVICE STRUCTURE (Excluding Change re Children's Service)**

		Chief Executive	
<b>FINANCE</b>		<b>GOVERNANCE</b>	
<ul style="list-style-type: none"> <li>Corporate Finance</li> <li>Internal Audit</li> <li>Pensions Administration &amp; Investment</li> <li>Revenue &amp; Benefit Services</li> </ul>		<ul style="list-style-type: none"> <li>Democratic Services</li> <li>Election Management</li> <li>Legal Services</li> <li>Licensing</li> <li>Registration Services</li> </ul>	
		<p>It should be noted that work is currently underway to integrate both the Social Work and Education Services, excluding those functions which will transfer to the new Health &amp; Social Care Integration partnership.</p>	
<b>DEVELOPMENT SERVICES</b>	<b>EDUCATION SERVICES*</b>	<b>CORPORATE &amp; NEIGHBOURHOOD SERVICES</b>	<b>SOCIAL WORK SERVICES*</b>
<b>Roads &amp; Design</b> <ul style="list-style-type: none"> <li>Roads</li> <li>Building Design</li> <li>Engineering Design</li> </ul> <b>Planning &amp; Transportation</b> <ul style="list-style-type: none"> <li>Development Management</li> <li>Planning and Environment</li> <li>Building Standards</li> <li>Transport Planning</li> </ul> <b>Economic Development &amp; Environmental Services</b> <ul style="list-style-type: none"> <li>Growth and Investment</li> <li>Asset Management</li> <li>Employment &amp; Training</li> <li>Environmental Health</li> <li>Trading Standards</li> </ul>	<b>Educational Support &amp; Improvement</b> <ul style="list-style-type: none"> <li>Pre-five Education and Care</li> <li>Primary Education</li> <li>Secondary Education</li> <li>Provision for Young People with ASL</li> <li>Psychological Services</li> <li>Quality School Improvement</li> <li>Curriculum Support</li> </ul> <b>Educational Planning &amp; Resources</b> <ul style="list-style-type: none"> <li>Educational Resources</li> <li>Education ICT Systems &amp; Support</li> <li>Education Asset/Property Management</li> <li>Service Policy &amp; Performance</li> <li>Service Forward Planning</li> <li>Customer Communications</li> <li>Community Centres and Community Halls</li> <li>CLD</li> </ul>	<b>Human Resources &amp; Customer First</b> <ul style="list-style-type: none"> <li>Customer First</li> <li>Health, Safety &amp; Care</li> <li>HR Operational Support</li> <li>Organisational Development Services</li> <li>Payroll Services</li> </ul> <b>Policy, Technology &amp; Improvement</b> <ul style="list-style-type: none"> <li>Communication &amp; Participation</li> <li>Corporate Policy &amp; Community Planning</li> <li>IT Network, Infrastructure and Support</li> <li>Technology Development</li> <li>Welfare Reform</li> </ul> <b>Housing</b> <ul style="list-style-type: none"> <li>Housing Options &amp; Tenancy Management</li> <li>Housing Needs &amp; Planning</li> <li>Housing Asset Management</li> </ul> <b>Resources &amp; Procurement</b> <ul style="list-style-type: none"> <li>Housing Asset Management</li> <li>Property Management</li> <li>Corporate Procurement</li> <li>Performance &amp; Quality Management</li> </ul> <b>Operational Services</b> <ul style="list-style-type: none"> <li>Waste Services (Collection &amp; Disposal)</li> <li>Fleet Services</li> <li>Estates Management</li> <li>Bereavement Service</li> <li>Parks and Play Service</li> <li>Catering &amp; Building Cleaning</li> <li>Sign Factory</li> </ul>	<b>Business Support</b> <ul style="list-style-type: none"> <li>Short Breaks Bureau</li> <li>Direct Payments/Self Directed Support</li> <li>Business Continuity</li> <li>Capital Programme</li> <li>Asset Management</li> <li>Service Redesign</li> <li>Project Work</li> <li>Performance and Information</li> <li>ICT Strategy</li> <li>SWIS</li> <li>Child Protection</li> </ul> <b>Children &amp; Families and Criminal Justice</b> <ul style="list-style-type: none"> <li>Adoption &amp; Fostering</li> <li>Children's Rights</li> <li>Children with Disabilities</li> <li>Contracts</li> <li>Criminal Justice</li> <li>Kinship Care</li> <li>Corporate Parenting</li> <li>CP Quality Assurance</li> <li>Looked after Children</li> <li>Residential Services</li> <li>Leaving Care Services</li> <li>Intensive Family Support Service</li> <li>CFIS Board and Development</li> <li>Connect Services</li> <li>Prison Based Social Work</li> <li>Support Accommodation</li> <li>Groupwork Services</li> <li>Youth Justice Work</li> </ul> <b>Community Care</b> <ul style="list-style-type: none"> <li>Care Homes</li> <li>Community Day Care</li> <li>Joint Dementia Initiative</li> <li>Delayed Discharge</li> <li>Older People Services</li> <li>Homecare</li> <li>MECS</li> <li>Housing with Care</li> <li>Telecare</li> <li>JLES</li> <li>Learning Disability Team</li> <li>Asset</li> <li>Day Centres</li> <li>IMHT</li> <li>MHO Services</li> <li>Sensory Centre</li> <li>Physical Disability Panel</li> <li>NHS Complex Review Panel</li> <li>Community Advice Service Contracts &amp; Commissioning</li> </ul> Performance & information Workforce Development Customer Services

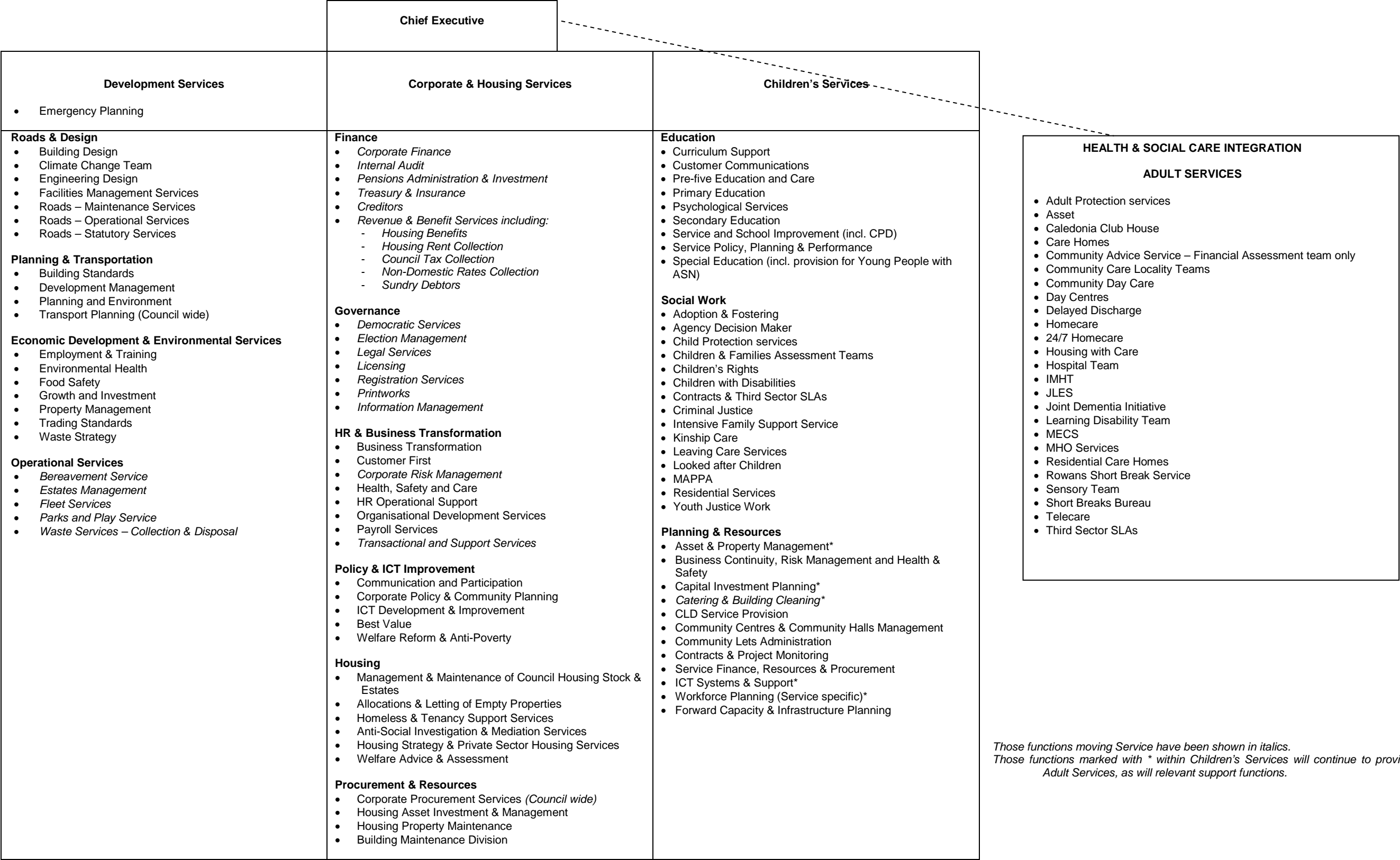


COUNCIL SERVICE STRUCTURE – VERSION USED FOR CONSULTATION PURPOSES, AS AGREED BY MEMBERS

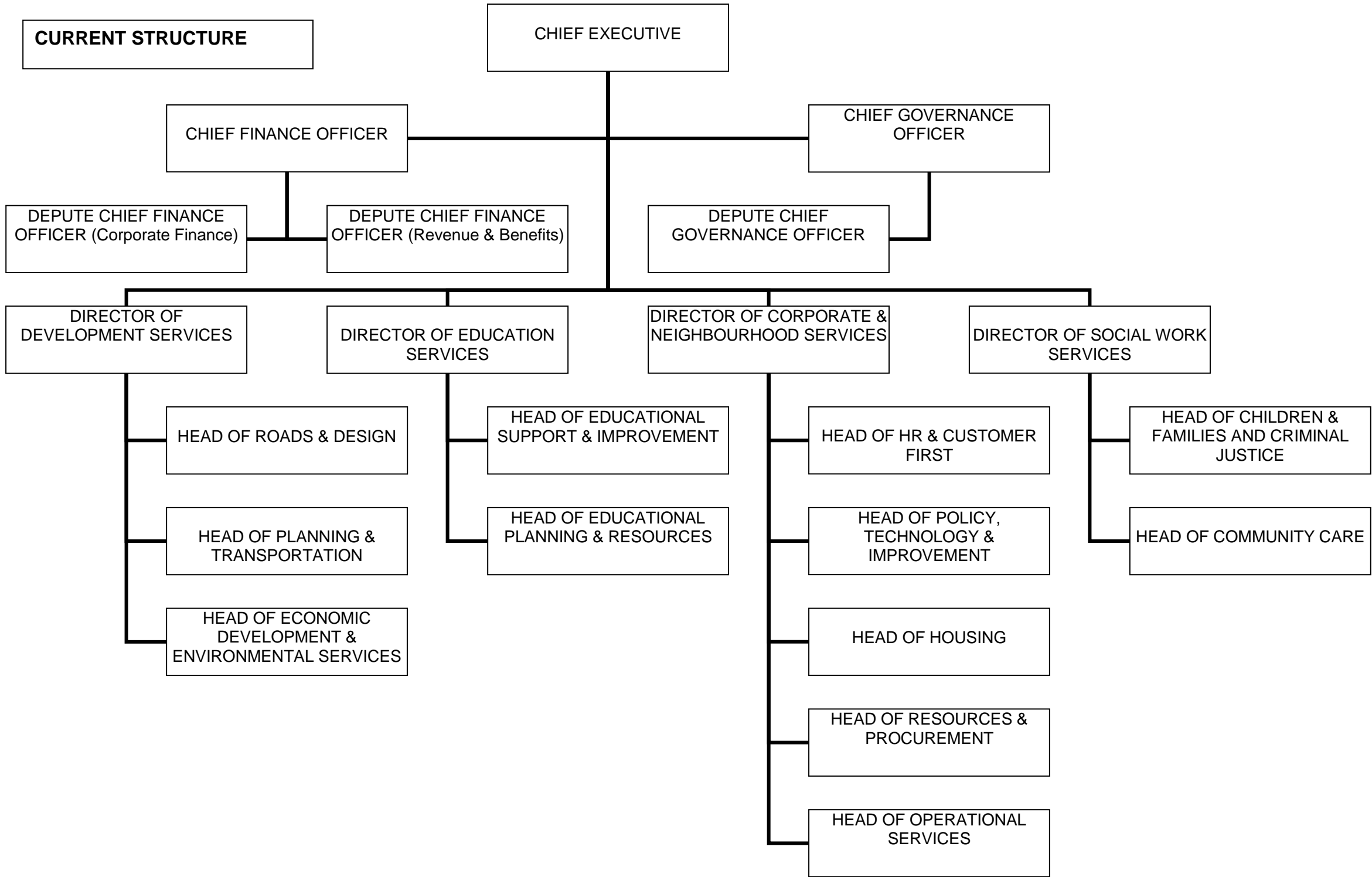
	Chief Executive	
Service 1	Service 2	Children's Services
<ul style="list-style-type: none"><li>• <i>Bereavement Service</i></li><li>• Building Design</li><li>• Building Standards</li><li>• Climate Change Team</li><li>• Corporate Risk Management and Emergency Planning</li><li>• Development Management</li><li>• Employment &amp; Training</li><li>• Engineering Design</li><li>• Environmental Health</li><li>• <i>Estates Management</i></li><li>• <i>Fleet Services</i></li><li>• Food Safety</li><li>• Growth and Investment</li><li>• <i>Parks and Play Service</i></li><li>• Planning and Environment</li><li>• Property Management and FM</li><li>• Roads – Maintenance Services</li><li>• Roads – Operational Services</li><li>• Roads – Statutory Services</li><li>• Trading Standards</li><li>• Transport Planning (including Social Work Transport)</li><li>• <i>Waste Services – Collection &amp; Disposal</i></li></ul>	<ul style="list-style-type: none"><li>• Communication and Participation</li><li>• <i>Corporate Finance</i></li><li>• Corporate Policy &amp; Community Planning</li><li>• Customer First</li><li>• <i>Democratic Services &amp; Election Management</i></li><li>• Health, Safety and Care</li><li>• Housing Asset Management (incl BMD)</li><li>• Housing Needs &amp; Planning</li><li>• Housing Options &amp; Tenancy Management</li><li>• HR Operational Support</li><li>• ICT</li><li>• <i>Internal Audit</i></li><li>• <i>Legal Services</i></li><li>• <i>Licensing</i></li><li>• Organisational Development Services</li><li>• Payroll Services</li><li>• <i>Pensions Administration &amp; Investment</i></li><li>• Procurement Services</li><li>• <i>Registration Services</i></li><li>• <i>Revenue &amp; Benefit Services</i></li><li>• <i>Transactional and Support Services</i></li><li>• Welfare Reform, Advice &amp; Assessment</li></ul>	<p>This Service will remain as previously agreed by Members, with the Education and Children &amp; Families function of Social Work integrating within the Service with a Director and three Heads of Services, namely:</p> <p>Head of Education Head of Planning &amp; Resources Head of Social Work</p> <p>Work is being undertaken to on the functional split for this Service which will be further informed on appointment of the Director.</p> <p>Functions to be added to this Service based on proposed changes to the functional structure:</p> <ul style="list-style-type: none"><li>• <i>Catering &amp; Building Cleaning</i></li></ul>

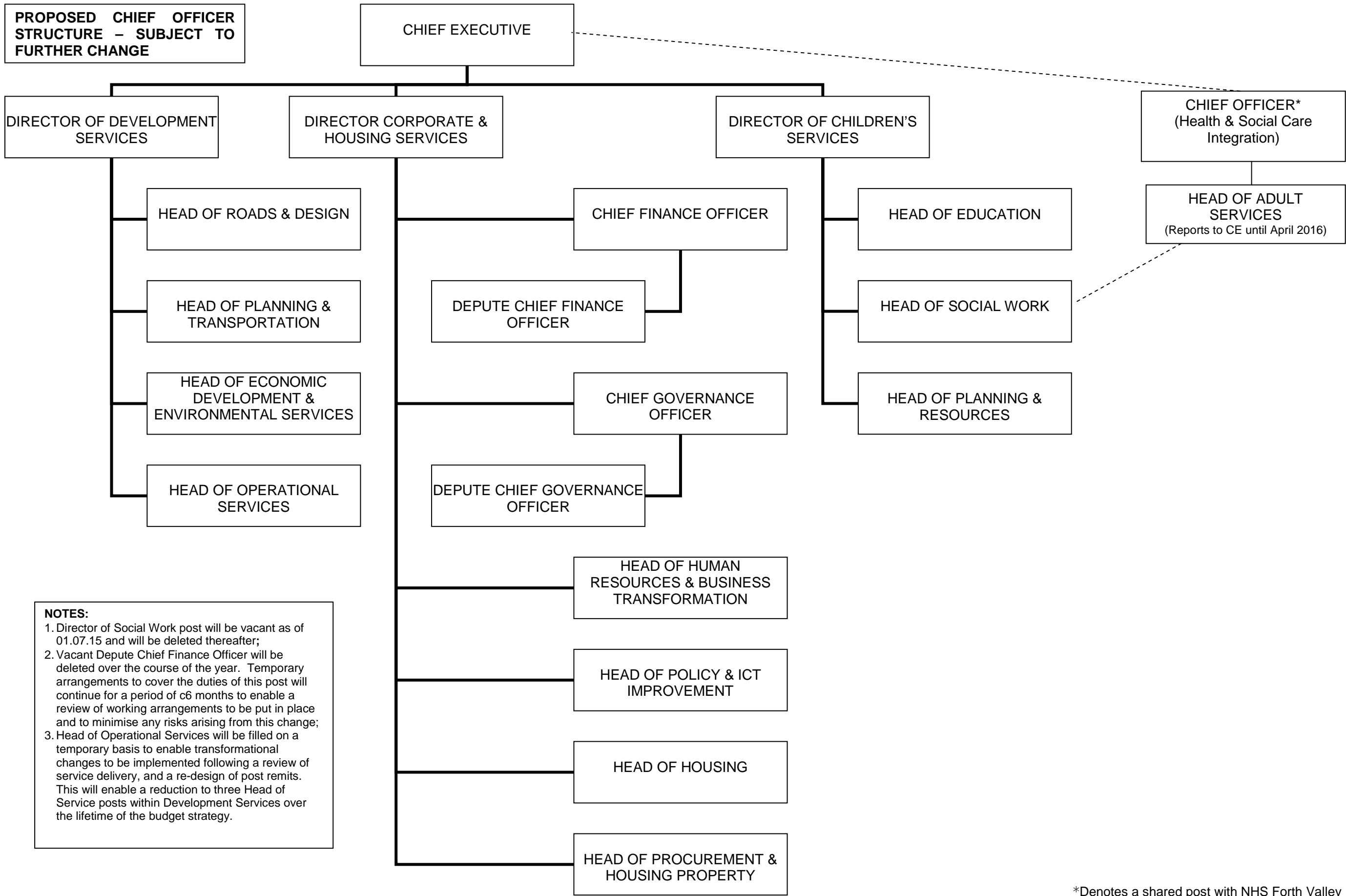
Those functions moving Service have been shown in italics.

PROPOSED FUNCTIONAL SERVICE STRUCTURE



Those functions moving Service have been shown in italics.  
Those functions marked with \* within Children's Services will continue to provide a service to Adult Services, as will relevant support functions.





## **FALKIRK COUNCIL POLICY STATEMENT**

### **ROLE OF THE CHIEF SOCIAL WORK OFFICER**

#### **1. INTRODUCTION**

- 1.1. This policy statement sets out Falkirk Council's agreed approach to ensuring that the statutory role of the Chief Social Work Officer (CSWO) is able to be fulfilled. It sets out;
- The legal context to this role;
  - The expectations and responsibilities of the role as set out in national guidance;
  - The background as to how the role has been fulfilled to date and the new organisational context in which the CSWO now must operate;
  - The arrangements for ensuring that the CSWO is able to give effect to these responsibilities;
  - A summary of responsibilities and accountabilities.

#### **2. LEGAL CONTEXT**

- 2.1. The requirement for every local authority to appoint a professionally qualified Chief Social Work Officer (CSWO) is contained in Section 3 of Social Work (Scotland) Act 1968, as amended by the Local Government etc (Scotland) Act 1994. The qualifications of the CSWO are set down in the Qualifications of Chief Social Work Officers (Scotland) Regulations 1996. These specify that the CSWO must be a qualified Social Worker, and as such, must be registered with the Scottish Social Services Council.

#### **3. EXPECTATIONS AND RESPONSIBILITIES OF THE ROLE OF CHIEF SOCIAL WORK OFFICER (CSWO)**

- 3.1. The expectations and responsibilities of the role of the CSWO are set out in national guidance published in February 2009. The guidance sets out the expectation that local authorities should ensure that the CSWO can demonstrate extensive experience at a senior level of both operational and strategic management of Social Work and Social Care Services.
- 3.2. The guidance clarifies that the overall objective of the CSWO role is to ensure the provision of effective professional advice to local authorities, both Elected Members and Officers, in the authority's provision of Social Work Services. The CSWO should assist authorities in understanding the complexities of Social Work Service delivery, including in relation to particular issues such as:
- Corporate Parenting;
  - Child Protection;
  - Adult Protection;
  - Management of High Risk Offenders.

- 3.3. The CSWO should also be able to articulate the key role Social Work plays in contributing to the achievement of national and local outcomes. He/she also has a role to play in overall performance improvement and the identification and management of corporate risk in so far as they relate to Social Work Services. The guidance highlights that clarity and consistency as to the purpose and contribution of the CSWO is particularly important given the diversity of organisational structures that exist.
- 3.4. The guidance also sets out a range of responsibility for promoting **Values and Standards** set out below;
- (a) Promote values and standards of professional practice, including relevant National Standards, and provide a clear statement of expectation of social services workers and employers (consistent with the SSSC Code of Practice) to be agreed with the Chief Executive and elected members;
  - (b) Ensure that these values and standards are communicated on a regular basis, adhered to and reviewed periodically;
  - (c) Work with Human Resources (or equivalent support function) to ensure that all social service workers meet the requirements of the SSSC's Code of Practice and that all registered workers meet the requirements of their regulatory body;
  - (d) Support and advise managers in maintaining and developing high standards of practice and supervision;
  - (e) Ensure that only registered social workers undertake those functions reserved in legislation or are accountable for those functions described in guidance;
  - (f) Ensure that there are effective governance arrangements for the management of the complex balance of need, risk and civil liberties, in accordance with professional standards. Where the council's corporate policy on risk does not reflect this balance, the CSWO is required to bring this to the attention of the Chief Executive and to contribute to the development of appropriate governance arrangements;
  - (g) Ensure appropriate advice is provided on corporate workforce planning and quality assurance, including safe recruitment practice, probation/mentoring arrangements, managing poor performance and promoting continuous learning and development for staff;
  - (h) Actively promote continuous improvement, raising standards and evidence informed good practice, including the development of person centred services that are focussed on the needs of the service user;
  - (i) Oversee the quality of practice learning experiences for social work students and effective workplace assessment arrangements, in accordance with the SSSC Code of Practice for Employers of Social Service Workers;
  - (j) Ensure that appropriate systems are in place both to promote good practice and to identify and address weak and poor practice. The CSWO should work with managers to ensure these systems are effective and, where this is not the case, the CSWO has the responsibility for bringing this to the attention of the Chief Executive and contributing to the development or improvement of such systems;

- (k) Ensure that significant case reviews are undertaken into all critical incidents either resulting in – or which may have resulted in – death or serious harm;
  - (l) Take final decisions on behalf of the local authority in relation to a range of social work matters, including adoption, secure accommodation, guardianship and the provision of a Mental Health Officer service and other statutory decisions required from time to time;
  - (m) Contribute to reports to the Chief Executive and elected Members – providing independent comment where necessary – on the findings of relevant performance reports, setting out:
    - i. Implications for the local authority, for services, for service users and carers, for individual teams/members of staff/partners as appropriate;
    - ii. Implications for delivery of national and local outcomes;
    - iii. Proposals for remedial action;
    - iv. Means for sharing good practice and learning;
    - v. Monitoring and reporting arrangements for identified improvement activity;
  - (n) Report to the local authority on any other social work related issues;
  - (o) Prepare an annual report to the local authority on all of the statutory, governance and leadership functions of the role.
- 3.5. The guidance also specifies that the CSWO is responsible for providing **professional leadership** by;
- (a) Supporting and contributing to evidence informed decision making and practice at professional or corporate level by providing appropriate professional advice;
  - (b) Seeking to enhance professional leadership and accountability throughout the organisation to support the quality of service delivery;
  - (c) Supporting the delivery of social work's contribution to achieving local outcomes;
  - (d) Promoting partnership working across professions and agencies to support the delivery of suitably integrated social work services;
  - (e) Promoting social work values across corporate agendas.

#### 4. **BACKGROUND AS TO HOW THE ROLE HAS BEEN FULFILLED TO DATE AND THE NEW ORGANISATIONAL CONTEXT**

- 4.1. The Council's Policy & Resources Committee approved an initial policy statement on the role of the Chief Social Work Officer (CSWO) on 8 September 2009. The organisational context at that time was that the Council's Social Work Services formed a discreet service, led by a Director of Social Work Services, who reported to the Chief Executive. The post of Director of Social Work Services combined line management responsibility, financial responsibility and professional responsibility for all social work services, which in broad terms include services to Children & Families, services to Criminal Justice System and Community Care Services to Adults. The Council's initial policy statement assigned the role of CSWO to the Director of Social Work Services in recognition that the post carried the range of professional responsibilities which were outlined in the 2009 guidance under

section 3 above. The two Heads of Service for Community Care and Children & Families and Criminal Justice were the designated deputies, in the absence of the CSWO.

- 4.2. The strategic, organisational and policy context of Social Work Services has changed significantly in the last year with the introduction of the Public Bodies (Joint Working) (Scotland) Act 2014. This Act requires, as a minimum, the integration of all Adult, Health & Social Care functions and services as defined in the Act, under a model of integration to be determined by the Council and the NHS Board. The Council and the NHS Board agreed, in principle, in May 2014 to adopt "The Body Corporate" Model of integration which would transfer the governance of those functions which require to be devolved to an Integration Joint Board (IJB). This model of integration also requires the IJB to appoint a Chief Officer who will be responsible for the strategic planning and the operational management of Integrated Services. The strategic planning responsibilities of the Chief Officer are expected to be the initial priority in the shadow year (2015/2016) with operational responsibilities, including financial and line management arrangements, for integrated functions and services transferring to the Chief Officer in April 2016.
- 4.3. In November 2014, in recognition of this direction of travel which was required under the new Act, the Council approved proposals for a redesign of Social Work Services and Education Services. The proposals included the creation of a new Children's Service which would combine Education Services with Children & Families Social Work Services and which would also include Criminal Justice Social Work Services.
- 4.4. The proposals made provision for the role of the CSWO to be fulfilled within those aspects of Social Work Services which continued to be accountable via the Chief Executive to the Council, albeit it was highlighted that the CSWO would require to carry professional responsibility for those Adult Community Care Services which would be line managed by the Chief Officer of the IJB.
- 4.5. In the light of these significant changes in the organisational context of Social Work Service, the Council's policy on the role of the CSWO has been revised to clarify the new arrangements which will be required to ensure that the role of the CSWO continues to be fulfilled in a robust manner. These are set out in section 5.

## **5. REVISED ARRANGEMENTS**

- 5.1. The revised arrangements are intended to reflect the new organisational context of Social Work Services and cover the following;
  - Clarification of which post will carry CSWO responsibilities, and arrangements for deputising (5.2);
  - The future arrangements for the appointment of the CSWO (5.3);
  - The arrangements for providing professional leadership and ensuring professional accountability across all Social Work Services (5.4);
  - The arrangements for ensuring that appropriate support services are in place to ensure the safe delivery of Social Work Services (5.5);
  - The arrangements for ensuring the Regulations and Continuous Professional Development of the Workforce (5.6);
  - The arrangements for providing professional advice on corporate issues which may impact on Social Work Services (5.7);
  - The arrangements for providing professional advice to budget setting processes which impact on Social Work and Social Care Services (5.8);



- The arrangements for providing professional advice to the Integration Joint Board (IJB) (5.9);
- Arrangements for reporting to the Chief Executive and the Council (5.10).

**5.2. Clarification of which posts will carry CSWO responsibilities and arrangement for deputising.**

The approved structure indicates that the role of the CSWO will be fulfilled by the Director of Children's Services. If the Director of Children's Services does not have a Social Work qualification, then the role of CSWO will be carried out by the Head of Social Work, who is a Chief Officer within the management structure for Children's Services, who holds a social work qualification and who is registered with the SSSC. This is the current situation. The Head of Social Work will be responsible for designating a suitably qualified and experienced depute, who will carry out the CSWO responsibilities during any period of absence. (This will ordinarily be the most senior Operational Social Work Manager in Children's Services or the Head of Adult Services).

The Head of Social Work will advise all relevant parties of these arrangements as and when they occur.

**5.3. Future Arrangements for the Appointment of the CSWO.**

In any future recruitment process to the post which carries the role of the CSWO, the process will take account of the need to include an Independent Professional perspective on candidate's suitability to undertake the role of CSWO.

**5.4. The arrangements for providing professional leadership and ensuring professional accountability across all Social Work Services.**

The CSWO carries both professional and line management responsibility for those social work functions located within Children's Services, however, the line management arrangements for Adult Services will be via the Chief Officer of the IJB. The Chief Social Work Officer will ensure a professional oversight and accountability for Adult Social Care Services through:-

- A systematic arrangement for the provision of professional supervision to the Head of Adult Services.
- The establishment of a mechanism such as a Care Governance Board chaired by the CSWO and consisting of the Head of Adult Services and Service Managers from across all Social Work functions and relevant support services. The purpose of this board will be two fold. Firstly it will enable the senior managers across Social Work functions to ensure that the Chief Social Work Officer is apprised of any risks, challenges or opportunities which may impact on Social Work functions. Secondly it is intended to enable the CSWO to provide visible leadership to this group of senior managers and promote collaborative working across Adult, Children's and Criminal Justice Services. This arrangement mirrors the arrangements which currently exist within the NHS in relation to clinical governance.

**5.5. Arrangements for ensuring that appropriate Support Services are in place to ensure the safe delivery of Social Work Services.**

The CSWO will be responsible for ensuring that appropriate service level agreements are in place and are implemented which ensure that the frontline delivery of Social Work Services continues to be supported by an appropriate level of:

- Administrative and clerical support;
- HR support;
- Support for Contracts, Commissioning & Procurement functions;
- Support to develop and maintain appropriate Information Systems capable of generating appropriate management information;
- Support for financial transactions.

**5.6. Arrangements for Ensuring the Regulation and Continuous Professional Development of Social Work/Social Care Staff and Development of the Social Work/Social Care Staff Workforce**

There will be a dedicated management post within Children's Services which will carry overall responsibility for ensuring the regulation and continuous professional development of the Social Work services workforce both within Children's Services and across Adult Services. The designated officer will report directly to the Chief Social Work Officer.

**5.7. Arrangements for Providing Professional Advice on Corporate Issues which may Impact on Social Work Services**

The CSWO will be a member of the Council's Corporate Management Team and will contribute a Social Work perspective to any corporate issues which may impact on Social Work services. Likewise this will enable the CSWO to provide other senior colleagues with a view on how Social Work services can contribute to wider corporate agendas.

**5.8. Arrangements for Providing Professional Advice to Budget Setting Processes which may Impact on Social Work Services**

The CSWO, as a member of the Corporate Management Team will contribute to budget setting process for all Council Services and in particular for Social Work services including those adult services which are delivered via the Integrated Joint Board and will offer advice on any risks inherent in budget proposals and ways of mitigating these risks.

**5.9. Arrangements for Providing Professional Advice to the Integration Joint Board**

The CSWO will be a non voting member of the Integration Joint Board and will attend any relevant meetings and be entitled to be consulted on any reports which are to be considered by the IJB and which have an impact on the safe delivery of Social Work services. The CSWO, in collaboration with senior clinical leads in NSH Forth Valley, will develop a Clinical & Care Governance Framework which outlines to the IJB how the Governance of Clinical & Care Services can be assured.

#### **5.10. Arrangements for Reporting to Chief Executive and the Council**

The CSWO will report directly to the Chief Executive on all matters relating to professional accountability for Social Work services. This will be fulfilled through a regular programme of one to one meetings.

The CSWO will produce an annual report to the Council and to the IJB outlining how the responsibilities attached to the CSWO role have been fulfilled and highlighting any particular challenges with fulfilling this role.

The CSWO will be available to provide professional advice at meetings of the Council and any relevant Committees.

### **6. SUMMARY OF RESPONSIBILITIES, ACCOUNTABILITIES AND RELATIONSHIPS UNDER THE REVISED ARRANGEMENTS**

#### **6.1. The CSWO will be accountable to;**

- The Chief Executive and the Council for fulfilling the responsibilities set out in Section 5 as they apply to all Social Work services;
- The Director of Children's Services for fulfilling both the professional and line management and financial responsibilities associated with services to Children & Families and services to the Criminal Justice system.

The CSWO will be responsible for providing;

- Professional support and leadership and advice to the Head of Adult Services;
- Professional advice to the Chief Officer of the IJB, including clear guidance on any risks inherent and any actions proposed by the Chief Officer;
- Professional advice to the IJB;
- Professional advice to the Council.

#### **6.2. The Director of Children's Services will be accountable to the Chief Executive and the Council for the delivery of Children's Services and for ensuring that the CSWO has the capacity to fulfil the range of responsibilities associated with the role.**

The Director of Children's Services will be responsible for;

- Providing the CSWO with line management support in respect of Social Work functions within Children's Services.

#### **6.3. The Head of Adult Services will be professionally accountable to the Head of Social Work for adhering to appropriate values, standards and regulations relating to community care services. The Head of Adult Services will be responsible for:**

- Advising the CSWO on any matters which impact on the safe governance of community care services;
- Assisting the CSWO to ensure that appropriate connections are made between Adult and Children's and Criminal Justice Services.

6.4. The Chief Officer of the IJB will be accountable to the Chief Executives of the Council and NHS Board for the delivery of Integrated Services in accordance with the Strategic Plan. The Chief Officer of the IJB will be responsible for;

- Seeking and giving consideration to advice from CSWO relating to matters which impact on the sound governance of care services.

6.5. The Chief Executive will be accountable to the Council for the effective delivery of Social Work Services. The Chief Executive will be responsible for;

- Providing the CSWO with access to support which may be required to fulfil the responsibilities of the role.

## **7. ARRANGEMENTS FOR REVIEW OF POLICY STATEMENT**

7.1. This policy statement will be reviewed on an annual basis when the CSWO produces his/her annual report.