

Project Initiation Document (PID)	Document Ref & Version No: 1.1
Project: Adult Social Care (ASC) Service Inspection	
Author: Simon Willson, Head of Performance, CESC	Date: January 2010

1 DOCUMENT PURPOSE:

To provide the framework within which the ASC service inspection, expected to take place in the first half of the 2010/11 period, will be planned for and managed.

2 BACKGROUND:

See attached CQC document: 'An Introduction for Councils'.

3 PROJECT OBJECTIVES:

The key objectives are to:

- ensure all services are fully prepared for inspection;
- enable the inspection fieldwork to be conducted efficiently;
- maximise the potential for positive inspection outcomes;
- use the preparation process to support service development and improvement;
- ensure post-inspection action planning is undertaken.

There are a number of key elements within these objectives:

- setting up a Project Team representing key services and stakeholders;
- learning from the experience of other authorities inspected under this regime;
- implementing a communication strategy across all staff, members, and stakeholders with regard to both the inspection process and how they contribute to it;
- identifying and collating all documentation and information for the inspection team;
- managing the timescales for provision of information in line with the CQC guidance;
- ensuring audit procedures are in place and applied to case files selected / likely to be selected for detailed case tracking by inspectors;
- managing completion of the self-assessment;
- making arrangements for the accommodation needs of the inspection team and other related practicalities;
- ensuring arrangements are in place for briefing / de-briefing participants in the inspection fieldwork and for tracking progress / key issues arising during the inspection.

4 CURRENT SYSTEM OVERVIEW:

It is many years since any previous inspection of ASC in SBC; and the CQC service inspection framework is relatively new, introduced in 2009.

There is an opportunity to learn from the experience of adjacent Councils inspected under this new framework (Darlington – inspected autumn 2009; Middlesbrough taking place in January 2010).

Previous experience within CESC (JAR 2007) and within the Council as a whole (e.g. CPA and other service inspections) is relevant and will assist the project.

The inspection is set within the same overall framework that governs the annual performance rating of ASC, so there is experience over the last year of working to the national Outcomes Framework for the presentation of evidence to support progress and outcomes.

5 SCOPE, EXCLUSIONS & INTERFACES:

The project will require engagement with a range of services / groups:

- All the Council's Adult Social Care services (Operational, Commissioning, Strategy)
- Other Council services
- Integrated MH and LD services
- PCT services
- North Tees and Hartlepool NHS Trust
- TEWV
- Police
- Children's Services
- Members
- Voluntary and Community Sector
- Private providers
- User / Carer groups

The project will oversee all aspects of the inspection preparation, although many tasks will be delegated to appropriate teams / groups.

The interface with all management teams and partnership groups involved in ASC will be important and will need to be taken into account in the membership of the project team (and the expectation of project team members to disseminate information to constituent groups); and in the communications strategy.

The project scope extends to ensuring a post-inspection action plan is developed, although implementation and delivery of the action plan will be the responsibility of ACMT.

6 OUTLINE DELIVERABLES:

- Compliance with the CQC guidance and timelines for the inspection process.
- Effective engagement with all staff and stakeholders.
- A high quality, outcome focused, self-assessment.
- Timely provision of all required documentation and other evidence requested.
- A fieldwork programme and timetable that meets inspectors' needs and ensures all appropriate people attend and are briefed.
- A post-inspection action plan.

7 CONSTRAINTS:

- Time factor – formal 12 week notice period could commence any time now.
- Staff capacity – key staff (incl those with joint roles) required to support the project whilst sustaining daily work requirements.
- Timing – may impact on capacity at a time when year end performance / assessment requirements are a high priority.
- Potential for a CYP inspection during a similar period – would be further demand on capacity.
- Securing full engagement with all services / partners / stakeholders.

8 ASSUMPTIONS:

- Preparation is to commence now, so that tasks that can be planned / started ahead of the 12 week notice period where feasible.
- It is highly likely that 'Choice & Control' will be one of the outcomes focused on (in addition to the 'given' of Safeguarding; and possibly one other outcome area).
- A full-time resource will be available for the Liaison Officer role for the 12 week lead-in period.

9 BUSINESS CASE:

- A positive outcome from the inspection is vital to the whole of the Council, and to the wider LSP, as part of the CAA process and judgements. A poor inspection outcome will have a negative impact on CAA and on the the local community's confidence in and perception of services.

- Careful prior planning and preparation is crucial to ensuring the best possible outcome from the inspection.
- Inspection preparation has the potential for wider benefits for development of ASC services –e.g. for promoting joint working across services and teams; for improving focus of all services around outcomes; for developing skills of self-assessment; and for improving casework practice and quality assurance processes.
- The inspection is an opportunity, through sound preparation and effective use of evidence, to illustrate the underlying quality of services that are not evidenced through the national PI framework.

10 RISK ANALYSIS:

- Ensuring effective engagement across all staff.
- The extent to which safeguarding procedures are embedded and applied consistently.
- The impact of new QA arrangements on case files will be relatively recent.
- Key PIs (particularly within the Choice & Control outcome) may be below targeted / benchmarked performance.
- There may be changes taking place to joint working / partnership arrangements following recent review.

11 PROJECT ORGANISATION STRUCTURE:

- ACMT will be the Project Board.
- Project Sponsor – Jane Humphreys, Corporate Director
- Project Manager – Simon Willson (Head of Performance, CESC)
- Liaison Officer – tbc
- Project Implementation Team (PIT) to include:
 - Liz Hanley, Interim Head of Strategy / AD
 - Sean McEneaney, Head of Ops / AD
 - Head of Health Improvement
 - CESC Performance Team
 - ISA Managers (GR; AW; OMcG)
 - Ops Team Managers (CT; AC; SP)
 - AST Managers (MT; PS; IR)
 - CESC Support Services (CFS)
 - Corporate Performance Team rep
 - D&NS Performance rep
 - Housing rep
 - Culture Services rep
 - Advice / Benefits Service rep
 - TEWV rep
- Representatives as required:
 - Police
 - Fire Brigade
 - Community Safety
 - Other PCT
 - Other Foundation Trust

12 INITIAL PROJECT PLAN:

1. Agree PIT and start fortnightly meetings (initially – to be weekly in 12 week period).
2. Determine how the Liaison Officer role will be covered.
3. Meet with neighbouring LAs inspected to learn from their experiences.
4. PIT to agree key tasks and priority order, e.g.
 - o Develop and implement communication plan as a priority – awareness raising; staff briefings etc
 - o Start case file audits.
 - o Pull together core documentation required, incl the range of public information about services..
 - o Draft a provisional fieldwork timetable.
 - o Prepare self-assessment.
 - o Prepare list of partner agencies / contact details incl advocacy groups
 - o Plan Public Open Forum.
 - o Check MI / IT systems for production of case lists, when required for fieldwork.

13 PROJECT CONTROLS:

- PIT meetings fortnightly, increasing to weekly.
- Monthly reporting to ACMT.
- Regular reporting as a standing agenda item on meetings of key partnership groups:
 - Adult Safeguarding Board
 - LD Partnership Board
 - Health & Wellbeing Management Team
 - Safer Stockton Partnership

Project Manager (Lead Officer):.....

Project Board Executive Approval (Project Director):

Date: