



NW ADASS PEER CHALLENGE

Methodology February 2016

This note provides guidance on the NW ADASS Peer Challenge Methodology. The aim is to provide a document which sets out an 'off-the-shelf' methodology for NW local authorities to pick up and use with one another.

Participation in the Peer Challenge will be facilitated through the Excellence Board and championed by the Design and Delivery Team. Peer Challenge has been recommended as an improvement and support action within the overarching NW Sector-Led Improvement and Support programme. NW Local Authorities are encouraged to volunteer and engage in the process where appropriate and possible.

The NW ADASS Programme Office will be available to provide advice, help to identify partner local authorities, and if necessary support facilitation of peer challenges.

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Background

During 2015 NW ADASS reviewed its Sector Led Improvement programme. Following our experience of the LOGA Peer Review programme our local authorities were looking for a more accessible peer review methodology. Regional programme managers worked with colleagues in Liverpool and Wigan local authorities to develop the NW Peer Challenge. The aims were to produce a tool that:

- could complement the more intensive LGA Peer Challenge;
- brought together two local authority teams;
- would be received as light touch, flexible and user friendly.

Liverpool City Council and Wigan Council were the first local authorities to undertake the new process, after which several other Local Authorities took part in similar work. After receiving extremely positive feedback from participating Local Authorities we agreed the Programme Office should produce a guidance document that can be hosted on our website.

Summary of the Peer Challenge Process

The NW ADASS Peer Challenge is an opportunity for two local authorities to come together to explore their improvement priorities, share good practice, constructively challenge one another and explore collaboration.

The key aim is to enable each participating authority to reflect on their approach and to learn from each other. The key principles are:

- To ensure a positive experience for both authorities.
- To value colleagues' input.
- To be transparent and honest.
- To maintain confidentiality.
- To approach the review as a joint process.

The Peer Challenge is not an inspection, rather it is a supportive but challenging process to assist authorities in recognising strengths and identifying areas for improvement. The approach is not imposed on either authority, and participants act as 'critical friends'.

In keeping with a light touch approach, the NW ADASS Programme Office or the LGA do not assign a review team or participate in the review. Two teams made up of senior colleagues from both authorities are convened. The process is intended to be reciprocal with each team reviewing one another over the course of 1 – 2 days (flexible timeframes are encouraged).

The success of the exercise is dependent on considerable joint working, good will, and people being open and honest about what their council is good at and what issues need to be addressed – developing a clear scope for the review is a critical success factor.

Summary of Stages

	Stage	Action
1.	Initial enquiry	<ul style="list-style-type: none"> • Council indicates that it may wish to have a review and seeks a partner authority. • Our Sector Led Improve MoU establishes that it may also be suitable for the NW Excellence Board to suggest specific LAs to participate in a Peer Challenge
2.	Formal proposal	<ul style="list-style-type: none"> • Discussion between Directors of Adults Social Care of interested authorities to confirm that a review is appropriate, consider the scope and tentative timelines. When agreed notification is sent to the NW Excellent Board and NW ADASS Programme Office.
3.	Convene Peer Challenge Teams	<ul style="list-style-type: none"> • Each authority convenes a Challenge Team, nominates a Programme Manager and advises the partner authority of team members.
4.	Agree timelines and dates for visits	<ul style="list-style-type: none"> • Programme Managers liaise with each other and co-ordinate diaries to confirm timelines and dates for visits.
5.	Preparation	<ul style="list-style-type: none"> • Evidence Assessments disseminated to both authorities and deadlines for completion agreed. • Evidence Assessments completed and shared by each authority. • Agenda for visits developed and shared by each authority. • Venues, refreshments and lunch booked by each authority for their host day. • Arrangements made for relevant Workstream Leads to be present for the appropriate part of the agenda by each authority. • Presentations prepared for each area of focus by each authority.
6.	Pre-Review Analysis	<ul style="list-style-type: none"> • Challenge Teams draw out key points from the partner authority's Evidence Assessments. These then form the basis for probing, challenge and further exploration during visits.
7.	On-site Visits	<ul style="list-style-type: none"> • The host Local Authority provides an overview of their approach, followed by presentations for each area of focus. Challenge Team provides high level feedback at the end of the day.
8	Post-Review	<ul style="list-style-type: none"> • Feedback report drafted by each Challenge Team Draft report sent to partner authority inviting feedback/comments. • Optional: Follow up workshop between the

	Stage	Action
		two authorities to discuss and agree findings of both reports – strongly encouraged and can be supported through the NW ADASS Programme Office.
		<ul style="list-style-type: none"> Comments on draft report received, amendments made and final version issued to partner authority. Recipient authority to share final version with NW ADASS Programme Office and other stakeholders as appropriate. Consideration by each authority on how to incorporate the findings into implementation plans, taking the opportunity for sector support through regional arrangements.
9	Post-Review Evaluation	<ul style="list-style-type: none"> The two Directors will be required to respond to the report and produce a 1 page summary for possible inclusion in the Regional Account. This will set out the key learning points and any actions that are being taken as a result of the review..

Peer Challenge Teams

Each authority will convene a Peer Challenge Team and advise the partner authority of team members.

Example teams for Care Act Peer Challenge comprised of:

Local Authority A:

- Assistant Director (Adult Support and Safeguarding)
- Assistant Director (Early Intervention and Prevention)
- Assistant Director (Provider Management and Market Development)
- Finance Manager
- Care Act Programme Manager

Local authority B:

- Assistant Director, Adults Services and Health
- Head of Health and Wellbeing
- Service Manager (Governance and Intelligence)
- Business Finance Manager (Adult Social Care and Health)
- Programme Manager (Care Act)

Preparation

This stage which requires a time commitment by both authorities although it should remain a less intensive process than the more detailed LGA Peer Review process.

Having selected a topic area to explore lead Programme Managers are encouraged to carry out an Evidence Assessment. We suggest using the general standards and outcomes previously used in NW Peer Review. Regional Programme Management capacity will be on hand to help incorporate additional guidance (for example, these were tailored for three aspects of the Care Act; market shaping, information and advice; and self funders).

Standard	Outcome
1. Outcomes for people who use services	<ul style="list-style-type: none"> • The Council can demonstrate a clear focus on outcomes and what really matters to people who use services.
2. Participation	<ul style="list-style-type: none"> • The Council can ensure that voices from a wide range of Adult Social Care Stakeholders are heard and understood. • The Council actively engages and in what it hears and is using this information to continually inform Business Policy, strategy and planning cycles.
3. Vision, Strategy and Leadership	<ul style="list-style-type: none"> • Political and Operational Strategic Leadership has a wide range of relevant high quality data/information source feeding into Policy, Strategy and Planning Cycles • Political and Operational Strategic Leadership within the Council has clearly defined, easily accessible, and well communicated Policies, Strategies and Plans. • Corporate Risk is being regularly monitored and effectively managed.
4. Working Together	<ul style="list-style-type: none"> • The Council is actively promoting and putting in place strong collaborative working relationships between people who use services, the Council, across all partner agencies and the wider community.
5. Resource and Workforce Management	<ul style="list-style-type: none"> • The Council is effectively: <ul style="list-style-type: none"> ○ Forecasting the level of demand to plan the numbers and expertise of staff that will be needed. ○ Clearly defining all job roles including with clear lines of responsibility and accountability for decision making. ○ Provide access to learning and/or training opportunities for all staffing levels and across all agencies
6. Service Delivery and Effective Practice	<ul style="list-style-type: none"> • The Council is defining key indicators and associated Business Reports that will be used to measure the performance of end-to-end service delivery, both internally within the Council and across all interfaces with external partners. • The Council will have effective and efficient IT systems/end-to-end workflows that will be fit for purpose. • The Council will have effective and efficient manual (non IT/paper based) end-to-end Business Processes that will be fit for purpose. • The Council will have clear lines of managerial/ supervisory and practitioner accountability and responsibility to support end-to-end Business processes. • The Council has an effective Practice/Process quality management system to ensure the quality of the service to meet customer requirements.
7. Commissioning	<ul style="list-style-type: none"> • The organisation has an effective and efficient process by which the organisation ensures integrity and quality when commissioning services and contract management to ensure the best possible outcomes for its people who use services. • The organisation has a collection of business processes that form a quality management system (QMS) that is a focused on achieving quality policy and quality objectives to meet the requirements of people who use services.
8. Improvement and Innovation	<ul style="list-style-type: none"> • Continual Improvement - The Council continually implements changes to its existing processes, systems, tools and techniques with the aim of improvement. • Innovation - The Council has designed and produced new and better ways of implementing practices.

Evidence Assessments, having been completed by the Lead Programme Managers will be disseminated with a view to each authority completing these in advance of the visits. The aim is to provide a short summary of key evidence, provide documents where possible, and to highlight potential areas for further discussion.

Evidence Assessments are intended to be used as a basis for probing and further exploration during site visits. An example is presented at Appendix A.

An agenda for the visits will be developed by each authority and shared in advance. Practical arrangements, eg, booking of venues, refreshments and lunch, are made by the local authority hosting the visit. Presentations are prepared by both authorities. Lead Programme Managers handle the logistic organisation.

Local authorities are encouraged to think imaginatively about who is involved and evidence considered. For example, one local authority arranged for a number of relevant Workstream Leads to be present for the appropriate parts of the agenda. Site visits might be considered.

We recommend use of case file audit where appropriate.

Pre-Review Analysis

We recommend that both participating local authorities complete an Evidence Assessment and share with their partner. Completing the Evidence Assessment is not essential, but preparation will help improve the quality of challenge during on site visits. Local Authorities may instead wish to use the Evidence Assessment framework as a prompt to prepare presentations.

On-Site Visits

- Day 1 – Visit by LA A to LA B
- Day 2 – Visit by LA B to LA A
- Day 3 – (Optional) Workshop for both authorities to share their findings and recommendations.

Time is allowed after each presentation for questions, discussion and constructive challenge. A Wash Up and Plenary Session towards the end of Day 1 and 2 for the visiting Team enables them to consider the information provided, compare notes and to feedback their high level findings as regards strengths and areas for consideration. On both days, break out rooms should be available for the Challenge Teams to use as and when they wish.

Due to diary commitments, members of the review team may not be present for the whole duration of the visit.

Example agendas are presented at Appendix B.

Post-Review

Following the visits each authority will produce a report of their findings. The recipient authority will be given the opportunity to provide feedback on the report, before a final version was produced.

A sample report template is provided in Appendix C, which incorporates headings used by both authorities. The report should outline areas of good practice, strengths, areas for consideration, practical suggestions for improvements and solutions where applicable.

Following receipt of the final report, each authority should consider how to incorporate the review team's findings into implementation plans, taking the opportunity for sector support through regional arrangements

It should be borne in mind that the review is not intended to produce a judgement or to make extensive recommendations. Reports are the property of the recipient council and are not published by the LGA or NW ADASS. The purpose of the report is to enable improvement and learning, therefore, it could be made available to anyone on request. It is the receiving council's decision as to where and when the outcome of the review will be discussed, eg, Scrutiny Committee, Health and Wellbeing Board, etc. However, it should be noted that if the report is taken to any such committee or board it will become a public document.

Following Peer Challenge the Lead Director will be required to respond to the report and produce a 1 page summary for possible inclusion in the Regional Account. This will set out the key learning points and any actions that are being taken as a result of the review.

Appendix A: Example Evidence Assessment Template

Standard	Outcome	Suggested Care Act specific topics for exploration
1. Outcomes for people who use services	<ul style="list-style-type: none"> The Council can demonstrate a clear focus on outcomes and what really matters to people who use services, to ensure that all potential benefits of receiving Information and Advice defined under the Care Act will be realised. 	<p><u>Outcomes:</u></p> <ul style="list-style-type: none"> a. "People will be able to understand how care and support works, and what their entitlements are" b. " People will be able to understand how the local authority make its decisions on their care and support" c. " People will be able to have access to a broad range of options and advice on how to pay for costs of care and support they remain responsible for" d. " People will be able to can access information on care and support in a format that works for them" <p><u>Advice Service:</u> How does/will the Council provide tools that help people and their families/carers to discover what changes and services could enable their wellbeing and the lives they aspire to lead?</p> <p><u>Information & Advice is comprehensive and Universal –</u> How does/will the Council provide sufficient information to enable adults:</p> <ul style="list-style-type: none"> a. to identify matters that are or might be relevant to their personal financial position that could be affected by the system provided for by this Part?, and b. to make plans for meeting needs for care and support that might arise? <p><u>Information and advice service is accessible and proportionate</u></p> <p>–</p> <ul style="list-style-type: none"> a. How does/will the Council provide clear, impartial and accessible to those for whom it is being provided? b. How does/will the Council provide information that is

		<p>compelling and relevant to those who might use it?</p> <p><u>Signposting to Independent Financial Advisors</u> How does/will the Council provide sufficient information to enable adults to access independent financial advice on matters likely to be relevant to adults who have needs for care and support or are making plans for meeting needs for care and support that might arise?</p>
Standard	Outcome	Suggested Care Act specific topics for exploration
2. Participation	<ul style="list-style-type: none"> • The Council can ensure that voices from a wide range of Adult Social Care Stakeholders are heard and understood. • The Council actively engages and in what it hears and is using this information to continually inform Business Policy, strategy and planning cycles. 	<p><u>Develop a fit-for purpose online information and advice service:</u></p> <ol style="list-style-type: none"> a. How does/will the Council support access to all care and support services, especially through a range of care advisers and including self-service where people or their carers wish b. How does/will the Council provide access to a directory of the services available to support local people (both paid for and free)?
3. Vision, Strategy and Leadership	<ul style="list-style-type: none"> • Political and Operational Strategic Leadership has a wide range of relevant high quality data/information source feeding into Policy, Strategy and Planning Cycles • Political and Operational Strategic Leadership within the Council has clearly defined, easily accessible, and well communicated Policies, Strategies and Plans covering the Care Act, including showing clear leadership regarding their implementation to achieve all the required statutory milestones. 	<p><u>Public Awareness:</u></p> <ol style="list-style-type: none"> a. <u>Policy change and role of enabling work-stream</u> – How does/will the Council ensure that people with an existing care need understand how changes to care will affect them (from April 2015), and in the longer term to communicate how the reforms to social care funding will allow people to plan ahead and protect them from catastrophic care costs. (This targeting pro-active work at national and local level supports councils' ability to fulfil the information and advice duties enshrined in the Act and guidance) b. At what point does/will local and national communications hand people off to the Council's local customer services or

	<ul style="list-style-type: none"> Corporate Risk relating to the Care Act is being regular monitored and effectively managed. 	<p>information and advice strategy?</p> <p><u>Communicate the key messages about prevention and reducing or delaying need</u> How does/will the Council's Care Act communications plan ensure key messages in relation to the provision of information, advice, finance and preventative services are communicated to relevant staff and members of the public?</p> <p><u>Statutory requirement - Section 4 - Information and Advice</u> How does/will the Council actively support its duty to provide information and advice to everyone in the local authority area, regardless of whether or not they have eligible care needs, and to ensure people have access to independent financial advice</p> <p><u>Information and advice service is accessible and proportionate:</u> In what way does/will the Councils content fit the principles set out in your information and advice strategy?</p> <p><u>First contact and identifying needs:</u> <u>Statutory requirement</u> How does/will the Council support its new duty to provide advice and information to service users and carers who do not meet the eligibility threshold?</p>
Standard	Outcome	Suggested Care Act specific topics for exploration
4. Working Together	<ul style="list-style-type: none"> The Council is actively promoting and putting in place the required the strong collaborative working relationships between people who use services, the Council, across all partner agencies and the wider community, which will be required to support the Care Act. 	<p><u>Analysis of implications of the Care Act for the workforce:</u> How does/will the Council work in partnership across the statutory and community and voluntary sector (e.g. information and advice)?</p> <p><u>Information and advice service is accessible and proportionate:</u></p>

		<p>a. How does/will the Council's proposed service cover more than a narrow definition of care & support i.e. housing, benefits, adaptations, practical independence services, health services and more?</p> <p>b. How does/will the Council utilising existing local, regional and national support wherever good quality sources are available?</p> <p>c. How does/will the Council involve service users in the development of their strategy, processes and content?</p> <p>d. How does/will the Council work with health colleagues to review/develop the social care information and advice as a whole?</p> <p>e. How is the council involving the role of the CVS and third sector in their Plans?</p> <p>f. Is the Council considering establishing social care information and advice points in libraries and other public sector contact points?</p> <p><u>Advocacy Services:</u> How does/will the Council involve people who use services in the design of pathways, processes and production of information on the service?</p>
5. Resource and Workforce Management	<ul style="list-style-type: none"> • The Council is effectively: <ul style="list-style-type: none"> ○ Forecasting the level of demand to plan the numbers and expertise of staff that will be needed. ○ Clearly defining all job roles including with clear lines of responsibility and accountability for decision making. ○ Provide access to learning and/or training opportunities for all staffing levels and across all agencies to fully 	<p><u>Signposting to Independent Financial Advisors</u> How does/will the Council support arrangements for signposting to independent financial advice and paying for care proportionate to likely demand, credible and robust?</p> <p><u>An appropriate level of advocacy services</u> How does/will the Council map future demand to ensure an appropriate level of advocacy services against current provision, and benchmarking the Councils services for quality and cost?</p>

	support the Care Act	
Standard	Outcome	Suggested Care Act specific topics for exploration
6. Service Delivery and Effective Practice	<ul style="list-style-type: none"> • The Council is defining Key indicators and associated Business Reports that will be used to measure the performance of end-to-end service delivery, both internally within the Council and across all interfaces with external partners. • The Council will have effective and efficient IT systems/end-to-end workflows that will be fit for purpose. • The Council will have effective and efficient manual (non IT/paper based) end-to-end Business Processes that will be fit for purpose. • The Council will have clear lines of managerial/ supervisory and practitioner accountability and responsibility to support end-to-end Business processes. • The Council has an effective Practice/Process quality management system to ensure the quality of the service to meet customer requirements. 	<p><u>Informatics & Systems</u> What changes to informatics and systems does the Council's information and advice strategy require? How does/will the Council identify these?</p> <p><u>Develop a fit-for purpose online information and advice service</u> How does/will the Council Communicate processes and issues around obtaining council social care?</p> <p>How does/will the council's information service provide information and advice on:</p> <ol style="list-style-type: none"> a. The care and support system and how the system operates in the authority's area? b. How to access the care and support that is available? c. How to raise concerns about the safety or well-being of an adult who has needs for care and support? <p><u>Information and advice service is accessible and proportionate</u> How does/will the Council ensure that information is consistent across information channels and optimised for search engines?</p> <p><u>Ensure the local information and advice offer in your area is responsive and co-ordinated</u></p> <ol style="list-style-type: none"> a. How does/will the Council review the social care information and advice given by all customer service and front line staff, and the triaging processes by which customers are referred to social or health services? b. How does/will the Council guarantee that as far as possible

		<p>people are directed helpfully from all points of contact to the information or advice they need?</p> <p><u>Signposting to Independent Financial Advisors</u> How does/will the Council provide targeted info & advice at key points in people's contact with services – 'Trigger Points'</p>
Standard	Outcome	Suggested Care Act specific topics for exploration
7. Commissioning	<ul style="list-style-type: none"> The organisation has an effective and efficient process by which the organisation ensures integrity and quality when commissioning services and contract management to ensure the best possible outcomes for its people who use services. The Organisation has a collection of business processes that form a quality management system (QMS) that is a focused on achieving quality policy and quality objectives to meet the requirements of people who use services. 	<p>How does/will the council's information service provide information and advice on the choice of types of care and support, and the choice of providers, available to those who are in the authority's area</p> <p>How does/will information and advice requirements be included in key health and care contract tenders?</p> <p>How does/will the provider information and advice offer be co-ordinated with the Councils?</p> <p>How does/will the Council support providers to have access to the right information and advice?</p>
8. Improvement and Innovation	<ul style="list-style-type: none"> Continual Improvement - The Council continually implements changes to its existing processes, systems, tools and techniques with the aim of improvement. 	

	<ul style="list-style-type: none">• Innovation - The Council has designed and produced new and better ways of implementing practices.	
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Appendix B

LIVERPOOL/WIGAN CARE ACT PEER SUPPORT AND CHALLENGE

Thursday 26 February 2015

Room TBC, Wigan Life Centre, College Avenue, Wigan, WN1 1NJ (Satnav Postcode)

AGENDA

9.15 – 9.20	Welcome and Introductions	
9.20 – 9.40	Introduction to Peer Review Principles and Scope	Andrew Burrridge
9.40 – 10.30	Wigan's Approach to Implementation; Self-assessment	Stuart Cowley Sharon Barber Katie Long
10.30 – 10.45	BREAK	
10.45 – 12.00	Carers	Sharon Barber Karen Turner
12.00 – 12.30	LUNCH	
12.30 – 13.45	Information and Advice	Liv Bickerstaff Katie Long
13.45 – 15.00	Market Shaping	Jo Willmott Andrea Glasspell
15.00 – 15.15	BREAK	
15.15 – 15.45	Liverpool Team Review Session	Liverpool Team
15.45 – 16.00	Thoughts on the day Close	All

**LIVERPOOL/WIGAN
CARE ACT PEER SUPPORT AND CHALLENGE**

**Friday 27th February 2015
Huskisson Room, 5th Floor Cunard Building, Water Street, Liverpool, L3 1DS**

AGENDA

9.15am	Welcome and Introductions	
9.20am – 10.00am	Liverpool's approach to implementation, challenges and strengths	Dyane Aspinall / Chris Ferns / Donna Ridland
10.00am – 11.30am	Carers	Jane Weller
11.30am – 1.00pm	Market Shaping	Natalie Markham / Phil Rigby
1.00pm – 1.30pm	Lunch	
1.30pm – 3.00pm	Information and Advice	Jonny Keville / Marie Jones / Sarah Thwaites
3.00pm – 3.30pm	Wash Up Session	Wigan
3.30pm – 4.00pm	Plenary Session	Wigan
4.00pm	Close	

Appendix C: Sample Report Template

[SAMPLE REPORT TEMPLATE]

North West ADASS Towards Excellence in Adult Social Care

***[Insert name of Council]* Peer Challenge Report
Challenge Scope:**

**CONFIDENTIAL PRIOR TO BEING AGREED BY
LEAD DIRECTOR**

Author: *[Insert name of council]*

**Version: *[Insert]*
Date: *[Insert]***

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	- Areas for Consideration	
	- Suggested Actions	
5.2	<i>[Insert area of focus]</i>	
	- Areas of Strength	
	- Areas for Consideration	
	- Suggested Actions	
6.0	Conclusion	
7.0	Post Review – Next Steps	
8.0	Contact Details	

1. EXECUTIVE SUMMARY

[Insert]

2. ACKNOWLEDGEMENTS

[Insert]

3. BACKGROUND

[Insert]

4. PEER REVIEW TEAM

[Insert list of review team members]

5. FINDINGS

5.1 Governance and Implementation

Topics: *[Insert topics covered by this area]*

Areas of Strength

- xx

Areas for Consideration

- xx

Suggested Actions

- xx

5.2 *[Insert area of focus]*

Topics: *[Insert topics covered by this area]*

Areas of Strength

- xx

Areas for Consideration

- xx

Suggested Actions

- xx

6. CONCLUSION

[Insert]

7. POST REVIEW – NEXT STEPS

- Report of findings sent to *[Insert name of council]* on *[insert date]*.
- *[Insert name of council]* has the opportunity to refine or clarify the report where required.
- *[Insert name of council]* to consider how suggested areas for consideration can be incorporated into implementation plans and any support required.

8. CONTACT DETAILS

For clarification of any of the points raised in this report or any further discussions, contact details are provided below:

[Insert contact details of review team members]