Leadership & Management

A strategy for the social care workforce

LM

Main report

Topss England

Leadership

Management

Researched and compiled by
HZ Management and Training Consultancy

Project manager at Topss England: **Maria Lagos**

August 2004

LM

Main report

Foreword

Leadership & Management: a strategy for the social care workforce is published with the approval of Topss England's leadership and management 'task and finish' group. It is a significant contribution to implementing *Modernising the Social Care Workforce*, the national training strategy for social care, and its supplementary report on management development (Topss England, 2000).

That supplementary report commented that, "First line and middle managers [in social care] will be severely challenged by the demands of the modernising agenda," and reported a lack of "sufficient management skill mix in the sector to respond to the challenges of managing cross-service boundaries with health, education, housing, or of service standards and new inspection and regulation structures."

The subsequent years have seen a continuing march in the diversity of settings, providers, partnerships and integrated models of delivery of social care. Never before has the challenge of leadership been felt so intensely. This new strategy is a timely contribution as social care leaders seek to ply their craft in adult and children's services, in health and housing, in large and small organisations, with private, voluntary and public employers and increasingly as self-employed user-managers and micro businesses.

These leadership challenges have been accompanied by major advances in management development in the sector, most notably the introduction of National Occupational Standards for registered managers (for adults' services and for residential child care).

The present project, as well as reporting the state of affairs and making recommendations for action in this report, has also developed a comprehensive set of 'products' to enable managers across the sector to implement the recommendations. Six of the seven products are included in the pack in which this report is distributed. They are:

1. What leaders and managers in social care do – a statement on leadership and management in social care

2. The 'whole systems' model, including a 'person management specification'

3. Mapping of leadership and management standards

4. National signposting links

5. Continuing professional development

6. A unit of competence for conducting supervision (this product is not included here, as it will be further consulted upon before publication)

7. A guide to evaluation.

I commend all these products to all managers and leaders in social care – both adults' and children's services – including service users who are employers under direct payments schemes. Together the products make for a very thorough piece of work that will reward well time spent working through them and applying them to particular settings. This thoroughness is to the credit of all the members of the group I have chaired, of our consultants at HZ Management and Training Consultancy, of numerous members of Topss England staff but especially Maria Lagos as project manager, and of all our consultees across the sector. Thank you to them all, and to the Department of Health who commissioned and funded the project.

continues

The products are included on the CD-ROM in the pack so you can make copies as required. Further copies of the pack are available on request, and Topss England can also supply stocks of product 1 (the statement) for organisations to distribute more widely.

Topss England keenly anticipates further work on leadership and management, including:

- steering the implementation of the products from this project, including putting in place the national signposting system
- advising and making recommendations as the National Minimum Standards are reviewed, particularly regarding registered managers
- developing National Occupational Standards for the commissioning and contracting workforce.

Vic Citarella
Chair, Leadership and Management Task & Finish Group
Topss England
October 2004

Contents

Executive summary and recommendations

A.   The leadership and management strategy project

Topss England is the strategic body for workforce development in social care. With several partners, it is in the official development stage of forming a Sector Skills Council. It is employer-led but brings together a range of stakeholders, including service users, into a national and regional structure. Topss England is responsible for the training strategy for social care and for ensuring there is a framework of national occupational standards for all roles and functions in the sector. A scoping report commissioned by Topss England identified the need for a comprehensive strategy to develop the leadership and management capacity required to implement the government's modernisation agenda for social care.

This final report describes such a strategy. It promotes a common approach to leadership and management development based on a whole systems model that integrates individual and organisational needs. It can be applied to all leaders and managers and any size of organisation, whether a large social services department, a small care home or service users managing their own service.

It is a strategy for changing the current, inconsistent approach to leadership and management development. It will expect individuals, teams and organisations to regularly assess and address learning needs and evaluate the impact this has on service delivery. The process should contribute to the development of learning organisations and enable employers to take responsibility for meeting learning needs in the most effective way.

It provides a flexible framework based on a comprehensive set of generic, specialist and partnership competences that can be applied to all roles. It is a multi-layered approach, based on all leaders and managers having support to develop a person management specification and undertake relevant continuing professional development. Learning is defined in its broadest sense and should include work-based learning opportunities such as feedback on performance, mentoring and shadowing as well as training and qualifications where appropriate. Learning priorities need to take account of the national, social care, organisational and inter-agency contexts.

The strategy is based on the approach that leadership and management can be integrated and seen as a continuum. Most leaders need management skills and most managers are more effective if they develop leadership behaviours and skills. Leaders need to help define management in their own organisation. Management could be seen as how people behave in relation to managing resources and the tensions between controlling, rationing and providing services that people want. It involves managing a set of relationships that are open, creative and constructive. Any definition should encapsulate the concept that leaders and managers have to work with service users to bring about change. This requires leaders and managers to be able to develop a culture and attitudes to facilitate work with service users at all levels.

B.   Project stages

The project had three main stages, as outlined here. For stages 1 and 2, the project engaged with stakeholders through a series of consultation workshops. In addition to the workshops there was a range of review and research activities to identify current good practice, current provision and gaps and to plan for the future. There were interviews and consultation with key providers and national agencies to identify how initiatives in other sectors can contribute to leadership and management in social care.

Stage 1 The Conceptual Framework	A conceptual framework for leadership and management, based on the needs of the sector
Stage 2 The Structural Framework	A coherent framework for developing leaders and managers which identifies roles, competences, qualifications, training, development and guidance
Stage 3 The Implementation Framework	A realistic implementation strategy including targets and resources

C.   Project outcomes

The products listed below are intended as practical guides and tools to help individuals and organisations as part of the implementation of the strategy.

Product	Product titles
1	Statement for a Leadership and Management Strategy for Social Care
2	Whole Systems Model, with the Person Management Specification
3	Mapping of Competences
4	National Signposting Links
5	Continuing Professional Development Framework, linked to the Person Management Specification
6	A Draft Unit of Competence on Supervision (this will be further developed and consulted upon before its publication)
7	An Evaluation Tool for Leadership and Management Development

There is also a series of reports, which relate to the project milestones and describe the research undertaken in more detail. (These are not in the pack, except for item 12, the present document.)

Report	Report titles
1	The Conceptual Framework
2	Leadership and Management Learning
3	Estimating Numbers of Managers in Social Care (plus appendix)
4	Position paper (summary of reports 1 to 3)
5	Competences and Qualifications
6	Signposting Learning
7	Developing the Person Management Specification
8	Whole Systems Model for Leadership and Management
9	Implementation Issues
10	Developing the Strategy (project outcomes June 2003–May 2004)
11	Continuing Professional Development Framework
12	Final Report

Sections 7 to 12 of this report provide a detailed description of the suite of products. These are intended to form a coherent and consistent package to support the development of leadership and management learning in social care and integrated services settings. Key aspects for individual leaders and managers are the need for an agreed qualification for all first line managers, a person management specification linked to a development plan and commitment to continuing professional development for all managers.

D.   Project implementation

Effective dissemination of the products developed by this project is essential for the implementation of the strategy and for wider awareness of the issues it has identified. Areas of further work need adequate funding if they are to be carried forward and made use of in the social care sector. Implementation needs to cover:

- further field testing and development of the suite of project products

- further work on qualifications

- developing leadership and management learning

- developing effective data for workforce analysis and planning

- marketing and dissemination

- costings, funding and project management.

Addressing the strategic context of leadership and management development will require a new approach to implement a whole systems model and address the identified blocks. This change will need to happen at a number of different levels and involve national and regional collaboration as well as organisational and individual commitment. The table below summarises some of the changes that will be needed at different levels for effective implementation.

Level	Changes
National	- Greater co-operation between a range of national bodies to ensure a co-ordinated approach to the development of a flexible range of programmes and materials, appropriate to the whole range of social care agencies - Consideration of a common approach to the use of national occupational standards / competences for leadership and management development - Ensure sector-based qualifications link with the national and post qualifying framework
Regional	- Identification of providers at a regional level who are prepared to offer flexibility in tailoring programmes to meet social care requirements—this could involve Topss England's regional networks - Development of partnerships of learning and qualifications commissioners to increase buying power and ensure consistency of approach - Support for small independent agencies to access appropriate learning on the job - Encouragement for colleges and other potential providers in regions to develop appropriate provision where there is a lack - Creation of strategic learning partnerships involving managers, commissioners and providers of learning
Table continues on next page	

Level	Changes
Organisational	• Policy on leadership and management development taking account of all managers and potential managers • Learning infrastructure for identifying needs, supporting on and off the job learning, monitoring and evaluating learning—this may include mentoring, coaching, shadowing, secondments and projects • Access to ICT and development of IT skills to support open, distance and e-learning—this is likely to be particularly significant for small organisations, where extended time for learning off-site is difficult to arrange • Learning modelled by all managers through CPD • Planned learning opportunities from induction and throughout careers • Succession planning supported by access to appropriate qualifications and learning • Positive action learning to target under-represented groups • Make time available to allow integration of learning with the busy working lives of managers
Individual	• Participate in regular supervision and appraisal • Commit to implementing your personal development plan • Participate in continuous professional development • Monitor and evaluate your own personal learning and progress towards development targets

E.   Recommendations

Recommendation 1
Publish and disseminate the statement for a leadership and management strategy for social care (product 1).

Recommendation 2
Topss England Workforce Intelligence Unit should take the lead role in categorising managers, classifying qualifications and gathering data on types of manager, their diversity and the qualifications they hold, as part of the national minimum dataset.

Recommendation 3
Develop and agree the draft unit on supervision (product 6), both as a unit of competence and a national occupational standard. It could become part of a core set of competences for managers in a range of related sectors.

Recommendation 4
Publish and disseminate the whole systems model guidance (product 2).

Recommendation 5
All managers should have their own person management specification and this requirement should be included within National Minimum Standards.

Recommendation 6

Develop the map of competences into an electronic database (product 3).

Recommendation 7

All managers should have access to induction into management and between levels of management using appropriate competences for their job roles.

Recommendation 8

Consider options to develop a set of core competences for top managers.

Recommendation 9

All first line managers who do not have a relevant management qualification and are not covered by the Registered Manager awards should be registered with an awarding body for agreed management qualifications.

Recommendation 10

Develop an electronic version of the CPD guidance with associated forms (product 5).

Recommendation 11

Test out the evaluation guide in a range of agencies and develop case study materials (product 7).

Recommendation 12

Develop national signposting system in partnership with other agencies. Disseminate an electronic version of the exemplar of national signposting links through the Topss England and related websites (product 4).

Recommendation 13

National bodies should work through a strategic committee to implement the strategy and develop a co-ordinated and consistent approach to:

- agree funding
- develop learning resources
- apply national occupational standards for leadership and management development and qualifications
- develop regional resources such as learning resource networks
- research into best practice
- review and update the strategy and products.

Recommendation 14

Consult with service users and carers on options to develop competences to underpin support and learning for service users and carers managing services.

Recommendation 15

Design and launch an employer implementation pack.

Recommendation 16

Agree responsibilities and timescales for implementation of the strategy.

1   Introduction

1.1   The role of Topss England

Topss England is the strategic body for workforce development in social care. With several partners, it is in the official development stage of forming a Sector Skills Council. It is employer led but brings together a range of stakeholders, including service users, into a national and regional structure. Topss England is responsible for training strategy for social care and for ensuring there is a framework of national occupational standards for all roles and functions in the sector.

Topss England carried out a scoping report in 2003[1] into leadership and management development in the sector. The report identified the need for a comprehensive strategy and framework to develop the leadership and management capacity required to implement the government's modernisation agenda for social care. This scoping report set the scene for the leadership and management strategy project. The project completed its work at the end of August 2004.

1.2   Starting point

A number of key principles provide a starting point for the work of the project:

- the approach to leadership and management needs to be systematic and consistent, integrating individual, team and organisational development
- leadership and management are part of the same continuum rather than being separate activities
- national occupational standards offer a flexible route to describing leadership and management roles, enabling learning needs to be identified and competence to be developed
- continuing professional development will be a core part of every leader's and manager's responsibility in the future.

1.3   Overview of the strategy

Although the strategy is for the social care workforce, the intention is that it will contribute to the wider workforce agenda. The strategy promotes a common approach to leadership and management development based on a whole systems model that integrates individual and organisational needs. It can be applied to all leaders and managers and any size of organisation, whether a large social services department, a small care home or service users managing their own service.

It is a strategy for changing the current, inconsistent approach to leadership and management development. It will expect individuals, teams and organisations to regularly assess and address learning needs and evaluate the impact this has on service delivery. The process should contribute to the development of learning organisations and enable employers to take responsibility for meeting learning needs in the most effective way.

It provides a flexible framework based on a comprehensive set of generic, specialist and partnership competences that can be applied to all roles. It is a multi-layered approach based on all leaders and managers having support to develop a person management specification and undertake relevant continuing professional development. Learning is defined in its broadest sense and should include work-based learning opportunities such as feedback on performance, mentoring and shadowing as well as training and qualifications where appropriate. Learning priorities need to take account of the national, social care, organisational and inter-agency contexts.

2   Project aims and objectives

2.1   Project background

This report has reviewed and updated the leadership and management elements of *Modernising the Social Care Workforce – the first national training strategy for England* (Topss England, 2000). The aim of the leadership and management component of the national training strategy is to ensure there are sufficient effective and competent leaders and managers in the social care workforce. Lord Laming highlighted the need in *The Victoria Climbié Inquiry: Summary Report of an Inquiry* (DH, 2003) when he said:

> What is needed are managers with a clear set of values about the role of public services, particularly in relation to addressing the needs of vulnerable people, combined with the ability to 'lead from the front'. The single most important change in the future must be the drawing of clear lines of accountability, from top to bottom without doubt or ambiguity about who is responsible at every level. Senior managers must be responsible for outcomes for people.

2.2   Objectives

The objectives of the project have been to:

- agree a revised and updated leadership and management training strategy to meet the particular needs of the social care sector and service users

- provide a comprehensive framework for leadership and management development, which is consistent, coherent and fit for purpose and will apply to all levels of leaders and managers across all social care services

- ensure that potential leaders and managers are being recruited, retained and prepared for succession

- develop management and leadership for social care within a multi-agency context.

Social care experiences similar problems to other sectors with regard to leadership and management development, where deficiencies in these areas are often cited as a cause of poor performance. The government is very keen to improve management performance in all areas of the private, public and voluntary sectors.

Consequently there is a range of national and sector developments such as in local government, health and education. The strategy for social care has been informed by, and wherever possible, integrated these developments. The project has taken into account:

- The current and future policy drivers for social care in the context of cross-service boundaries with health, education, housing and other agencies, as well as the implementation of service standards and the new inspection and regulation structures.

- Current national developments in management and leadership standards and training, such as the revised national occupational standards[2] and the recommendations from the national review of leadership and management.[3]

- The current situation with regard to understanding about leadership and management functions and development in the sector and what is actually happening in practice.

A steering group, representing a wide range of interests across social care, health and education, has overseen the leadership and management strategy project. A list of its members is included in appendix 3. The role of the group was to ensure that:

- the strategy is owned and implemented by all stakeholders and understood as an integral component of an effective public service organisation

- there is clarity about responsibilities and accountability among the organisations responsible for the quality of social care services and workforce development, including Topss England, Department for Education and Skills (DfES), Department of Health (DH), General Social Care Council (GSCC), Social Care Institute for Excellence (SCIE) and Commission for Social Care Inspection (CSCI)

- leadership and management for social care is developed within a multi-agency context, while ensuring the particular needs of social care are addressed

- there is sufficient flexibility to enable organisations to implement learning systems that best meet their needs and achieve outcomes and targets.

This report and the additional papers and products that have been developed are based on a whole systems approach to leadership and management development (see **product 2**).

This report outlines the rationale for a social care strategy, the aims, objectives, approach, outcomes from research and the main components of the strategy with recommendations for implementation.

3   Methodology and outcomes

3.1   Methodology

The project had three main stages, which are outlined in table 1.

Table 1 Project stages	
Stage 1 The Conceptual Framework	A conceptual framework for leadership and management, based on the needs of the sector
Stage 2 The Structural Framework	A coherent framework for developing leaders and managers which identifies roles, competences, qualifications, training, development and guidance
Stage 3 The Implementation Framework	A realistic implementation strategy including targets and resources

For stages 1 and 2 the project engaged with stakeholders through a series of consultation workshops. In addition to the workshops there was a range of review and research activities to identify current good practice, current provision and gaps and to plan for the future. There were interviews and consultation with key providers and national agencies to identify how initiatives in other sectors can contribute to leadership and management in social care. Overall, the project:

- ran nine workshops, one in each of the Topss England regions

- ran a national workshop for black and minority ethnic managers

- ran two workshops for service users and their representatives

- maintained contacts with a number of key national stakeholders

- consulted participants from the workshops in the development of the products and reports

- contacted a number of education and training providers

- contacted a range of employers from the private, voluntary and local government sectors

- conducted research into the numbers of managers in the sector

- conducted internet based research on materials and resources.

There was a wide spread of managers at the workshops, both in terms of level and sector. Table 2 gives the attendance profiles.

Table 2 Attendance at workshops			
Level of management	**% attending**	**Sector**	**% attending**
Strategic and senior	43	Statutory	52
Middle	37	Voluntary	26
First line and supervisory	20	Private	22

3.2   Outcomes

The products listed in table 3 below are the project outcomes and are intended as practical guides and tools to help individuals and organisations as part of the implementation strategy. Some products such as the signposting system will need further development. The products will be signposted throughout this report. The intention is that these will be available on CD-ROM and on the Topss England website.

Table 3	Products
Product	**Product title**
1	Statement for a Leadership and Management Strategy for Social Care
2	Whole Systems Model, with the Person Management Specification
3	Mapping of Competences
4	National Signposting Links
5	Continuing Professional Development Framework, linked to the Person Management Specification
6	A draft unit of competence on supervision (this will be further developed and consulted upon before its publication)
7	An Evaluation Tool for Leadership and Management Development

There is also a series of reports listed in table 4, which relate to the project milestones and describe the research undertaken in more detail. Some of these are already available on the Topss England website and have been sent to workshop participants for feedback.

Table 4	Project reports
Report	**Report title**
1	The Conceptual Framework
2	Leadership and Management Learning
3	Estimating Numbers of Managers in Social Care (plus appendix)
4	Position paper (summary of reports 1 to 3)
5	Competences and Qualifications
6	Signposting Learning
7	Developing the Person Management Specification
8	Whole Systems Model for Leadership and Management
9	Implementation Issues
10	Developing the Strategy (project outcomes June 2003–May 2004)
11	Continuing Professional Development Framework
12	Final Report

4 Context of the leadership and management development strategy

4.1 National issues

Nationally the key issues affecting leadership and management development have been identified as:

- the lack of a coherent and consistent approach
- the lack of integration of individual and organisational development
- education and training which is provider led rather than employer driven.

This has resulted in a fragmented *ad hoc* approach to development with access to opportunities often dependent on the learning culture of the organisation and the availability of appropriate programmes. This project provides the opportunity to address these problems but also to explore what approach is appropriate, within the current changing context for leadership and management in social care.

There are particular drivers and objectives for social care identified in the Topss England national strategy, which also need to be addressed in leadership and management development. These are improved workforce planning, modernising quality assurance of training outcomes, working in partnership and developing a skilled workforce by increasing the number of staff with qualifications to meet national targets.

The first Topss England paper on management (supplementary to *Modernising the Social Care Workforce*, 2000) identified action priorities to develop appropriate standards for registered managers, which would underpin relevant qualifications and targets for achievement. These priorities and targets for qualifications have also been supported by clear expectations in the National Minimum Standards.

Some key national developments together with a range of others from the NHS, local government and education have usefully informed a consistent approach to the development of the social care strategy. The final report by the Council for Excellence in Management and Leadership (CEML),[4] jointly sponsored by DfES and the Department for Trade and Industry (DTI), made a number of key recommendations to government on how to develop a management and leadership strategy for the next decade.

This CEML report was informed by research conducted by the Institute of Management, which confirmed that there is a strong relationship between the systemic implementation of leadership development and organisational performance. Similar problems have been identified nationally about the lack of coherent and consistent approaches that integrate individual and organisational development. There is also recognition that there needs to be a national framework of leadership and management competences to underpin human resource activities, including training and learning.

General evidence indicates there are still skill shortages in a wide range of areas in social care management and that there is not always a sufficient management skill mix in the sector to respond to the current challenges of leading and managing social care across service boundaries. A report produced by the Performance and Innovations Unit at the Cabinet Office[5] has identified some problems in the public sector, which would also apply to social care. These include little evidence of the effectiveness of leadership development initiatives; insufficient attention to leadership across

boundaries; constraints on effective leadership due to others failing to give them freedom to lead and lack of support systems.

4.2   Sector developments

The NHS has developed a management strategy[6] and a Code of Conduct for managers, together with a Leadership Qualities Framework[7]. The framework describes a set of key characteristics, attitudes and behaviours that leaders in the NHS should aspire to in delivering the NHS Plan. The Leadership Qualities Framework has been integrated into the present project's mapping of competences (product 3). Local government and DfES have set up leadership centres.

The Leadership Development Commission was established in 2002 to review leadership development and produce a national strategy for local government. It reported on an emerging strategy in 2004.[8] It recommended the setting up of a local government leadership centre to stimulate thinking and practice, commission further research and develop a framework of leadership capacities. This umbrella framework covers:

- community leadership
- delivering services
- setting direction, priorities and resources
- partnership working
- organising and changing
- personal and team skills, experience and mindset.

Recommendations for developing leadership in local government include focusing on teams, not just individual leaders, using action learning, learning from partnership working and providing 'just in time' learning.

The DfES has announced a leadership strategy for the learning and skills sector. The strategy has four strands:

- to set up a 'leadership college'—the new Centre for Excellence in Leadership, which was launched in October 2003[9]
- a leadership and development framework
- succession planning or talent management
- supporting aspiring managers and leaders.

5 Defining leadership and management in social care

5.1 Modernising the workforce

Topss England recognises that there are common behaviours, skills and knowledge required for leaders and managers across all sectors. Nevertheless, it is important to identify what leaders and managers do in social care that differentiates it from other sectors. The project has developed a statement to this effect (see **product 1**).

Modernising the Social Care Workforce[10] has defined the vision and key objectives for social care training. A leadership and management strategy is required that also meets the particular needs of the sector and develops leaders and managers who ensure the best service is provided for users.

The Social Care Workforce Strategy Document prepared by the Department of Health in July 2003, emphasised the diversity of the social care workforce, across the private, voluntary and statutory sectors. The boundaries of social care are not easy to define. At one time it was broadly regarded as those who work in public services that are provided directly, or commissioned by, local councils to discharge their personal social services responsibilities. As the boundaries of those organisations responsible for providing services are breaking down, so the workforce is employed across a range of different agencies including care trusts, mental health trusts, children's trusts, Connexions, Sure Start, youth justice and housing. Since June 2003 children's services are the remit of the DfES. Also, service users are employing their own staff through direct payments.

Recommendation 1
Publish and disseminate the statement for a leadership and management strategy for social care (product 1).

5.2 The current workforce

The current social care workforce in England comprises over one million people working in home care, residential settings, day care and in the wider community. The range of groups using social care services stretch across the spectrum including children and families, adults, older people, mental health and learning disability.

An estimated two-thirds of the workforce is in the private and voluntary sectors with approximately 25,000 employers. The remaining one third work in the statutory sector for 150 local councils and other agencies with social service responsibilities. Therefore social care is a multi-faceted sector. The range of those who require services is wide and matched by the complexity of type of provision available and the relationships that must be forged with other sectors. Effective communication and partnership working is crucial to service delivery.

The *Overview of Seven Years of Joint Reviews* by the Audit Commission (2004) came to the conclusion that the quality of leadership and management in social care are key factors in providing quality services. Effective leadership and management are essential to manage the complexity of

social care arrangements. This can mean managing staff from different professions and disciplines across integrated and multi-agency settings and within a range of partnerships.

Government policy strongly emphasises the need for social care to focus on promoting more choice, independence, participation and control for service users. This has implications for the way social care is provided and managed. Services must be user focused and support service users in taking increased responsibility for their own care, for example by managing their own services through direct payments. The Audit Commission Report 2004[11] identified that what works best is a business-like approach, underpinned by the values of social care and an understanding of why it matters to communities, individuals and families.

5.3   The role of leadership and management

The project identified that leaders and managers in social care need to:

- have vision, which is informed by involving service users and other partners
- lead and support staff to work with service users and their carers to influence service developments and outcomes
- take responsibility and be accountable for good social care and social work practice
- influence a wide range of stakeholders to promote a social model of care and its values
- be able to deal with the conflicts, tensions and gate-keeping roles in managing social care services, taking account of individual and community needs.

Leadership and management practice must integrate social care values based on a critical understanding of anti-discriminatory practice and the impact of exclusion and disadvantage on people's lives. Leaders and managers must be proactive in working with the diversity of staff, service users and carers and in promoting social inclusion. Managers need "to develop and maintain practice, which is self-aware, critically reflective, and founded on, informed by, and capable of being judged against a clear value base."[12]

Leadership and management practice in social care should actively:

- inspire staff
- promote and meet service aims, objectives and goals
- develop joint working/partnerships that are purposeful
- ensure equality for staff and service users driven from the top down
- challenge discrimination and harassment in employment practice and service delivery
- empower staff and service users to develop services people want
- value people, recognise and actively develop potential
- develop and maintain awareness and keep in touch with service users and staff
- provide an environment and time in which to develop reflective practice, professional skills and the ability to make judgements in complex situations
- take responsibility for the continuing professional development of self and others.

Social care has built on values such as choice and self-determination to develop practice that is person-centred and emphasises social inclusion, advocacy, engagement and partnership with service

users. It is based on a social model, which underpins a range of interventions from skills in assessment, planning and review, supporting independent living and alternative care, networking, communication and partnership. Leaders and managers need to support staff to develop good social care practice as an integral part of achieving good services.

Leaders and managers also have to address particular objectives for social care, for example, those identified in the GSCC Codes of Practice for social care workers and employers, National Minimum Standards, equality legislation and other reports such as *Every Child Matters: Next Steps* (DfES, 2004). Change requires cultural shifts and the development of new leadership and management competences and styles of working. Therefore strong professional leadership and effective management are needed to implement social care objectives.

Such an approach should ensure that leaders and managers in social care are able to implement the GSCC Codes of Practice, particularly the following requirements to:

- protect the rights and promote the interests of service users and carers

- strive to maintain the trust and confidence of service users and carers

- promote the independence of service users and protect them as far as possible from danger or harm

- balance the rights of service users and carers with the interests of society

- uphold public trust and confidence in social care services.

And as employers, to:

- regularly supervise and effectively manage staff to support good practice and professional development and to address any deficiencies in their performance

- provide training and development opportunities to help staff to do their jobs and to strengthen and develop their skills and knowledge

- provide a safe working environment in which dangerous, discriminatory or exploitative behaviour are known to be unacceptable and are addressed.

6 Analysing numbers

6.1 Estimated numbers of managers

The project has provided estimates of the numbers of managers in social care (report 3). Rounded figures of the analysis are given in the table below. Approximately one third of managers are in the statutory sector and two thirds in the independent sector.

Table 5 Estimated overall numbers of managers in social care	
Social services managers and supervisors	36,500
Independent sector care home managers and supervisors	49,200
Independent sector home care managers and supervisors	15,100
Total estimated number of managers and supervisors in social care	100,800

The analysis provides some data on management qualifications:

- SSDs spent an estimated £5.4 million on management qualifications during 2001/02. In the independent sector the figure is £8 million during the same period, while home care services spent £1 million on management training.

- Overall, 70% of managers in social services hold a relevant qualification, compared with 59% of managers in the independent sector.

- 23% of managers in social services were studying for qualifications. The most commonly studied were NVQ level 4 and management qualifications.

- Management NVQs and assessor awards were the most popular among employees and managers in the independent sector. Over a third of registered managers were studying for a management qualification.

- 20% of home care managers were pursuing qualifications at the time of the survey. The most commonly undertaken were management qualifications. Assessor awards were also popular.

6.2 Gaps

The project noted a number of gaps in data collection:

- Surveys are not fully up to date and may not reflect recent growth, for example in the home care sector.

- Some small agencies may be missed as they are not part of established networks: they may be private, voluntary or self help agencies.

- A number of religious organisations such as temples or churches may provide social care services that are not counted in the data.

- Managers in integrated or multi-agency services may not be adequately reflected in the data.

- Managers of support functions are not identified separately: for example, these may include personnel, commissioning, contracting, planning, staff development, finance and administration.

- Some managers may be seconded to manage projects or service developments in other agencies.

- Major developments such as care or children's trusts may see the emergence of new types of integrated management roles that do not fit current classifications.
- Some categories of manager may be under-represented because they do not fit traditional manager classifications. Examples would be volunteer managers or service user managers.
- Categorisation of managers from social services and the independent sector may differ.
- There is a lack of a comprehensive categorisation of leadership and management qualifications.

6.3 Improving data collection

It is proposed that the Topss England Workforce Intelligence Unit should take the lead role in carrying forward this agenda. This will mean clarifying categories of manager across the sectors and classifying management and leadership qualifications as part of the national minimum dataset. Data on the independent sector will need to be gathered in partnership with the Commission for Social Care Inspection, with the Workforce Intelligence Unit acting as a clearing-house for the data. The development work would help to establish a clear baseline, both of numbers of managers and of who holds what awards. This would allow better targeting of resources to support further access to qualifications. Consistent reporting of diversity monitoring would help build up a more detailed profile of the management and supervisory workforce in terms of gender, race, disability and age.

Recommendation 2
Topss England Workforce Intelligence Unit should take the lead role in categorising managers, classifying qualifications and gathering data on types of manager, their diversity and the qualifications they hold, as part of the national minimum dataset.

7 Strategic framework for leadership and management development

7.1 The first project stage

The first stage of the project has been to develop a conceptual framework and model for leadership and management development based on social care values, which could integrate individual and organisational development, promote good practice and provide clear direction. Work throughout the project contributed to the model and approach.

It has been possible to identify four key themes that have emerged for developing a framework for leadership and management in social care. These are:

1. Integrating leadership and management.
2. Balancing generic and specialist competences.
3. Improving flexibility and diversity.
4. Planning for transitions.

7.2 Integrating leadership and management

The new generic definition taken from the review of the leadership and management standards generally had a favourable response with some key additions.

> The key purpose of management and leadership is to provide direction, gain commitment, facilitate change and achieve results through the efficient, creative and responsible deployment of people and other resources.

However, the consultation also emphasised that a definition in the social care context should have a strong customer focus. Consultation with service users and their representatives emphasised that leaders and managers should:

> Show the way, keep people on board and together, listen to customers, make change happen and get results through the best use of people, money and other resources.

It was felt that a definition could not adequately capture the complexities of leadership and management in the sector and that this would be better represented in a statement about what managers and leaders do in social care. The full statement is product 1, ***What leaders and managers in social care do—a statement for a leadership and management strategy for social care****.* It recognises the conflicts, tensions and gate-keeping roles in managing social care services. The statement takes account of the political context, partnerships and makes use of existing General Social Care Council codes of practice for staff and employers.

The consistent view of managers and service users was that leadership and management should be:

- integrated and complementary rather than separate activities or attributes
- reflected in role definitions
- developed in practitioner as well as manager roles at all levels.

The diagram below sums up the distinctions between leadership and management in key words generated by the consultation workshops and identifies overlaps.

Diagram 1   The leadership-management continuum
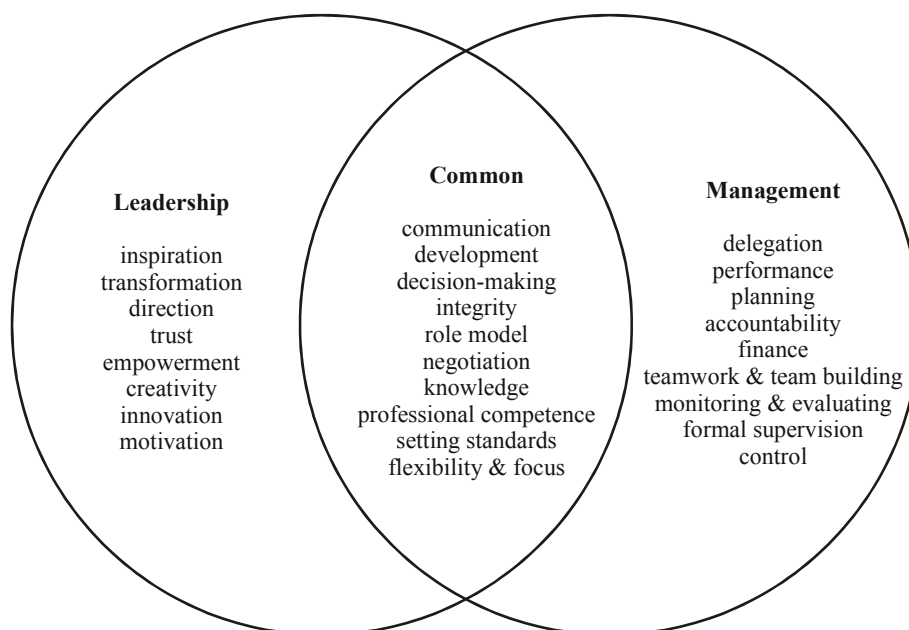
Therefore, the strategy is based on the approach that leadership and management can be integrated and seen as a continuum. Most leaders need management skills and most managers are more effective if they develop leadership behaviours and skills. Leaders need to help define management in their own organisation. Management could be seen as how people behave in relation to managing resources and the tensions between controlling, rationing and providing services that people want. It involves managing a set of relationships that are open, creative and constructive. Any definition should encapsulate the concept that leaders and managers have to work with service users to bring about change. This requires leaders and managers to be able to develop a culture and attitudes to facilitate work with service users at all levels.

7.3   Balancing generic and specialist competences

The approach to developing a competence framework for leaders and managers has been to use generic, specialist and partnership standards. Product 3 is a *Map of Competence*s. Managers can use this as a basis for a Person Management Specification, which will reflect their roles and functions. It can be revised when there are changes to their role and will form the basis for identifying ongoing learning and development needs. *Guidance on the Person Management Specification* is part of product 2.

This approach to competences was developed in response to the views expressed in the workshops, that there is a need for good leaders and managers and not necessarily social care managers. This would mean that some competences and descriptors of the leadership and management role could be generic, but managers in the care sector would need particular knowledge and skills related to the service area or a particular role such as HR or commissioning. In addition, skills in partnership working are crucial in the current context. There was also an emphasis on supervision, accountability, appraisal and staff development as a key part of a manager's role across all the levels in managing practice. The mix of leadership and management activities is contingent and could change significantly over time, even though the manager is in the same role.

When mapping the competences, a significant gap was the lack of a unit on managing effective supervision. A draft unit has been developed as product 6, *A Draft Unit of Competence on Supervision*. This is not being published with the present report, but will go out for consultation as part of the implementation phase for developing the qualifications structure.

> **Recommendation 3**
> Develop and agree the draft unit on supervision (product 6), both as a unit of competence and a national occupational standard. It could become part of a core set of competences for managers in a range of related sectors.

7.4   Improving flexibility and diversity

The third key theme is the need for models and frameworks to be flexible to meet the needs of the diverse range of individual leaders and managers and organisations providing services. They should represent open systems to allow for changes to culture, context, external and internal stakeholders and environment, and for overlap and/or amalgamation with other organisations. The issue is often not about resources but about culture and willingness to change and look at different ways of providing services.

It was vital that leadership and management standards capture the importance of leading and managing complexity and diversity; this may be across agencies, in integrated services and through contracts. Any leadership and management standards/competences framework should promote:

- flexible career pathways across integrated services
- transferable skills across agencies
- applicability to diverse organisations and individuals.

7.5   Planning for transitions

A common theme was that practitioners and service users moving into management positions are often ill prepared and have little access to opportunities to understand the management role and develop their skills. Therefore more attention needs to be paid to induction into management and transitions across management levels. This highlighted the need for effective systems for continuing professional development (CPD). **Product 5** provides a framework for CPD.

Leadership and management skills should be developed both at practitioner levels and early in managers' careers, including the ability to give and receive constructive feedback. There should be more emphasis on developing leadership potential and creativity as part of workforce planning.

In addition, the different strengths, needs and aspirations of leaders and managers at all stages in their careers need to be recognised and developed. Organisations need to develop a learning culture and structures that will encourage leadership and management capability. The increased need to work with a wider range of partners, agencies and disciplines has implications for the way social work practice and social care services are managed.

7.6   The whole systems model

The whole systems model for leadership and management development has been developed to reflect the themes above, provide a framework to tackle the changes required and support the social care sector with implementing a leadership and management strategy. Product 2 is *The Whole Systems Model*. It aims for clarity and minimises jargon to encourage all people in the sector to make use of it and there is a glossary included at the end of the document.

The model is designed to be accessible to all those working in and using social care services. The model depicts good practice in managing the following:

- relationships between individuals
- the needs of both organisations and people
- change
- education, training and development
- partnerships and interagency working.

Sections of the model can be used to inform plans for a strategic approach to leadership and management development. It can help to specify the competences required of managers, how training can be delivered and which qualifications or awards may be relevant.
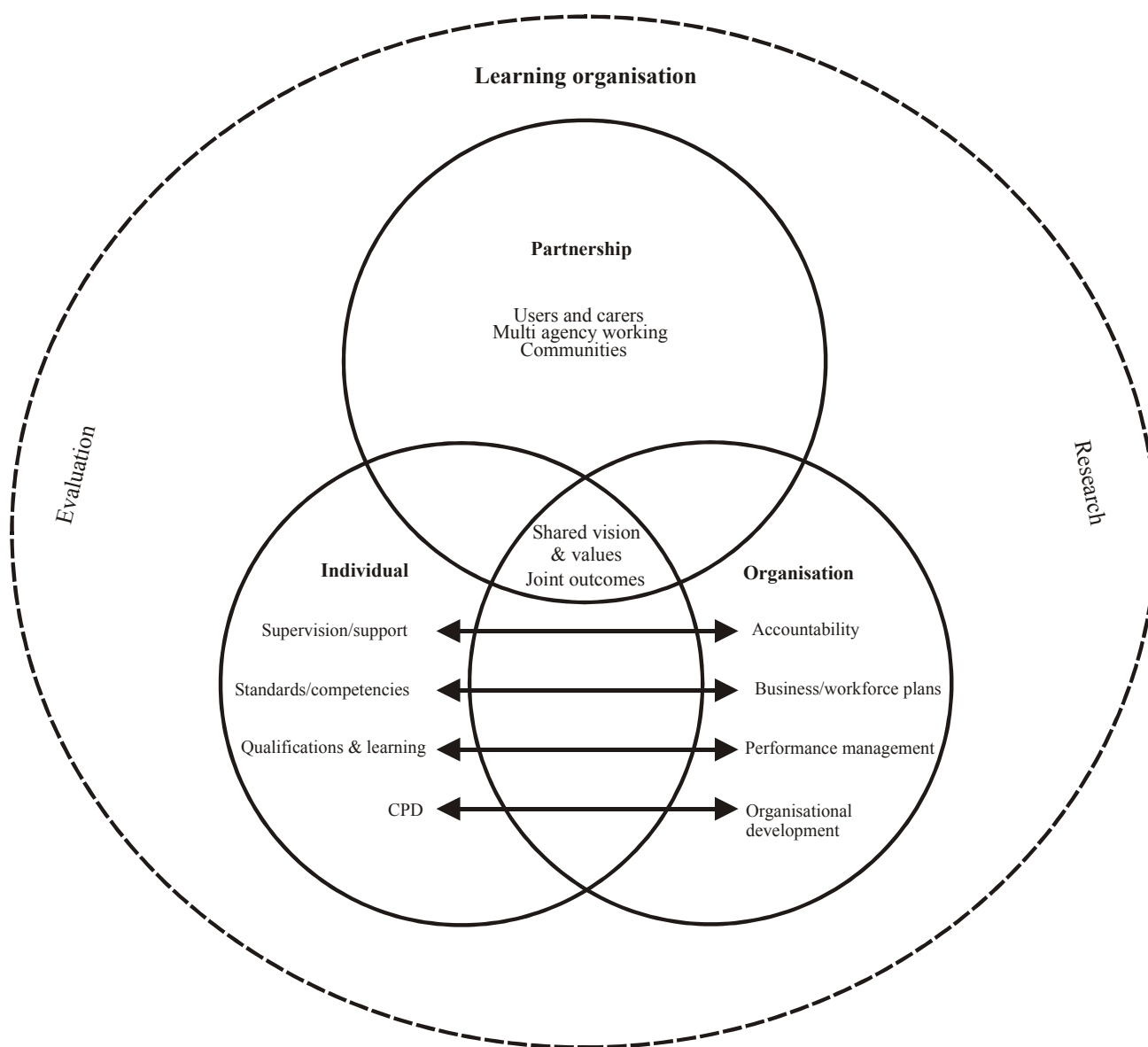
 A leadership and management development model should be:

- open to context changes, external influences and the environment
- integrative and clear about the links between service users/carers, stakeholders, the organisation, team and individual
- based on shared outcomes, values and attitudes within a learning culture
- capable of describing partnerships and networks
- dynamic and developmental
- flexible and facilitate change and choice
- based on processes that support learning and skills transfer
- evaluated and informed by research.

The diagram below depicts the overall model. The model is designed to show five main elements:

1. Three key stakeholders in the model—individual leaders and managers, the organisation itself, and the organisation's partners including service users, carers and families. They should all contribute to developing a vision for service provision, shared values and agreeing joint outcomes.

2. The key components of individual and organisational development and how they should inform each other for effective planning and service delivery.

3. Around the stakeholders is the culture of a learning organisation.

4. The learning organisation promotes the gathering and sharing of information and knowledge, through research and evaluation (see product 7, *A Guide to Evaluation*).

5. The overall picture is encapsulated in a dotted line, which indicates the openness of the stakeholders to outside influences and change.

Learning organisation

Evaluation

Research

Partnership

Users and carers
Multi agency working
Communities

Shared vision
& values
Joint outcomes

Individual

Organisation

Individual		Organisation
Supervision/support	⟷	Accountability
Standards/competencies	⟷	Business/workforce plans
Qualifications & learning	⟷	Performance management
CPD	⟷	Organisational development

Further detail of some key features includes:

- Individuals, teams, service users and organisations have discrete needs but when they work together in harmony they can share a vision, values and joint outcomes.

- Partners, other agencies, communities, users and carers are integral to a successful leadership and management model.

- Other agencies' systems can feed into that of the organisation for flexible working.

- Drivers or changes feed into the way the organisation works and individuals are kept informed of these.

- The context is one of a learning organisation where the culture promotes learning for everyone.

- The arrows connecting the individual and the organisation demonstrate the joint outcomes, e.g. appropriate supervision and support for an individual encourages their accountability for practice, which impacts on the organisation.

- Ongoing fact-finding and research provides information for improvement of practice and service provision.

- Review and evaluation of the service is inclusive and feeds into the development cycle of individuals, the organisation and its partners.

- Shared values are agreed and are meaningful to all individuals within the system.

If all the components of this model are in place and inform each other, this should ensure effective leadership and management development to meet the needs of individuals, organisations and stakeholders.

> **Recommendation 4**
> Publish and disseminate the whole systems model guidance (product 2).

8 Consultation on learning and development issues

8.1 The second project phase

The second phase of the project was to develop a structural framework for learning and development for leaders and managers, making the best use of national, regional and local developments. A review of current leadership and management initiatives, learning opportunities and resources was undertaken as a basis for this (see report 2, Leadership and Management Learning). The research used a number of sources of information, including:

- workshops run in three Topss England regions
- contacts with a number of national stakeholders
- contacts with education and training providers
- contacts with employers
- internet based research on materials and resources.

The research was not planned to be comprehensive, in the sense of covering the full range of management and learning opportunities, as this is a vast and growing area. The Google search engine provides over 10,000 hits for 'leadership and management development' alone. Rather, the report highlights particular resources and programmes, which have been used by social care managers and leaders and planned developments as well as blocks and gaps to be addressed. This report is focusing on the implications for the strategy of the findings about good practice, blocks and gaps.

The research objectives included:

- identifying factors encouraging and blocking take-up of learning and awards
- clarifying activities that help individuals learn effectively
- describing models of leadership and management practice
- mapping initiatives of key national stakeholders
- identifying resources and guidance
- identifying strategic implications for Topss England.

8.2 National issues

The Council for Excellence in Management and Leadership (CEML) was set up to tackle a situation where high quality leadership and management skills are in short supply throughout the UK's workforce. The *Raising Our Game* report[13] had 30 recommendations. Several of these are particularly significant for the social care as they reflect some of the issues in the sector. Some examples are:

- Learning outcomes should be mapped against the revised generic leadership and management standards.
- There should be a limited range of management and leadership units included in any occupational qualification at level 2 and above.
- Flexibility is needed to enable people to acquire qualifications in smaller chunks and to enhance informal learning opportunities.

- Proposals to bring together the framework for management qualifications and vocational qualifications to make it easier for people to progress via different entry routes.

- Enhancing opportunities at regional level with the development of regional centres of excellence supported by Learning and Skills Councils, which would promote the development of facilitated cluster networks including small businesses.

CEML describes another issue as a problem at a national level, which is also shared by the social care sector, "Superficially, there is not an apparent shortage of supply of management qualifications and learning opportunities, but it is apparent that much of the provision is mixed in quality, inflexible and fails to meet the needs of consumers effectively, be they a large or small organisation or an individual."

8.3 Sector blocks and drivers

The type of provision available is a significant issue but the project also identified a range of other factors that encourage or block take-up of learning. These factors relate to the need for a whole systems approach. For example, workshop participants emphasised that it was important to identify managers' learning needs throughout their careers. This meant starting with recruitment, selection and induction. Individual learning needs may be identified through supervision, appraisal, personal development plans (PDPs), self-assessment, reflection, observation and feedback.

However, learning priorities would need to take account of the national and organisational context. Here the key factors may include business plans, workforce plans, best value reviews, organisational competence frameworks, national occupational standards, Investors in People, Commission for Social Care Inspection (CSCI) and other inspections, legal and regulatory requirements.

Workshop participants looked at blocks and drivers for learning and qualifications. Their responses are summarised in the table below.

Table 6 Learning and qualification blocks and drivers	
Learning drivers	**Learning blocks**
National requirements Service user involvement Management processes and systems that encourage learning Performance targets Personal Development Plans and Continuing Professional Development	The tension between meeting organisational and individual needs Lack of funding and other resources Inadequate staffing levels and high turnover Fear and lack of confidence in learning Culture of 'getting by' leading to a lack of interest in learning to support continuous improvement Lack of time because of high workloads
Qualification drivers	**Qualification blocks**
Financial incentives Targets Legislation Modular training delivery Topss England and CSCI requirements Investors in People	Professional arrogance, e.g. graduates with professional qualifications thinking that they did not need a management qualification Lack of provision locally Concern that people gain awards and then leave the agency Fear of exams Investing personal time interferes with work-life balance Lack of appropriate local provision for management development and qualifications

In addition, participants suggested that there were a number of equality access issues:

- part-time managers may be disadvantaged in access to training
- online learning may facilitate access for certain groups, but it may block access if people do not have access to ICT and training in IT skills
- 'old boys' networks' can block access for disadvantaged groups
- lack of positive action programmes for women and black and minority ethnic managers
- lack of equality of access for qualifications for different levels of manager
- lack of support for service user representatives to engage in the learning activities
- caring responsibilities may restrict access to learning.

Participants noted that there were a number of gaps in current practice, which would need to be addressed:

- In many agencies, systems such as appraisal are patchy and there is a lack of proper learning needs analysis.
- Good IT skills are essential for individuals to be able to access some learning technologies.
- Even if learning needs are identified appropriately, there may not be the right programmes or qualifications available to meet the needs.
- Some leadership and management development may be more effective through one-to-one learning—however, the infrastructure for this learning such as mentoring, placements and shadowing may not be available in the agency.
- Owner managers may have particular difficulties in meeting their learning needs as there is often no one else to support them in the workplace and releasing themselves for learning programmes may be very difficult.
- Managers new to their roles may find it difficult to identify what they need to learn.
- Managers and others may not have had the opportunity to audit their learning needs against a leadership skills set.
- There was a lack of understanding in agencies of the competence needs of potential leaders and managers.

8.4   Overcoming blocks

Some overarching themes were identified for overcoming blocks to effective leadership and management development. These are the need for flexibility to meet diverse needs; qualifications and learning that are seen as relevant; opportunities that are accessible and available; learning needs that are transferable to a range of settings. The table below gives some examples of what this means.

Table 7 Overcoming blocks	
Key concept	**What it means**
Flexibility	• Learning and qualifications need highly flexible structures if they are to meet the needs of the diverse groups of managers within social care • Modular and unitised frameworks are essential • Open learning can enable managers to access learning at a pace, place and time of their choosing • Career development routes need to be clear—these may involve sideways moves as well as progression

Table continues on next page

Table 7 Overcoming blocks, *continued*	
Key concept	**What it means**
Relevance	• Managers' motivation will increase if learning and qualifications are seen to be relevant to current and future practice • Relevance can be reinforced through service user involvement in training
Accessibility	• Learning and qualifications need a range of delivery methods • Traditional approaches need to be complemented by open and distance learning • Where facilities are used they will need to be accessible to managers with a range of disabilities • Positive action initiatives can help to develop managers from under-represented groups • Developing leadership skills in non-managers can support access to management roles and further learning • Managers have different learning styles—these need to be taken into account in planning and delivery of learning
Transferability	• Learning and qualifications need to encourage transfer of knowledge, skills and competence to new situations and roles

8.5   Good practice model

Some prerequisites were identified for a model of good practice for leadership and management development:

- Commitment from the top to a proactive approach to the development of *all* leaders and managers.

- Linking managers' learning to wider business objectives and targets.

- Involving and engaging service users.

- Developing clarity about the beneficiaries of leadership and management learning.

- Scale—it should be possible to scale down a model of learning that is applicable to large organisations so that it can be applied to small agencies as well.

- Equality—access to learning and qualifications needs to be fair and based on clear criteria.

- Infrastructure—the need for systems and structures to support learning.

- Funding—clarity about the resources that can be invested in leadership and management development.

The good practice model needs to cover three levels and their interrelationships: the individual, the organisational and the inter-organisational. Issues for the three levels are summarised in the table below. For effective management of the relationship between people and organisations, both individual and agency needs should be met.

Table 8 Three-level good practice model	
Level	**Issues**
Individual leader or manager	• Effective recruitment, selection and induction should allow early identification of learning needs • Access to a variety of on and off the job learning activities—shadowing, placements, coaching, mentoring and projects • 360 degree feedback involving service users • Good supervision and appraisal • Personal development plan based on learning needs analysis and career planning • Monitoring and evaluation of learning
Organisation	• Links between business plan, leadership and management competences and learning and qualification needs • Leadership and management development policy • Systems for monitoring and evaluating the impact of learning • Funding streams to support management learning • Commitment to Investors in People standard • Link between leadership and management learning and quality systems such as EFQM • Clarity about values and behaviours expected of managers and the link to organisational culture • Succession planning • Use of national occupational standards to audit learning needs
Partnerships	• Development of strategic partnerships with local training and education providers • Creating joint management learning opportunities with other agencies such as health, education, private and voluntary agencies • Identifying and channelling funding to support leadership and management learning and qualifications • Using partnership networks as opportunities to extend on the job learning through work exchanges, shadowing, projects, placements and meetings

9 Structural framework for developing leaders and managers

9.1 A consistent approach

Research at both national level and sector level has demonstrated the need for a coherent and consistent framework for developing leaders and managers. The framework needs to link roles, competences, qualifications, training, development and guidance. Development needs to take place within the context of a learning organisation and contribute to organisational performance and outcomes for service users.

Systems need to be in place for leaders and managers to have appropriate supervision, support and mentoring to ensure accountability for service delivery. National occupational standards and competences for individual roles and functions need to reflect the organisational business and workforce plans. Competences need to be reviewed regularly to ensure the leader or manager has the appropriate knowledge and skills as roles and plans change.

The approach needs to be clear and robust but also flexible and adaptable for a range of diverse settings and services. It should be based on explicit values shared by all stakeholders. The process needs to be ongoing throughout a person's career. Therefore a leadership and management development model should be:

- dynamic and developmental
- flexible and facilitative of change
- based on processes that support learning and skills transfer
- based on shared outcomes, values and attitudes within a learning culture
- evaluated and informed by research.

9.2 Tools for change

The project has designed a person management specification, which provides a competence-based profile of any management role. This links a job description to relevant competences. It is designed to offer a focal point for leadership and management learning, a personal development plan (PDP), appropriate qualifications and continuing professional development (CPD). Leadership and management learning should be evaluated to ensure it is having an impact on organisational performance. CPD for individuals should reflect and influence organisational development.

The template for a person management specification can be used to specify development needs of all leaders and managers. Various tools have been developed to support the use of the person management specification including:

- product 2, *The Whole Systems Approach* including the *Person Management Specification* and an example of how it has been used
- product 3, *Map of Competences*
- product 5, *Guidance on Continuing Professional Development*
- product 7, *A Guide to Evaluation of Leadership and Management Development*.

9.3   The person management specification

The structure of the person management specification is shown in the table below. It is recommended that each individual manager would have a profile. This would be a 'living' document, requiring monitoring and updating as part of self-development, an appraisal system or other performance review processes. This will contribute to the whole systems approach which underpins the strategy.

Table 9 Person management specification		
Person management specification	**Personal development plan**	**Continuing professional development**
Profile based on a selection of current competences drawn from: • generic leadership and management standards • specialist competences, specific to social care • partnership competences The overall competence profile resulting would be: • related to job role of that level and type of manager • related to individual leadership and management role in the organisation	Discrete learning and other development opportunities: • organisation specific for updating and further development • external non-qualifying programme Required qualifications essential to the management role and matching the competence profile or other awards. An initial award for new managers could relate to foundation learning Organisational basics for new managers: • induction and foundation learning	This could include a range of activities: • record of achievement • record of learning • reflective learning diary • demonstration of how professional leadership and management institute requirements are being met The CPD process should be closely linked to the person management specification and the PDP

Implementation will need discussion with the Commission for Social Care Inspection (CSCI) with a recommendation for inclusion within National Minimum Standards.

Recommendation 5
All managers should have their own person management specification and this requirement should be included within National Minimum Standards.

9.4   Framework of competences

The person management specification is based on all leaders and managers developing a competence profile cross-referenced to their job description and role in the organisation. The project recognises that there are common behaviours, skills and knowledge required for leaders and managers across all sectors. The consultation workshops reflected a view that wherever possible generic standards should be used to encourage transferability of skills and knowledge across roles and organisations. However it was also agreed that specialist leadership and management competences are required to meet the particular needs of the sector and to develop leaders and managers who ensure the best service is provided for service users. Also in the current context of social care, competences in partnership working also are essential.

Therefore the person management specification needs to be based on the appropriate range of competences. These are listed in table 10 below.

Table 10	Summary of range of competences
• Generic standards, which are the revised national leadership and management standards available on the Management Standards Centre website.[14]
• Relevant specialist competences taken from health and social care registered manager standards; youth justice; community justice; youth work; social work; advice, guidance and advocacy; health and safety; learning and development; recruitment and employment; drugs and alcohol.
• Standards drawn from the catalogue of units developed for a National Occupational Standards and Qualifications Framework for Delivering Support Services for Children, Young People and their Families.
• NHS Leadership Qualities framework and the NHS Knowledge and Skills Framework, which are already mapped by the NHS Leadership centre to the new draft management standards.
• Specific partnership standards from across the range of specialist competences.

The specialist and partnership standards have been categorised using the functional titles for the national leadership and management standards. These are:

- managing self and personal skills
- providing direction
- facilitating change
- working with people
- using resources
- achieving results.

Organisations and individuals can select from generic management standards, specialist standards and standards for partnership working which best meet the needs of their role. The framework is therefore inclusive of a range of existing units, which could apply to managers in different settings (see product 3, *Map of Competences*).

It is likely that first line and some middle managers may need more specialist and partnership standards, while some middle managers and senior managers may need more generic standards. This will depend on the job role and the size of the organisation.

The proportions of specialist and generic competences are likely to vary according to the level of manager. Diagram 3 shows how this could work for a range of managers. First line managers and supervisors are likely to have a relatively greater number of specialist competences within their profiles, while senior managers will have a larger number of generic competences. However, all managers will require competences in working in partnership. Partnerships can include service users, carers, families, national agencies, local agencies and local communities.

Diagram 3   *Competence mix for leadership and management*
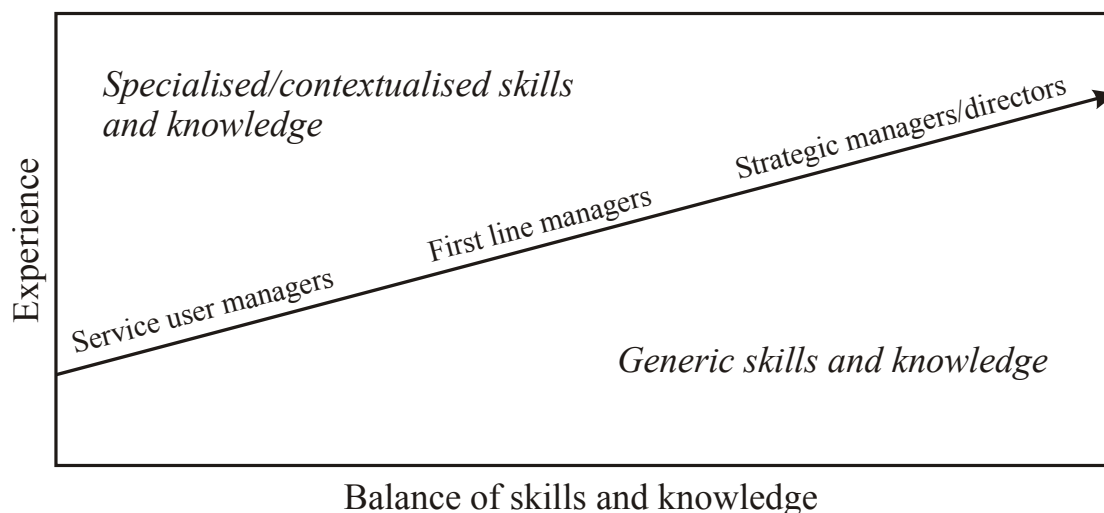
This demonstrates a flexible approach, which should be able to meet the needs of managers in small organisations as well as large ones. A manager of a small organisation may require competences spanning the whole range from first line to strategic managers. An example of how a person management specification has been developed for a team leader in children's services is included in **product 2**.

> **Recommendation 6**
> Develop the map of competences into an electronic database (product 3).

9.5   Personal development plan

Each organisation may want to identify an appropriate set of competences for all leaders and managers with particular roles and functions. This could form the basis of a person management specification, but individual managers may also have additional functions or responsibilities for which competences are identified. Once the person management specification has been agreed, this will lead to an individual personal development plan to ensure that learning or qualification needs are met.

The plan should consider three levels:

1.   Organisational basics for new managers, including induction and foundation learning, to ensure that leaders and managers are prepared for new roles. This could be the transition from practitioner into management, or career progression into higher levels of management, or across to specialist areas such as human resources or commissioning. This learning would ensure the leader or manager understands the role and has sufficient skill and organisational knowledge to be effective. As the learning is based on competences it should provide the building blocks to a relevant qualification.

2.   To achieve required qualifications essential to the management role such as the Registered Manager Award, or to demonstrate learning to match the competence profile, or other awards. An initial award for new managers could relate to foundation learning.

3.   Discrete learning and other development opportunities that are organisation-specific for updating and further development and external non-qualifying programmes.

> **Recommendation 7**
> All managers should have access to induction into management and between levels of management using appropriate competences for their job roles.

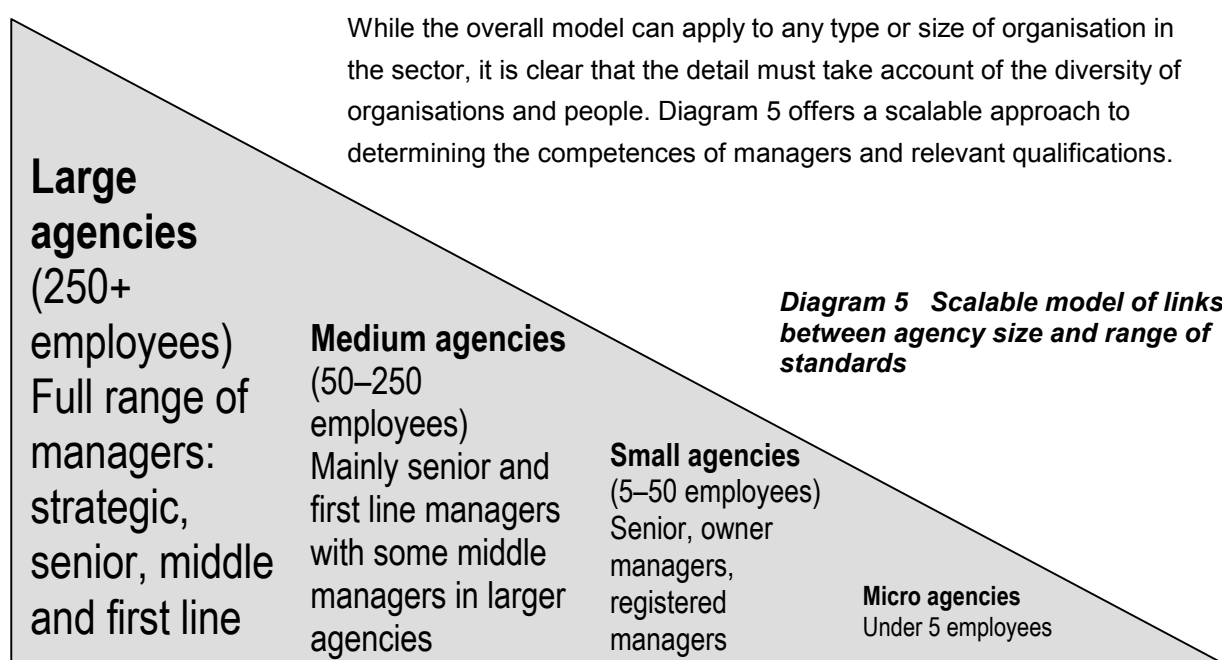## 9.6   Tailored awards or qualifications

The individualised approach relates to specific awards or qualifications as well as overall leadership and management development programmes. Each individual manager or leader can tailor qualifications to their needs by selecting the units or parts that relate most closely to their job. This approach recognises the breadth of a manager's role in social care, while maintaining the focus on specialist areas of skills and know how. The competences required by a manager will include:

• generic   • specialist   • partnership   • organisational.

Diagram 4 below illustrates the skills mix for leadership and management. It is possible to put together a flexible award by drawing on competences from these areas.

Diagram 4   Skills mix for leadership and management

Top up learning		
Generic	Specialist	Partnership
Organisation specific learning		

While the overall model can apply to any type or size of organisation in the sector, it is clear that the detail must take account of the diversity of organisations and people. Diagram 5 offers a scalable approach to determining the competences of managers and relevant qualifications.

Large agencies (250+ employees) Full range of managers: strategic, senior, middle and first line

Medium agencies (50–250 employees) Mainly senior and first line managers with some middle managers in larger agencies

Diagram 5   Scalable model of links between agency size and range of standards

Small agencies (5–50 employees) Senior, owner managers, registered managers

Micro agencies Under 5 employees

At the sharp end, a more limited range of competences would apply to managers and supervisors working in **micro agencies** with fewer than five employees. This category would include some very small care agencies, such as a 2–3 bed home, small voluntary projects, co-ordination roles in self-help and community agencies and service users who employ personal assistants through the direct payments scheme.

Small agencies with five to 50 employees would also need a more limited range of competences. Management roles include senior, owner manager, registered manager and supervisor. Registered managers already have standards and awards in social care. Owner managers also have generic standards for their roles. There is a set for business planning, designed for start up businesses and business management and development for established businesses. These are approved through the Small Firms Lead Body.

Medium sized agencies with 50 to 250 employees have the full range of managers, with middle managers found in the larger agencies. Almost the complete set of leadership and management standards could apply to these roles.

Large agencies with over 250 employees have the full range of managers. The complete set of leadership and management standards would apply to these roles.

It may be necessary to look at a more specialised set of competences for top managers, such as directors, chief executives and other strategic roles, as these may not be adequately captured in existing competences. This approach should enable individuals and organisations to specify their requirements for leadership and management development and contribute to making education and training employer led rather than provider driven. Such work should take account of key leadership programmes across health, social care and education such as the SCIE leadership initiative.

> **Recommendation 8**
> Consider options to develop a set of core competences for top managers.

Some information about the current range of qualifications and awards is available in report 2. The intention is to develop a signposting system (see **product 4**) as part of the implementation phase, which will help individuals and organisations to find out about the range of learning opportunities available.

The implementation phase will also look at the implications of the strategy for qualifications, as any new leadership and management qualifications resulting from the revised leadership and management standards are not yet available. However, it is recommended that all first line managers should achieve a recognised management qualification. A high proportion of first line managers are already required to have the Registered Manager Award (RMA) for adults or for residential childcare. The first line manager role is to:

- manage the primary tasks and activities of the organisation
- have a key role in determining whether standards of practice are consistently maintained
- support staff engaged in complex, personally demanding practice and ensure that staff are continually developed in knowledge-based practice.[15]

The level of responsibility is equivalent to the RMA at level 4. Managers will be able to judge whether they are working at this level by identifying their competences using the person management specification and comparing these with the agreed award or awards.

A set of standards would need to be developed that can form the basis of a leadership and management qualification at level 4 for other first line managers, for example those in operational teams in social care or commissioning teams.

Recommendation 9

All first line managers who do not have a recognised management qualification and not covered by the Registered Manager awards should be registered with an awarding body for an agreed management qualification.

When mapping competences a gap was identified in managing **supervision**. A draft unit has been developed (product 6) which will contribute to a set of standards. (This product is to be consulted upon and is therefore not published with the present report.)

10 Continuing professional development

10.1 The role of CPD

Definitions of continuing professional development (CPD) describe an on-going, planned, learning process that contributes to personal and professional development and can be applied or assessed against competences and organisational performance.

CPD is now recognised as a crucial part of the development of staff in organisations and a CPD strategy as an essential tool of good human resources management. CPD is an important component of the leadership and management strategy for social care and is integral to the whole systems approach to individual and organisational development (see **product 2**). CPD is the third strand of the person management specification.

The Topss England *Statement for a Leadership and Management Strategy* (product 1) emphasises that strong professional leadership and effective management are needed to implement social care objectives. Therefore leaders and managers need to undertake planned CPD activities to:

- continually develop competences and new styles of working to bring about the change and cultural shifts required to implement the modernisation agenda
- develop and maintain practice, which is self-aware and critically reflective
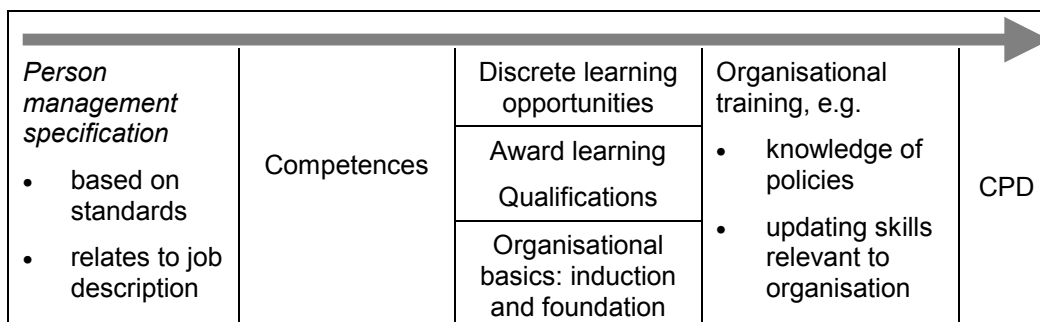- take responsibility for the ongoing development of self and others.

CPD should focus on outcomes and achievements and reflect learning in terms of impact and clear benefits for the user of the service.

10.2 The CPD framework

Product 5 is *CPD Guidance*, linked to the person management specification. It provides the context, definitions of CPD, principles, a model and a process linked to methods, tools and activities.

The template in diagram 6 shows how a consistent approach to developing managers can still be individualised. As described above, the process begins with a matching exercise between the requirements of the job, competences and individual development needs. A unique mix of learning opportunities, qualifications and organisational training can be put together for the agency or the individual. The process is ongoing as managers maintain continuing professional development.

Diagram 6 – Template for an individual manager

Person management specification • based on standards • relates to job description	Competences	Discrete learning opportunities	Organisational training, e.g. • knowledge of policies • updating skills relevant to organisation	CPD
		Award learning Qualifications		
		Organisational basics: induction and foundation		

A large proportion of CPD is work based and involves a wide range of formal and informal learning activities. The key areas of development are:

- Knowledge—acquiring and updating knowledge in management, professional practice and organisational specific developments.

- Skills—demonstrable application of knowledge and the use of skills in workplace situations.

- Behaviours—awareness, and demonstrable use of, appropriate values, conduct and relationship skills in workplace situations.

- Reflective practice—continually review and reflect using feedback on learning and development activities.

In social care, CPD may be part of a post-qualifying framework for some leaders and managers. CPD should include induction for new managers and help people make transitions into all leadership and management roles. The framework can also include attainment of specified post-qualifying awards, linked to occupational roles and standards, as well as regular updating activities to meet registration requirements. Diagram 7 below shows the stages of the CPD cycle.

Diagram 7
Stages of the CPD cycle
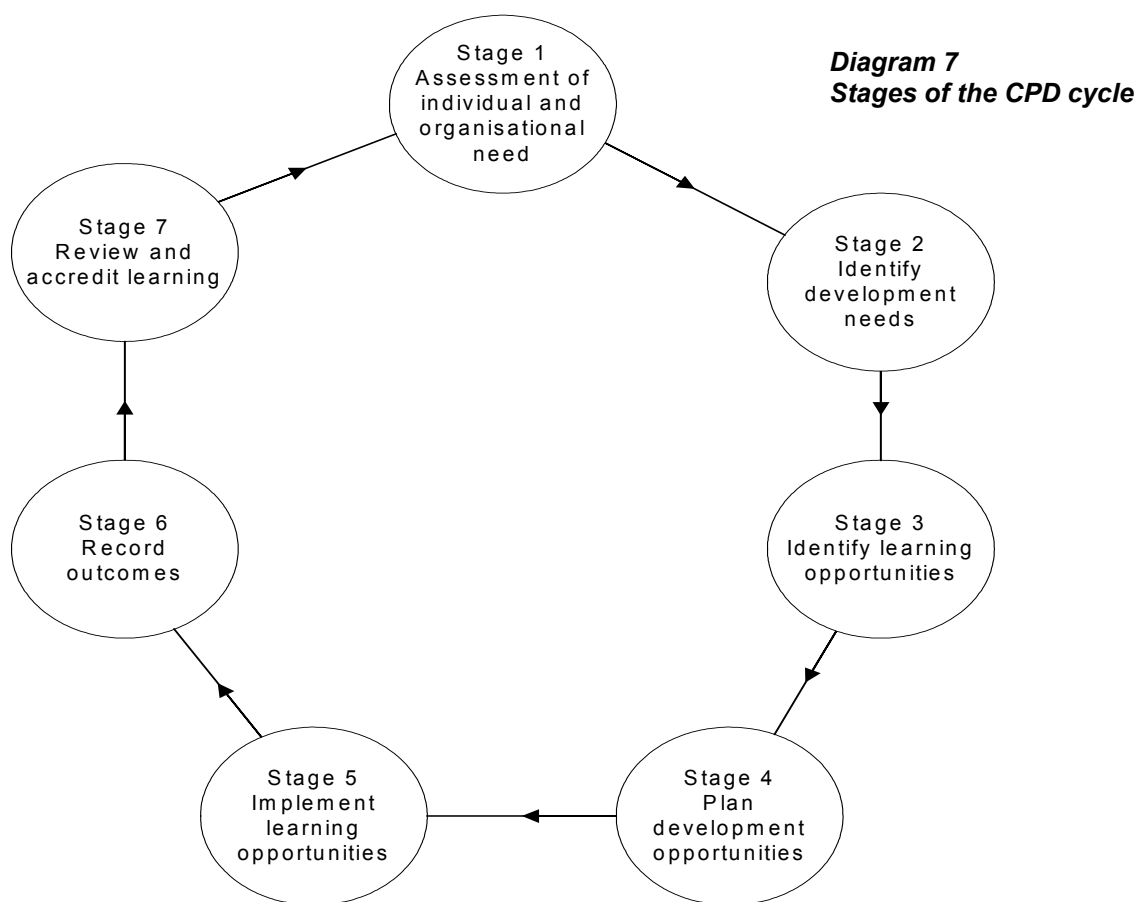
The range and balance of CPD activities will vary according to experience, level of management and career development but should always be based on a learning process. CPD can be used:

- to achieve short term goals to improve skills

- for medium term planning to develop improved or new competence, level, job, or impact on the workplace

- long term to achieve job satisfaction, increase professional status and career progression.

The basic building blocks of systematic learning are built on:

- induction
- foundation
- appraisal leading to personal development plans (PDPs) which identify CPD activities
- achievement of awards as required.

Appraisal and PDP development may be different process but should complement each other. Appraisal looks at what has been achieved and future development needs. The PDP identifies how the development needs will be met through relevant learning opportunities. Systems should be in place to reflect on learning and how this has met objectives for the individual, the service user and the organisation. Achieving an award may be a requirement for some managers but should be seen as part of the CPD process, which will be ongoing after the award has been achieved.

The framework below in table 11 identifies and links the CPD process with methods and suggests some examples of tools that can be used.

Table 11	The CPD Framework	
CPD process	**CPD methods**	**CPD tools/activities**
Stage 1 Assessment of individual and organisational need	Develop person management specification	Audit learning needs against competences to develop a personal CPD profile
Stage 2 Identify development needs	Assessment of development needs	Diagnostics, e.g. 360° feedback Skills benchmarking
Stage 3 Identify learning opportunities	Identify learning objectives	Identify types of learning to meet objectives: work related learning, action learning, networking, mentoring, secondment, e-learning, attending events, external learning, formal study
Stage 4 Plan development opportunities	Identify goals	Identify strengths, weaknesses, opportunities and threats that might help or hinder these goals
Stage 5 Implement learning opportunities	Experience different types of learning—both planned and *ad hoc*	Keep a learning log or reflective diary, which could be an on-line recording system
Stage 6 Record outcomes	Reflect upon and record development	Record of achievement or record of learning into practice, such as the form used by the Institute of Healthcare Management
Stage 7 Review and accredit learning	Review person management specification and include any additional responsibilities or roles	Audit learning against updated competences and update CPD profile Accredit CPD through regulatory and professional bodies

Recommendation 10
Develop an electronic version of the CPD guidance with associated forms (product 5).

11　Evaluation

11.1　The role of evaluation

The leadership and management strategy is based on a whole systems approach (report 2), which is intended to be flexible enough to meet the needs of all types of managers, leaders and settings. The model promotes the development of learning organisations. An important part of the process of developing a learning organisation is to gather and share information and knowledge through research and evaluation. **Product 7** provides a framework for evaluating the outcomes of leadership and management development at an individual, organisational and partnership level. As with other parts of the frameworks, it should be dynamic and developmental. The aim is to provide a model for a co-ordinated, systematic approach to evaluating the impact of the leadership and management development strategy.

Organisations will have many of the components of an evaluation framework in place. The intention of the strategy is to promote the integration of individual and organisational development through effective evaluation. Ongoing, comprehensive evaluation should inform the development of good models of practice and identify blocks to developing creative leaders and competent managers. It will lead to a more consistent, accessible approach to training, qualifications and development as described in product 5, *Continuing Professional Development* and in product 2, the *Person Management Specification*.

11.2　Types of evaluation

A range of different types of evaluation will be needed to meet a range of objectives and to address these complexities. Paul Gorman[16] identified two technical types of evaluation and two political types of evaluation.

Table 11　Types of Evaluation	
Technical evaluation	1. Formative evaluation elicits continuous feedback throughout a process.
	2. Summative evaluation is done on completion of programme, project or piece of work.
Political evaluation	1. Proving evaluations, e.g. that targets or performance indictors have been met.
	2. Improving evaluations, which look at what has been done and learning from it to improve performance.

It will be important to have a balance of formative and summative evaluation, as well as proving and improving evaluation. It is also critical to be clear about the objectives of any evaluation activity. For all levels and types of evaluation, those involved should set performance standards on the outcomes at the planning stage, so that evaluative judgments can be made.

The pre-requisite for effective evaluation of leadership and management development is that it is linked to the strategic business planning cycle.

For example:

- The organisation needs to know if there are sufficient leaders and managers with the appropriate competences and qualifications to meet service delivery requirements in the short, medium and longer term.
- It also needs to know that the learning opportunities provided best meet these needs.

Once the issues have been identified and owned by the organisation, it is possible to develop and agree a plan to move it forward. The action plan needs clear measurable objectives so that progress can be monitored and achievements recognized. A typical format for such a plan is below in table 12.

Table 12 Action plan template			
Objectives	**Performance Indicators**	**Timescales**	**Responsibilities**
State all objectives required to meet the agreed aims	For each objective write a set of indicators of success and targets	Link timescales to indicators	Responsibility for action as well as reporting lines

The plan needs to embody the critical issues to achieve the required outcomes. The plan will relate to the context of the organisation with targets that link to workforce and business plans, as well as issues highlighted by external agencies.

The proposed structure for evaluation is an adaptation of the Kirkpatrick Model and the Wadenhoe Model with five different levels of evaluation. The first three levels apply to the more usual validation processes used for assessing training, but have been extended to include the wider range of formal and informal work-based learning opportunities. Levels 4 and 5 apply to the effect of the individual learning on the organisation and stakeholders. The model also links to the evaluation standard of Investors in People and EfQM (Excellence for Quality Management).[17]

Each level needs to have a clear process and method for gathering the information and feedback. It is proposed that the model should be tested out in a range of agencies and case study material on implementation developed. This will then complement the guidance and make it easier for agencies to understand and implement it. If the material is published on CD-ROM it would be possible to add useful forms that could be printed off and used directly by agencies.

Table 13 (next page) gives some examples of what could contribute to evaluation activities for each stage.

Recommendation 11
Test out the evaluation guide in a range of agencies and develop case study materials (product 7).

Table 13	Examples of processes for evaluation	
Level	**Individual**	**Organisation**
5 Stakeholder	Access to joint management learning opportunities with other agencies such as health, education, private and voluntary agencies Using partnership networks as opportunities to extend on the job learning through work exchanges, shadowing, projects, placements and meetings	Shared/joint performance outcomes or service improvements Benchmarking practice and outcomes with stakeholders Assess priorities for change Feed into decision making groups
4 Organisation	Clarity about values and behaviours expected of managers and the link to organisational culture Use of national occupational standards to audit learning needs against service needs	Outcomes from inspection Balance scorecards[18]—performance system to measure the healthy organisation, e.g. effective recruitment, selection and induction, approach to service users, etc Range of proving evaluation based on targets both for individual managers' qualifications and learning and performance management Range of improving evaluation identifying what has been learnt, gaps and future plans Evaluate costs and benefits in widest sense Commitment to Investors in People standard Use EFQM model for quality assurance
3 Application	Self assessment 360 degree feedback involving service users Accredited learning and assessment	Monitor supervision and appraisal systems Skills benchmarking and learning assessment Audit learning against Person Management Specifications and CPD profile
2 The learning	Review Personal Development Plan based on learning needs analysis and career planning Completion of learning logs	Review Person Management Specification linking job description and competences Review learning opportunities based on feedback
1 Reactions	Structured ongoing feedback on learning opportunity Self-assessment in key skills area	Access to a variety of on and off the job learning activities – shadowing, placements, coaching, mentoring and projects – to enhance performance

12 Signposting learning

12.1 National issues

The Council for Excellence in Management and Leadership (CEML) reported to government on the current state of leadership and management development in the UK.[19] The report noted the fragmentation that exists in the provision of management and leadership learning:

> It is neither conducive to raising demand nor to satisfying individual and organisational needs.[20]

The Leadership and Management Strategy Project has highlighted similar concerns in relation to leadership and management learning in social care.[21]

Recommendation 29 of the CEML report suggests that one way to tackle this is through an online signposting system. This web-based system should allow supply of learning to develop in a demand-led way, with national leadership and management standards at the heart of the system.

Preliminary research commissioned by the DfES Skills Strategy Leadership and Management Project found a very large number of websites that appeared to offer gateways to management and leadership learning. However, it was found that none of these provided a focused, accessible and useable service.

Pathfinder projects have been set up to trial different diagnostic models and test them in a real environment with directors of businesses of 20 to 250 employees. The Chartered Management Institute (CMI) and the University for Industry (UfI) are developing a diagnostic tool based on the CMI's SMART tool. This is focused on the integration of existing systems around the framework for management and leadership competence provided by the new leadership and management standards, developed by the Management Standards Centre.

It is hoped to have integrated online signposting support for the SME directors tested and in place by September 2004 and a comprehensive online system accessible by all employers and individuals by July 2005.

12.2 Aim of a signposting system

The aim of a signposting system for social care leaders and managers is to create a demand-driven system of accessing learning, where leaders and managers are networked together with high quality providers offering a range of learning resources, from e-learning to paper-based, and appropriate qualifications. The development of a signposting system for social care should be underpinned by a number of key principles. It should be:

- accessible
- flexible
- customisable
- useful to social care employers and individual leaders and managers
- have links to main national partners and other useful sources
- web-based
- capable of assessing individual and organisational need.

There are likely to be a number of advantages to a web-based approach but it may be helpful to supplement the web-based system with telephone information, advice and guidance, which could be offered at national and regional levels. The development process should draw on work that is already in progress. At a national level, this will include the signposting system designed for all sectors and associated diagnostic tools. There will be overlap with the development of e-learning modules for the NHSU and SCIE's electronic library. Learning and Skills Councils (LSCs) are funding related developments.

At a regional level, the Topss England Learning Resource Centre (LRC) networks will be linking employers and individual managers with learning providers as part of a wider strategy, to cover the whole social care workforce by March 2006. Parallel work is also taking place led by NHS Workforce Development Confederations. However, what is already in place, or being developed, may need some reconfiguration to meet the specific needs of leaders and managers within social care. For example, identifying predetermined pathways for registered managers might speed up their access to learning resources.

12.3 Signposting model

Delivering the principles of the signposting system needs a flexible set of structures that can enable the system to be accessed easily and quickly through a variety of different gateways. The structures need to be able to support:

- identification of competences for main manager/potential manager or leader roles at a national level
- links with a variety of other agencies to support learning
- audit of individual or organisational learning needs against agreed national competences
- links to learning resource centres and other regional and local networks
- learning links to e-learning resources, study resources, case studies and evidence based research, information on training and learning provision, learning programmes and qualifications
- gateways in a variety of other agencies' websites.

A model of the signposting system for social care leaders and managers is presented in diagram 8 (next page). This represents an overview of the whole system with each box being a single module that can be developed separately. This will allow the signposting system to be developed in stages and incorporate work being done elsewhere.

A number of positive outcomes could result from the use of the signposting system:

- creating a competence profile of an individual leader or manager
- creating an organisational competence profile for a role, such as first line manager
- identifying individual and organisational learning needs
- finding learning resources and programmes to meet defined needs
- matching competence profiles to appropriate qualifications
- identifying a suitable qualification provider from the wide range available
- offering guidance for new and potential leaders and managers.

Diagram 8   *Signposting system for social care leaders and managers*

Signposting gateway

Employers and HR - profile key management roles against leadership and management standards
Leaders and managers - select relevant competencies for your role
Access for specific roles: registered managers, owner managers, new managers

Select leadership and management competencies

National leadership and management standards
Specialist and contextualised leadership and management standards
Joint and partnership working standards

Leadership and management qualifications

Match organisational competence requirements against qualifications
Match individual competence profiles against qualifications

Audit learning needs against competencies

Identify organisational learning needs
Identify individual learning needs

Select qualifications

Choose appropriate qualifications based on competence profiles and learning needs

National learning resources

Use web links to identify appropriate resources to meet organisational and individual needs
Access to e-learning and other learning opportunities

Identify qualification providers

National providers

Regional learning resources

Links to 9 Topss regions
Links to regional learning resource centre networks
Links to sub-regional and local learning resources
Access to e-learning opportunities

Identify local qualification providers

Regional providers
Sub-regional providers
Local providers

Outcomes

Competence based profiles for organisations and individuals, forming the basis of a personal management specification
Access to learning opportunities based on individual and organisational needs
Identification of learning providers
Identification of qualification providers

Product 4 is a summary of **national signposting links**. This illustrates some of the links that could be included in the national learning resources box identified in the diagram above.

12.4 Infrastructure

The modular framework described above needs an infrastructure of databases and functions to underpin it. The main database and function requirements are identified in table 14.

Table 14	Databases and functions
Infrastructure requirement	**Description**
Database 1 Standards	All relevant national occupational and other standards: generic, specialist and partnership
Database 2 National providers	National providers of leadership and management learning and qualifications
Other databases Regional providers	Nine databases identifying regional and local providers of leadership and management learning and qualifications
Function 1 Competence profiles	Tool to develop competence profile through the selection of relevant competences
Function 2 Learning needs audit	Tool to audit learning needs against agreed competence profiles
Function 3 Matching profiles	Tool to match profiles with qualifications

12.5 Implementation issues

Implementation of the signposting system will require significant investment of resources. In particular, it will need:

- a strategic project co-ordination function, to draw on work going on in a number of other agencies such as the NHS and central government and liaison with other key organisations
- website development, including appropriate functions and databases
- maintenance of the website, including updating of the underlying databases and learning and information links.

Recommendation 12
Develop national signposting system in partnership with other agencies. Disseminate an electronic version of the exemplar of national signposting links through the Topss England and related websites (product 4).

13 Implementation and dissemination

13.1 Progressing the leadership and management strategy

Effective dissemination of the products developed by this project is essential for the implementation of the strategy and for wider awareness of the issues it has identified. Areas of further work need adequate funding if they are to be carried forward and made use of in the social care sector. Implementation needs to cover:

- further field testing and development of the suite of project products
- further work on qualifications
- developing leadership and management learning
- developing effective data for workforce analysis and planning
- marketing and dissemination
- costings, funding and project management.

Discussion of these issues is covered in the rest of this section. The main project recommendations are summarised in section 14.

Addressing the strategic context of leadership and management development will require a new approach to implement a whole systems model and address the identified blocks. This change will need to happen at a number of different levels and involve national and regional collaboration as well as organisational and individual commitment. The table below summarises some of the changes that will be needed at different levels for effective implementation.

Table 15	Levels of change
Level	**Changes**
National	- Greater co-operation between a range of national bodies to ensure a co-ordinated approach to the development of a flexible range of programmes and materials, appropriate to the whole range of social care agencies - Consideration of a common approach to the use of national occupational standards/competences for leadership and management development - Ensure sector-based qualifications link with the national and post qualifying framework
Regional	- Identification of providers at a regional level who are prepared to offer flexibility in tailoring programmes to meet social care requirements—this could involve Topss England regional networks - Development of partnerships of learning and qualifications commissioners to increase buying power and ensure consistency of approach - Support for small independent agencies to access appropriate learning on the job - Encouragement for colleges and other potential providers in regions to develop appropriate provision where there is a lack - Creation of strategic learning partnerships involving managers, commissioners and providers of learning
Table continues on next page	

Table 15	Levels of change, *continued*
Level	**Changes**
Organisational	• Policy on leadership and management development taking account of all managers and potential managers • Learning infrastructure for identifying needs, supporting on and off the job learning, monitoring and evaluating learning—this may include mentoring, coaching, shadowing, secondments and projects • Access to ICT and development of IT skills to support open, distance and e-learning—this is likely to be particularly significant for small organisations, where extended time for learning off-site is difficult to arrange • Learning modelled by all managers through CPD • Planned learning opportunities from induction and throughout careers • Succession planning supported by access to appropriate qualifications and learning • Positive action learning to target under-represented groups • Make time available to allow integration of learning with the busy working lives of managers
Individual	• Participate in regular supervision and appraisal • Commit to implementing your personal development plan • Participate in continuous professional development • Monitor and evaluate your own personal learning and progress towards development targets

Recommendation 13

National bodies should work through a strategic committee to implement the strategy and develop a co-ordinated and consistent approach to:

• agree funding

• develop learning resources

• apply national occupational standards for leadership and management development and qualifications

• develop regional resources such as learning resource centres

• research into best practice

• review and update the strategy and products.

13.2   Developing the products

13.2.1   *Statement for a Leadership and Management Strategy for Social Care (product 1)*

The statement for a leadership and management strategy for social care: what leaders and managers in social care do, has been the subject of consultation with the Leadership and Management Strategy Project Steering Group. In addition, feedback has been received from project workshop participants. The statement is short and could easily be turned into a leaflet, which could stand on its own or also as part of a wider set of project products.

13.2.2 Whole Systems Model (product 2)

The 'whole systems' model has been devised to support the social care sector with implementing the Topss England leadership and management strategy. The model for leadership and management development is based on social care principles and values, which will integrate individual and organisational development, promote good practice and provide clear direction. The model looks in an integrated way at the individual manager or leader, the organisation and partner agencies. It has been consulted on widely within social care and feedback from this process has been used to improve the model. It complements the statement (product 1) and it would be helpful to disseminate it together with the statement. It could be made available in electronic form, either on CD-ROM or through a download from the Topss England website. It could also be produced as a printed report.

13.2.3 Mapping of Competences (product 3)

Significant development work will be required to turn the map of competences into electronic form. This will have two key benefits:

1. It will enable managers to complete quick searches on the resulting database, checking the content of relevant units of competence and matching these to job roles.

2. The database will be a key mechanism for the national signposting system, allowing managers to create and update competence profiles, which will help to identify learning needs.

As well as designing the database, there will be work to input the competences. There will also be a maintenance function to ensure the database is up to date. The database could be made available on CD-ROM and as part of the national signposting system (see product 4, below). Once PQ standards are agreed, they will need to be added to the map as well.

In the future there may be a need to develop standards to cover the role of service users and carers as managers of their own services. This will involve mapping the service user manager or leader role against existing competences and identifying gaps. This recommendation emerged from service user consultation workshops to support access to learning for user-led management of services.

> **Recommendation 14**
> Consult with service users and carers on options to develop competences to underpin support and learning for service users and carers managing services.

13.2.4 National Signposting Links (product 4)

Development and implementation of the national signposting system will require significant investment of resources. Topss England may want to take the lead on project managing development work, but the role and involvement of other national agencies will be critical to success. Other agencies that it may be useful to involve in a development group are SCIE, NHSU, the NHS Leadership Centre, DfES and DH and representatives of the private and voluntary sector. The stages of this development would be:

* further mapping of existing resources and databases that could underpin the system
* agreeing hosting arrangements for the signposting system, including links to the Topss England regional Learning Resource Centre Networks
* agreeing a website specification

- commissioning the development work

- implementing the system and promoting access to it.

The national signposting links exemplar could be placed on the Topss England website and other relevant websites and accessed by leaders and managers from there.

13.2.5 CPD Guidance (product 5)

The CPD guidance provides a good practice exemplar for leaders and managers. Implementation of the model is linked to the map of competences (product 3). It includes the person management specification and a team leader example. It should be possible to make this available as a stand-alone product or linked to the whole systems model. It will be particularly valuable to the human resource function in larger organisations. All organisations will be able to improve their manager job descriptions and person specifications by making use of the person management specification. There would be an advantage to disseminating this product electronically as it could be distributed with blank forms that could be completed by leaders and managers to develop their own specifications, based on an appropriate selection of competences.

13.2.6 A Draft Unit of Competence on Supervision (product 6)

It is recognised that supervision plays a pivotal role in linking management and leadership practice with professional practice. The draft unit of competence will need further consultation with social care leaders and managers, with other relevant sectors and SSCs, followed by redrafting and approval from Topss England as a unit of competence. It will also need to become an approved national occupational standard (NOS) that can sit alongside others within the Topss UK Partnership framework of NOS. In the leadership and management competence map it would be included in the specialist section, closely linked to the Managers in Residential Child Care Unit 12, 'Take responsibility for the continuing professional development of self and others'. It could become part of a core set of competences for managers in a range of related sectors.

To allow for the consultation required for this product, it will be published later than this report and the other products listed here.

13.2.7 An Evaluation Guide for Leadership and Management Development (product 7)

The evaluation guide provides advice for agencies on good practice in validating and evaluating the impact of investment in leadership and management development and qualifications. It is proposed that the model should be tested in a range of agencies and case study material on implementation developed. This could make use of the SCIE human resources network. The case study material will complement the guide and make it easier for agencies to understand and implement it.

13.2.8 Final Report

This final report and implementation framework summarises the key project outcomes from June 2003 to August 2004. It is proposed that it should be widely disseminated through:

- Topss England national and regional networks

- Topss England website

- steering group members and their networks.

There would be benefit in launching the final report and those completed associated products at the annual national social services conference in October 2004. Further launches could take place on a regional basis, using a specially designed employer implementation pack incorporating the main project products.

> **Recommendation 15**   Design and launch an employer implementation pack.

13.2.9   Summary of product implementation and costings

Costings are based on production of 4,000 paper copies and 4,000 CD-ROMs.

Table 16	Product development and costings		
Product	**Development**	**Possible timescales**	**Costings (£)**
Product 1 The statement	Design as leaflet and print	By beginning October 2004	4,000
Product 2 Whole systems Model	Produce as a printed report	By beginning October 2004	3,000
Product 3 Mapping of competences	Update competences and produce as an electronic database	By beginning October 2004	1,000
Product 4 Signposting system	Scoping work to: Develop specification Build development partnerships	By 31 March 2005	30,000
Product 5 CPD framework	Develop paper and electronic versions	By beginning October 2004	1,000
Product 6 Supervision unit	Consult widely on draft unit Redraft unit and finalise	By March 2005	7,000
Product 7 Evaluation framework	Field testing model in three agencies Develop framework with case studies	By March 2005	10,000
Report 12 The final strategy report	Produce as a printed report and on CD-ROM with the other products	By beginning October	3,000
Social care employer implementation packs	Develop printed package with presentation materials based on the 7 products Provide launch events	By 31 March 2005	25,000
Total product development costing		By 31 March 2005	84,000

13.3   Qualifications

The steering group preference is for a range of highly flexible awards, linked to the person management specification, to meet the needs of the diversity of leaders and managers within social care. This means that further development work will be required in a number of priority areas:

- A recognised learning process for the transition into management. This could be an induction and foundation programme underpinned by relevant standards.

- A relevant qualification for all first line managers not covered by the Registered Managers Award.

- Flexible structures to meet the needs of the diverse groups of managers within social care including a modular and unitised qualifications framework.

- E-learning and open learning to enable managers to access learning at a pace, place and time of their choosing. Managers need to have the necessary skills to use these methods.

Two factors will be significant in supporting this development work. First, the Management Standards Centre has developed draft leadership and management qualifications from the new national occupational standards. These were consulted on with the awarding bodies in July 2004. Any new awards could be tested for their relevance and appropriateness for the social care sector. Second, the development of an electronic database of competences (product 3) could provide a useful source of competences, which could be clustered together in a number of ways and approved by awarding bodies as leadership and management qualifications specific to social care. Feedback has indicated that a significant gap in existing competences is a unit on supervision. Developing and agreeing the supervision unit (product 6) could provide a unit essential to the core of any new awards.

There will be significant project management and development costs associated with this work. The cost estimates are based on 24 days' consultancy time at £450 per day making a total of £10,800. This will fund further research on qualification requirements for all types of managers and resulting proposals to the Department of Health and the Department for Education and Skills for changes as part of the review of national minimum standards. The project suggests that a key area will be the development of further appropriate qualifications for first line managers and an implementation plan for those managers without relevant qualifications to gain them. There would be additional costs associated with such a development.

13.4   Developing leadership and management learning

Developing leadership and management learning will need greater co-operation between a range of national bodies to ensure a co-ordinated approach to the development of a flexible range of programmes and materials, appropriate to the whole range of social care leaders and managers. In some instances, the Topss England role may be to recommend learning resources and programmes offered by other national agencies. In other situations, there may be a need to develop new materials and programmes to support access to new qualifications. Partnerships with agencies such as the NHS Leadership Centre, NHSU, SCIE, Employers' Organisation and representatives of private and voluntary networks are likely to be key to progressing these developments.

Managers are looking for a one-stop shop for qualifications and assessment. Topss England will need to influence awarding bodies and higher education institutions to develop and offer more dual qualifications, combining academic and NVQ credits in flexible and innovative ways.

Other changes will be needed to create a culture of leadership and management learning in agencies:

- The development of strategic partnerships with local training and education providers, extending the remit of the learning resource centre networks to make leadership and management one of their priorities.

- Using partnership networks as opportunities to extend on the job learning through work exchanges, shadowing, projects, placements and meetings.

- Creating joint management learning opportunities with other agencies possibly through the leadership centres for health, education and local government.

- There is a need for a range of delivery methods—opportunities should be found to modularise flexible learning resources, which could be accessed in a number of ways. These may include traditional training programmes, open learning, e-learning, or elements of each such as 'blended' learning.

- Supporting local positive action initiatives to complement national programmes in helping develop leaders and managers from under-represented groups.

- Creating opportunities to support training consortia to play a lead role in commissioning appropriate learning programmes from local providers.

These changes will need greater co-operation between a range of national bodies to ensure a co-ordinated approach to the development of a flexible range of programmes and materials, appropriate to the whole range of social care leaders and managers. This flexibility would permit their use in national programmes as well as for agencies at a local level.

There may be a number of funding implications to progressing these changes:

- Meeting the costs of developing national learning programmes and positive action initiatives.

- Funding partnerships with learning providers to develop flexible learning resources to support access to foundation programmes or new qualifications.

- Pump priming pilot schemes and other innovative projects.

It is not clear whether learning resource centre networks will require additional matched funding to support leadership and management learning, or whether funding will be available from their existing overall budgets for 2005–2006.

13.5   Data for workforce analysis and planning

Changes in the inspection of services could provide an opportunity to gather more regular and accurate data on numbers of managers and supervisors in the voluntary and private sectors. Further development work is needed to cover:

- a defined common set of categories for leadership and management in social care, which will allow comparability

- consistent reporting of diversity monitoring to help to build up a more detailed profile of the management and supervisory workforce (gender, race, disability, and age)

- qualitative data on access to learning opportunities that would help to explore in more detail CPD issues and processes for managers. This data would need to be gathered on the basis of an agreed definition and categorisation of learning opportunities and qualifications.

It is proposed that the work on data gathering should be co-ordinated by the Topss England Workforce Intelligence Unit (WIU), with support from other national agencies, particularly the Commission for Social Care Inspection. It is not known to what extent this work can be integrated with the existing work of the WIU and this makes it difficult to estimate the additional costs involved.

13.6   Marketing and dissemination

Effective marketing and dissemination of the project strategy and its associated products will require a number of activities, many of which will need to take place from the autumn of 2004. The main proposed activities are:

- a launch at the national social services conference
- a series of regional launches
- developing an employer's implementation pack, including a CD-ROM
- a dedicated part of the Topss England website devoted to leadership and management issues
- dissemination of leadership and management issues through the emerging learning resource centre networks at Topss England regional and sub-regional levels
- dissemination of the strategy and associated products through the partner agencies represented on the steering group.

Costings for these have been included in the table in section 13.7.2.

Further activities would be required to support wider dissemination from April 2005.

13.7   Costings, funding and project management

13.7.1 Project management
There are a number of project management activities which will be necessary to successful project implementation. These activities are in addition to those identified above and will have cost implications. The main project management functions are:

- co-ordination of product development, design and production.
- co-ordination of a range of strategy launches.
- managing the development of the national signposting system.
- liaison with other leadership centres and related sectors, such as health, local government and education.
- liaison with Topss England regions.

The cost estimates are based on 20 days' consultancy time at £470 per day making a total of £9,400.

13.7.2 Costings
Costings cover the initial development and implementation phase of the project strategy up to the 31 March 2005. A summary of costs is given in the table below.

The project has conducted an initial analysis of costs of qualifications and some management and leadership development programmes. These are included with a summary in appendix 2. They will be helpful in estimating the costs of implementing recommendations.

Table 17 Development and implementation costs	
Development activity	**Costings (£)**
8 products and implementation packs	84,000
Research on qualification requirements	10,800
Consultancy costs	9,400
Total	104,200

13.7.3 Funding

Funding of the first phase of development has been estimated at about £104,200 and could be completed by the end of March 2005. However, additional funding will be required for April 2005 to March 2006 to support phase 2 implementation and embedding of the changes proposed by the project. This funding would need to support:

- implementation of any required qualifications, though this may roll out over a number of years
- development of national learning resources
- further practical guidance with case study material across the range of social care agencies, on how to maximise the benefits of the project products, both for leaders and managers and those with a human resource role
- maintaining and updating key project developments such as the database of competences and the national signposting system
- further development of competences and awards, for example for service user managers
- further funding to support recommendations and implementation issues where funding gaps are identified in the implementation phase.

The project has summarised guidance on funding for organisations and individuals, see appendix 1.

13.8   Implementing the strategy

Topss England and its national partner agencies will want to agree a way to implement the strategy in the light of this final report and the recommendations contained in section 14. Implementation could be planned in two phases:

- Phase 1, September 2004–March 2005: further development of products such as the national signposting system, and launches, using employer implementation packs.
- Phase 2, April 2005–March 2006: wider dissemination through employer networks, workshops to review learning from implementation and refine project products, making use of Topss England regional learning resource networks and links with partner agencies.

Recommendation 16   Agree responsibilities and timescales for implementation of the strategy.

✶ ✶ ✶ ✶ ✶

A list of all the recommendations in this report is given in the executive summary.

Appendix 1   Guidance on funding

Learning and Skills Council (LSC) Help desk: 0870 9006800 www.lsc.gov.uk	General information • Social care is a national LSC priority. • Any employer can liaise with their local LSC to discuss the needs of their workforce and identify opportunities for financial support. • This can include apprenticeships and access to support from further education colleges, support for business, basic skills, life skills and vocational training. Management and leadership initiative • See Business Link below
Regional Development Agencies (RDA) www.rdauk.org Check the website for your regional contact in the Skills Team.	• Aim for sustainable economic development and to meet skills shortages. • Each RDA has its own regional economic strategy, developed in partnership with regional players. • All have a focus on leadership and management skills. • RDAs do not fund individuals or businesses. • Contact your RDA for details of your Regional Skills Partnership
Business Link 0845 600 9006 www.businesslink.gov.uk Contact the national hotline or website to find your local Business Link	Management and leadership initiative • Targeted at managing directors, chief executives and owner managers of small to medium sized enterprises with 20–249 employees in all sectors. • Open to private or not for profit sector. Not targeted at NHS, local authority or public sector. Can apply to sub-contractors. • From September 2004 until March 2006. • Initial assessment of need through a Business Link adviser. Funding of £1000, which is brokered, available to contribute to training or qualification costs. • Social care owner managers could use this funding to access the Registered Manager Award.
Social Care Institute for Excellence (SCIE) www.scie.org.uk Check the website for details of forthcoming development programme for leaders in social care.	Leadership development programme • Programme to start March 2005. • Recruitment to programme from autumn 2004. • First year will focus on directors of social services, social care in health and in non-statutory social care sector. Funded by DH and the Modernisation Agency.
Department of Health (DH) Customer Service: 020 7210 4850 www.dh.gov.uk	Has two funding streams allocated to local councils. 1. National Training Strategy Grant for local councils • Varies by council and allocated using funding formulae. • It is annual and ongoing. • Awarded automatically to local councils. DH provides guidelines on how much should be spent on training managers, and how much should go to private and voluntary sectors. 2. Human Resources Development Strategy Grant • Varies by council and allocated using funding formulae. • Annual and ongoing. • Awarded automatically to local councils. The focus is on improving human resources (HR) management.
Office of the Deputy Prime Minister (ODPM) 020 7944 4400 www.opdm.gov.uk or www.direct.gov.uk	Local Authority Intervention Division: 020 7944 5191 Undertakes capacity building in local authorities. The focus is corporate, rather than department specific. Within this scheme there is scope for national projects. The division also links to DH for health related activities.

Appendix 2   Costings

The project investigated the costs of a number of well-known management programmes and found wide variations. This makes it difficult to estimate the funding requirements for large scale implementation of required qualifications. The table below summarises the range of costs of some well-known types of award.

Table 18 Costings summary	
Award	**Range of costs of registration and award (£)**
MBA	10,000–16,000
Diploma in Management	1,500–6,000
Diploma in Managing Health and Social Care	1,850
Certificate in Management	1,500–2,500
Certificate in Managing Health and Social Care	1,450
Level 4 Registered Manager	1,500–2,500
Level 5 Management	2,000–4,000

One organisation estimated the total cost of the Registered Managers NVQ Award at between £6,000 and £8,000. This estimate includes registration fees, resources and additional costs for the release of managers from their jobs.

Table 19 Example management programmes with duration & costings		
Open University		
MBA	Modular, average 3½ years	£10–11,000
Diploma in Management	1 year	£2,470
Professional Certificate in Public Management – with a not-for-profit pathway available (potential to first line managers)	1 year	£2,300
Kings Fund		
Executive women	12 days in modules	£4,900 + VAT
Top Managers	29 days over 4 modules	£8,500 + VAT
Senior managers	25 days over 5 modules	£6,750 + VAT
Warwick University Business School		
MBA in Public Administration	3 years	£16,000
Post graduate diploma management	18 months	£5–6,000
Post graduate diplomas Public sector with specific focus i.e. finance in health	18 months	£5–6,000
Table continues on next page		

Table 19	Example management programmes with duration & costings, *continued*	
Cranfield		
Business Leaders programme – top executives senior level	12 days residential plus 24 hour review	£10,600+VAT
Advanced Development Programme – potential senior/executive level	15 days residential plus 24 hour review	£12,500+VAT
Cranfield General Management Programme	12 days residential plus 24 hour review	£10,100+VAT
General Management Potential – beginning of management career	12 days continuous or modular plus 24 hour review	£7,900+VAT
Westminister Social Services		
Aspiring Manager Coaching Programme		£8,000 for 12 places, or £667/person
In-house Introductory Diploma		£500/person
In-house Diploma in Management		£1,900/person
Level 5 Diplomas		£2–4,000
Leadership programmes		£2–5,000 depending upon length
360 degree appraisal		£1,200 set up, + £150/person for reports
De Montfort University		
MA Applied Health Studies	F/T 1 year	£3,000
	P/T flexible, min 2 years max 6, to meet needs of participants	£3,000
Diploma in Managing Health & Social Care	Distance learning – 9 months	£1,850
Certificate in Managing Health & Social Care	Distance learning – 9 months	£1,450
IDeA		
Black Managers Programme	Development programme over a year with facilitated components, coaching/ mentoring	£3,500

Appendix 3   Leadership & Management steering group members

Vic Citarella (Chair)	Local Government Association, Topss England board, & Chair, Topss NW
Gill Bailey	Association for Real Change
Andrew Cozens	Association of Directors of Social Services
Sally Weeks	Barnardos / Topss London
James Clegg	BUPA
Angela Forrest Chris Johns	Commission for Social Care Inspection
Cheow-Lay Wee Helen Kay	Department for Education and Skills
Lionel Took	Department of Health
Cyndy Whiffin Steve Trevillion	General Social Care Council
Angie Todd	NATOPSS – Learn to Care
David Barnes	NCH
Erica De'Ath Rebecca Edwards	National Council of Voluntary Child Care Organisations
Christina Pond Clare Scott	NHS Leadership Centre
Nick Johnson	Social Care Association
Patricia Kearney	Social Care Institute for Excellence
Peter Williams	Topss England board – service user representative
Glynn Jones	Worcestershire County Council
Richard Banks	Topss England (head of policy development & implementation)
Maria Lagos	Topss England (project manager)

Consultants:	HZ Management and Training Consultancy
Suzanne Lyn-Cook Fran McDonnell Barbara Mason Harry Zutshi	

Acknowledgements

Endnotes

1 McDonnell, F. Leadership and Management Development *Scoping the Project* (Feb 2003) Topss England
2 Draft National Occupational Standards for leadership and management (2004) Management Standards centre
3 *Managers and leaders: raising our game* (CEML 2002) Full report available from www.managementandleadershipcouncil.org
4 *Managers and leaders: raising our game* (CEML 2002) Full report available from www.managementandleadershipcouncil.org
5 *Strengthening Leadership in the Public Sector* Cabinet Office/PIU (2001)
6 *Managing for Excellence in the NHS* www.doh.gov.uk/managingforexcellence/nat-action.htm
7 Leadership Qualities Framework www.nhsgroups.com/excellence
8 An Emerging Strategy for Leadership Development in Local Government. The Leadership Commission (Employers Organisation/IDeA 2004)
9 See www.inspirelearning.org.uk
10 Modernising the Social Care Workforce – the first national training strategy for England (Topss England 2000)
11 *Overview of Seven Years of Joint Reviews* (2004) Audit Commission
12 National Occupational Standards for Managers in Residential Child Care, Topss UK Partnership 2003
13 *Managers and leaders: raising our game* (CEML 2001)
14 www.managers.org.uk
15 SCIE Practice Guides, www.scie.org.uk/publications/practiceguides/index.asp
16 Gorman, P. *Managing Multi- disciplinary Teams in the NHS* (1998) Kogan Page
17 EFQM www.efqm.org
18 Bramham, J. *Benchmarking for People Managers A Competence Approach* (1999) Institute of Personnel and Development
19 *Managers and leaders: raising our game* (CEML 2001)
20 *Managers and leaders: raising our game* p41
21 Report 2 Management and Leadership Learning

Leadership & Management
– a strategy for the social care workforce

This major report is published with the approval of Topss England's leadership and management 'task and finish' group. It is a significant contribution to implementing *Modernising the Social Care Workforce*, the national training strategy for social care, and its supplementary report on management development (Topss England, 2000).

Topss England's Department of Health funded leadership and management project, as well as reporting the state of affairs and making recommendations for action in this report, has also developed a comprehensive set of 'products' to enable managers across the sector to implement the recommendations. Six of the seven products are included in the pack in which this report is distributed. They are:

1. *What leaders and managers in social care do* – a statement on leadership and management in social care

2. The 'whole systems' model, including a 'person management specification'

3. Mapping of leadership and management standards

4. National signposting links

5. Continuing Professional Development

6. A unit of competence for conducting supervision (this product is not included here, as it will be further consulted upon before publication)

7. A guide to evaluation.

These products are commended to all managers and leaders in social care – both adults' and children's services – including service users who are employers under direct payments schemes. Together the products make for a very thorough piece of work that will reward well time spent working through them and applying them to particular settings.

The products are included on the CD-ROM in the pack so copies can be made as required. Further copies of the pack are available on request, and Topss England can also supply stocks of product 1 (the statement) for organisations to distribute more widely.
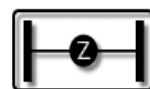
August 2004

Topss England's leadership and management 'task & finish' group included representatives from:

Researched and compiled by **HZ Management and Training Consultancy**

Project manager at Topss England: **Maria Lagos**
Topss England is the employment-led strategic body for workforce development in social care.

Topss England, Albion Court, 5 Albion Place, Leeds LS1 6JL   www.topssengland.net