

**LEADERSHIP AND MANAGEMENT DEVELOPMENT  
IN  
SOCIAL SERVICES ORGANISATIONS**

**SHORT LIFE STUDY**

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# **LEADERSHIP AND MANAGEMENT DEVELOPMENT IN SOCIAL SERVICES ORGANISATIONS**

## **Section 1 Introduction and methodology**

### **1.1 Introduction**

The Scottish Executive commissioned this short life study in January 2005 as a follow on study to the work completed and published in January 2003 on Leadership and Management in Social Work.

The aim of this second study is to look at what has changed in the intervening period and to set this against developments in other public and private services, nationally and internationally, with a view to arriving at some robust recommendations for a way forward in the development of high quality leaders and managers for social services organisations, the profession of social work and the delivery of social care services.

### **1.2 Scope of the Study**

The study has been designed to take an approach that will deliver a report that can:

- Identify what has changed in the provision of leadership and management development for social services staff in the statutory, voluntary and independent sectors since January 2003.
- Review progress in leadership and management development in the wider public services, nationally and internationally and identify examples of excellence that provide useful learning/input for the national leadership and management development strategy for social work services.
- Review progress in leadership and management development in leading edge private and not-for-profit organisations working both within the UK and on a global basis, and identify examples of excellence that provide useful learning/input for the national leadership and management development strategy for social work services.
- Review the recent major reports on social work such as Caleb Ness, Borders, Climbie etc and identify the key leadership and management lessons that should be addressed through a comprehensive leadership and management development strategy.
- Review current leadership and management theory and recommend constructs and approaches that are most applicable to the social work services context and that could underpin the national strategy.
- Review the roles taken by different parties in the development and implementation of training and development strategies including the role of central government, local service systems and provider organisations.
- Prepare recommendations for a comprehensive national strategy on leadership and management development, and undertake consultation on those recommendations to test their viability with the Scottish Executive, Local Authorities, and voluntary and independent providers of social services.
- Prepare recommendations that clearly identify the legitimate roles to be taken by the different parts of the system including Scottish Executive, Local

Authorities, voluntary and independent sector providers of service and training and development providers etc.

### **1.3 Methodology**

The study has used a number of approaches to try and arrive at robust recommendations. It has combined some desk-based reviews of reports and literature on both social work services issues and on developments in leadership and management development. It has used outline questionnaires and interviews to gain detailed sample information on developments in practice in Local Authorities and Voluntary and Independent sector providers of Social Services in Scotland and it has used some web search to garner information on new developments in theory and practice in the development field. Finally the study has used the evaluation reports on the current “Leading to Deliver” programme and the feedback from the “Leading to Deliver” Development Forum events that have taken place for alumni of that programme and their managers over the winter and spring of 2004/2005.

### **1.4 Structure of the Report**

The Report is divided into a number of key sections:

Sections 2 – 4 review current practice in the Voluntary and Independent Sectors in Scotland, and in Local Authorities, and in section 4 review the learning from the evaluation of the “Leading to Deliver” programme and the Development Forums.

Section 5 reviews key issues identified in the recent national reports in social work services.

Section 6 focuses on learning from other public and private sector organisations, both nationally and internationally and reviews some recent development in the theory and practice of leadership and management development.

Section 7 summarises the key issues and provides some recommendations for the way forward.

## **Section 2 Voluntary and Independent Sector**

### **2.1 Research Sample**

The approach taken to garner this information was a combination of questionnaires and telephone interviews. 12 organisations were approached and robust information was gained from 6 of them, and then further tested with a sample of participants from the “Leading to Deliver” programme who are drawn from these sectors. Whilst the sample number is small, the information is robust and general enquiries suggest that it is indicative of practice in the larger organisations in this part of the sector.

### **2.2 Current levels of provision**

As was discovered in the original report of January 2003, the larger organisations in this part of the sector are investing significantly in leadership and management

development. For the most part no clear distinction is being drawn between leadership and management and the programmes of development contain elements of both. The smaller organisations in the sector are limited by the availability of resources and are currently trying to take maximum advantage of the “Leading to Deliver” programme where the Scottish Executive funds places. Beyond the availability of such subsidised programmes the smaller organisations are providing minimum in-house training to meet their statutory responsibilities.

Of the 6 organisations that provided robust and detailed information, 5 had significant programmes in place, which are largely provided by in-house learning and development teams.

The programmes ranged from a 12 day non-accredited in-house course covering problem solving, leadership v. management, managing change, teamwork and motivation, selection interviewing, supervision, appraisal and influencing to a management programme with a portfolio for continuous professional development and foundations of management using SVQ levels 3 & 4. This programme covers managing people, resources, activities and quality. In contrast one organisation has a tailored management programme provided by Stirling University for all levels of management that is assessed by 5000 word submission and accredited at 30 CATS points at MSC Social Care.

Whilst the provision of training is largely by in-house teams this is supplemented in one case by some additional input from the Strathclyde Business School. A number of the other organisations contacted during the research commented that they are also seeking to bring some of the learning from “Leading to Deliver” in-house to add to existing learning modules.

In terms of accredited outcomes the numbers of managers gaining awards is evenly split between the Post Graduate Certificate from the “Leading to Deliver” programme, the Registered Managers Award and SVQ level 4 Managing Social Care. In addition a smaller number of managers are achieving SVQ level 3 awards in Managing Social Care and Fundraising. The numbers completing non-accredited programmes are significantly greater at this stage, but no form of assessment of competence is included.

One noticeable change in content from the previous study is the inclusion of work, in at least one major organisation, on working with the media and partnership working.

### **2.3 Gaps in provision**

The organisations themselves identified the following clear gaps in provision:

- There is no leadership or management programme for new managers, and individuals are still being promoted on the basis of their professional expertise and then expected to take on a leadership and management role.
- This gap in provision is resulting in a group of managers being in post with minimal procedural training and with clear gaps in their knowledge around managing people, managing resources and planning and managing programmes or projects.

- Equally there is a significant gap at the strategic business planning level.
- There is no spread or range of programmes with a clear pathway linked to progression that enables managers to see what they may require at different levels of management within the organisation.
- Programmes are largely based and run for individuals rather than for teams, with little or no time given to embed the learning with the team on the return from training. .
- This reflects the relative lack of provision of training in issues concerning managing a team such as communications skills, roles and responsibilities, delegation, team financial management and time management/work planning for a team.
- Programmes are largely organisation specific. Only “Leading to Deliver” offers the opportunity for staff to train and develop with colleagues from other organisations across the sector.
- There is little provision for CPD in leadership and management, which further exacerbates the lack of time and resource given to embedding the learning from the training that is available

## **2.4 Use of e-learning**

Whilst one organisation is currently looking at the development of some e-learning approaches, there is generally no comprehensive usage being made of e-learning resources. This means that all training is taking place in a classroom-based model, requiring staff to travel to a central location. For organisations with a wide geographic spread this is adding to cost and reducing the number of places for training that can be offered.

For one organisation the issue of access to technology continues to pose a problem and for another the issue of staff skills was raised as a barrier to using e-learning approaches.

In general, whilst e-learning is not being utilised there was some real interest in moving in this direction, but with a preference for training and development to take a blended approach, thus ensuring that face-to-face development continues to play an important part.

Experience of “Leading to Deliver” participants with ‘Knowledge Exchange’<sup>1</sup>, is starting to demonstrate the value of an on-line resource that enables individual managers to link with colleagues across the sectors to thereby share practice and learning.

## **2.5 Other Development Approaches**

The major difference from the previous study is the usage being made of other learning and development approaches. Action Learning Sets are now being used in 4 of the organisations that gave detailed responses, secondments figure as part of the development portfolio of 3 of the organisations and mentoring, using an in-house

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<sup>1</sup> Knowledge Exchange is an online web based forum for Health and Social Care Managers to connect and share information and ideas <http://www.theknowledgexchange.co.uk>

scheme has been implemented in at least one of the organisations, with use of “Leading to Deliver” mentors being continued in some of the other organisations.

Whilst this growth in the use of other development approaches is significant, their linkage to formal programmes seems to be fairly loose and there is a question about the strategic use of such methodologies. We were not provided with copies of any strategic development plans and so are unable to validate this view, but it is worth further investigation.

## **2.6 Future demand/desires**

All of the organisations approached expressed real appreciation for the “Leading to Deliver” programme. This programme provides opportunities, quality and depth that they are unable to provide on their own, and would be unable to afford were the programme not being funded by the Scottish Executive. In particular the opportunity to work with managers from across the sector was cited as a major plus from the programme, this broader perspective enables managers to explore new ways of thinking that are not possible when training and development is confined to a single organisation.

All of the organisations expressed some wish to broaden learning opportunities still further so that links with partner organisations in health and education could be fostered through training and development and not just through contract arrangements for the provision of services.

Some reservations were expressed about learning from the commercial sector, which was slightly ironic given the status of some of the independent organisations involved in social services.

## **2.7 Summary of issues**

Investment in training and development of managers is still very mixed, with smaller organisations struggling to find the resources necessary to both buy in the training and release staff to undertake it.

No one competency model or professional management or leadership model is being used, the only common core standards being provided by SVQs in Social Care or the Registered Manager award. This lack of a coherent national model or framework is seen as an inhibitor to the progression and movement of staff.

Little distinction is being drawn between leadership and management, and no standards or models for leadership are being consistently used apart from through the “Leading to Deliver” programme. In-house programmes use modules related to both leadership and management interweaved within programmes, and very few organisations have coherent competency or skills profiles for their managerial staff.

Little or no usage is currently being made of e-learning methods to support, supplement or replace traditional classroom-based learning.

The range of training and development methodologies has widened since 2002, but their strategic linkage to formal training remains unclear.

Team development, cross sector learning and partnership working remain major issues to be tackled, the only programme that approaches even one of these being “Leading to Deliver”. Such approaches are being identified by the sector as important but are proving challenging to address.

Discontinuation of “Leading to Deliver” and most critically discontinuation of Scottish Executive financial support for the programme will pose a major problem for the smaller organisations in the sector, and will be a noted loss to even the larger organisations in this part of the sector.

### **Section 3 Local Authorities**

#### **3.1 Research Sample**

The sample taken for detailed research in the local authority group was 12. All of these 12 organisations, drawn to provide a mix of size and geography, have provided both written information and in-depth telephone and face-to-face interviews. Interviews have included both senior staff in social work and senior staff in HR or Training and Development teams from the corporate centre of the authority. This mix of staff is reflected in some of the issues raised. In addition general information has been gathered from most of the 32 Local Authorities in Scotland. Due to the slow rate of response the researchers are continuing to receive information, and that is being used to validate and check the conclusions being drawn in this report.

#### **3.2 Current Provision**

One of the major areas for clarification concerned the level, in terms of hierarchy, that was included in training and development programmes. By and large leadership training was focused on senior managers in the 1<sup>st</sup> to 3<sup>rd</sup> tiers, with work for first line and middle managers being more clearly management development. The scale of provision in terms of both financial spend, and length and depth of the programmes on offer was as dependent on the size of the authority as on any other discernible factor.

There has been a growth in the number of management programmes being run since January 2003 with the vast majority being run on a corporate basis, involving managers from across the whole of the local authority. Again the vast majority of the programmes are being run by in-house training and development teams, with only the smaller local authorities buying-in their provision from consultancies or sending individuals on post-graduate programmes such as that run by Stirling or Glasgow University.

The content of the in-house programmes is largely management development, with some procedural training around core management processes. The significant addition to virtually all of the local authority programmes since the last report concerns modules on managing and leading change. Where leadership development is being introduced it is largely focused on senior staff and is concerned with the strategic

issues for that authority rather than any generic leadership models, however, this is the area where external providers, primarily consultancies, are most commonly used. There are one or two notable exceptions to this, where leadership development has been introduced across the authority and down to at least middle management level, but this is distinctly the exception rather than the rule.

Very few of the authorities have established competency models and this links to the view from the corporate training and development staff that accreditation and measurement against national standards is not an issue, and that they would prefer to spend resources on non-accredited programmes. A small number of authorities are starting to develop their own competency models but there was an interesting reluctance to share this information with the researchers. There did not seem to be any opportunity or mechanism for the corporate training and development teams to develop national standards which could enable staff to transfer more easily between authorities, their focus appears to be being directed to developing the management ethos of their individual authority. However, should the opportunity be given to engage in developing national standards or a national framework there would appear to be real interest in being part of such a process.

The need for established standards or competencies continues to be strongly supported by the social services managers interviewed. They would like to see some national competency models or standards adopted and are very keen to see accredited programmes developed for all levels of management and leadership. This reflects their concerns that the largest proportion of the workforce are not trained social workers and that there is a need for a national approach for the whole social services sector workforce that can support development and raise standards and recognition for skills and professionalism.

In a small number of authorities the provision of training and development has moved beyond the organisational boundaries to include work with key partner organisations, specifically health and the police. This is a very significant development since the last report. Some of this provision is directly related to the implementation of the Joint Future policy, or to the active development of work around substance misuse and child protection, but in at least one authority the partnership goes wider than this and is part of a strategic approach to the development partnership working in support of Community Planning.

For the majority of Local Authorities the only accredited programmes that currently offer opportunities for staff to work across organisational boundaries are “Leading to Deliver” and the Scottish Local Authorities Management Centre (SLAMC) postgraduate certificate in the management of health and social care. The SLAMC programme includes some modules that are not part of the “Leading to Deliver” programme, notably public involvement and facilitation skills. In addition for first line managers some usage is being made of the Institute of Leadership and Management (ILM). Certificate in First Line Management, which is a nationally recognised qualification.

In larger organisations there is evidence of some social services specific activity, particularly around provision of the Registered Managers Award and the Managing Care in Scotland Open University K303. In addition some authorities are making

greater use of the masters programmes run by Universities such as Stirling and Glasgow.

This leads to a rather confusing picture, but with some key strands emerging. The issue of accreditation and the link between in-house provision and accredited awards remains a very mixed one, with different solutions being arrived at in different authorities.

### **3.3 Gaps in provision**

It was noted that the demise of the Regional Authorities has had the impact of reducing the ability of authorities to support specialisms such as social work and social care training and development. As yet there seems to be little co-operation across authority boundaries to provide such training on a cost effective basis, and only the national programmes such as at SLAMC, “Leading to Deliver” or some of the Masters programmes are meeting this need.

Key gaps that were identified included the provision of a “Leading to Deliver” type programme at a national level for senior social services managers, this view has also been supported by many of the participants on the “Leading to Deliver” programme.

Other key issues identified included:

- Provision of easily accessible, affordable and standards based leadership and management development, specifically for first line managers before they take up post as part of some form of induction.
- More opportunities for joint training with other professionals outside of the local authority and specifically for development focused on collaborative leadership, joint budgeting and joint planning.
- External input to in-house programmes or the provision of programmes on a wider base than that of a single local authority.
- More focus on the development of generic management skills with some form of standard or competency model to ensure commonality across authorities and thereby to facilitate the movement of staff.
- Training on workload planning and management.
- Training and development that will strengthen the confidence of social services leaders specifically as both leaders of the social work profession and leaders of change in social care provision.
- Training and development linked to succession planning.

### **3.4 Use of e-learning**

This again brought a mixed response, with authorities that have significant geographic challenges such as Highland, making much greater use of technology to support their training and development strategies.

Generally the view was that this was high on the aspiration list, but as yet little work has been done to support the development of such an approach. The larger authorities, which have both greater resource in terms of staff and money are starting to put more emphasis on this area of development.

The initial experience of 'Knowledge Exchange' for "Leading to Deliver" participants seems to be very favourable and is demonstrating the willingness of staff to use technology as a core learning resource. The issues of lack of availability of technology or lack of basic skills seem to have largely dissipated since the last report. Though a number of authorities raised the issue of access to technology outside of the working day as a problem.

Authorities were interested in programmes being developed that could provide on-line opportunities for knowledge based competency assessment and for some form of accreditation. They were also keen that any such developments should allow for on line learning sets, rather than just content driven learning. This suggests the development of managed learning sites such as 'Knowledge Exchange', supported by a sort of "managers tool kit" of on-line materials that have a clear practical bias, but are backed by robust knowledge and research.

### **3.5 Other development approaches**

There is evidence from interviews that there is increased activity in such areas as mentoring and the development of action learning sets. In at least five local authority areas mentoring or action learning is being used to support the development of partnership working with other agencies, this is largely, but not exclusively, focused on partnerships with health. This is a significant development since the last report and has been driven by the Joint Future agenda. Community Planning is now starting to drive some other partnership learning approaches, and these are likely to expand. Most of these programmes or short life interventions are practically focused and are not related to any standards based programmes of training or development.

With the development of mentoring there are questions about the use of coherent models and standards, and whether the product is more "buddying" than "mentoring" in any professional sense. In at least one local authority a more standards based approach is being taken to the development of mentoring in order to develop some form of quality assurance around the programme and to allow for external evaluation.

Secondments and shadowing are not appearing yet as additional approaches to development, either as part of initial leadership and management programmes or as part of any continuous professional development. On questioning interviewees, both amongst corporate training teams and social services managers these approaches were given support in theory, but lack of both staff and financial resources were cited as reasons for not progressing them further. This was added to a cultural issue that such approaches to development are not yet part of the learning culture in most areas of Local Government. The Scottish Leadership Foundation's experience of running the Local Government/ Scottish Executive exchange scheme supports this conclusion. Real support was voiced for the scheme but the practical difficulties of releasing staff for between 1 and 6 weeks were in many situations seen to be insurmountable.

Evaluation of these different developmental approaches, where they are in place, appears to be largely missing, and there was little evidence offered of robust evaluation of the more formal programmes either.

### 3.6 Future demand/desires

For all the Local Authorities the issues of attracting, recruiting and retaining Social services staff, and particularly managers, is seen as critical. The recent national drives on recruitment and the introduction of graduate status have helped, but this has yet to filter through to management levels. This is then combined with the need to raise management standards and to be able to achieve sustainable change in service design and delivery. Training and development for managers is seen to be one route to solving these issues, but it is still given a relatively low priority. Without any central drive on leadership and management development from either the Authority itself or from the Centre, training and development resource is quickly diverted into more immediate priorities focused on professional and technical training and management is left to “common sense”.

This concern is linked to the growing focus and concern about the lack of effective succession planning. Whilst Local Authorities do not want to fall into the trap of having ‘favoured sons or daughters’, they are worried about their ability to attract or nurture a strong field of candidates for senior posts. Recent problems experienced in one or two specific authorities when trying to recruit suitably skilled and experienced senior staff in social work have highlighted this problem. The lack of easily comparable approaches to leadership and management could be seen as exacerbating this problem, in addition to the historic lack of funding for training and development in this area.

The need for effective collaborative working, both across departmental boundaries within Local Authorities and with partner agencies such as health and the police are seen to be major challenges. The drive for integrated services, particularly in relation to children and young people is also raising questions about the relative standing of different professional groups, e.g. education and social work. For social services this is further complicated by the need to develop effective partnership working with a wide range of voluntary and independent sector providers. The original January 2003 report highlighted the following as key leadership challenges for social work.

- Leading with confidence in professional skills and values;
- Leading multi-professional and multi-organisational teams, with a clear focus on achieving successful outcomes for users and carers;
- Developing greater understanding, skill and experience in planning, commissioning and managing services with a multiplicity of providers;
- Leading for continuous improvement and learning both within the profession and across professions;
- Taking the lead in collaborative ventures such as community and planning and community participation at locality level.

All of these remain valid challenges and were reiterated by the professional social work managers that were interviewed.

The current of structure of social services, with the number of separate bodies involved e.g. Scottish Executive, Scottish Social Services Council (SSSC), Care Commission, Association of Directors of Social Work (ADSW) the Social Work Inspection Agency (SWIA), Local Government and the voluntary and independent

sectors was seen as a further challenge. From the interviews there did not seem to be a clear understanding of the different roles and responsibilities or where the boundaries between agencies should properly lie. To this is added a wide array of job titles and job descriptors, and ostensibly many levels of management, none of which are linked to any obvious career pathways or progression routes. Some clarification of roles and responsibilities was seen as highly desirable, and if this were supported by some form of framework for progression this would also assist in addressing the challenges of succession planning and career movement.

### **3.7 Summary of issues**

Investment in management training appears to have increased, or budgets are being used differently to provide a greater level of activity. However, this is largely focused on in-house provision with only a minority of authorities using any form of external accreditation or quality assurance.

There is a conflict of view concerning the importance of external accreditation or national standards. The corporate learning and development teams by and large do not seem to favour such an approach, whereas the professional social services managers see the lack of a national framework and formal accreditation as a significant problem.

This is related to the differences that are apparent between different areas of Local Authority staff. Corporate teams need to address the needs of the majority, and other areas of local authority staff have historically had greater investment in management training, and for them accreditation and national competency frameworks are not an issue. Social services staff are in this sense behind, and this highlights the need for some sector specific work to bring them onto a level playing field with other professional groups.

The clear need for effective succession planning is highlighting the need for accepted career pathways and enhanced training and development in management and leadership.

There is a continuing lack of investment in first line managers, and little use is being made of e-learning resources as one cost effective means of addressing some of these gaps. The result is that individuals are finding themselves in significant management positions without having the basic knowledge or skills required.

Leadership development is largely confined to the most senior levels of management only, and is largely focused on corporate leadership. There is little or no investment in leadership of the profession or the sector, and apart from one or two notable exceptions no real investment in leadership at lower levels, though this is spoken of as important.

The opportunities for sector wide development are perceived to be very constrained, only “Leading to Deliver” and SLAMC providing any additional work in this area, beyond the established post graduate professional programmes.

Development work with partner agencies is seen to be critical for the delivery of national policies, and whilst work has developed significantly in this area it is again largely not standards based and has little or no form of external accreditation or evaluation.

E-learning is seen as one possible solution, but there are no clearly articulated plans to develop a coherent set of e-learning programmes and support systems.

Mentoring and action-learning are growing as means of addressing issues of complex partnering, they are not currently being used in any systematic way to support continuing professional development for managers and leaders, and again there are few examples of standards or evaluation being applied.

Shadowing and secondments are not yet accepted as a legitimate and effective means of supporting leadership and management development and as such are only used in a minority of cases.

There is a view that there is role for the SSSC in ensuring the application of national standards and that a national framework would significantly assist senior managers in arguing for resource to support management and leadership development.

#### **Section 4 “Leading to Deliver” and “Leading to Deliver” Development Forums**

##### **4.1 Research base**

The “Leading to Deliver” programme has now completed with graduation for the first cohort and the full programme evaluation has also now been completed. The draft report was made available to the research team as it provides valuable information on what has been good about the programme and what challenges remain to be addressed.

In addition the “Leading to Deliver” Development Forums, that included participants from the programme and their managers, have spent time identifying key leadership and management development issues facing social services organisations. This data from over 150 managers drawn from across the social services sector is clearly valuable source data for this study.

##### **4.2 “Leading to Deliver”**

This programme was designed to be sector specific and focused on first line and middle managers. Content was contextualised through case studies, expert speakers, reading materials, group work and practice-based assessment. The programme is set at postgraduate certificate level, and one of the measures of its success is the high number of participants who have completed and graduated (94% of the first cohort of 92 participants).

The skills that the programme was designed to address were identified through the original study report published in January 2003. These can be summarised as:

“A need to increase the leadership skills and confidence of the sector, leading change and continuous improvement, working across boundaries, developing strategic thinking and planning and developing the skill to implement and manage strategic plans”<sup>2</sup>

Evidence provided during the evaluation process indicates that the programme has achieved a high degree of success not just in enabling participants to graduate but in transferring their learning to the workplace and being able to demonstrate growth in confidence and skill as leaders. Change has specifically been recorded in their ability to think and act strategically, to focus on continuous improvement and use their improved interpersonal and influencing skills to work more effectively across organisational and professional boundaries. Participants are showing strong evidence of having improved their ability to understand and manage change and to work more effectively at actively engaging users and carers.

The aspects of the programme that appear to have been weaker include the development of business and management skills such as commissioning, financial management and performance management. All of which are still seen to be critical to the future development of robust social services organisations.

The evaluation report concludes with some clear recommendations for future action:

- The continuation of a sector specific, accredited programme.
- The development of case studies and guest speakers from partner agencies.
- The development of a systematic and structured approach to mentoring to both support individuals on the programme and to support a more comprehensive approach to CPD.
- Further development of Action Learning, building the capacity of organisations to support this outwith the formal programme.
- Greater involvement of the participants home organisation through such methods as briefings and cascade learning approaches.
- Stronger focus on business and management skills.
- Continuous development of the “Leading to Deliver” network, through the use of ‘Knowledge Exchange’, developing participants as mentors for future participants and sustaining the “Leading to Deliver” Development Forums as learning networks.

### **4.3 “Leading to Deliver” Development Forums**

The first set of regional forums, held during October and November 2004, put some specific questions to the social services managers present that are pertinent to this report.

The key questions put to the managers asked them to identify, in working groups, the key leadership and management development issues facing social services staff. Their replies are summarised below:

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<sup>2</sup> Leading to Deliver evaluation report prepared by The Taylor Clarke Partnership Limited & The Robert Gordon University and provided in draft to the research team.

- 1) Development of Professional standards
  - Clear career pathways
  - Clear range of qualifications linked to progression
- 2) Clarifying leadership/management competencies or standards.
  - Developing leadership and management standards across social services, including the development of necessary toolkits
  - Developing a national learning framework
- 3) Relevant and adequate training and development
  - Requirement for training budgets to be core funded
  - Training that clearly distinguishes between managing the profession and managing services.
- 4) Leadership development
  - Investing in all staff levels, recognising that leadership potential should be developed at all levels of the organisation.
  - Build leadership capacity and capability
  - Development of learning networks using action learning, mentoring and on-line support.
  - More cross-sector training, in addition to sector wide programmes.

#### **4.4 Summary of issues**

All of the work around the evaluation of “Leading to Deliver” and its Development Forums has provided rich data to support on-going development of sector wide work on leadership and management development.

There is a consensus of agreement supporting the development of some form of national standards approach and a national framework of development to support the standards.

The high number of participants completing their postgraduate certificate is a demonstration of the value of accreditation. All of these individuals are in highly pressured jobs and the completion of the final assignment to achieve their certificate required significant additional work.

The evaluation of the programme has demonstrated that such an intervention can have impact for both the individual and the organisation, however, the lack of robust management skills in such areas as commissioning, financial/business management and performance management (individual and organisational) are inhibitors to outstanding performance as leaders and managers.

The forums have given very clear recommendations on the way forward for the sector, including both the development of robust standards and programmes, but also the development of less formal approaches including mentoring, coaching and action learning. Shadowing and secondment did not appear amongst their list of desirables, but lack of knowledge of this area of work may be a significant contribution factor.

The need for both identified budgets and a culture that supports learning and development at all levels of management were highlighted as issues that need to be addressed on a sector wide basis.

Finally, the need to develop approaches that will support partnership working with other agencies such as health, police and education alongside improving performance within the sector was given some real emphasis by this group.

## **Section 5 Inspection and Inquiry Reports**

### **5.1 Sample**

In the past 4 years a number of child deaths and other care “scandals” have led to major Inspection and Inquiry reports being commissioned. The research team have chosen to focus on a sample of these reports, and to study their recommendations in order to identify any common threads that relate to issues of leadership or management development. The specific report that have been studied include:

- “It’s everyone’s job to makes sure I’m alright” Child Protection Audit – November 2002.
- The Victoria Climbié Inquiry – January 2003
- Caleb Ness Inquiry – October 2003
- Report on Investigations into Scottish Borders Council and NHS Borders Services for People with Learning Disabilities – April 2004.

### **5.2 “It’s everyone’s job to make sure I’m alright”.**

The Report of the Child Protection Audit and Review identified that some real progress had been made in the protection and care of children, but it also identified areas that needed improvement. The Review summed this up in one very telling sentence:

8.4 “In short, pressure on resources, and sometimes poor management, assessment and decision making, have led to a position where the system does not act quickly or reliably enough to protect children or meet their needs.”

The report contains a very useful Literature Review of messages from previous reviews and inquiries. In reading this review, our focus has been on the leadership and management development issues that are explicitly mentioned or implicitly required to address the issues identified.

The Literature review uses a number of key themes of which two are particularly relevant to this report:

#### **I. Professional standards:**

This section not only refers to the need for professional training and robust processes and procedures but also highlights that in some critical cases it was the failure to adhere to establish procedures and protocols or to identify what stage of the process had been reached that led to problems. This reflects the

need for good management and decision-making and for shared protocols and standards across professional and agency boundaries.

The section also reflects explicitly the theme of lack of supervision and the recurrent incidence of poor line management. “The McFarlane report highlights the need for regular and meaningful supervision. The report states that there was inappropriate reliance on the opinions and advice of others and over confidence in the decision making by/of team managers and a failure to recognise the need to introduce checks and balances by testing out theories and plans with experienced colleagues. The team manager never mentioned the case to her line manager in monthly supervision sessions although a number of these were cancelled due to pressure of work. The tendency for professionals who perceived themselves to be at a lower level in the hierarchy to defer to those at a higher level was another feature of the case.”

This indicates a culture of compliance and the lack of an empowering style of leadership linked to poor basic management practice, all of which should be core to professional practice.

## II. Communication

This section focuses on the failure of professionals and agencies to communicate appropriately or to share information. The report highlights the problem of inter-disciplinary communication and co-operation.

The Kennedy McFarlane report highlighted the failure to work in partnership with other agencies, with lack of effective communication and decision-making being a recurrent theme.

This again highlights the need for effective development at a partnership level, ensuring that collaborative leadership is not just an issue for the strategic group of any set of organisations but that this approach runs throughout the partner agencies and is supported by effective management processes and procedures and a shared understanding and language of leadership and management.

### **5.3 The Victoria Climbié Inquiry**

Whilst this report is again clearly focused on issues of child protection, it makes a number of important statements about what is expected of Directors of Social Services that are based on some assumptions about leadership and management. Throughout the report there is an underlying criticism of senior and line management, implying a lack of any coherent vision or strategy for the protection of children, and a significant lack of robust management practices that would ensure not only that agreed standards and procedures for identifying and protecting vulnerable children are in place, but that these standards and procedures are effectively managed and monitored.

In particular the recommendations in the report make continuous reference to the requirement for senior managers to be able to set standards and develop robust

procedures for professional staff, monitor and audit those standards and procedures and undertake robust performance management of all staff.

For example Recommendation 31 reads:

“Directors of Social Services must ensure that all staff who work with children have received appropriate vocational training, receive a thorough induction in local procedures and are obliged to participate in regular continuing training so as to ensure that their practice is kept up to date.”

Recommendation 59 further reinforces this need for good management practice:

“ Directors of Social Services must ensure that staff working with vulnerable children and families are provided with up-to-date procedures, protocols and guidance. Such practice guidance must be located in a single-source document. The work should be monitored to ensure that procedures are followed.”

The report also highlights the need for standard management disciplines to be in place. Recommendation 51 reads:

“Directors of Social Services must ensure that all strategy meetings and discussions involve the following three basic steps:

- A list of action points must be drawn up, each with an agreed timescale and the identity of the person responsible for carrying it out.
- A clear record of the discussion or meeting must be circulated to all those present and all those with responsibility for an action point.
- A mechanism for reviewing completion of the agreed actions must be specified. The a date upon which the first such review is to take place is to be agreed and documented”

The other major area of focus in this report concerns links with other agencies such as health and police. The report is very insistent on proper management systems being put in place between agencies to ensure that services for vulnerable children are properly planned, funded and managed. This requires all senior staff to have good management and business skills, particularly in the complex areas of partnership working.

Recommendation 6 reads:

“Each local authority with social services responsibilities must establish a Committee of Members for Children and Families with lay members drawn from the management committees of each of the key services. This committee must ensure that services to children and families are properly co-ordinated and that the inter-agency dimension of this is being managed effectively.”

Recommendation 7 continues:

“The local authority Chief Executive should chair a Management Board for Services to children which will...include senior officers from each of the key agencies,. ... The Board must ensure staff working in the key agencies are appropriately trained and are able to demonstrate competence in their respective tasks.”

We have to take as read that these tasks include management tasks, particularly as Recommendation 9 goes on to speak of the budget identified from the partner agencies and the need for the Management Board to ensure that “ staff and resources can be used in the most flexible and effective way.”

Throughout the report, therefore, the need for effective management at both a strategic and operational level informs the recommendations, and this is required both within social services and in achieving effective partnership working across agencies.

#### **5.4 Report of the Caleb Ness Inquiry**

This Inquiry report reiterates many of the conclusions of previous reports, and reflects on the fact that much of what was found was not new, but the report did bring a focus to the absence of collaborative working across children and adult services.

The conclusions and recommendations of the report do put a focus on issues of training, decision-making, risk management and accountability. Whilst some of the training referred to is specific to child protection, much concerns the use of information and protocols and for the management of confidential information, and the development of chairmanship skills as part a manager’s repertoire of skills and abilities.

Recommendation 23:

“Recommend that all agencies make it a priority to collaborate and put in place effective risk assessment processes to underpin decision making.”

Recommendation 25

“Recommend that formal training in how to chair a Child Protection Case Conference is introduced for all new Chairpersons”.

Again the underlying theme for leadership and management is about securing not just the development of a vision for services but also leadership behaviours that will instil a culture of challenge, learning, and sharing supported by robust management systems. These systems should be created and actively managed both within each of the agencies and across agency boundaries, with clear protocols on sharing information, communicating, assessing and managing risk, decision making and accountability. The recommendations do not just reflect on staff in social services, as with the other reports much of what is said also relates to health and the police, but social services are highlighted specifically in relation to performance management of individuals, processes and procedures and on the active management of staffing levels and caseloads.

## **5.5 Report on Investigations into Scottish Borders Council and NHS Borders Services for People with Learning Disabilities**

This report is in many ways the one most focused on issues of leadership and management, making explicit reference to the issues and highlighting some very significant deficiencies. In the summary of the findings the following items are listed, making up over 25% of all the issues listed.

- Lack of comprehensive needs assessment, including carer's assessments or assessments of very poor quality despite clear and repeated indication of need from the earliest point of agency contact.
- Lack of information-sharing and co-ordination with and between key agencies.
- Disagreements between agencies at frontline and middle management level, with no mechanism for resolving these.
- Lack of compliance with procedures.
- Infrequent, unstructured and poorly recorded supervision of frontline staff by managers.
- Serious deficiencies in training and development.
- Lack of clarity of roles and reporting responsibilities.
- Lack of senior management and leadership.
- Ineffective management of poor practice.
- Breach of the Scottish Social Services Council Code of Practice for employers.

Amongst the specific recommendations there are two that focus very specifically on management and leadership:

### Recommendation 20

“Scottish Borders Council, together with its partners in NHS Borders and Lothian & Borders Police, should ensure multi-agency and multi-disciplinary co-ordination of complex cases at a sufficiently senior level to provide appropriate management oversight, effective information-sharing and accountable practice. Arrangements should include a mechanism for the articulation and resolution of disputes between staff.”

### Recommendation 23

“The Department of Lifelong Care should develop a system of regular peer/management review of practice to encourage the positive identification of difficulties within a learning environment, and so promote continuous improvement.”

The fact that leadership and management were identified as key issues within this report means that we should give particular attention to what was said. The issues are not just about the development policies and procedures but also about ensuring they are effectively implemented, that staff are actively managed and encouraged to learn and grow and that partnership working is not just desirable but essential and needs to be managed. These are all key lessons that should be taken into the development

arena. The fact, finally, that the report identified the need to develop a learning environment puts an emphasis on the profile that needs to be given to training and development both within the profession of social work and across the whole arena of social services organisations.

## **5.6 Summary of issues**

These national reports are critical to the debate about what needs to happen in leadership and management development. All four of the reports highlighted issues concerning both joint working across organisational boundaries, and also issues of management within social services organisations.

All of the reports highlighted issues to do with staff skills, training and management and the effective management of resources and staff shortages.

All of the reports refer to issues about communications and information sharing and sharing understanding between and within professional groups and organisations.

All of the reports reflect on issues concerning risk assessment and risk management and effective decision-making.

Finally each of the reports has something to say about accountability, both professional and managerial, how this is described and how it is put into practice.

All of these are key leadership and management challenges that could only be improved by the implementation of more effective training and development linked to recognisable and shared standards.

## **Section 6 Leadership and management development in other organisations and sectors.**

### **6.1 Research Sample**

This section looks in brief at leadership and management development in a range of public and private sector organisations. These are not being promoted as “best practice” but more as interesting practice that highlights some issues for consideration in any way forward to social services in Scotland.

The researchers have chosen to focus on agencies in the public sector that have some direct relationship with social services organisations, partly as they provide useful national comparators and partly to reflect the partnership development issues that were so highly clearly highlighted by the Inquiry reports as being of central concern for future development in child care and learning disability, but also increasingly in adult and elder care and issues surrounding justice.

The specific groups that have been reviewed include:

- NHS
- Education
- Police

- Civil Service
- Cross Service developments
- Comparators, national and international

## 6.2 NHS

To start with there are some clear differences between what is happening in the NHS in England and Wales and the approach that has been taken in Scotland. The national approach taken in England and Wales has been in place for some 4 years now and shows a level of maturity in its development that is not yet mirrored in what is in place in Scotland. However, the team leading the work in Scotland have learned from the experience south of the border and have made use of some of the good practice developed there.

The first key thing to notice in both England and Wales and the NHS in Scotland is that they have developed very clear national frameworks. For England and Wales this is called the Leadership Qualities Framework in Scotland it is the Leadership Development Framework.

The Framework for England and Wales has three domains:

- Setting direction – this includes Seizing the future, Intellectual flexibility, Broad scanning, Political astuteness, Drive for results
- Delivering the Service – this includes Leading change through people, Holding to account, Empowering others, Effective and strategic influencing, Collaborative working.
- Personal Qualities - these sit at the centre of the model and include Self-belief, Self-awareness, Self-management, Drive for improvement and Personal integrity.

This framework was developed on the basis of research with 150 NHS Chief Executives and Directors and it is now used to underpin leadership development activity across the whole of the service. Initially all of the major activity in training and development was commissioned and run from the Leadership Centre at the Department of Health. They commissioned a 360-degree assessment tool, a development/assessment centre process and a series of national programmes for different single and mixed staff groups.

Subsequently two major issues were identified:

- a) That the focus on leadership development was ignoring the need for effective management skills, particularly at middle and first line manager levels.
- b) That by having all of the major activity commissioned and run from the centre, there was a lack of ownership in the field.

The Leadership Centre has subsequently changed its shape and devolved much of its work to Strategic Health Authorities, but this is within the frame of having an agreed national framework and some centrally developed materials. Such as the 360-degree assessment process and the development centre methodology. These latter two items

are expensive to develop and it makes cost effective sense to do that on a 'once only' basis. Additionally the centre continues to provide programmes and support for Boards, Chairs, Chief Executives and Directors in the form of formal learning experiences, skills development programmes, individual and team coaching, mentoring and action learning sets. The centre also provides a programme for newly appointed Chief Executives and supports a web-enabled system to support career development and succession planning.

In order to address the issue about effective management skills, the Leadership Centre has developed a competence framework incorporating the revised Chartered Management Institute Standards. The centre now provides a co-ordinating function but has asked Strategic Health Authorities to take responsibility for implementing the framework and ensuring that appropriate development opportunities are in place. The Centre provides a learning and development resource for the training and development professionals responsible at local level, supporting them with web based information, seminars, conferences and information sharing.

In addition to the above the NHS in England and Wales runs a graduate management training scheme, taking in 50 graduates each year for a two-year programme of development. A programme for Grade D and E nurses working at the point of care and in first line management, this programme is designed to cover some 25,000 participants. There is also a programme focused on developing Black and Ethnic Minority staff and enabling them to move into more senior management positions.

The area that has not been fully addressed is that of clinical or professional leadership, some work is in place for Modern Matrons and Nurse Consultants and also for General Practitioners, but development for professional leaders of professional services has not been fully explored as yet.

Most of the programmes are not formally accredited in the academic sense but their place within a national scheme of development ensures that there is an expectation on managers to take part, and to be able to demonstrate their development against the framework as they apply for promotion posts.

The NHS in Scotland has taken a slightly different approach and has also started its work in this area much later, the NHS Leadership Centre in England and Wales has been in place for 5 years, the Scottish group have only been in place for just over a year. They have also developed a framework, called the Leadership Development Framework. This has similarities to the NHS framework south of the border, but has some real differences.

The Framework is in three sections:

- Personal Qualities – Self-leadership, leading others and Collaborative working.
- Service Excellence – Delivering excellence through others, Managing complex change, Improving the patient's experience.
- Future focus – Political awareness, Strategic dexterity, Aligning agendas/creating culture.

All of this is underpinned by competencies and skills that include the full range of management skills concerned with managing people, managing processes and managing resources.

The approach taken to implementing this work in Scotland has not been to develop centrally driven programmes but to engage with training and development professionals in the field and work with them to develop robust development plans that bring together organisational development and personal and professional development for leaders and managers. This is a challenging process but is likely to lead to greater ownership at service level and greater support from senior staff. This in turn will help to develop a learning culture for the services.

The centre is running two programmes that it would be difficult to run on a local level, a new national graduate management training programme that will take 8 participants, and a national clinical management programme that will take 24 clinicians from within the service. Additionally there are three programmes currently running that have been commissioned on a national basis.

- a) Executive Clinical Leaders – the Association of Medical Directors and the Scottish Executive Health Department sponsored this programme. It is a multi-professional programme based on learning sets, but with formal learning days every 3 months. The programme focuses on the specific issues concerned with professional leadership of services and the leadership of professions in achieving sustainable change and improvement in the design and delivery of health services.
- b) A leadership programme for Allied Health Professionals, this is also a multi-professional programme but is designed to bring AHP managers to the same level as their general management, nursing and medical colleagues and thereby enable them to take part in service based development on an equal footing.
- c) The Royal College of Nursing leadership programme has been running for some three years. This programme, whilst running to a national framework is delivered locally, using and developing local trainers and facilitators to support sustainability of the work. The programme uses some formal learning supported by action learning and peer mentoring/coaching.

Throughout the NHS in Scotland programmes of mentoring and coaching are seen to be essential supports to formal learning. Secondments and shadowing are less well used, though they are a key part of the graduate programme that runs both in Scotland and south of the border.

A key concern for the NHS focuses on clinical leadership. There is seen to be a significant divide between general management leadership and clinical leadership and this is now becoming a serious issue that has to be addressed. Evidence from such services as the Veterans Service in the USA and Kaiser Permanente and the Institute of Health Improvement demonstrate that if you want to achieve sustainable service change and continuous improvement then this needs to be clinically led. This has serious implications for social services that are seeking to make major changes and suggests some caution over the wholesale introduction of general management leadership as the answer.

### 6.3 Education

Again the approach taken south of the border and in Scotland differs. In England the National College for School Leadership was established and funded to run development programme that would focus on raising standards of leadership and managing in schools. The college plans its work around five stages:

- Emergent leadership – when a teacher is beginning to take on management and leadership responsibilities and perhaps forms an aspiration to become a head teacher.
- Established leadership – comprising assistant and deputy heads who are experienced leaders but who do not intend to pursue headship
- Entry to headship – including preparation and induction
- Advanced leadership – for experienced heads who are looking to widen their role
- Consultant leadership – when a professional is willing to take on a training, mentoring, inspection and advice role for others.

A comprehensive competency framework underpins this framework.

The College designs and commissions a range of centrally run programmes to support these different stages including the National Professional Qualification for Headship which is currently being implemented. In addition there is a programme called Headlamp, which is primarily focused on new head teachers and is a form of national induction programme.

One of the main programmes is the Leadership Programme for Serving Head Teachers that was initially devised in 1997 by Hay McBer. This programme has recently been evaluated and is highly valued, it will continue to be run but plans are in place to offer a wider range of opportunities including some work on change management, school renewal and futures thinking in addition to some less formal support for Head Teachers, including master classes and the availability of peer mentoring or coaching.

The College is also taking the role of signposting short courses that may be helpful to address skills gaps. They are currently compiling a directory of appropriate courses that are available on a regional basis across England and Wales and they are working with the Learning and Skills Council to achieve this.

The College started by providing formally accredited programmes, such as the Qualification for Headship, and have then moved into certificated programmes that do not carry formal academic credits but do have national recognition and are therefore transportable.

In Scotland the drive to raise standards of Leadership and Management in Schools has been driven by the Scottish Executive and Her Majesty's Inspector of Education. As in England, Scotland has developed a fully accredited programme the Scottish Qualification for Headship. This is a centrally run programme, and has been in place now for some three years. It is currently being evaluated and this is likely to lead to

some changes in delivery, including less formal means of delivery including self-assessment and more web-supported materials etc.

In addition there have been recent developments in partnership with the Hunter Foundation, leading to the creation of an Academy for School Leadership that is both taking advantage of the experientially based programme run at Columba 1400 (an international leadership training centre) and is now seeking to build a knowledge base of best practice in leadership development nationally and internationally and thereby to offer a much wider range of learning opportunities that will open out thinking. The principle qualification programme is based on clear competencies and standards, but the new work will enable the centre to expand the thinking around this core and also develop some new approaches.

One clear development that has come out of the Columba 1400 programme is some early work on development coaching and mentoring as key additions to the leadership development portfolio. There are no moves to develop secondments and shadowing, though learning from others through visits is encouraged as is peer support.

All of the work in education is designed to enable teachers to both lead their schools or institutions but also to be leaders in their profession, recognising the responsibilities they carry as leaders of that profession.

#### **6.4 Police**

The Police probably have the most structured approach to leadership and management development. They have a very clear competency framework and are linking this to a qualifications framework, in Scotland using the Scottish Credit and Qualifications Framework. Accreditation of programmes is seen as important and officers are encouraged to gain qualifications at graduate and postgraduate level.

The rank structure of the Police gives very clear remits to different levels of management, and the nature of the profession, that entry is only at one level, and therefore all progression to senior ranks follows a similar path for all officers, makes the development and implementation of a centrally run leadership and management framework that much easier. Either the Police College or Centrex, which is the national Police College at Bramshill, provides virtually all major training. Individual forces supplement this with locally based programmes to deal with local issues or local policies. For example, where budgets have been devolved there is likely to be locally based finance management for non-financial managers type programmes.

Standard practice in the Police, and this is largely shared by the other uniform services, is that individuals receive the appropriate training for the rank they are to fill before they take up that appointment. In other words you have to pass your Sergeants exams before you can apply for and be appointed to a substantive post as a sergeant. Equally at the more senior end of the service, an individual will have to have completed and been assessed as competent in the Senior Command Course before they can apply for appointment to one of the Chief Officer ranks. This gives some

assurance as to the level of knowledge and skill of individuals moving into different posts, but it would only seem to be achievable because it is a captive work force with one line of career progression that is common across all the forces in the UK. A sergeant in Inverness will be expected to have the same level of skill and knowledge as a sergeant in London or Glasgow.

Currently all of the programmes combine a strong theoretical element with some case study and practical work. There is little use of mentoring or coaching in any formal sense, though there is some informal peer support through the longer development programmes and some use of action learning sets on programmes such as the Senior Command Course. Secondment and placements, however, are part of expected career progression and are discussed and planned for as part of an officer's personal development plan. Officers on secondment largely staff the Police College and the Inspectorate and overseas secondments are also encouraged to widen the knowledge and experience base of high potential officers.

The Police Colleges have also invested in e-learning support, and have a wide range of programmes available on an e-basis for access by officers at their work base or at home. E-learning is seen as an essential tool for the development of staff.

## **6.5 Civil Service**

The Civil Service, like the uniform services, has some clear frameworks and boundaries that mark out career development. These have been developed by the Centre for Management and Policy Studies in Whitehall and the true level to which they have been implemented is unclear. The Senior Civil Service, which includes some 3,300 individuals across 55 departments, is only accessible through either an assessment centre for direct entrants or through a promotion board process for service applicants has a very clear set of competencies.

The core competencies for the Senior Civil Service are:

- Give purpose and direction by developing and communicating a vision for the future.
- Have an impact through “leadership by example”
- Think strategically, harnessing ideas and opportunities to achieve goals.
- Get the best from people through motivation and development.
- Learn and improve, drawing on experience and innovation for enhanced results.
- Focus on delivery to achieve value for money and results.

The Service was involved in the development of these competencies through a research process, and they are now linked into the formal performance management system and have some link to pay.

The range of programmes on offer through the Centre for Management and Policy Studies includes Essentials of Corporate Leadership, Preparing for Top Management, Developing Top Management and the Top Management programme itself. In addition there a range of leadership programme designed for different levels within the

services and addressing a range of issues from appraisal and performance management to personal leadership skills.

The programmes are all designed and commissioned centrally, with delivery through the Civil Service College at Sunningdale or its satellite centres such as the one in Edinburgh.

Programmes are fairly sophisticated combining formal theory based learning with Harvard type case studies, action learning, mentoring and coaching. In addition the Civil Service has commissioned an on-line programme called PRIME, which is designed to develop leadership skills and knowledge in line with the core competencies.

Management programmes on specific areas such as project management, financial management and performance management continue to run for managers at all grades and are seen to be essential precursors to acceptance onto one of the major leadership programmes.

In addition to the nationally run programmes the Scottish Executive has its own training and development team who are designing, commissioning and running a suite of programmes for Civil Servants working within the devolved service.

## **6.6 Cross service developments**

For the last three years a major programme has been running in England called the Public Service Leaders Scheme. This has just been evaluated and reviewed and is being re-launched as Leaders UK.

The programme is designed to both develop individual leaders in the public services and enable them to do that in the context of working and developing with partners from other agencies. The programme takes cohorts of 100 at a time, and is designed to last over 2 years. There is a third year option that allows participants to complete an assessed assignment that will give them a postgraduate qualification, but this is not built into the programme in the way that assessment is built into “Leading to Deliver” and take up has therefore been very low.

The programme focuses on personal development, encouraging individuals to work in different learning sets to explore leadership issues by working with a range of models and approaches that are presented to them. The programme is modular in design, with residential modules, and is supported by active encouragement to take up secondments or placements and to undertake study visits to other organisations, either as part of the programme or as a supplement to it.

Evaluation of the programme has shown it to be successful in that the individuals have gained from it and their organisations are reporting some organisational impact and some improvement in partnership working.

In addition to this cross service programme there are two other significant developments in cross service or multi-organisational leadership development.

The first is running in Scotland and is a postgraduate programme in Collaborative Leadership being run by Lancaster University in partnership with the Scottish Leadership Foundation. This programme is due to start as a pilot programme in June 2005. The programme is focused on developing the thinking, understanding, skills and knowledge necessary to work in complex partnership such as Drug and Alcohol, Child Protection or Community Planning. The programme combines academic learning, with action learning sets, structured enquiry visits and some peer coaching and mentoring.

The other cross service programme, which is currently being developed primarily by the various leadership centres in England and Wales, focuses on Leadership for Reform and Customer Focus. This programme is still in an early stage of development but the key components of the learning framework currently under consideration include:

- The spectrum of customer focus
- Analysing your Customers
- Re-designing your organisation around your customers
- The ‘satisfaction mirror’
- Managing the wider environment
- Entrepreneurial skill

This programme is not meant to stand alone, but to be incorporated into existing leadership development programmes and common core curriculum that will link all public service programmes and help deliver the governments agenda on customer focused services. At this early stage of development there is no guidance on how the programme would be delivered in terms of learning techniques, but the creation of such a common curriculum may need to be taken into consideration in designing work for service specific groups such as social services.

## **6.7 Comparators**

The Civil Service as part of its evaluation of its Top Management programme commissioned a study of world-class leadership development programmes in the private and public sectors, to try and identify what should go into such a programme for the civil service and the wider public service.

The report studied 16 world-class organisations; it also reviewed current literature on leadership development including reports of expert panels such as the Council for Excellence in Management and Leadership.

Some of the key learning from this report is pertinent to this short-life study.

- a) Alignment

Programmes that are organisation specific can be critical to the alignment of individuals with organisational issues. Where programmes are being delivered on a sector basis or across more than one organisation this is less achievable.

b) Engagement and commitment

The best programmes have the active engagement and commitment of senior staff from within the organisation, not just in the delivery of the programme but during the design phases. Again this is less prevalent in the public sector programmes, though the programme running in Singapore for public service leaders has clear and open top management commitment and engagement.

c) Impact

The top programmes use the principles of leadership development articulated by the Centre for Creative Leadership i.e. assessment, challenge and support. Assessment involving a range of psychometrics and feedback tools is used as a starting point for development of self-awareness and learning. The challenge element ranged from stretch assignments, to intellectually challenging research studies for application into the organisation.

d) Techniques and processes

The best programmes combined a range of learning and development approaches including:

- Assessment tools and procedures
- Group development exercises
- Simulations and case studies
- Action learning sets
- Coaching and mentoring

e) Quality of contributors

In virtually all of the programmes considered use was made of external contributors, though the methods for ensuring the quality of these contributors were very varied, where they existed at all.

f) Embedding and follow-up

This was seen as critical, though the quality of what was provided was very variable. The range of techniques used was the same as those used within the programmes themselves, but they were seen to be most successfully where they were linked to performance management and ongoing review with committed senior staff.

Other key comparators that have been reviewed include public service programmes in places such as New Zealand and Australia, the United States and Canada.

As with the public service comparators in the UK the programmes offered are normally linked to some form of competency profile or framework that has a clear link to work based practice. In places such as Canada where the Centre for Creative Leadership has been a major provider of development, the programmes have been heavily focused on the development of the individual and their personal leadership skills and abilities. The programme was heavily feedback based, but incorporated

what the Centre has found to be essential for any effective programmes, namely Assessment, Challenge and Support.

## **6.8 Recent development in understanding leadership development**

The Centre for Creative Leadership are suppliers of leadership development to public services in the United States, Canada, Singapore and a range of European Countries, they also have a very large private sector based practice. An active research programme on leadership development supports their work and it is this research work that has been used for this final part of Section 6.

The Centre suggests that leadership development can be used to develop the following:

1. Self-management capabilities
  - Self-awareness
  - Ability to balance conflicting demands
  - Ability to learn
  - Leadership values
2. Social Capabilities
  - Ability to build and maintain relationships
  - Ability to build effective work groups
  - Communication skills
  - Ability to develop others
3. Work Facilitation Capabilities
  - Management skills
  - Ability to act and think strategically
  - Ability to think creatively
  - Ability to initiate and manage change

The Centre also talks about the need to use a wide variety of development techniques from intellectual class room based learning, to action learning, mentoring, coaching stretch assignments and peer group review. They also talk about the difference between in-company learning for the individual, team and organisational development and cross-organisational learning where issues of collective leadership of multi-professional groups can be addressed.

In their latest work on what makes for good leadership development the Centre have suggested that the following should be taken into consideration:

1. Assessment
  - Self-assessments using personality instruments
  - Assessment of skills and behaviours using 360-degree feedback, peer feedback from programme participants, staff facilitated de-briefing.
2. Challenge
  - Structured experiences such as leaderless group discussions, simulations, targeted exercises and engaging in unfamiliar activities such as dramatic reconstructions, and finally meeting with and learning from people who bring very different perspectives.
3. Support

- Facilitated and supported learning, using different learning styles, integrating learning into work programmes, mentoring, coaching and peer support.

The new Investor in People guide to supporting leaders and managers is based on the findings of the Council for Excellence in Management and Leadership, which in itself undertook research nationally and internationally on what could be seen to be “best in class” in the practice of leadership and management development. The guide identifies four key principles that each have a number of critical indicators. This is designed to act as a guide for organisations seeking to put effective leadership and management development in place.

A. Commitment

- Top managers direct the organisations approach to effective leadership and management.
- Top managers are role models for leadership and management development.

B. Planning

- Leadership and management requirements are defined and understood.
- Leadership and management development is planned.

C. Action

- Leader and manager selection is effective
- Effective leadership and management is reviewed and encouraged
- Leaders and managers continuously learn and develop

D. Evaluation

- The approach to effective leadership and management improves your organisations performance.
- The approach to leadership and management is improved.

## 6.9 Summary of issues

There is a vast amount of activity in the leadership development field, however a number of general issues can be summarised from the above.

For most public services the leadership development activity is rooted in either a competency framework or some other descriptive framework that defines what is required of individuals.

These frameworks have largely been designed centrally, but the most successful ones have engaged with organisations in the field, either through research or active consultation. Some organisations have managed to get the framework adopted within local organisational development plans and programmes and in some cases have linked them to issues such as performance management or promotion boards.

Highly structured services such as the Civil Service and the Police run virtually all of their programmes from a central base, thereby achieving commonality across the service that fits with their promotion processes. Services such as Education and the NHS where programmes have started with a central focus are now moving to a more devolved approach where the standards etc are defined centrally, but delivery may be local with some central financial support. This fits more effectively with their more

devolved structure and the fact that they do not have a central approach to promotion and progression.

Services are steadily starting to develop a wider range of development approaches in line with what is being done by the best in the field internationally and with what research is starting to demonstrate works best. This range includes action learning, mentoring and coaching, stretch assignments and secondments or project work on placement.

Leadership and management development are both addressed, though different learning approaches may be taken to them. On-line programmes or e learning are often used to support management development, with more experiential, feedback based or peer group approaches being used within leadership development

Central investment in leadership development has been significant and this has led to the development of ranges of work such as are presented by the NHS Leadership Centre, CMPS or Centrex.

Most work is centred on leadership of services, and it is only within the NHS that the issue of professional leadership is starting to be addressed seriously.

The issue of formal accreditation is viewed differently in different services, but most services have some programmes that carry some form of recognition that links to promotion or movement within the sector.

Best in class from around the world suggests that leadership development should include assessment, challenge and support and some work on embedding the learning into the workplace.

Finally there is growing interest in the issues of cross-organisational or cross sector development to support new policy developments, but much of this is still at an early stage.

## **Section 7 Recommendations**

A number of clear messages emerge from this study and they are supported by both the research undertaken within the sector and with the reviews undertaken of work in other sectors and amongst a broader range of comparators.

These recommendations can be seen to fall into a number of key areas:

### 1) Development of a framework of standards for leaders and managers.

This work should be developed for the whole sector, rather than depending on an organisation-by-organisation piece meal development. This work should be funded centrally but should involve both professionals from within the sector and training and development staff from the larger organisations in the voluntary, independent and statutory sectors.

The framework should make clear distinctions between leadership of services at a strategic and operational level, leadership of the profession and leadership in partnerships.

Secondly the framework should pay attention to the need for standards in management practices, particularly management of people, management of resources and management of processes and procedures. The issues of accountability, governance and performance management should be given significant emphasis.

This framework should start to underpin promotion and progression of staff across the sector, allowing for some comparability of posts and the development of some common language and standards.

The Scottish Social Services Council should be involved in this work, and consideration could be given to linking it to professional registration and requirements for continuing professional development.

2) Development of advice on leadership and management development.

To support the implementation and adoption of these standards, there should be some central guidance, linked to Investors in People or some other externally supported standards such as EFQM, that encourages organisations to develop formal policies and processes for leadership and management development.

Consideration could be given to linking with the Care Commission & Social Work Inspection Agency (SWIA) so that the development of leadership and management is seen as another area of concern in the inspection and review of services.

Consideration should be given to the role of Centres of Excellence or other organisations specialising in leadership development to support this work, by providing training, advice and support to organisations and training and development professionals seeking to develop strategic leadership and management development policies and processes.

This work should support training and development professionals in securing budgets for leadership and management development and should help them address the recommendations of some of the national inquiry reports.

3) Development of a sector wide programme of leadership development for senior managers.

Again this should be run centrally and focused on senior or strategic management, and the strategic management of partnerships. The programme should give some specific focus to leadership of the profession and the issues of professional accountability and performance assessment. Whilst development of the programme should be funded centrally, it is suggested that the programme itself should require sponsor organisations to fund places, thereby addressing some of

the issues of commitment highlighted as necessary for effective leadership development.

This programme should be formally accredited as a postgraduate programme.

The programme should include a wide range of assessment, challenge and support techniques and on-going support to embed learning in the organisation should be designed into the programme.

The programme should have a focus on the three core elements of leadership of services and service delivery, leadership of the profession and leadership in partnership. The programme should address the issues of leading without formal authority in complex partnerships and should address the issues of accountability, governance and performance management of both single service and multi-service structures.

This programme should also explore the issues of service re-design and personalisation of services at a strategic level and the implications of such developments for organisational and service design and management.

External evaluation should also be designed into the programme to ensure effective review and if necessary re-design after a pilot programme and again after three years of operation.

4) “Leading to Deliver” or a successor programme for middle managers should be continued.

Again the revision of the programme should be funded centrally but the delivery should be moved out to centres of excellence or some other more locally based delivery mechanism.

Places on the programme should be paid for by individual organisations, but some form of subsidy or bursary could be made available for the smaller voluntary and independent sector organisations on a limited or competitive basis.

The programme should continue to be formally accredited, but should contain a stronger element of management development around business management, performance management and accountability than is currently included in the “Leading to Deliver” programme.

The revised programme should include case studies of leadership in both single and multi-organisational settings, and the management issues that arise from these. The programme should continue with its focus on service re-design and personalisation of services and the management implications of implementing such changes.

5) Development of an e-learning resource for management development.

A manager's tool-kit, with case study examples that are both social service and partnership specific should be developed. This should have some form of self - assessment and the potential to be linked to national standards such as SVQs.

The development of the programme should allow for individual organisations to tailor the home page etc to make it specific to their organisation, and to allow them to input their own organisations core policies and procedures, but the standards should fit with those developed nationally.

The programme should address the core issues of management of people, management of resources and management of policies, processes and procedures. It should have some specific sections that deal with issues of communication and information sharing with partner organisations as well as sections on budget setting and business planning in multi-organisational settings. Individual and organisational performance management should also be included as core elements along with some case study material on change management and service re-design.

The programme should be suitable for first line managers, with additional modules, case studies or sections for those in more senior positions.

This programme should be developed centrally with central funding, but using the expertise and experience of training and development professionals from the field and working with a reputable and established e-learning organisation that is used to working with a wide range of organisations.

This programme could have some link to 'Knowledge Exchange' as a means of building up relevant case studies.

Revision and review should be built into the contract to ensure that the programme remains relevant and up to date.

6) Development of some pilot projects on extended learning techniques to embed learning into work.

A range of pilot programmes should be developed on mentoring, coaching, action learning, and shadowing and short-term secondments. Each of these programmes should be evaluated and written up for dissemination to the whole sector as guidance on how to undertake such work effectively.

It is suggested that these pilots are developed in a range of different organisations, with the centre commissioning the work with short-term funding but asking the services to bid for the opportunity to take a pilot programme. The centre should lay down basic requirements for the pilot programme but should develop the details with the successful bidding service.

The outcomes of each pilot, which should be externally evaluated, should then be shared across the whole sector and the learning added to the advice on leadership and management development being given by Centres for Excellence or other such bodies

7) Development of programmes to support partnership working and evaluation of existing programmes.

There should be additional support for pilot programmes on partnership working, and evaluation of existing programmes that could lead into some formal sharing of learning about outcomes achieved.

Programmes should address the issues of leading and managing partnerships at both a strategic and an operational level. A short course programme on Chairmanship could also be developed with specific reference to chairing complex partnership groups. Funding for new pilot programmes on issues such as service design on a 'whole systems' basis should be balanced by further investment in programmes at both a national and local level that have already been developed and are in the early stages of implementation. A balance of national programmes that are accredited and local non-accredited programmes should be established, thereby ensuring a range of opportunities for leaders and managers at different levels within the organisational structures.

Some funding for evaluation of the existing programmes and on-going research on what makes for effective partnership working is also essential, thereby enabling the sector and its partners to build on existing good practice and demonstrating support for the more forward thinking organisations who have developed this work.

This is a critical area and worthy of some significant investment, given the recommendations of the various reports on social services. However, as stated in the other recommendations work on this area should not just be confined to partnership specific programmes but should be embedded in all leadership and management programmes designed for the sector.

8) A forum for sharing learning about leadership and management development should be established.

This forum should bring together professionals from the Universities, local Authorities, the Centres for Excellence and the voluntary and independent sectors to share learning about what works and how outcomes can be evaluated and reviewed. This forum could then be charged with developing research programmes, new programmes of work, and with evaluating work that is on-going such as any national programmes and making recommendations to both the centre and the services on what other developmental work needs to be put in place.

This work should inform the on-going development of standards for leaders and managers and for organisations in developing and implementing strategic leadership and management development strategies.

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