Evaluation Framework for RCF funded projects

Mid and West Wales Health and Social Care Collaborative Board

January 2015

Contents

1 Introduction and background

A programme comprising a range of projects has been established by the Mid and West Wales Health and Social Care Collaborative (MWWHSCC) funded through a variety of sources. The Mid and West Wales Health and Social Care Collaborative Board (MWWHSCCB) provides strategic leadership to this programme and commissioned the Whole Systems Partnership (WSP) to develop an Evaluation Framework to examine the effectiveness and impact of projects that have been funded through the Welsh Government Regional Collaborative Fund (RCF), namely:

- Strategic Co-ordination of the Regional Programme

- Mid and West Wales Strategic Efficiency Partnership (Learning Disability)

- Regional Complex Needs and vulnerable person's project.

MWWHSCCB had already identified and reported to Welsh Government key assessment areas for inclusion in the evaluation framework. The purpose of the evaluation was to inform improvements to collaboration at a regional level and provide quantitative and qualitative evidence of outcomes from the funded projects.

The work to develop the evaluation framework has taken place during the summer and autumn of 2014. The rather elongated timeframe results, in part, from the fact that, for the Learning Disability and Complex needs projects, local partners were still working through what the components of these projects were to be, and thus determining the precise criteria against which they should be assessed felt somewhat premature.

The work has been undertaken through a review of local documentation, workshops with the Regional Collaborative Team members and one to one interviews with twelve senior staff from across the four Local Authorities and two Health Boards. (See Appendix 1 for a list of interviewees). The detail of the framework has been through an iterative process with Project leads to ensure it reflects local needs and is realistic and feasible in terms of information collection and reporting.

This report outlines the approach taken to developing the evaluation framework, proposed evaluation domains, standards/questions, indicators, information requirements and sources and reporting frequency.

2 Approach

The overall approach to the development of the evaluation framework has been to keep it simple, proportionate to the level of RCF funding secured and, wherever possible, to draw on existing data sources and reporting mechanisms to minimise additional demands on staff time. It also utilises other pieces of work that have been commissioned locally to provide input on the baseline position in order to avoid duplication. The framework incorporates mainly qualitative measures with some quantitative aspects where it is feasible to secure these. Where new data recording and compilation mechanisms are required these have been identified along with reporting arrangements.

Two levels of recording and reporting are proposed. Level 1 reporting is to provide the necessary information for reporting to Welsh Government as required under the terms of the RCF grant. Appendix 2 outlines the areas for evaluation that have already been submitted to Welsh Government. Level 2 reporting is for internal purposes only and is geared to providing local partners with greater insight into the implementation and impact of the projects. Wherever appropriate recording and reporting will draw out any variation across the MWWHSCC footprint.

3 Domains

The evaluation framework is based on five domains which are common to all of the projects but with differing questions / standards within each domain. It is considered that collectively these will provide a rounded assessment of the RCF projects.

Financial Efficiency

This domain seeks to ascertain the extent to which any identified cost savings / cost avoidance as a result of the projects have been achieved.

Outcomes for the individual

The extent to which service users and carers and their representatives have been engaged within the projects and services is covered with in this domain along with the extent to which the outcomes for individuals affected by the projects have been improved.

Governance

This domain seeks to assess the effectiveness of local project governance and the extent to which strategic leadership has been strengthened through the duration of the programme.

Cultural Change (Ways of working)

The extent to which practitioner practice and commissioning and contracting practice has and will be improved is covered by this domain. It also assesses the extent to which effective processes are in place for dissemination of learning and intelligence from the projects.

Delivery

Whether the projects have achieved their identified project deliverables on schedule is covered by this domain. Undertaking a 'lessons learnt' review to inform future arrangements for and planning of regional projects is also covered here.

4 Questions and standards

Within each domain a number of standards / questions have been identified and specific performance indicators specified for each of these. Whilst these are identified for the individual projects there is a reasonable degree of commonality across the Learning Disability and Complex Needs projects reflecting the overlapping nature of these projects.

It has proved more problematic to identify questions / standards and performance indicators for the strategic co-ordination work funded through the RCF. This relates in part to the nature of the work, its role across the full range of collaborative programmes under the remit of the MWWHSCB and the difficulty in isolating the impact of the strategic collaboration resource separate from other factors that will impact on the effectiveness of collaborative arrangements. Strategic Co-ordination has however been covered, to an extent, in the financial and governance domains.

Since the development of the initial draft of the evaluation framework the Statement of Intent has been prepared for Learning Disability Services[1] in Mid and West Wales. This includes seven core recommendations which will now form the basis of the learning disability project and project reporting will be arranged in relation to these. The recommendations have therefore been mapped to the proposed domains to ensure consistency of approach. This is shown in Appendix 3.

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[1] Capita October 2014: MWWHSC Regional Collaborative Learning Disability Partnership -Statement of Intent Learning Disability Services

The domains, standards / questions and performance indicators are detailed in full in the table at Appendix 4

5 Information compilation and reporting

For each of the performance indicators the source of the information to be used to compile them has been identified. The sources fall into five broad categories and are detailed in Appendix 5):

- Collection and reporting arrangements are already in place (e.g. Accommodation & Efficiency plan reporting);

- External work already commissioned will provide a baseline position (e.g. Governance review of MWWHSCC to meet Delivery Transformation Grant requirements);

- The delivery planning process being put in place for learning disability projects will capture the required information(e.g. service user outcomes);

- New mechanisms are required to capture information (e.g. Improvement in working relationships through staff focus groups) and ongoing recording by project team members;

- Assessment of position required by the Project Manager, or audit/process review undertaken

Whilst adding some new information capture and therefore staff time requirement this is considered to be reasonable and realistic and will make a valuable contribution to the evaluation. Wherever possible opportunities will be taken to adopt a single approach to information capture across the learning disability and complex needs projects

It is proposed that a baseline position is established for each indicator where currently feasible as soon as possible. For a small number this is already known. An updated position statement in the form of a Project Manager Report would then be produced for the end of July 2015 and at the end of the projects in March 2016. This would draw on the data capture and reporting systems that have been identified. In addition Project Manager ongoing performance reporting of delivery against plan would continue as now on a monthly basis.

The implementation of this evaluation framework will, to a reasonable extent, draw on recording / reporting systems that are already or are being put in place. They will however place some additional requirements on Project Managers and project team members and on other staff. Some support is still available from the Whole Systems Partnership and areas have been identified with the project managers for the targeting of this in relation to some aspects of base lining and developing recording systems:

- Complex needs governance baseline – support to Project Manager
- Undertaking process review position statement across all three projects
- Indicators for improved commissioning (CN) and contracting (LD) – providing a 'critical eye'
- Development of templates and mechanism for regular recording / reporting – providing a 'critical eye'
- Support on stakeholder analysis to inform domain 2 – outcomes for individuals

6 In summary

The evaluation framework proposed is considered to provide a rounded picture of the effectiveness of the RCF funded projects whilst being comparatively simple and

proportional to the RCF funding. It has been developed in close consultation with project managers and is felt to be 'reasonable' in terms of requirements and to build from the systems and processes in hand and being developed, with only limited recourse for additional information collation and reporting. The pulling together of a base line, mid stage and end point assessment should provide both MWWHSCC Board members and Welsh Government with a robust assessment of the RCF projects and learning for future collaborative work.

Appendix 1: MWWHSCCB RCF Evaluation Interviewees

Name	Designation	Organisation
Lois Poynting	Project Manager Learning Disability	Carmarthenshire CC
Martyn Palfreman	Regional Programme Manager	Carmarthenshire CC
Debbie Edwards	Project Manager Complex Needs	Carmarthenshire CC
Carol Shillabeer	Director of Nursing	Powys Teaching Health Board
Gareth John	Head of Learning Disability and Mental Health	Carmarthenshire CC
Chris Harrison	Head of Commissioning	Pembrokeshire CC
Pam Marsden	Director of Adult Care	Carmarthenshire CC
Bruce McLernon	Director of Social Care Health and Housing	Carmarthenshire CC
Stefan Smith	Head of Children's Services	Carmarthenshire CC
Buddug Ward	Head of Children's Services	Ceredigion CC
Pauline Higham	Head of Children's Services	Powys CC
Sue Darnbrook	Head of Adult Social Care Services	Ceredigion CC
Libby Ryan-Davies	Acting Assistant Director	Hywel Dda UHB

Appendix 2: MWWHSCC RCF Evaluation Commitment to Welsh Government

- Assess the impact of constituent work streams within the programme on outcomes for users and carers across Mid and West Wales and evidence resulting financial savings and efficiencies
- Assess the extent to which specific outcomes identified in the RCF bid and revised within project plans have been achieved
- Provide intelligence on the benefits of emerging service models
- Assess the extent to which strategic leadership, both professional and political, has been strengthened through the duration of the programme
- Assess the effectiveness of the programme governance arrangements
- Evaluate the effectiveness of processes in place for disseminating learning and intelligence emerging from the projects
- Advise on how to mainstream and sustain new service models within core budgets following the end of the RCF funding in 2016
- Engage appropriately with users and carers and their representatives in evaluating the projects and assess the equalities impact of changes resulting from the projects

Appendix 3: **Mapping of Learning Disability Statement of Intent recommendations to Evaluation Domains**

	Recommendation	Domains
1	Implementation of model of care and support for people with a learning disability	Outcomes for the individual
2	Engagement with service users, carers and their family to co-produce service delivery models and monitor the outcomes	Outcomes for the individual
3	Create a regional quality and governance framework	Cultural change (Ways of working)
4	Define the integrated approach to working in partnership	Cultural Change (Ways of Working)
5	Identify a viable and sustainable approach to joint & regional commissioning for learning disability services	Cultural change (Ways of working)
6	Effective strategic leadership	Governance
7	Developing an effective regional approach to workforce, training and development	Cultural Change (Ways of working)
All		Delivery

APPENDIX 4: Domains, standards / questions, indicators and information source

1 Financial Efficiency					
Standard / Question	**Indicator Level**		**Indicator**	**Project**	**Information Source**
1.1 Actual cost savings & longer term efficiency	L1	1.1.1	• Actual cost savings for programmes (reviewed under the Accommodation & efficiency project and compared to action plan target reductions	LD	• In place -Quarterly reporting on four area A&E action plans
	L1	1.1.2	• Future cost avoidance – programme contract value at start and end of project	LD	• In place - Quarterly reporting on four area A&E action plans
	L2	1.1.3	• Supplementary reporting on process of achievement and efficiency improvements	LD	• In place - Quarterly reporting on four area A&E action plans plus team discussion
	L1	1.1.4	• Unit costs at a point in time for particular types of young people in specific settings vs equivalent unit costs at the end of the project	CN	• New – data required to construct is part of project deliverables
1.2 Maximising funding opportunities	L1	1.2.1	• Ability of MWWHSCCB to secure national monies available to local communities and maximise their deployment for collective benefit across the collaborative area.	SC	• New – Programme Manager assessment of position & achievements

2 Outcomes for the individual					
Standard / Question	**Indicator level**		**Indicator**	**Project**	**Information Source**
2.1 Meeting need locally	L1	2.1.1	• Assessment of the engagement of service users, carers and parents in the LD & CN RCF funded projects	LD CN LD, CN	• New – assessment of current position as part of planned stakeholder analysis and communication plan development • New – Project manager assessment of current position (initial WSP support) • New - Systematic approach to recording of engagement activity
	L2	2.1.2	• Assessment of the engagement of service users, carers & parents in the broader transformation programme for LD & CN longer term	LD, CN	• As above
	L1	2.1.3	• Number of young people in Out of Region placements by reason (% split) at commencement and end of project	CN	• New – requires agreement on consistent definitions and compilation of aggregate information
2.2 Progression	L1	2.2.1	• Improved outcomes for individual service users as a result of implementation of specific service changes identified in LD delivery plans	LD	• Being put in place as part of reporting arrangements for LD delivery plans • Quarterly reporting on A&E action plans
	L2	2.2.2	• Number in A&E cohort who have been identified for move on but currently there is nowhere for them to go	LD	• In place -Quarterly reporting on four area A&E action plans – requires aggregation
2.3 Personal perspectives	L1	2.3.1	• Individual case studies / stories	LD	• New – pro-active approach by staff to identify & capture individual stories as part of

2	Outcomes for the individual				
Standard / Question	**Indicator level**		**Indicator**	**Project**	**Information Source**
2.3 Personal perspectives	L1	2.3.2	• Innovative & developmental services in place		everyday practice • New – Case managers mechanism to be put in place to record / report on specific improvements / individual cases • New – Provider Forum (Development of forums discussion is to be built into the LD project (Initial support from WSP)
	L2	2.3.3	• Perspectives on changes from provider forums	LD	• New – Provider Forum

3	Governance					

Standard / Question	Indicator level		Indicator	Project	Information Source
3.1 Effectiveness of projects governance	L1/L2	3.1.1	Baseline assessment and review at end of projects • Right people in the room (membership & attendance) • Involvement of service users and carers • Roles, responsibilities, decision making • Senior commitment • Programme delivery – practicalities of making it happen	LD CN	• In place- Baseline assessment already undertaken as part of Statement of Intent Learning Disabilities Services Oct 2014 – Capita Development programme being undertaken by Alder that will assess position on commencement and at the end of their work • New – requires assessment of baseline position & future state (Initial Support from WSP)
	L1/2	3.1.2	• Contribution of Strategic co-ordination to broader collaborative programme • Commonly identified objectives, programme planning and reporting • Extent to which collaboration programme is reflected in local plans	SC	• In hand – In line with Sustainable Social Services Delivery Transformation Grant requirements external support to be commissioned to undertake a focused review of existing governance seeking to (1) strengthen strategic leadership of the collaborative programme and (2) ensure Welsh Government requirements are met • In hand – MWWHSCCB self-Assessment in line with Social Services and Well-Being (Wales) Act 2014

4	Cultural Change (Ways of working)					
Standard / Question	**Indicator level**		**Indicator**		**Project**	**Information Source**
4.1 Improved practitioner practice now and in the future	L1	4.1.1	• Effectiveness of working relationships between components of the LD/CN service provision e.g. care management, commissioning & procurement, finance		LD, CN	• New – Focus Groups with practitioners and with managers(CN &LD) – initial support from WSP • New – Part of LD delivery plan reporting being put in place
	L1/L2	4.1.2	• Improvement in quality of assessment and care planning			• New - Audit of a sample of case notes • New - Feedback from service users and carers
	L2	4.1.3	• Capture of softer and more detailed information on changes that have had an impact on relationships		LD, CN	• In place –Project records such as minutes and reports etc. • Ongoing recording by project team
	L1	4.1.4	• Closer working relationships with providers & improved understanding of services by practitioners		LD, CN	• New – Focus Groups with practitioners and with managers-initial support from WSP • Ongoing recording by project team
	L1	4.1.5	• Mechanisms in place for capturing & sharing good practice (locally & with other regions)		LD, CN	• New – establish structured approach to recording of activity • New – staff focus groups to capture softer side of dissemination • In place –Project records such as minutes and reports etc.
	L1	4.1.6	• Consistent processes in place with agreed procedures and protocols in place (framework for transition planning)		CN	• New – Requires Project Manager assessment (Initial support from WSP)
	L2	4.1.7	• Understanding of how processes are being used in practice by all partners		CN	• New- Project manager assessment of current position • Recommendations in place at end of project

4 Cultural Change (Ways of working)						
Standard / Question	**Indicator level**		**Indicator**		**Project**	**Information Source**
4.2 Improved commissioning practice	L1	4.2.1	• Commissioning(regional) underpinned by robust needs & gap analysis & structured approach to identification of requirements		CN	• New – baseline position statement by project manager and at end of project (Initial support from WSP)
		4.2.2	• Consistent (across region) needs assessment / data in place & ongoing recording mechanisms to inform planning			
		4.2.3	• Effective joint planning arrangements in place			
4.3 Improved contracting	L1	4.3.1	• Improved & robust systems and processes in place now and going forward		LD	• New – baseline position statement by project manager • New – Part of LD delivery plan reporting being put in place
	L2	4.3.2	• Common understanding and definitions in place for key items (e.g. supported living) across partners that are embedded in practice, contracts and processes		LD	• New – audit of contracts • New - Formal walk through of processes with staff (now & end of project) • New – Provider Forum discussions
	L2	4.3.3	• Robust contract monitoring arrangements in place		LD, CN	• New – audit of contracts • New - Formal walk through of processes with staff (now & end of project)

5	Delivery					

Standard / Question	Indicator level		Indicator		Project	Information Source
5.1 On-going performance management	L1	5.1.1	• High level monthly assessment of progress against action plans /work programme		LD, CN	• In place- Project Manager monthly reporting
	L2	5.1.2	• Softer information on the reality of progress		LD, CN	• Systematic recording by project manager
5.2 Key project deliverables in place and on schedule	L1	5.2.1	• Comprehensive & consistent schedule(s) of young people in out of county accommodation by type • Report on needs & options for development • Regional framework for transition planning • Regional commissioning plan NB: Above may require sub division as project progresses		CN	• New – project manager 6 monthly reporting
	L1 L1	5.2.2	Work streams to be identified based on recommendations from LD Statement of Intent: • Implementation of model of care and support for people with a learning disability • Engagement with service users, carers and their family to co-produce servicer delivery models and monitor the outcomes • Create a regional quality and governance framework • Define the integrated approach to working in partnership • Identify a viable and sustainable approach to joint and regional commissioning for learning disability services • Effective strategic leadership • Developing an effective regional approach to workforce, training and development.		LD	• New – project manager 6 monthly reporting

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5	Delivery					
Standard / Question	**Indicator level**		**Indicator**		**Project**	**Information Source**
5.3 Process review re lessons learnt	L1/2	5.3.1	The reality check e.g. • Getting started • Securing collaboration • Can a regional project deliver?		LD, CN, SC	• New – undertake lessons learnt to date review , to be updated towards end of projects,(initial support from WSP)

APPENDIX 5: Information capture mechanisms

Learning Disability			
Information capture mechanism	**Domain**		**Indicator**
Accommodation & Efficiency Action Plan	Financial efficiency	1.1.1 1.1.2 1.1.3	• Actual cost savings • Cost avoidance • Supplementary reporting re achievement
	Outcomes for individuals	2.2.1 2.2.2	• Improved outcomes for individuals as a result of specific service changes • No. identified for move on but currently no place to go
Externally commissioned work	Governance	3.1.1	• Effectiveness of project governance
	Delivery	5.3.1	• Lessons Learnt (WSP review)
LD Delivery Plans	Outcomes for individuals	2.2.1	• Outcomes for individuals as a result of specific service changes
	Cultural change	4.1.1 4.3.1	• Effectiveness of internal working relationships • Contracting robust systems and processes in place
Practitioner & manager Focus Groups	Cultural change	4.1.1 4.1.4 4.1.5	• Effectiveness of internal working relationships • Closer working relationship with providers & improved knowledge of services • Capturing and sharing of good practice
Provider Forums	Outcomes for individuals	2.3.1 2.3.2 2.3.3	• Individual case studies / stories • Innovative & developmental services • Perspectives on changes
	Cultural change	4.3.2	• Common understanding / definitions in place for key items
Structured approach to activity recording / Ongoing recording by project team / securing feedback	Outcomes for individuals	2.1.1 2.1.2 2.3.1 2.3.2	• Engagement of service users, carers & parents in RCF project • Engagement of service users, carers & parents in broader LD programme • Individual case studies / stories • Innovative & developmental; services in place
	Cultural change	4.1.1 4.1.2 4.1.3 4.1.4 4.1.5	• Effectiveness of internal relations • Improvement in quality of assessment & care planning • Softer information on changes • Closer working relationships with providers & improved knowledge of services • Capturing and sharing good practice

Learning Disability			
Information capture mechanism	**Domain**		**Indicator**
Audit / Process review	Cultural change	4.1.2 4.3.2 4.3.3	• Improvement in quality of assessment and care planning • Common understanding / definitions in place for key items • Robust contract monitoring arrangements in place
Project Manager assessment	Outcomes for the individual	2.1.1 2.1.2	• Engagement of service users, carers & parents in RCF project • Engagement of service users, carers & parents in broader LD programme
	Cultural change	4.3.1	• Contracting robust systems and processes in place
	Delivery	5.1.1 5.1.2 5.2.2	• Monthly project manager assessment of progress • Softer information on reality of progress • Key project deliverables in place

Complex Needs			
Information capture mechanism	**Domain**		**Indicator**
Externally commissioned work	Delivery	5.3.1	• Lessons Learnt (WSP review)
Practitioner & manager Focus Groups	Cultural Change	4.1.1 4.1.4 4.1.5	• Effectiveness of internal working relationships • Closer working relationship with providers & knowledge of services • Capturing and sharing of good practice
Structured approach to activity recording / ongoing recording by project team / securing feedback	Outcomes for the individual	2.1.1 2.1.2	• Engagement of service users, carers & parents in RCF project • Engagement of service users, carers & parents in broader CN programme
	Cultural change	4.1.1 4.1.2 4.1.3 4.1.4 4.1.5	• Effective internal relations • Improvement in quality of assessment & care planning • Softer information on changes • Closer working relationships with providers and knowledge of services • Capturing and sharing of good practice
Audit / Process review	Cultural change	4.1.2 4.3.3	• Improvement in quality of assessment & care planning • Robust contract monitoring arrangements in place
Project Manager assessment	Outcomes for the individual	2.1.1	• Engagement of service users and carers in RCF project
	Governance	3.1.1	• Effectiveness of project governance
	Cultural change	4.1.6 4.1.7 4.2.1 4.2.2 4.2.3	• Consistent processes, agreed procedures and protocols in place • Understanding of how process are being used in practice • Commissioning underpinned by needs & gap analysis ; structured approach to identification of requirements • Consistent needs assessment / data in place and ongoing recording • Effective joint planning arrangements in place
	Delivery	5.2.1 5.1.2 5.2.1	• Monthly project manager assessment of progress • Softer information on reality of progress • Key project deliverables in place
Compilation of statistical information	Financial efficiency	1.1.4	• Unit cost by setting
	Outcomes for the individual	2.1.3	• Out of Region placements by reason

Strategic Co-ordination			
Information capture mechanism	**Domain**		**Indicator**
Regional Programme manager assessment	Maximising funding opportunities	1.2.1	• Ability of MWWHSCCB to secure national monies available to local communities and maximise their deployment for collective benefit across the collaborative area.
Externally commissioned work	Governance	3.1.2	• Effectiveness of programme governance
	Delivery	5.3.1	• Lessons Learnt (WSP review)