The 'whole systems' model for leadership & management

Leadership & Management

Product 2

Product 2

The 'whole systems' model for leadership and management

1   Introduction

1.1   The background

The whole systems model has been devised to support the social care sector with implementing Topss England's leadership and management strategy.

This model has been arrived at after extensive consultation with leaders, managers, practitioners, service users, individuals and other stakeholders in the sector. The consultation and overall development project for leadership and management has been commissioned and managed by Topss England.

The model aims for clarity to encourage all people in the sector to make use of it. A glossary is also included at the end of this document to expand further on terms used.

Leadership and management should be integrated and complementary, so that leadership is reflected in management roles at all levels. In addition, the different strengths, needs and aspirations of leaders at all stages in their careers need to be recognised and developed. Organisations need to develop a culture and structures that will encourage leadership and management capability.

A leadership and management development model should be:

*   open to context changes, external influences and the environment

*   integrative and clear about the links between service users, carers, stakeholders, the organisation, teams and individuals

*   based on shared outcomes, values and attitudes within a learning culture

*   capable of describing partnerships and networks

*   dynamic and developmental

*   flexible and facilitative of change and choice

*   based on processes that support learning and skills transfer

*   evaluated and informed by research.

1.2   Why we need a model

The demands currently facing the social care sector are challenging and require change from organisations and individuals. Government policy is strongly emphasising the need for social care to focus on promoting more choice, independence, participation and control for service users.

There is an increased need to work with a wider range of partners, agencies and disciplines. A strategic model for leadership and management will help provide a framework to tackle these changes.

Social care shares common problems with other sectors in terms of leadership and management development. These are:

- a lack of a coherent and consistent approach

- a lack of integration of individual and organisational development

- education and training which is provider led rather than employer driven.

This has resulted in a fragmented, *ad hoc* approach to development with access to opportunities often dependent on the learning culture of the organisation and the availability of appropriate programmes.

Therefore, a model for leadership and management development has been devised based on social care principles and values, which will integrate individual and organisational development, promote good practice and provide clear direction. The Statement for a Leadership and Management Development Strategy for Social Care (*What leaders and managers in social care do*)[1] provides further information about leading and managing in social care.

1.3   Who can make use of the model?

The model is designed to be accessible to all those working in and using social care services. If you are a leader or manager, including managing your own care-givers, the model can guide the development of your knowledge, skills and practice in the context of the sector requirements.

1.4   How it can be used

The model depicts good practice in managing the following:

- relationships between individuals

- the needs both of organisations and people

- change

- education, training and development

- partnerships and interagency working.

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

2.   Leadership and management

2.1   What leadership and management means

The model is about leadership and management and there will always be debate about what those words mean. The diagram below suggests qualities and skills that are specific to leadership or management, as well as those that are common to both.
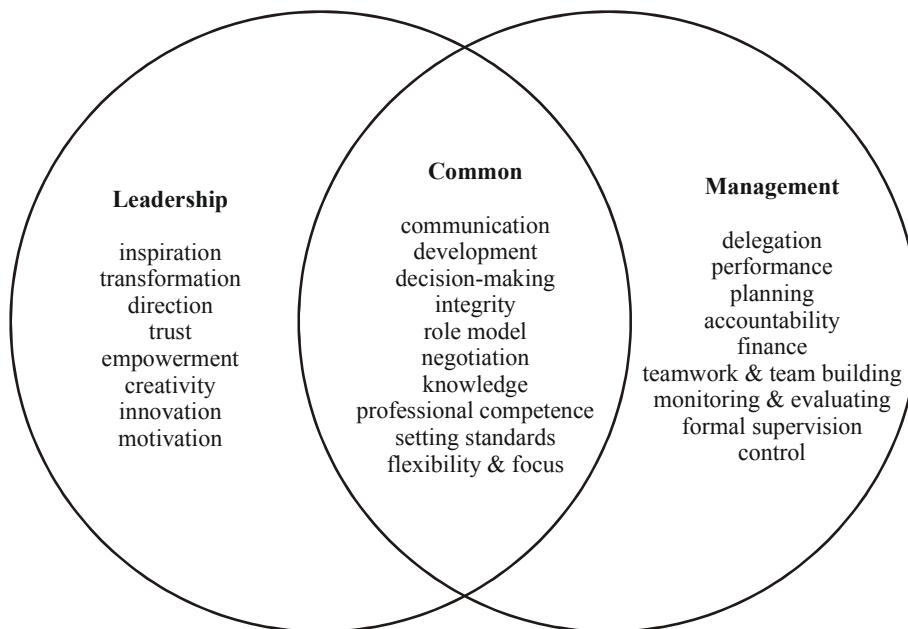
Leadership

inspiration
transformation
direction
trust
empowerment
creativity
innovation
motivation

Common

communication
development
decision-making
integrity
role model
negotiation
knowledge
professional competence
setting standards
flexibility & focus

Management

delegation
performance
planning
accountability
finance
teamwork & team building
monitoring & evaluating
formal supervision
control

Diagram 1   The relationship between leadership and management

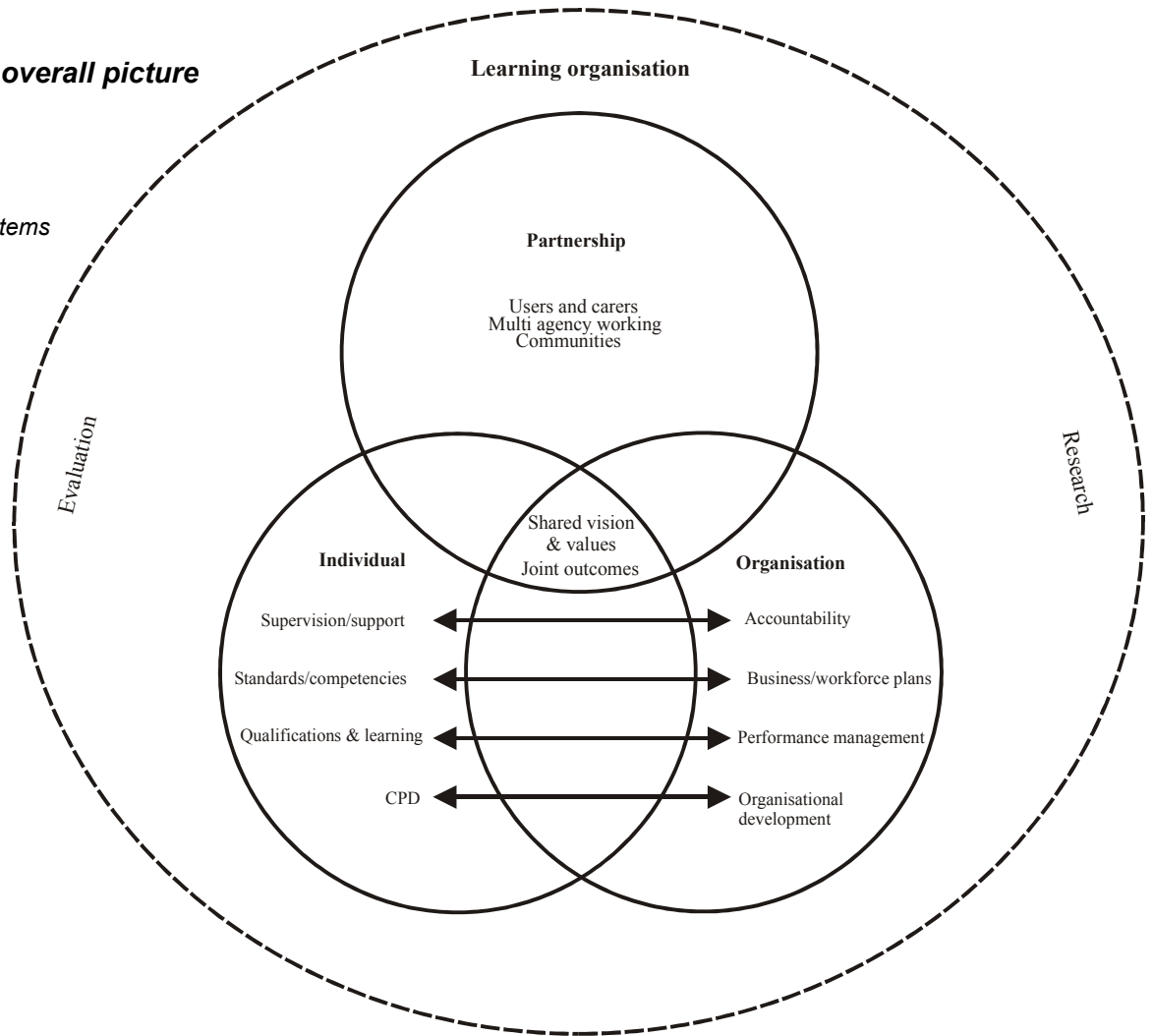### 2.2   The values that underpin the care sector

Again, the wording and interpretation of 'shared values' are areas for debate. There will need to be discussion and agreement within and without the organisation to agree a common set of values. Leaders and managers must have a critical understanding of anti-discriminatory practice and the impact of exclusion and disadvantage on people's lives. Leaders and managers must be proactive in working with the diversity of staff, service users and carers and in promoting social inclusion. Further values could be to:

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

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

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

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

- ensure equality for staff and service users, driven from the top down

- challenge discrimination and harassment in employment practice and service delivery

- empower staff and service users to develop services people want

- value people, recognise and actively develop potential

- uphold public trust and confidence in social care services.

3 The model

3.1 The overall picture

*Diagram 2
The whole systems
approach*

Learning organisation

Evaluation

Research

Partnership

Users and carers
Multi agency working
Communities

Shared vision
& values
Joint outcomes

Individual

Supervision/support

Standards/competencies

Qualifications & learning

CPD

Organisation

Accountability

Business/workforce plans

Performance management

Organisational
development

3.2 What is in the model?

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

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

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

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

4.   The learning organisation promotes the gathering and sharing of information and knowledge,
     through research and evaluation.

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

Further detail of some key features includes:

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

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

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

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

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

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

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

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

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

4 Making the model work

4.1 Four levels of change

Implementing the model requires change, some of which will need to be made by individuals and organisations, but much of which demands national and regional collaboration. These are some of the changes that need to be considered at each level. The changes that you can consider making are overleaf in the organisational and individual sections.
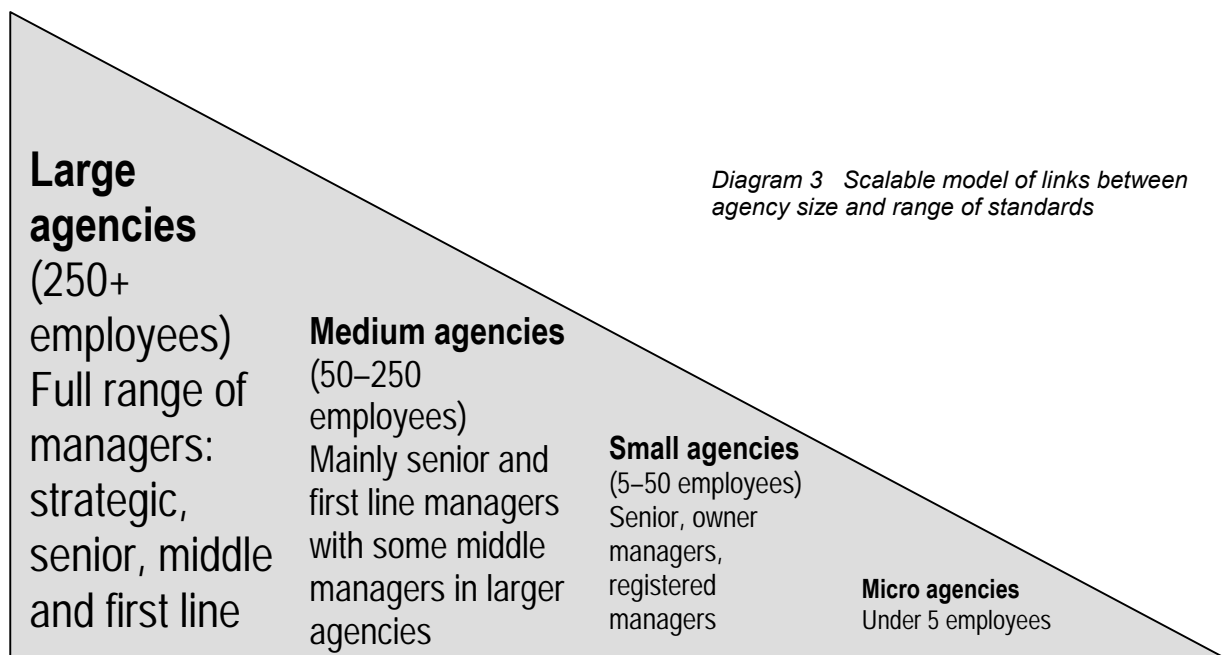
Table 1	Levels of change
National	• Greater co-operation between a range of national bodies to ensure a co-ordinated approach to the development of a flexible range of programmes and materials, appropriate to the whole range of social care agencies • Consideration of a common approach to the use of national occupational standards / competences for leadership and management development • Ensure sector-based qualifications link with the national and post qualifying framework
Regional	• Identification of providers at a regional level who are prepared to offer flexibility in tailoring programmes to meet social care requirements—this could involve Topss England's regional networks • Development of partnerships of learning and qualifications commissioners to increase buying power and ensure consistency of approach • Support for small independent agencies to access appropriate learning on the job • Encouragement for colleges and other potential providers in regions to develop appropriate provision where there is a lack • Creation of strategic learning partnerships involving managers, commissioners and providers of learning
Table continues on next page	

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

4.2   One size fits all

While the overall model can apply to any type or size of organisation in the sector, it is clear that the detail must take account of the diversity of organisations and people. Diagram 3, below, offers a scalable approach to determining the competences of managers and relevant qualifications. Find the agency size which best describes your own to see how you can apply this to your own organisation.

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

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

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

Micro agencies Under 5 employees

Diagram 3   Scalable model of links between agency size and range of standards

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

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

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

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

It may be necessary to look at a more specialised set of competences for top managers, such as directors, chief executives and other strategic roles.

4.3 The individuals, the organisation and their partners

For effective management of the relationship between people and organisations, both individual and common needs should be met. It is suggested that the following factors should be addressed when implementing the model in your organisation.

Table 2 Three level good practice model	
Who or what	**Should have**
Individual leader or manager	• Effective recruitment, selection and induction to allow early identification of learning needs • Planned transitions into management • Access to a variety of on and off the job learning activities—shadowing, placements, coaching, mentoring and projects • 360º feedback which can involve service users • Good supervision and appraisal • Personal development plan based on person management specification • Monitoring and evaluation of learning
Table continues on next page	

Table 2 Three level good practice model, *continued*	
Who or what	**Should have**
Organisation	• Links between business plan, leadership and management competences and learning and qualification needs • Systems for monitoring and evaluating the impact of learning • Funding streams to support management learning • Commitment to Investors in People standard • Link between leadership and management learning and quality systems such as European Framework for Quality Management (EFQM) • Clarity about values and behaviours expected of managers and the link to organisational culture • Succession planning • Use of national occupational standards to audit learning needs
Partnerships	• Development of strategic partnerships with local training and education providers • Creation of joint management learning opportunities with other agencies such as health, education, private and voluntary agencies • Identification and channelled funding to support leadership and management learning and qualifications • Use of partnership networks as opportunities to extend on the job learning through work exchanges, shadowing, projects, placements and meetings

5   Personalising the model

5.1   *Person management specification*
The person management specification provides a competence-based profile of any management role. This links a job description to relevant competences. It is designed to offer a focal point for leadership and management learning, a personal development plan (PDP), appropriate qualifications and continuing professional development (CPD). You can use this template to specify development for your managers.

5.2   *Outline of the person management specification model*
The structure of the person management specification is shown in table 3 (page 9). It is intended that each individual manager would have a profile. This would be a 'living' document, requiring monitoring and updating as part of self-development, an appraisal system or other performance review processes.

Table 3 Person management specification		
Person management specification	**Personal development plan**	**Continuing professional development**
Profile based on a selection of current competences drawn from: • generic leadership and management standards • specialist competences, specific to social care • partnership competences The overall competence profile resulting would be: • related to job role of that level and type of manager • related to individual leadership and management role in the organisation	Discrete learning and other development opportunities: • organisation specific for updating and further development • external non-qualifying programme --- Required qualifications essential to the management role and matching the competence profile or other awards. An initial award for new managers could relate to foundation learning --- Organisational basics for new managers: • induction and foundation learning	This could include a range of activities: • record of achievement • record of learning • reflective learning diary • demonstration of how professional leadership and management institute requirements are being met The CPD process should be closely linked to the person management specification and the PDP

5.3 Selecting competences

Given the number of possible relevant competences, an automated system will be needed to help organisations make an appropriate selection. This system could include:

• a database of competences provided on CD-ROM

• an online alternative to accessing the data

• a mechanism to maintain and update the person management specification

• guidance on selection

• examples for different levels and types of managers and leaders.

The proportions of specialist and generic competences are likely to vary according to the level of manager. Diagram 4 (right) shows how this may work for you and your managers. First line managers and supervisors are likely to have a relatively greater number of specialist competences within their profiles, while senior managers will have a larger number of generic competences. However, all managers will require competences in working in partnership. Partnerships can include service users, carers, families, national agencies, local agencies and local communities.
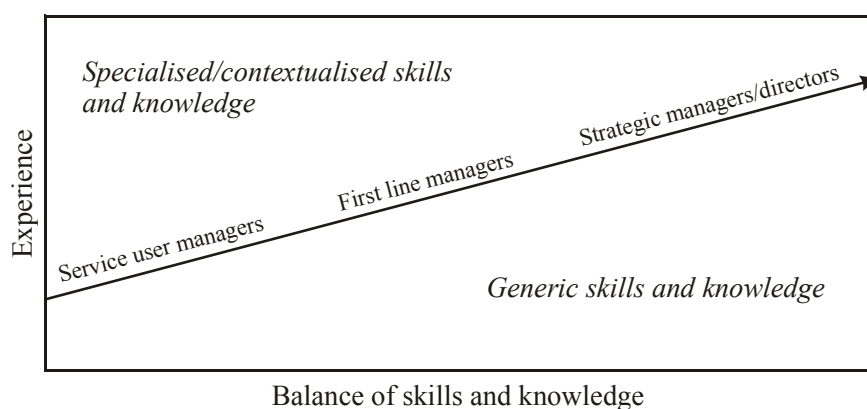
This flexible approach will be able to meet the needs of managers in small organisations as well as large ones. If you are a manager of a small organisation you may require competences spanning the whole range from first line to strategic managers.

Examples of qualifications from which some of these competences can be drawn can include:

- Certificate in Management
- Certificate in Managing Health and Social Care
- Management NVQ level 3
- Registered Manager Award
- Diploma in Management
- Diploma in the Management of Care Services
- Diploma in Managing Health & Social Care
- Management NVQ level 4
- Management NVQ level 5
- Master of Business Administration
- Masters in Social Services Management.

5.4   Continuing professional development

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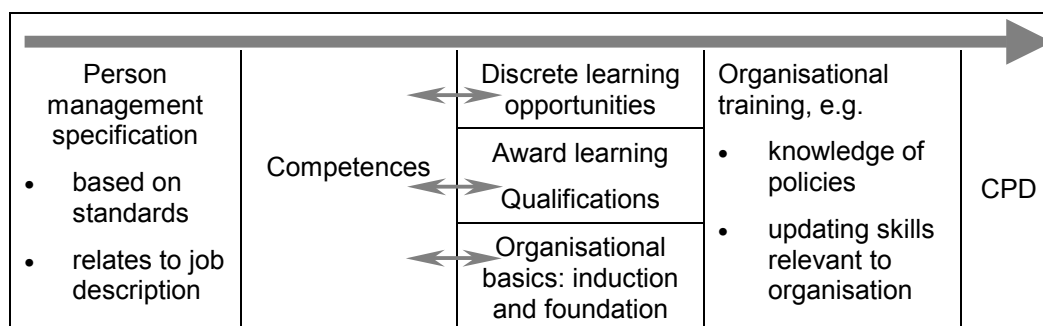

Diagram 5   Template for an individual manager

5.5   Putting together a tailored award or qualification

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

- generic   • specialist   • partnership   • organisational.

To put together a flexible award you can draw on competences from the following areas:

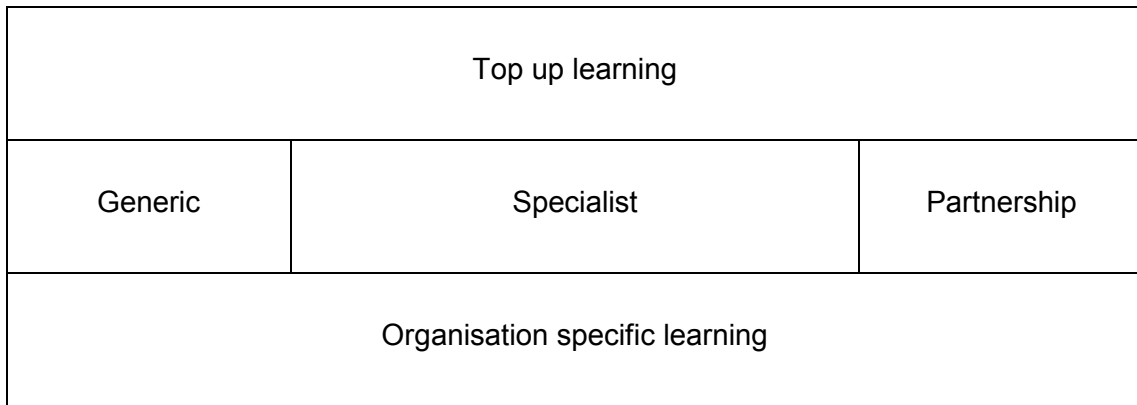| Top up learning		
Generic	Specialist	Partnership
Organisation specific learning		

Diagram 6   Skills mix for leadership and management

5.6   *Case study – Example of using the Person Management Template for a team leader*

The example given over the next pages used a job description for a Team Leader (first line manager) in a Children and Families team and was developed with a first line manager in Kent. The person specification was cross-referenced to the competences framework, starting with the specialist competences. The overall approach was regarded as useful and the cross-referencing process worked well. The competences were also linked to experience and knowledge required by the job. To implement this approach might require the development of a database. This would have more detail about each unit and also have breakdowns of possible groupings for different levels and types of leaders and managers.

More information about the competences cited in the case study can be found in product 3 of the leadership and management strategy ('mapping of competences').

Person management specification	Competences	Learning opportunities to meet whole specification	Organisational training and CPD
Negotiation, planning and commissioning Communicate with external bodies	**RMRCC2** Manage the development & direction of the provision **VSNTO:A4** Develop plans to meet your organisation's goals **H57** Consult on and agree objectives for the service	Discrete learning opportunities based on the PDP: Range of in-house courses plus shadowing, mentoring, secondments	**Organisational training:** ● knowledge of policies ● updating skills relevant to organisation. This would link into the organisation's programmes and priorities for leadership and management training.
Change management	**14** Fostering innovation – encouraging people to challenge **17** Planning change **RMA:4** Contribute to improvements at work **RMRCC: 1** Demonstrate a style of leadership that ensures an organisational culture of open and participatory management and practice **L+D:9** Create a climate that promotes learning **NHS LQF Delivering the service:** Leading change through people **H:48** Develop and maintain procedures for customer participation **18** Implementing change	**Award learning** **Qualifications** A programme that is a combination of training/learning sets that is applied and assessed in practice with a recognised management qualification as an outcome Organisational basics: induction and foundation This person should already have a PQ Child Care Award and possibly a Practice Teaching Award An introductory management qualification could be an entry requirement. This could be done while undertaking the role of a practice manager/ supervisor	**CPD:** There will be minimum requirements for some social care staff, e.g. social workers will have to do a minimum of 15 days over 3 years. CPD could include organisational training. CPD may relate to maintaining competences for the current leadership/ management role or to developing knowledge and skills for future career pathways. The development opportunities should be flexible to include: ● knowledge and skills – maintenance and development based on standards applicable to existing or new role ● relevant courses, seminars, use of toolkits, e-learning etc ● experience – shadowing, secondments, etc ● behaviours – role modelling, planned transitions, mentoring

Person management specification	Competences	Learning opportunities to meet whole specification	Organisational training and CPD
Ability to work to tight deadlines with limited resources	**1** Managing own resources **RMA:RG6** Take responsibility for business performance and the continuing development of self and others **25** Providing assignments to colleagues	as above	as above
Oversee, monitor and review a range of projects and prioritise	**RMA:SNH4U1** Develop programmes, projects and plans **RMA:F3** Manage continuous quality improvement **RMRCC:17** Promote and manage a quality provision		
High level budget management and audit skills	**RMA:B3** **RMA:D4** Manage the use of financial resources **NHSKSF Dimension 21**: Management of financial/physical resources Provide information to support decision making		
Recruit, manage and develop a team of professional social workers and support staff	**24 & RMRCC:10** Contribute to the selection, recruitment and retention of staff to develop a quality service **NHSKSF Dimension 2:** Personal and People Development **RMRCC:14** Assess candidates using a range of methods **RMRCC:12** Take responsibility for the continuing professional development of self and others **RMRCC:15** Support competence achieved in the workplace **HSC:C1.1** Contribute to the effectiveness of teams **DANOS:AC2** Make use of supervision **13** Promoting diversity	as above	as above
Computer literacy	**RMA: D4** **38** Managing information, knowledge and communication Provide information to support decision making	as above	as above

Person management specification	Competences	Learning opportunities to meet whole specification	Organisational training and CPD
Commitment to Equal Opportunities	**NHSKSF Dimension 6:** Equality, diversity and rights **YW:D2** Work in ways that promote equality of opportunity, participation and responsibility	as above	as above
Professional credibility	**VSNTO: F11** Report to external agencies **39** Using information to make decisions which are evidence-based **SW20** Manage complex, ethical issues, dilemmas and conflicts **DANOS:AC2** Make use of supervision **SW: 14** Manage and be accountable for your own work		
Initiative	**14** Fostering innovation **15** Taking personal action to innovate		
Leadership ability	**9** Leading people **NHSKSF Dimension 19: Leadership** Lead work teams in the development of knowledge, ideas and work practices. This might include leading multi-agency teams and communities (levels 3/4) **NHS LQS Setting direction**: Drive for results – a strong commitment to making service performance improvements and a determination to achieve positive service outcomes for users		
Energy, enthusiasm and flexibility	**NHSLQF Setting Direction**: Intellectual flexibility	as above	as above
Joint working	**HSC:C2.1** Develop joint working agreements and practices		
Contribute to policy and practice formulation	**DANOS:BA3** Contribute to the development of organisational policy and practice Should be in but are not explicit in Person Specification **HSC:B3.1** Contribute to the prevention and management of abusive & aggressive behaviour **RMRCC:18** Develop and maintain healthy and safe working practices and environment **12** Managing risk		

6   Glossary of terms

Competences	The mix of underpinning knowledge and skills required by a practitioner or manager. Their job role, job description, or national standards should define these.
Continuing professional development or CPD	The practice which places an expectation on all professionals and managers to continue developing their skills and knowledge through a range of learning and development activities. It can include: direct training, open learning, attending lectures or talks, shadowing, mentoring, coaching, research, reading background documents and online activities.
Drivers	The factors which impact on an organisation or the social care sector.
EFQM	European Framework for Quality Management. The EFQM Excellence Model is a framework for organisational and self-assessment. The model is a "way of managing activities to gain efficiency, effectiveness and competitive advantage." www.efqm.org
Generic	General, in this case, skills and knowledge required by a manager or leader in the social care sector. Such skills might include management of teams, individuals, budgets and projects and are common to other sectors as well.
ICT	Information and communications technology. This usually refers to computer equipment and in this case means having access to the internet and a computer to participate in learning and development.
Learning organisation	An organisation whose culture encourages individual learning as well as collective learning about the organisation itself. Including approaches such as service delivery, empowerment, team building and quality management.[2]
National occupational standards	National occupational standards are the agreed standards of good practice for the social care sector. They provide the basis for the units that make up NVQs used in the care sector. Other occupational standards such as the management standards can also be relevant to your organisation.
Personal development plan or PDP	The practice of agreeing and writing a short or medium term plan for an individual's development. The plan should include specific, measurable, agreed, realistic and time-bound targets.
Stakeholder	Any person or organisation with an interest or 'stake' in a service, business or project. This can include partners, service users and their representatives and other agencies.
Succession planning	The plan a good manager or leader should draw up to prepare for future staff needs in their organisation. The plan can include strategies to develop the skills of practitioners to prepare them for management roles in the future.

1 Topss England, Leadership & Management strategy, product 1, October 2004
2 *Concise Dictionary of Business Management*, David A Staff (Routledge, 1999)

Leadership & Management
– a strategy for the social care workforce

This publication is one of a comprehensive set of 'products' from Skills for Care's leadership and management project, first published under the Topss England banner in 2004. They have been developed to enable managers across social care to implement the recommendations in the main leadership & management strategy report.

The products are:

1. *What leaders and managers in social care do* – a statement on leadership and management in social care
2. The 'whole systems' model, including a 'person management specification'
3. Mapping of leadership and management standards
4. National signposting links
5. Continuing Professional Development
6. A unit of competence for conducting supervision
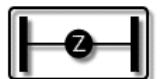7. A guide to evaluation.

2 Product

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

The products are distributed in a pack with the main report, and are repeated on a CD-ROM so copies can be made as required. They can also be downloaded from www.skillsforcare.org.uk (see Our Projects).

This is a 2006 Skills for Care reprint of a 2004 Topss England publication. References to ongoing leadership and management work by Topss England in relation to adult social care should now be taken to mean Skills for Care's continuing implementation of the strategy. References to leadership and management development in children's and young people's services should be now be read in the context of the strategy being incorporated into the wider work of the Children's Workforce Development Council. Leaders and managers in children's and young people's services are therefore advised to use the strategy documents, but also to maintain contact with CWDC (www.cwdcouncil.org.uk) to keep up to date with further developments.