

Strategic Performance Management and Quality Assurance Framework

2021 - 2023

RBSAB

ROCHDALE BOROUGH
SAFEGUARDING ADULTS BOARD

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Rochdale Borough Safeguarding Adults Board Quality Assurance Framework			
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Introduction

The Rochdale Borough Safeguarding Adults Board (RBSAB) wants all safeguarding services for adults and older people in Rochdale to be high quality, personalised and adaptive. By working together and reviewing the quality of services provided in the borough, we can be assured that adults are kept safe from harm, and that we improve services based upon the views and experiences of those living in the borough.

Our strategic quality assurance framework will enable agencies to develop a shared understanding of the effectiveness of safeguarding arrangements and services across Rochdale.

Perhaps one of the most important things to consider in this framework is the health and wellbeing of individuals, and whether we are achieving the outcomes that are important to adults and their carers.

Improving outcomes for adults and adults at risk should be central to all service provision. Organisations and partnerships should collect, share and analyse data to effectively understand the effectiveness, and limitations, of systems and services to help protect adults from risk of harm.

This framework doesn't spell out individual audit exercises but rather provides a system of principles and processes that can be used and adapted to explore the effectiveness of service provision for adults in Rochdale.

Framework principles

Who the framework is for

The framework is primarily for use by RBSAB member organisations. The key principles outlined in the framework can be applied by any partnership, organisation or individual with safeguarding responsibilities.

Governance

Implementation and delivery will be overseen by the Joint Quality Assurance, Excellence in Practice and Engagement Sub-Group. Quarterly reporting on activity will be reported to each meeting of the Joint Sub-Group, and assurance reporting provided to the Safeguarding Adults Board.

The themes and focus of our activity will be shaped by the RBSAB priorities (as set out in the annual business plan) as well as learning from QA activity and reporting, and Safeguarding Adult Reviews. Regular engagement between QAEIP and Safeguarding Adult Review Sub-Groups will take place to ensure learning and activity is aligned and co-ordinated.

The purpose of the framework

This framework is intended to help leaders in all organisations under the RBSAB to answer two main questions:

- how effective are we at keeping adults safe
- how we can embed learning to prevent issues from reoccurring

By asking these questions, and understanding the answers, we will help to safeguard those adults at risk of harm, manage the risk inherent in this area of work, and drive improvement in outcomes for adults and their carers.

Our key principles

Our Quality Assurance Framework has been developed with some key principles in mind. They underpin the quality assurance and scrutiny work of the RBSAB, and help to keep a focus on the purpose of our activity.

- **Adults and carers are the experts in their experiences.** The Care Act (2014) promotes the practice of personalisation, and we want to promote this in our approach to QA. Any activity undertaken should recognise the voices, views and experiences of adults and their carers.
- **Safeguarding is complex in its nature.** Constant scrutiny and review is required to ensure continuous improvement across the system in light of an

evolving legislative framework as well as local regional and national influences.

- **All agencies are committed to learning and improvement.** Effective quality assurance comes from the nature and detail of organisational and partnership culture and leadership. We all need to be engaged and willing to learn and improve together.
- **Learning needs to be fed back into the system.** The core purpose of our activity should be to improve outcomes for adults and their families and carers, not to describe processes or a particular service area. We will be supportive in our approach to learning and development across the system. All activity and reporting should be fair, participative and transparent.
- **Quality Assurance activity is broad and adaptive.** Different areas of enquiry will require a different approach, and we will need to make sure that we are measuring and scrutinising the right things. We will not adopt a 'one size fits all' approach, but rather adapt our method of enquiry and ensure that performance indicators, system throughput and outcomes for adults are all given due consideration.
- **Our activity is shared across all organisations.** No one person, organisation or partnership is the owner of QA work, but we will work together and provide a constructive and supportive approach across all agencies.

Links with practice and improvement

The purpose of our QA activity should be improved outcomes for adults, carers and families living in Rochdale. It is therefore important that we take account and are influenced by current safeguarding themes within the borough.

The focus of all QA activity (as set out on pages 8 and 10) will be linked with activity and learning from Safeguarding Adult Reviews, including referrals that do not progress to full review. The findings from QA activity will be published on the RBSAB website, and will be shared and reflected in our training offer for safeguarding professionals.

Where action plans lead to service improvement, we will closely monitor implementation and impact on people's lives as a result of this activity.

Audit topics will be identified in the annual work plan for the Quality Assurance, Excellence in Practice & Engagement Sub-Group, and additional themes will be selected dependent upon individual agency priorities, regulatory inspections and other regional and national context, and Safeguarding Adult Reviews that may offer additional leaning for the Partnership.

Responding to The Care Act

The key piece of legislation that is central to our framework is The Care Act (2014)¹, which sets out 6 principles to encourage a person-centred approach when safeguarding vulnerable adults². Our QA Framework naturally sits alongside the legislation, in that we want to place the lived experience of adults at the centre of all activity.

The 6 principles of The Care Act are set out below:

1	Empowerment	<i>We will look at how adults' were asked about their outcomes, and the personalisation of interventions</i>
2	Protection	<i>We will explore how safeguarding procedures were followed</i>
3	Prevention	<i>As well as looking at early interventions, we will explore training and development across agencies</i>
4	Proportionality	<i>We will seek to understand how interventions offered were right for the individual or circumstance, and that they were treated with dignity and respect</i>
5	Partnership	<i>Central to the business of the RBSAB, we will look at how individuals and agencies collaborated and worked together</i>
6	Accountability	<i>We will look at factors including information sharing & referrals, as well as governance and scrutiny of safeguarding activity</i>

More information on The Care Act can be found on the RBSAB website:
www.rbsab.org

The Care Act sets out the principle of **Making Safeguarding Personal** and states that adults should be asked about the outcomes they wish to achieve at the outset of safeguarding involvement. To ensure this approach is embedded in practice, we will monitor:

- ✓ Information and statistics on personalised outcomes through quarterly data reporting
- ✓ Adults voices and how they are heard as part of all audit work
- ✓ Proxy measures on adult voice (e.g. complaints) as part of thematic work

¹ <https://www.legislation.gov.uk/ukpga/2014/23/contents/enacted>

² As outlined in Section 42 of The Care Act

Our Quality Assurance and Performance Reporting Activity

The subject and method of our activity will vary depending upon the intended outcome. Our approach will be flexible and adaptive to suit our needs. The table on the next page outlines the breadth of different QA activity that will take place across the RBSAB, and Appendix C sets out a process flowchart for our routine QA activity.

We will ensure activity takes note of a range of different evidence sources to arrive at a rounded view of quality and performance. Above all, we will ensure that adults' voices are prominent and observed as part of any work undertaken.

We will take account of a range of evidence (dependent upon the particular audit query) as part of any QA activity. This will ensure a balance between qualitative and quantitative data is included in any analysis.



Our activity will focus around three main themes.

- **Practice** – we will explore and understand specific risk issues affecting vulnerable adults or those at risk of harm.
- **Organisational context** – we will explore strategic issues that can have an impact on adult safeguarding
- **Wider picture** – we will focus on thematic and current issues that can have an impact on adults' daily lives. This will include themes arising from SARs and regulatory inspections.

Confidentiality and Information Governance

All quality assurance and performance reporting activity across RBSAB will be undertaken in line with the Data Protection Act 2018³ and any personal information will be securely stored and processed in line with each agency's information governance policy (or equivalent). No personally identifiable information will be published by RBSAB as a result of any QA or learning activity.

³ <https://www.legislation.gov.uk/ukpga/2018/12/contents/enacted>

What will we do?	What will we learn?	When will we do it?
Self-Assessment		
Each agency will be asked to complete a self-assessment against key safeguarding practices based upon the principles of The Care Act.	By looking strategically across all agencies, we will be able to develop a shared understanding of our collective strengths and areas for development.	The Self-Assessment exercise will be completed on an annual basis. Every 3 years we will seek out strategic peer review opportunities to test out our self-assessment.
Multi-Agency Case File Audits		
All relevant agencies will be asked to participate in a thematic audit, and a learning report and action plan will be prepared in response to the findings.	Through audit and case deconstruction, we will arrive at a shared understanding of our collective response, highlighting best practice, and what needs to improve for adults and their carers in the borough.	A minimum of 4 multi-agency audits will take place each year across children and adults.
Performance outcomes monitoring		
Quarterly reporting on the Safeguarding Adults Board performance outcomes framework.	Key performance indicators across all agencies will provide professionals and leaders across the system with a single overview of how safeguarding activity is being delivered, and what if any pressure points exist.	Performance reporting will be provided on a quarterly basis in arrears.
Thematic deep-dives		
We will utilise learning from SARs, QA reporting, and other regional and national developments to undertake our own thematic deep dives. These will include a mix of audit, performance data, and stakeholder engagement. These enquiries could be based on individual cases or strategic areas of practice.	Learning will be gained in a similar way to case file audit activity, but will be more strategic in that it incorporates performance data and stakeholder feedback.	There won't be a set frequency for completing deep-dive enquiries, and they will be agreed by the Sub Group Chair when they are required to happen.

Our evidence base: building a shared understanding

It is important to define what our evidence base will be as part of the Quality Assurance Framework. We have acknowledged that safeguarding is complex, and we will therefore need to take account of different evidence types and sources. We will collate learning from each of these sources to triangulate findings and arrive at a comprehensive shared understanding of the effectiveness of services.

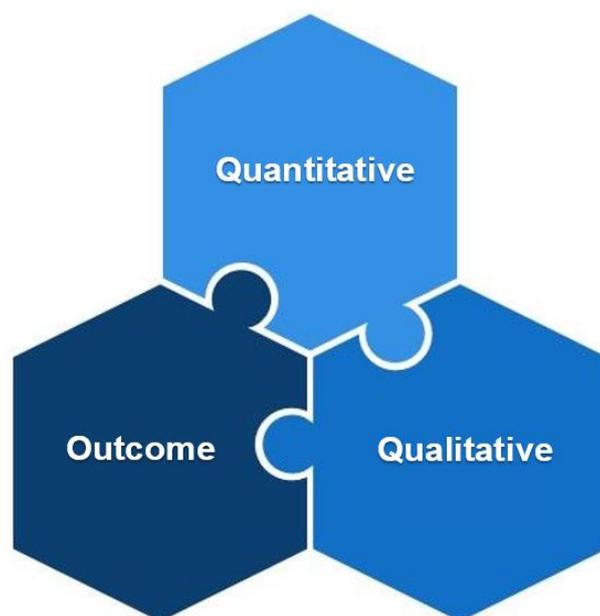
Performance information

Within this framework there are 3 types of evidence that should be considered. Full understanding and analysis will come from looking at a mix of these sources rather than just at one in isolation.

Quantitative information will look at numerical data, the *how much* or *how many* and examples include performance data, trends and statistics.

Qualitative data will look at the quality of daily activity, the *what did that look like*. Examples include adults' voices reporting, complaints & compliments or quality of assessments.

Outcome reporting will look at the impact of a particular service or intervention, and will answer the *so what* question.



Sources and range of methods

To enable us to interrogate the above information, we will consult with 4 main evidence sources, as set out below.

- The views and experiences of adults and their carers
- Feedback from frontline professionals and managers
- Exploring and examining case file records
- Other information held within each organisation including policy & procedure

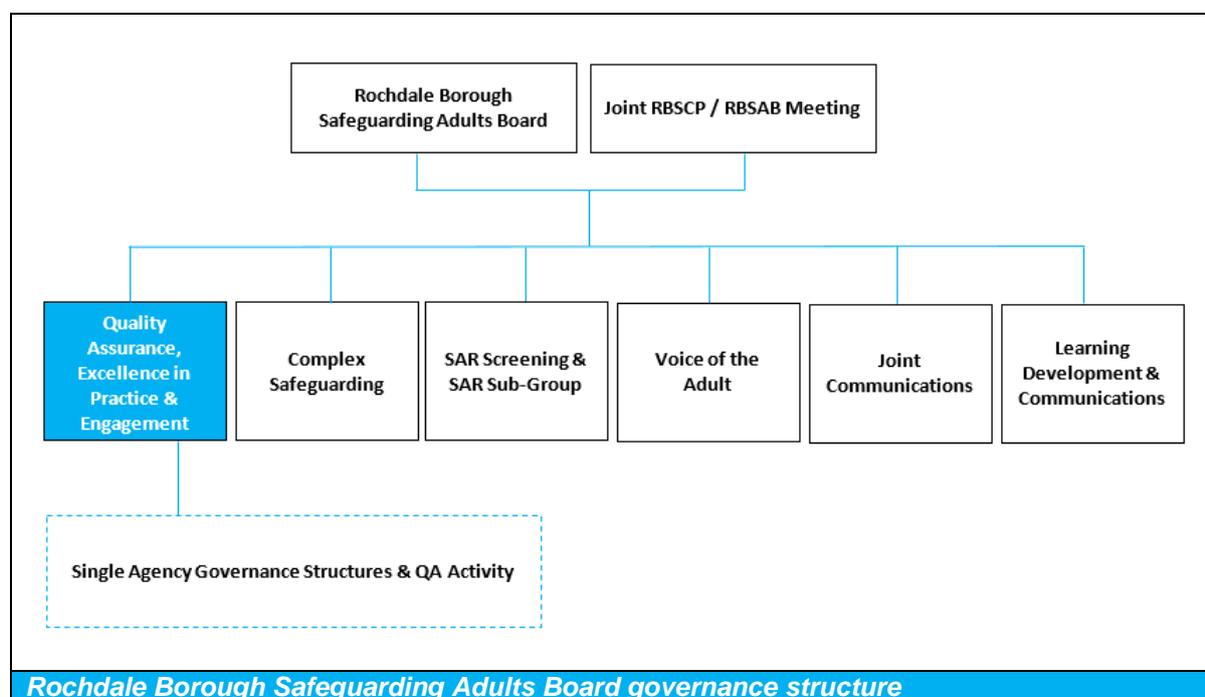
Evidence Source	How will we do it	What will we learn
 <p>Adults, carers & families</p>	<ul style="list-style-type: none"> • User surveys & interviews conducted either as part of audits or assessment work • Engagement records showing how agencies engage and record strategic interactions • Complaints & compliments showing direct service user feedback 	<p>We will understand how people experience services they interact with, telling us about outcome and impact, and Making Safeguarding Personal measures. This will tell us:</p> <ul style="list-style-type: none"> • What difference interventions have made • What did service users find useful • What do they feel could have been different
 <p>Frontline professionals</p>	<ul style="list-style-type: none"> • Staff surveys exploring particular themes of practice • Annual self-assessment evaluating strengths and areas for development 	<p>Those working directly with adults, carers and families will share their knowledge of the quality and impact of their own service, as well as how they navigate the system. This will tell us:</p> <ul style="list-style-type: none"> • What they feel is helpful • How they interact with vulnerable adults and other agencies
 <p>Case file records</p>	<ul style="list-style-type: none"> • Multi-agency audit using the methodology set out in this framework, exploring adults' lived experiences • Thematic auditing looking at records from a particular perspective to understand the impact of one intervention or factor 	<p>Case deconstruction following audits will show how agencies' case records tell us:</p> <ul style="list-style-type: none"> • How adults engage with that service • What is known about each adult (and any gaps) • How that information contributes to a bigger picture
 <p>Other organisational information</p>	<ul style="list-style-type: none"> • Annual self-assessment • Management information reports • HR Information looking at staff recruitment and retention, organisational development • Policy and procedure to understand safeguarding processes 	<p>Organisations will have a range of information in their systems which is relevant to safeguarding quality assurance. We will learn how each agency monitors and supports their staff, as well as systems and processes in place to promote effective safeguarding activity for themselves as well as across the partnership.</p>

Reporting and Governance

We want to ensure that our quality assurance activity influences learning and improvements across the borough. For this reason, it is important to include robust governance arrangements in our framework, underpinning the work that we do.

The Quality Assurance, Excellence in Practice and Engagement Sub Group will be the main body to oversee delivery of the Board's Quality Assurance activity. Overview assurance reporting, including findings and learning from audit and Safeguarding Adult Reviews, performance information and thematic deep-dive work will be reported to the Rochdale Borough Safeguarding Adults Board at least once per year.

Regular engagement between QAEIP and the Safeguarding Adult Review Sub-Group will ensure that learning is not lost between independent activities.



Learning and assurance reporting through the Board's governance structure will not be limited to a single format or frequency, however as a minimum activity will include the following.

- ✓ Each audit will have an associated findings / learning report and action plan to address any recommendations
- ✓ Quarterly reporting on performance information and activity across all agencies
- ✓ Quarterly reporting on links with Safeguarding Adult Reviews
- ✓ Annual overview report bringing together all activity and learning

Quality Assurance Framework – Plan on a page

	Quarterly	Annually	Every 3 years
 Audit activity	Multi-Agency Audit	Thematic Deep Dive	Peer review
	Performance Information Monitoring	Self-Assessment	Review of training and development offer
	Review of Safeguarding Adult Reviews (both referrals and completed reviews)	Responding to inspection findings and recommendations	
		Responding to learning from SARs	
 Engagement		Thematic service user survey (in line with MSP approaches)	Multi-agency Staff survey
 Reporting	Audit learning report including action plans	Annual audit activity & learning overview report – to include adult voice reporting and principles of MSP	Priority setting for next 3 years based upon learning from QA activity
	Quarterly Performance Information report (to include adult voice reporting)	Annual Performance Information report	Findings and learning from multi-agency staff survey
		Single-agency reporting on QA activity	

Appendix A: Performance Information dataset

The current RBSAB performance information set is shown below, which was agreed by the QAEIPE group in November 2020. The set of indicators is dynamic, and will be subject to change as reporting progresses. The list below sets out the minimum information that will be collected on a quarterly basis.

<p>CQC and Commissioning</p> <ul style="list-style-type: none"> • The number of safeguarding concerns in the year (per 100,000 population) and by referral source • Number of services risk assessed as RED • Number of complaints received by Adult Care commissioning team • CQC current issues - No of services identified as having Major compliance issues by CQC- Inadequate rating • CQC - Current Issues- requires improvement
<p>Concerns and Enquiries</p> <ul style="list-style-type: none"> • Percentage of safeguarding concerns in the year which proceed to discussion or episode as a proportion of all concerns. • Number of safeguarding enquiries started by type of abuse • Number of safeguarding enquiries started by age group • Number of completed safeguarding episodes in the year per 100,000 population • Percentage of all enquiries to adult safeguarding services which are repeat enquiries • Number of Safeguarding enquiries that have been open more than 12 months • Percentage of ended enquiries where the person was asked what outcome they wanted to achieve where their desired outcome was achieved • % of ended enquiries where the outcome was risk reduced or removed • Number of Safeguarding Adult Reviews commissioned • Total recorded G17 incidents (Mental Health issues) • G17 Incidents per 1,000 residents • Total recorded C59 incidents (Concern for welfare adults 18 yrs and over) which resulted in a PPI being referred onwards • PPIs created in category. Adult Safeguarding - Mental Health • PPIs created in category. Adult Safeguarding - Financial • PPIs created in category. Adult Safeguarding - Physical • PPIs created in category. Adult Safeguarding - Sexual • Crimes recorded where the victim is shown as vulnerable
<p>Deprivation of liberty</p> <ul style="list-style-type: none"> • DoLS applications received (including by age group) • Percentage of DoLS applications authorised within timescale
<p>Self-Neglect and Hoarding</p> <ul style="list-style-type: none"> • Number of safeguarding cases where self-neglect is featured • PPIs created in category. Adult Safeguarding - Neglect • Identification of persons at increased risk of fire (PAIROFs) in Rochdale with whom GMFRS engage • Number of Rochdale Borough safeguarding referrals made to “partner” agencies by GMFRS staff • Total number of missing from Medical Hospital, Psychiatric hospital unit or Elderly Care • Number of Priority Safe and Well Visits undertaken in Rochdale Borough • Number of People at increased risk of Fire (PAIROF) Interventions

<ul style="list-style-type: none"> • Number of Rochdale Borough Fire Smart interventions for young people, under the age of 17 years.
<p>Modern Slavery and Trafficking</p> <ul style="list-style-type: none"> • Referrals and source of referrals where modern slavery is a concern • Number of Incidents- modern slavery • PPIs created in category. Adult Safeguarding - Sexual Exploitation / Trafficking
<p>Serious Untoward Incidents and Health Data</p> <ul style="list-style-type: none"> • Number of Serious Untoward Incidents (SUIs) • SUI Investigations reported to SAR Sub Group within timescales • Number of Adult Safeguarding Incidents • Number of Adults presenting with safeguarding concerns • Total numbers presenting with self-harm (Adults and Children breakdown) • Number of MCA Assessments - Pennine Care • Adult Safeguarding Training (as reported in Provider Contractual safeguarding Standards)

Appendix B: Glossary of terms

CCG	Clinical Commissioning Group
DoLS	Deprivation of Liberty Safeguards
LPS	Liberty Protection Safeguards
MSP	Making Safeguarding Personal
QA	Quality Assurance
QAEIPE	Quality Assurance, Excellence in Practice and Engagement
RBSAB	Rochdale Borough Safeguarding Adults Board
SAR	Safeguarding Adult Review

Appendix C: QA Process Map

