

Performance  
Management  
Framework  
HSAB<sup>1</sup>

2018

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<sup>1</sup> Based on Peterborough LSCB PF

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# 1. Introduction

Performance management and quality assurance includes taking action to ensure outcomes are better than they would otherwise be. Therefore, to know what action to take, performance has to be regularly and robustly monitored and scrutinised. To know how to consistently monitor performance, criteria have to be agreed (aims, objectives, targets and outcomes). To know how to assess performance against criteria, there has to be a method which requires systematic action and coordination.

Performance management and quality assurance is more than the monitoring of key performance indicators. It embraces all activities that are designed to support the effective delivery of services. Performance management should operate within an overall framework where the outcomes are greater than the constituent parts. The focus of this framework and all the constituent activities must be to deliver improvement in outcomes for adults with care and support needs.

Performance management requires:

- Setting consistent quality standards
- Setting objectives and targets for improvement
- Managing information
- Reporting performance, and using information to identify problems and taking decisions to solve them
- Equipping individuals to perform well
- Informing and empowering service users.

Effective and robust Performance Management and Quality Assurance processes will ensure;

- Raising standards: looking at the way agencies and the Hertfordshire Safeguarding Adults Board work to provide the most effective safeguarding responses and interventions;
- Continuous and sustainable development: promoting practice and organisational development and professional growth;

- Involvement: encouraging stakeholders to be fully engaged in the safeguarding agenda;
- Manageability: so that performance management is regarded as an integral and essential part of how agencies and the Hertfordshire Safeguarding Adult Board operate;
- Equity: to ensure policies and processes are open and fair, while respecting confidentiality for individuals.

## 2. The Framework

The Hertfordshire Safeguarding Adults Board Performance Management framework seeks to embed quality in all aspects of the Board's work and output. In doing so areas requiring development should be identified early, to pre-empt rather than responding to events.

The HSAB Performance Management framework *should support the work of the Board and their partners so that:*

- Reviews are conducted regularly, not only on cases which meet statutory criteria, but also on other cases which can provide useful insights into the way organisations are working together to safeguard and protect the welfare of adults with care and support needs
- Reviews look at what happened in a case, and why, and what action will be taken to learn from the review findings
- Action results lasting improvements to services which safeguard and promote the welfare of adults with care and support needs and help protect them from harm; and
- There is a transparency about the issues arising from individual cases and the actions which organisations are taking in response to them.

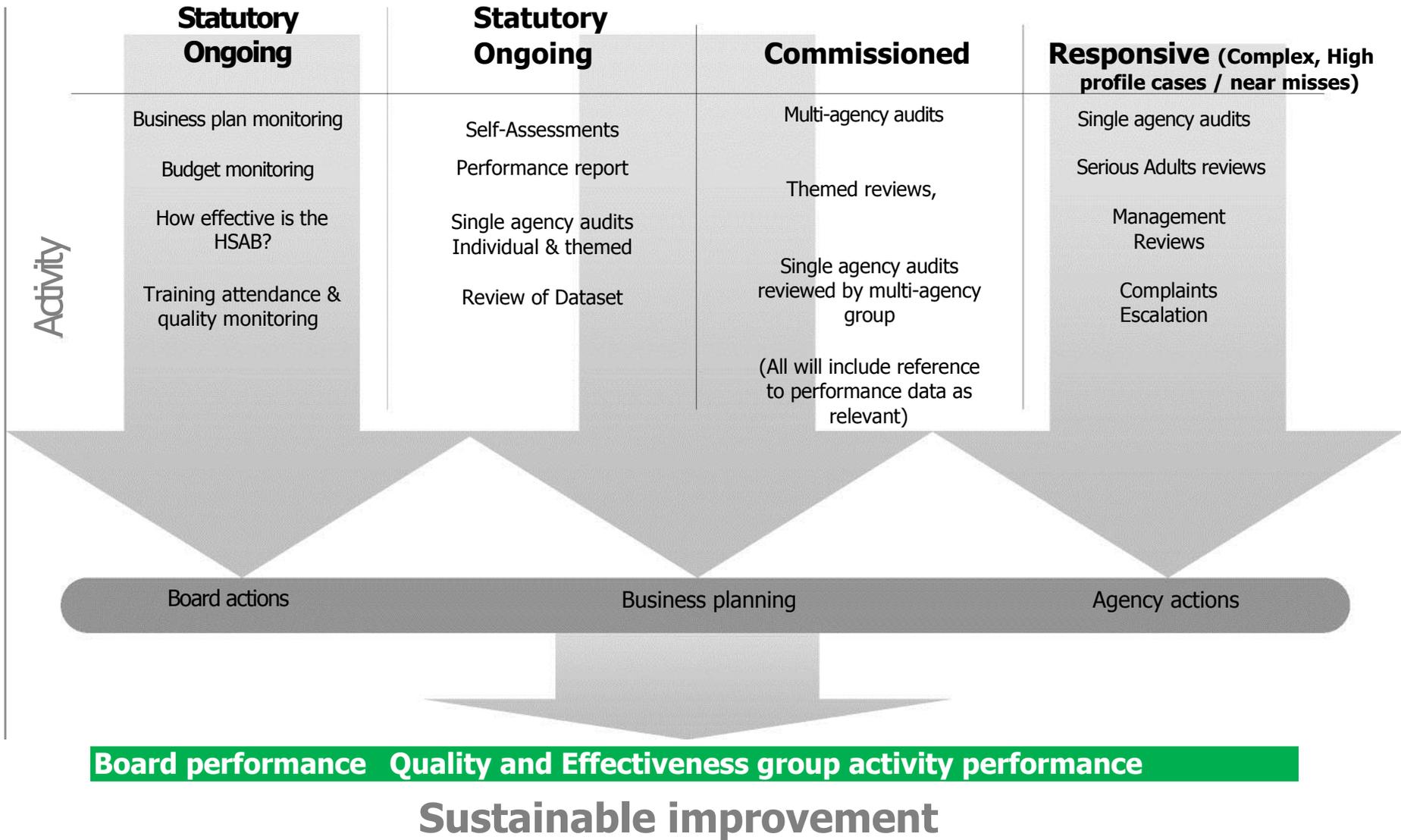
In addition the HSAB should have in place mechanisms for monitoring the effectiveness of its own performance. These will include:

- Chair's regular meetings with Board members
- An annual opportunity to rate the Board's performance by members
- Obtaining feedback from frontline practitioners which will be gathered through practitioners workshops and by members of the Board meeting with practitioners
- Details of cases which are escalated to very senior managers when practitioners

or managers from any of the agencies have concerns about how referrals have been responded to or how cases are being progressed. Escalation of this nature should only be required when more usual channels of communication have been exhausted. (see HSAB Escalation Policy)

- The HSAB should identify indicators (in addition to statutory performance indicators) to provide an indication of key performance areas. Key performance indicators should be reported to the HSAB.
- Regular activity and outcome reports from sub groups. This will generally be taken to the HSAB Statutory Partners group which is chaired by the HSAB Chair.
- The HSAB should undertake multi-agency audits to assure itself about the quality of multi-agency working.

# HSAB Performance Framework



### **3. Performance Management - Board Performance**

Performance management should be integral to the work of the HSAB. Consequently, whilst the Board has a responsibility to ensure the effectiveness of adult safeguarding practices and interagency working, this can only be achieved where the Board itself aspires to standards of effectiveness and efficiency.

Business planning should focus on positive outcomes rather than task orientated. To achieve this there needs to be an integration of Board processes in order that identified needs are met effectively e.g. addressing an area of practice may require the development of a procedure, however unless there is a development strategy/plan which includes dissemination, implementation and training it is unlikely to have the desired impact.

Work plans represent the key tool for progressing and developing the Board's business. The plan should be completed by the chair of the relevant sub group and identify:

Where the actions of the group have progressed the business plan objectives of:

- Embedding the monitoring of Quality and Effectiveness
- Ensure HSAB Interagency procedures and practice guidance are developed, reviewed, implemented and are compliant with equalities legislation
- Ensure the governance of HSAB reflects its relationship to other boards and establishes the framework for its leadership role

Signing off an individual action should not be viewed as an end; rather the 'end' should be seen as the successful implementation of an action alongside evidence of an outcome.

## 4. Performance Management - Safeguarding Activity Performance

The HSAB performance framework consists of six levels:

- **Self-Assessment** - undertaken by all statutory agencies within Hertfordshire
- **Serious Adults Reviews and Learning Events** – undertaken where appropriate
- **Performance Reporting and Performance Indicators** - on a range of safeguarding and a regular review of the comprehensive data set
- **Single agency audits** – both individual and themed.
- **Multi-agency practice audits** - looking together at individual cases and assessing the effectiveness and multi-agency practice

Reports will come to the Performance Sub Groups before being taken to the Board and a judgment made about which reports need to be tabled and which circulated for information only. The full Board will retain the right to request specific audit reports as and when it sees appropriate or in response to specific issues that may arise.

Each of the above should be undertaken with a view to ensure that there is a culture of continuous learning and improvement across the organisations that work together to safeguard and promote the welfare of adults with care and support needs, identifying opportunities to draw on what works and to promote good practice.

## 5. Self-Assessments

The purpose of the self-assessment is to provide organisations with a consistent framework to assess, monitor and improve their safeguarding adult arrangements. The framework has been developed so it can be used by a wide range of organisations ensuring that the HSAB gains sufficient assurance of the standard of adult safeguarding practice.

This audit tool is based on the CCG self-assessment audit tool used with NHS providers. Organisations are required to make a judgement as to how well each question is being achieved based on the following rating:

BLUE rating – the organisation/service fully meets the requirements at an outstanding level

GREEN rating – the organisation meets the requirement consistently

AMBER rating – the requirement is met in part; improvement required.

RED rating - the organisation does not meet this requirement.

## **6. Performance Reporting & Performance Indicators**

Performance indicators (PI's) represent a useful mechanism for monitoring trends and quantitative information. PI's should be viewed as raising questions and issues requiring further interrogation and rarely provide an explanation for what is observed.

The HSAB performance indicators have been selected and developed to underpin the business priorities that the board has selected for the current year.

## **7. Multi-Agency Case Audits**

- Multi-agency practice audits will consider individual cases selected randomly where more than one agency has been involved
- Multi-agency audits should focus on inter-agency practice and decision making at all levels including strategic and operational decisions that may have impacted on individual cases. The audits should be undertaken by members of the Q&E Sub Group but can include professionals with specific expertise where the cases being audited require it.
- Each audit should be based on a methodology specific to the needs of the audit.
- Inter-agency audits should draw conclusions from the findings and where appropriate produce recommendations and an action plan to address any shortfalls. Individual agencies should be held accountable for their compliance with an agreed action plan.
- Where good practice is identified findings should be disseminated just as readily as when there have been shortfalls and both should be incorporated into all multi-agency training.
- Audit findings will be presented to the Board.

## **9 Serious Adults Reviews**

Although designed for learning lessons arising from a tragic event, the review can be viewed as a performance monitoring process that assesses interagency practice and identifies shortfalls and strengths. As with other areas of the HSAB performance management functions, Serious Adult Reviews should consider the practice and management of the case against HSAB standards and criteria.

Importantly Serious Adult Review recommendations lead to actions designed to improve and change practice and therefore to be effective the resulting actions should be SMART and their implementation and effectiveness closely monitored by the Serious Adult Review Group and HSAB.

The HSAB should ensure that the lessons learnt from all reviews are effectively disseminated to all staff and is embedded into practice to improve outcomes. This should include SARs that take place in other areas and where the learning is applicable to Hertfordshire.

	Audit subject & criteria	Frequency	Dates for audit	Lead Responsibility?	Comment
	<b>ONGOING – Board Performance</b>				
1	HSAB Membership and Development	Annually	N/A	Ind. Chair	Annual report
2	Attendance at HSAB meetings audit	Annually	N/A	HSAB Support Officer	Included in HSAB Annual Report
3	Budget monitoring	Quarterly	N/A	Safeguarding Boards Manager	Include in Annual Report
4	Effectiveness of HSAB Training	Annually	December	Learning & Development Group	Report to HSAB and include in Annual Report
	<b>ONGOING – Monitoring Audits</b>				
5	Self-Assessment	Annual – rolling program	June	HSAB Chair	Reporting to HSAB
7	HSAB Data set	Review a selection of data at each Performance meeting	Quarterly	Performance Group Chair	Scrutiny at Performance Group prior to presentation at HSAB
	<b>ONGOING– Quality Assurance Reports</b>				
8	Prevent	Annually	March	County Community Safety Unit	Presentation at HSAB
9	LeDer	Bi-Annual	June and December	LeDer Project	Full report to HSCB

	<b>Audit subject &amp; criteria</b>	<b>Frequency</b>	<b>Dates for audit</b>	<b>Lead Responsibility?</b>	<b>Comment</b>
10.	Domestic Abuse	Annually	March	Domestic Abuse Partnership Lead	Full report to HSAB
	<b>COMMISSIONED Scrutiny audits</b>				
11	Multi-agency audit	Annually	On audit schedule	Business Manager	HSAB
	<b>RESPONSIVE audits</b>				
12	SAR recommendations Auditing of completed actions	Ongoing	Monthly	SAR group	Standing item HSAB Statutory Partners meeting