

# Shropshire Adult Social Care Quality Assurance Framework



**September 2018 (Revised)**

## Introduction

Quality Assurance is the responsibility of all who work in social care and dependent on role we become accountable in different ways for the decisions we make. At the heart of all those decisions should be the best outcome for the individual based on our public duty and to a reasonable distribution of finite resources. Think Local Act Personal (TLAP) identified a way of thinking about quality in care and support that places the person using services at the centre

*'Quality in this context is about assuring effective service delivery, a positive care experience, and standards and processes that keep people safe while recognising choice and control. Achieving and improving quality means making sure that these components are all being addressed and encouraging continuous improvement. It includes taking steps to restore good standards where things go wrong, and highlights:*

- the individual experience of people receiving care and support and how far it meets their aspirations*
- services that keep people safe (without taking away personal control)*
- processes that ensure services are effective – this includes achieving personalised outcomes and value for money.'*

*'Driving up Quality in Adult Social Care' March 2013*

This Quality Assurance Framework aims to provide a range of mechanisms to help set direction, support delivery, manage risk, monitor and review practice and outcomes for adults and carers with care and support needs and ensure our stated priorities are being met, ensuring the voice of the person using services is heard.

## Purpose

Quality assurance has for many years been driven by performance data but this is only an element of information that is available to indicate quality of service provision. Statistics should be triangulated with other evidence to provide a picture of practice and its impact on individuals and communities. Feedback from practitioners and people with experience of care and support are vital to our understanding of what the statistics might indicate. An essential element of any quality assurance framework has to promote critical thinking and professional curiosity. Only by debating the meaning of statistics and using evidence from a variety of sources will we learn what is important about the information gathered and ultimately lead to service and practice improvements that are the essential purpose of quality assurance activities

The overall aim of this framework is to

- Ensure practice is of a high quality, effective, accountable and evidence based
- Measure the impact of what we do on the individual, families and communities
- Drive a programme of continuous improvement by
  - engaging with and listening to staff and partners
  - ensure the learning from quality assurance activity contributes to service improvement
- Meet national and local performance requirements
- **Place the person at the centre of all that we do**

# Key Principles

The following key principles are essential to all quality assurance measures

## *Culture*

Develop a positive culture towards quality assurance that is 'blame free' recognising the importance of learning from mistakes in order to improve the experience for the person and sharing stories where things have gone well to create a learning organisation.

### *1. Commitment*

Ensure quality assurance activities are an accepted and important part of day to day business and are given due prominence at all levels of the organisation with a commitment to regular activity to maintain momentum

### *2. Clarity*

Ensure everyone understands their role and responsibilities in relation to quality assurance throughout the organisation and within our partnership boards

### *3. Consistent*

Ensure that the quality assurance activity follows an annual programme with a schedule of activities that provides information to support the Council and Service priorities and local and national performance requirements. Ensuring that the framework supports and works with other frameworks including workforce development and Keeping Adults Safe in Shropshire.

### *4. Continuous*

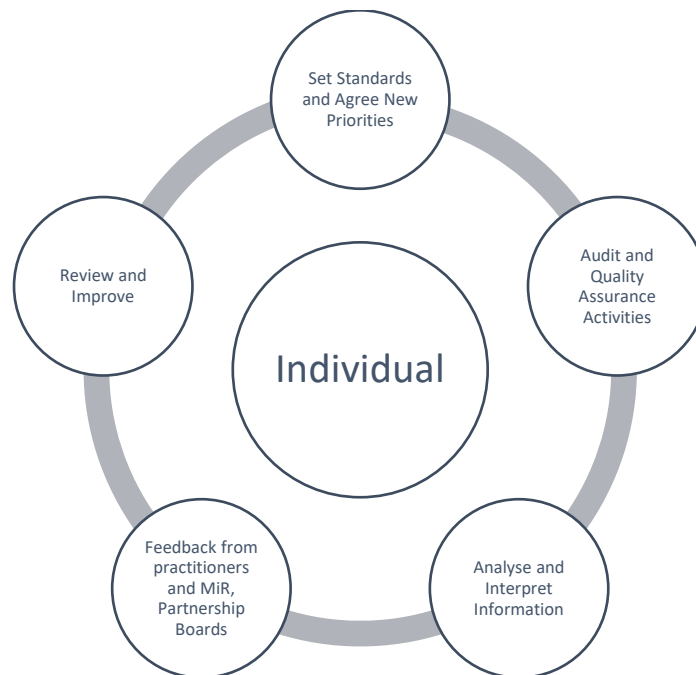
Ensure systems are in place to share learning from quality assurance activity, continually improving the practice of individuals, teams and the service as a whole. Actively identifying areas for development, putting actions in place to make improvements which are then reviewed and evaluated

### *5. Co-production*

Ensure we work together with our partnership Boards in a clear, defined way that is consistent and supports the development and improvement of adult social care in Shropshire based on the feedback we gather from our quality assurance activity. Actively listening and engaging with partners to help shape strategic decision making and service design

## Definition and Process of Quality Assurance

Quality Assurance is a constant feedback loop that begins with the experience of individuals as the driver to improve practice and service provision. This helps identify what good looks like and enables the setting of standards and new priorities. Once priorities are agreed the process of quality assurance can begin to identify activities that measures the right things. Analysis and interpretation of quality assurance activities requires a dialogue with all stakeholders to be able to understand what the information tells us about quality from the experience of staff and individuals and carers. This dialogue leads to further identification of new priorities.



### Step 1

#### Set Standards and Agree New Priorities

Adult Social Care has a number of standards to work to: individual standards set through annual appraisals and supervision; service plans and team plans that outline priorities for that particular area; Council priorities based on financial, economic, political agendas and aspirations for the County; and national requirements identified through performance measures. How standards are measured will as a consequence vary and may be qualitative or quantitative data which will enables us to measure against set criteria and learn about the impact of the service.

The Making it Real Board and Advisory groups created a set of standards entitled '*The essential ingredients of good adult social care*' which has been adopted by the group as a marker to endorse activities within the Council considered to meet these standards. These locally agreed standards keeps the focus of adult social care on the experience for the individual. The aim of this framework is to use this as a measure by which we can assess our overall performance, with reference to the underpinning 'I' statements that supports each standard.

The essential Ingredients are:

- ✓ An experience that is personal
- ✓ Active listening and understanding
- ✓ Real conversations
- ✓ Effective use of resources
- ✓ Making own choices/taking own risks

Additionally, to ensure good social care practice requires responsibility on employers to provide a safe and effective working environment for staff. The Standards for Employers of Social Workers in England provides a benchmark against which to measure this through an annual Health Check. Whilst recognising that our staff group includes other professionals as well as non-registered practitioners we aim to use these standards to underpin this process.

The Standards for Employers are:

- Clear Accountability Framework
- Effective Workforce Planning
- Safe Workloads and Case Allocation
- Effective and Appropriate Supervision
- Opportunities for Continuing Professional Development
- Professional Registration
- Effective Partnerships

## **Step 2**

### **Audit and Quality Assurance Activities**

The quality assurance framework will operate through a schedule of planned quality checks and activities that identifies specific roles and responsibilities at all levels of the organisation, the purpose of each activity and which standards are being measured. The golden thread for all quality assurance activity will be the essential ingredients of good adult social care

## **Step 3**

### **Analyse and Interpret Information**

It is important that all quality assurance activity is analysed and interpreted in order to inform the impact of our priorities and to enable an exchange of information and ideas between stakeholders and managers about how to improve services. It is hoped that the benefits of this planned approach will also include a safer and more effective work environment for staff and help identify trends in performance, future demand, legal compliance and plan for future priorities.

## **Step 4**

### **Feedback from Practitioners, Partnership Boards and Making it Real**

The quality assurance framework will hopefully promote a more consistent feedback loop with stakeholders represented through Making it Real and other Partnership Boards as well as staff that will allow for a more systematic approach to working in partnership and promote a more pro-active means of developing co-production in the development of services. By

publishing the outcomes from the quality assurance process there will be a means by which we can review our standards and adjust priorities according to an evidence base. Incorporating this step into the framework is the most crucial aspect that will allow us to demonstrate a commitment to the principles described earlier

## **Step 5**

### **Review and Improve**

The data collected will provide evidence by which we can review and improve our performance, identify areas of good practice as well as areas for improvement which in turn will support identification of new priorities. It will also tell us more about the experience of individuals in receipt of adult social care and our commitment towards continuous improvement with the aim of promoting wellbeing and independence.

### **Quality Assurance Activities**

A good quality assurance framework uses a range of methods to triangulate evidence that includes: quantitative activities that reviews data using outcome measures set locally and nationally, qualitative activities such as case file audits, written records, practice observations and activities for gathering external feedback that measures the impact and outcomes of social care provision on individuals, such as personal stories, complaints and compliments.

The framework builds on a wide range of Quality Assurance activities scheduled throughout a continuous programme (appendix 1) that are used to inform service development and improvement. These include:

1. **Performance Management**

Monitoring performance through dashboard on SharePoint that indicates numbers of assessments and how they have been dealt with by team on a monthly period

2. **HR and Staffing processes**

Reports to senior managers on recruitment and retention of staff, sickness absence, Disclosure and Barring Service (DBS), capability and disciplinary procedures

3. **Complaints, compliments and customer feedback**

Annual report and action plan

4. **Supervision and Appraisal**

Processes in place to monitor quality and frequency of supervision and opportunities for different types of supervision and peer support. Appraisals monitored, linked to service and team plans with clear targets for individuals

5. **Workforce Development**

Career Pathway in place to ensure staff supported in their development. To be reviewed bi-annually and amended according to business requirements

6. **Observation of practice**

All frontline staff to be observed in practice at least once a year and more during probationary year, ASYE or whilst on accredited qualifying or post qualifying programmes

#### 7. Case file audit programme

Regular individual case file audits with feedback to staff built into supervision. Bi-monthly themed audits involving service managers and team managers.

#### 8. Learning Forums and Learning Reviews

Practice improvement and development through engagement with staff to have a deeper understanding of the experience of practitioners. This may include workshops to support person centred and strengths based approaches, Champions programmes on service specific areas to create a learning culture and to disseminate good practice and learning reviews of adverse incidents

#### 9. Keeping Adults Safe in Shropshire Board (KASISB)

Competency Framework developed with supporting documents including reflective learning logs and assessment workbooks. Learning from Safeguarding Adult Reviews national, regional and local to inform practice and learning and development activity

#### 10. Making It Real and Partnership Boards

Reports and feedback on ASC priorities. Approving policies and procedures that meet with MiR standards giving a stamp of approval for activity that the Board considers meets the criteria for the 'Essential Ingredients'. Personal stories published through the Local Account

#### 11. Independent Audits

Incorporate learning from regional audits in particular DoLS/MCA, Safeguarding Audits and PSW regional network

#### 12. Senior Management Oversight

Clear expectations in respect of monitoring of performance, auditing, face to face contact with front line staff, attendance at Partnership Boards and monitoring of priorities

#### 13. Lead Member and Scrutiny Oversight

Clear expectations in relation to monitoring of performance, auditing, face to face contact with front line staff, attendance at Partnership Boards and monitoring of priorities

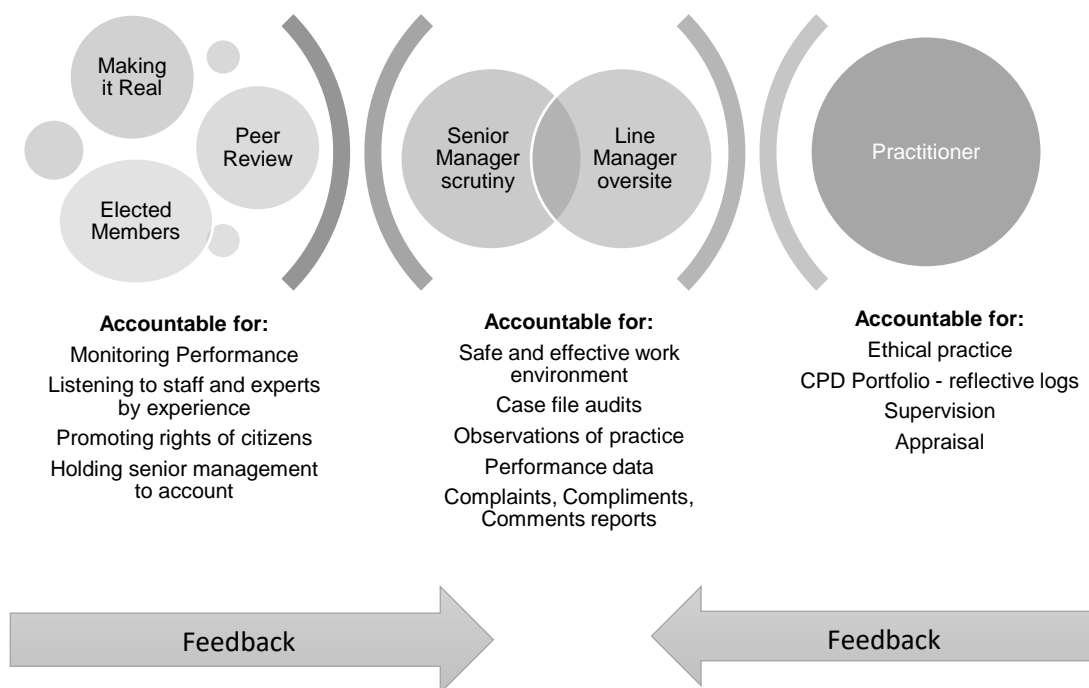
#### 14. Peer Review

Engagement with regional peer review challenge both in contributing to regional programme and learning from local challenge

#### 15. Standardisation Panels

Review and assess Portfolios against professional standards such as Professional Capability Framework and Knowledge and Skills Statements for staff undertaking Assessed and Supported Year in Employment, Social Care Practitioner Programme or re-accreditation and approval of Approved Mental Health Professionals.

## Accountability Framework for Quality Assurance Activity



## Shropshire Adult Social Care Quality Assurance Framework 2017-19

### Appendix 1

Role	Quality Assurance Task	Method	Frequency	Purpose
<b>Practitioner</b>	Adhere to standards of professional regulator	CPD Portfolio	Training records and learning and development activities reviewed at annual appraisal	Ensure compliance with regulator for registered staff. Maintain evidence of CPD for non-registered staff
	Commit to ethical practice through reflection on decision making, utilising feedback from individuals in receipt of a service	Supervision Reflective logs	Monthly Supervision, more if on an approved programme e.g. ASYE, AMHP, Social Care Practitioners or Practice Educator Training	Take responsibility for own practice and impact on individuals
	Maintain records to a good standard	Complete workload log for supervision Agree with supervisor a case file for audit	Monthly Supervision Quarterly audit	Ensure records are accurate and appropriate
	To be observed in practice at a minimum once a year	Complete reflections on observation	Annual, more if on an approved programme e.g. ASYE, AMHP or Practice Educator Training	Quality assure standards and consistency in practice
<b>Senior Practitioner</b>	Adhere to standards of professional regulator	CPD Portfolio	Training records and learning and development activities reviewed at annual appraisal	Ensure compliance with regulator for registered staff. Maintain evidence of CPD for non-registered staff
	Observation of frontline practice for direct reports	Complete assessment feedback	Schedule of observations for Team	To gather assurance about practice and service standards
	Case file audits	Case File Audit Tool	Quarterly x 1 case file for each supervisee	Gather assurance of quality, and practice, standards

	Participate in thematic audits	Audit according to scheduled programme	Bi-monthly schedule	Identify areas for improvement for both individuals and service areas
<b>Team Managers</b>	Adhere to standards of professional regulator	CPD Portfolio	Training records and learning and development activities reviewed at annual appraisal	Ensure compliance with regulator for registered staff. Maintain evidence of CPD for non-registered staff
	Observation of frontline practice	Complete assessment feedback	Schedule of observations for Team	To monitor standards of practice
	Audit files at closure and transfer between teams	Audit	As and when required	Ensure adherence to policy and procedure and address any deficits prior to transfer
	Case file audits	Case File Audit Tool	Quarterly x 1 case file for each supervisee	Gather assurance of quality, and practice, standards
	Participate in thematic audits	Audits according to scheduled programme	Bi-monthly schedule	Identify areas for improvement for both individuals and service areas
	Monitor and scrutinise performance data	Performance reports, monthly dashboard	Monthly	To monitor and scrutinise data
	Audit supervision of senior practitioner	Audit records and/or observation of supervision	Quarterly x 1	To assess the effectiveness and quality of supervision and identify areas for development
<b>Principal Social Worker</b>	Adhere to standards for professional regulator	CPD Portfolio	Training records and learning and development activities reviewed at annual appraisal	Ensure compliance with regulator for registered staff. Maintain evidence of CPD for non-registered staff

	Oversee Case File audits for compliance with QA schedule	Audit and report	Annual	To monitor and coordinate case file audits to ensure consistency and quality of practice.
	Observations of frontline practice	Observation/meetings	Quarterly – either attend meeting or observe practice	To gather assurance about practice and service standards, be visible to front line staff and provide opportunity to listen to staff concerns
	Learning Forum	Locally delivered workshops to Teams	As and when required	To ensure feedback of learning from complaints/legal challenges/updates in policies is disseminated
	Oversee and coordinate thematic case file audits	Case file audits	Bi-monthly	Identify areas for improvement for both individuals and service areas
	Learning Reviews	Report	Annual	Review and develop action plans according to outcomes and any subsequent guidance.
	Standardisation Panels and accreditation for AMHPs	Chair ASYE and SCP Panel Attend AMHP Panel	As and when required. Annual re-accreditation and 5 year approval	To monitor practice against professional standards
	Health check	Report	Annual	Produce annual quality assurance report to ensure compliance with Standards of Employers
<b>Service Managers</b>	Maintain oversight of performance information pertinent to service areas	Performance reports, monthly dashboard	Monthly	To monitor and scrutinise data
	Case File Audit	Case file audit Tool	Quarterly x 3 randomly selected	Monitor case records, quality of assessment,

				care and support plans, decision making and professional judgement
	Participate in thematic audits	Audits according to scheduled programme	Bi-monthly	Identify areas for improvement for both individuals and service areas
	Learning Reviews	Chair	As required	Review and develop action plans according to outcomes.
	Observations of frontline staff	Attend Meetings/observations	Schedule of observations for service area	To gather assurance about practice and service standards, be visible to front line staff and provide opportunity to listen to staff concerns
	Audit of supervision of direct report	Audit records	Quarterly	To assess the effectiveness of supervision and identify areas for development
	Review complaints for service area	Report	Quarterly	To monitor and review complaints outcomes; gather assurance on performance, learning and actions
<b>Head of Adult Services (Operations) Assistant Director</b>	Observations of frontline staff across service areas	Visit/Observation/Meeting	Schedule of observations for whole service	To gather assurance about practice and service standards, be visible to front line staff and provide opportunity to listen to staff concerns
	Case file audit	Case File Audit Tool	Quarterly – 1 for each service area	Monitor case records, quality of assessment, care and support plans,

				decision making and professional judgement
	Monitor and scrutinise performance data	Performance meetings	Quarterly	Monitor and scrutinise performance data, analyse trends and inform service development
	Monitor complaints, ombudsman findings, legal challenges	Reports and meetings with Complaints Officer and Legal Team	Monthly	To ensure oversight of legal compliance and learning from challenges
	Participate in thematic audits	Audits according to scheduled programme	Bi-monthly	Identify areas for improvement for both individuals and service areas
	Serious Case Reviews	Receive Reports	As required	Review and develop action plans according to outcomes. Report to DAS and put in place appropriate monitoring and practice developments
	Learning Reviews	Receive reports	As required	Review and develop action plans. Report to DAS and put in place appropriate monitoring and practice developments
	Audit of supervision of direct report	Receive reports	Quarterly	To assess the effectiveness of supervision and identify areas for development
	Review complaints for service area	Report	Quarterly	To monitor and review complaints outcomes; gather assurance on performance, learning and actions

<b>Director of Adult Services</b>	Meet with experts by experience	Attend Making it Real and Partnership Boards	Monthly	Hear feedback from stakeholders and experts by experience
	Case File Audit	Case File Audit Tool	Quarterly – 1 for each service area	
	Visit to Social Work Teams to meet with frontline staff	Visits/Observation	Annual	To meet and seek feedback from frontline staff. To have an awareness of pressures and challenges of professional practice
	Receive annual statutory Customer Feedback report	Report	Annually	To monitor and review complaints processes. Progress learning and actions from complaints and compliments
	Receive and scrutinise key performance measures	Performance Dashboard	Monthly	To review performance and benchmarking. Analyse results in order to inform development of services
	Receive and scrutinise HR reports on sickness absence, recruitment and retention, issues of capability and DBS	Report to DMT	Quarterly	To monitor staff performance, provide data for annual health check
	Receive Quality Assurance Report	Report to DMT	Annual	To ensure compliance with Standards of Employers
	Serious Case Reviews	Receive Reports	As required	Review and develop action plans according to outcomes. Report to DAS and put in place appropriate monitoring

				and practice developments
	Review complaints for service area	Report to DMT	Quarterly	To monitor and review complaints outcomes; gather assurance on performance, learning and actions
<b>Chief Executive Officer</b>	Visit to Social Work Teams to meet with frontline staff	Visits/Observation	Annual	To monitor performance and to listen to views of staff. To hold senior management to account
	Monitoring of Director of Adult Services	Reports and regular meetings	Annual Performance Report and monthly meetings	
	Receive reports of KASISB	Report	Annual	
<b>Portfolio holder for Adult Services</b>	Visit to Social Work Teams to meet with frontline staff	Visits/Observation	Annual	To monitor performance and to listen to views of staff and experts by experience in relation to practice issues. To maintain currency and promote rights of citizens. To hold senior management to account
	Meet with experts by experience	Attend Making it Real and Partnership Boards	Monthly	
	Support and monitor performance of KASISB	Attendance at KASISB	Quarterly	
	Attend Director Management Group	Attendance at DMT	Monthly	
<b>Elected Members</b>	Monitor Performance through cabinet and scrutiny	Report	Quarterly	To monitor performance and listen to voice of citizens
	Receive annual customer feedback	Report	Annual	