



# SCOTTISH EXECUTIVE

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## Joint Future Unit

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### **Circular No: CCD 1/2003**

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Chief Executives NHS Boards  
Chief Executives NHS Trusts  
Directors of Social Work  
Directors of Finance Local Authorities  
Directors of Finance NHS Boards  
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Your ref:  
Our ref: GKD/2/20

28 February 2003

Dear Colleague

### **THE JOINT PERFORMANCE INFORMATION AND ASSESSMENT FRAMEWORK (JPIAF)**

1. This circular introduces the Joint Performance Information and Assessment Framework (JPIAF) for assessing local partners' performance of joint services. It will focus initially on how local authorities (both social work and housing) and NHSScotland implement key parts of the Joint Future Agenda, namely, joint resourcing and joint management, and single shared assessment. The first reports are due on 1 April 2003, and annually thereafter. The timetable is set out in para 13 of Annex A.
2. The JPIAF will sit alongside and complement the local performance indicators currently being developed by local partnerships; and as a nationally consistent framework it enables local partnerships and others to review information and compare performance across Scotland.
3. The JPIAF is made up of a small number of performance indicators which at this stage in the implementation of the Joint Future Agenda focus largely on 'process'. They have been modified in the light of the responses to the consultation. The JPIAF Steering Group will, however, over 2003 develop in consultation with the NHS and local authorities more outcome - focussed indicators. The Group will also advise on and oversee potential modifications to the JPIAF.

The Joint Future Unit leads policy development and implementation on joint working between health, housing and social work (which its membership reflects) and is located in the Community Care Division of the Health Department.



4. The JPIAF's recording of joint performance should, in turn, help shape local joint performance reporting, particularly with the establishment of local joint committees or partnership bodies. They will receive the Annual Statements of progress on the JPIAF (as outlined in para 9 of Annex A). The JPIAF will contribute directly to the NHS Accountability Review over the summer of 2003, since it will constitute the NHS Performance Assessment Framework (PAF) Indicator 4.03.01. It will also contribute to the Social Work Services Inspectorate's Annual Report in the Spring and Summer of 2003.

5. The Annexes describe the information that is being collected, and how it will be used. They also provide access to self assessment checklists for joint resourcing and single shared assessment, for local partners to gauge their own progress towards implementation. The annexes cover:

- The JPIAF approach generally: Annex A
- Joint Management Performance Indicators: Annex B
- Joint Resourcing Performance Indicator: Annex C
- Single Shared Assessment Performance Indicators: Annex D

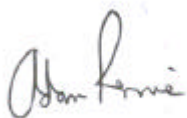
### Action

6. Local partners should report the information in the JPIAF as part of their full Local Partnership Agreements due by 1 April 2003.

### Enquiries

7. Enquiries about the content of the circular generally should be addressed to Linda Watters, Joint Future Unit ([linda.watters@scotland.gsi.gov.uk](mailto:linda.watters@scotland.gsi.gov.uk)) (telephone: 0131 244 2374). Enquiries about particular indicators should be taken up with the contacts in the respective annexes. Further copies of the circular are available by telephoning 0131 244 3523 (or by e-mail from [Richard.Park@scotland.gsi.gov.uk](mailto:Richard.Park@scotland.gsi.gov.uk)). This circular is also available on the Scottish Health on the WEB at <http://www.show.scot.nhs.uk/sehd/publications/ccd.htm>.

Yours sincerely



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## THE JOINT PERFORMANCE INFORMATION AND ASSESSMENT FRAMEWORK (JPIAF)

### Introduction

1. The Joint Future Agenda is now well accepted and local partnerships are actively implementing the key elements of joint working and joint community care services. But performance measurement is firmly rooted in single agencies; it now needs to progress in line with policy to be more joined up.

2. This circular sets out the way in which the effectiveness of joint working and joint services can be measured through the Joint Performance Information and Assessment Framework (JPIAF). It consists of a small number of nationally consistent performance indicators. At this stage they are largely 'process' orientated, but they should rapidly become more outcome-focussed. The JPIAF Steering Group will undertake this work in 2003.

### Reasons for JPIAF

3. At present, there are very few national mechanisms for jointly measuring the performance of joint services provided by NHS Scotland and local authorities. The JPIAF provides a nationally consistent way of recording local partnerships' performance and enables them to compare their and others' performance. The key performance indicators are based on the 4 major outcomes of the Joint Future Agenda:

- better outcomes for people who use community care services and their carers;
- better use of resources, both health and local authority;
- better management of services and more service re-design leading to more joint services;
- better systems with less bureaucracy and duplication.

### Developing the JPIAF

4. The reasons and thinking behind the development of the JPIAF are set out more fully in the consultation paper issued on 17 July 2002. It is available on the website [www.show.scot.nhs.uk/sehd/publications/bulletin/HD036.pdf](http://www.show.scot.nhs.uk/sehd/publications/bulletin/HD036.pdf). Following the consultation, which welcomed the proposals in principle but expressed concerns about some of the measures, we have significantly revised their scope to make them both practical and meaningful to local partnerships.

### Relationship to Community Planning

5. Community planning provides the over-arching framework for wider partnership working of which the Joint Future Agenda is a part. Community planning includes more stakeholders and its performance measures are, in turn, high level. The Joint Future Agenda exemplifies community planning in action at a local level. Joint resourcing and joint management provide the local structures for effective partnership working in one area - community care services - and the JPIAF performance indicators focus on joint actions within the Joint Future Agenda. Joint Future and community planning are therefore pursuing the same kinds of goal, but at different levels.

## The Nature of the JPIAF

6. The key characteristics of the JPIAF are:

- an integrated matrix approach, using both statistical performance indicators and those (under development) around quality of services;
- national key joint performance indicators, using or adapting wherever possible existing performance indicators (PIs);
- national joint performance assessment arrangements for data collection, analysis and reporting, undertaken by Audit Scotland, Social Work Services Inspectorate (SWSI) and the Joint Future Unit (JFU); and
- strengthening local joint responsibility or accountability mechanisms for joint working.

7. The JPIAF is designed to sit alongside and complement the joint performance frameworks and indicators currently being developed by local partnerships.

## The Performance Indicators (PIs)

8. Annexes B, C and D set out the PIs for joint management, joint resourcing and single shared assessment respectively. The information to be provided to the Scottish Executive should be included in the full Local Partnership Agreements, due by 1 April 2003. The template is available at [www.scotland.gov.uk/health/jointfutureunit](http://www.scotland.gov.uk/health/jointfutureunit) .

## Independent Joint Performance Assessment Arrangements

9. Using information drawn from the JPIAF PIs, Audit Scotland, SWSI and JFU will assess current joint working and joint services, and draw up a short Annual Statement for each of the 32 local partnerships. These Statements will:

- be reported to the 32 local partnerships' joint high-level committees/boards for information and action;
- feed into the SWSI Annual Report; and
- constitute the NHS PAF Indicator 4.03.01, and will therefore feed into the NHS Annual Accountability Review process.

10. Ministers will also receive a national Annual Statement on the level and effectiveness of joint working and joint services. The information will also form part of any consideration of action under the intervention powers in the Community Care and Health Act 2002. The Executive is currently working with COSLA to develop a framework of support to preface the possible use of these powers.

## Quality

11. The measures currently in JPIAF cover processes or levels of activity, but capture little on the quality of services. We are covering that aspect, to complement the statistical information on outputs and outcomes, through developing a tool to gather the views of people who use services. The tool will be for use locally and will become part of the JPIAF. We plan to make it available for 2004. The development of outcome-focussed indicators in 2003-04 may also capture elements of quality.

## Accountability

12. The accountability arrangements for health, social work and housing services will remain with the organisation that has the statutory responsibility. However, the JPIAF is designed to encourage joint responsibility for joint community care services that are planned, commissioned, purchased and/or provided by local partnerships. Making available the Annual Statement to the joint committee or partnership body reflects the move to more joint approaches to reporting and, indeed, accountability.

## Timetable for the JPIAF

13. The timetable for 2003 is, as follows:

- Local partnerships should complete their returns to the Joint Future Unit, Scottish Executive by 1 April 2003, as part of their full Local Partnership Agreement.
- The information will be collated and analysed by a consortium consisting of representatives from Audit Scotland, Social Work Services Inspectorate (SWSI), the Joint Future Unit and other representatives of the Scottish Executive in April/May.
- Annual Statements will be prepared in April, May and June.
- Draft Annual Statements will be sent to local partnerships for comment in the first 2 weeks of June.
- The Annual Statements and the National Annual Statement will be issued at the end of June.

14. We expect to follow a similar pattern in 2004 and subsequent years, but focusing more on the outcomes of the Joint Future Agenda.

## **GUIDANCE NOTES FOR THE JOINT MANAGEMENT PERFORMANCE INDICATORS (PIs)**

### Introduction

1. The Scottish Executive Circular CCD7/2001 set out the key steps that local partnerships need to put in place to implement successfully joint resourcing and joint management. The circular indicated that while “no one size fits all” local partners in social work, health and housing should have:

- a high level joint committee/board;
- a high level senior operational management joint group;
- joint managers for services, as agreed by local partners;
- joint governance and accountability arrangements;
- joint human resources arrangements.

Practical guidance on these matters is available on the JFU website (<http://www.scotland.gov.uk/health/jointfutureunit>).

### Timetable

2. Under the ‘Bottom Line’ (January 2002) and ‘Next Steps’ (28 February 2003) letters issued by the Scottish Executive, local partnerships are expected to have joint management arrangements in place for older people’s services by 1 April 2003. “Next Steps” also expects joint management to be put in place for all other community care groups by 1 April 2004.

### Developing a JPIAF Framework for Reporting on Joint Management Arrangements

3. The framework for reporting already exists in the initial Local Partnership Agreements (iLPAs) completed for 1 April 2002. However, many of the arrangements were at that stage embryonic, and have been moving progressively to full implementation. In developing indicators, the responses to the consultation on JPIAF invited the Executive to focus on a relatively small number of meaningful indicators. Progress will now be evaluated through 3 JPIAF PIs on:

- Joint management
- Joint governance
- Joint action on human resources issues.

In the first instance they will concentrate on the ‘process’ of implementation. Subsequent PIs to be developed by the JPIAF Steering Group in 2003 will focus on the service outcomes of joint management.

### Reporting Mechanisms

4. Local partnerships should report progress on their joint management arrangements through the full Local Partnership Agreements, due by 1 April 2003.

What are you asked to do?

5. The 3 sets of PIs for joint management are set out in the schedule attached. Column 1 sets out the measure. Column 2 refers to the formal sources of the expectations on social care, health and housing partners on joint management. (In addition, the JFU website provides practical guidance.) Column 3 states the information partners should provide to support the measure. Local partnerships can choose what supporting documentation they wish to submit with their full Local Partnership Agreements.

How will it be used?

6. The independent consortium of Audit Scotland, SWSI and the JFU will analyse the information with a view to establishing the level of progress towards the desired goals. The scale of progress is set out in column 6. The information will then inform the Annual Statements referred to earlier. (The implementation of joint management arrangements may also be covered during the visits by the Social Work Services Inspectorate, in preparation for the SWSI Annual Report, 2003.)

7. Enquiries

If you would like further information about these indicators, please contact Margery Naylor, Joint Future Unit ([margery.naylor@scotland.gsi.gov.uk](mailto:margery.naylor@scotland.gsi.gov.uk)) or telephone 0131 244 3710.

**PERFORMANCE INDICATORS FOR JOINT MANAGEMENT**

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline evaluation
<p><b>JPIAF 1</b></p> <p><u>Joint Management Arrangements</u></p> <p>1.1 Joint high level management arrangements in place</p> <p>a) High level joint committee/board;</p> <p>b) High level senior operational management joint group.</p>	<p>CCD7/2001</p>	<p>Description of high level joint management arrangements to include information on:</p> <ul style="list-style-type: none"> <li>• Membership;</li> <li>• Functions;</li> <li>• Delegated powers;</li> <li>• Services covered by joint operational management arrangements.</li> </ul>	<p>In full Local Partnership Agreement (fLPA). Appropriate documentation should be submitted with fLPA.</p>	<p>1 April 2003</p>	<ol style="list-style-type: none"> <li>1. No information submitted</li> <li>2. Not agreed.</li> <li>3. Written but not yet agreed by parent organisations.</li> <li>4. Agreed but not yet implemented.</li> <li>5. Agreed and implemented by parent organisations.</li> </ol>
<p>1.2 Joint operational management arrangements including joint managers.</p>	<p>CCD7/2001</p>	<p>Description of joint management operational arrangements including information on:</p> <ul style="list-style-type: none"> <li>• Agreed joint manager posts;</li> <li>• Filled posts;</li> <li>• Rationale for posts;</li> <li>• Services for which joint managers are responsible.</li> <li>• Relative benefits and challenges of joint management arrangements.</li> </ul>	<p>In fLPA. Appropriate documentation should be submitted with fLPA.</p>	<p>1 April 2003</p>	<ol style="list-style-type: none"> <li>1. No information submitted.</li> <li>2. Not agreed.</li> <li>3. Written but not yet agreed by parent organisations.</li> <li>4. Agreed but not yet implemented.</li> <li>5. Agreed and implemented by parent organisations.</li> </ol>

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline evaluation
<p><b>JPIAF 2</b></p> <p><u>Joint Governance and Accountability Arrangements</u></p> <p>Joint governance and accountability arrangements have been agreed and implemented by local partnerships by 1 April 2003.</p>	<p>CCD7/2001</p>	<p>Description of the arrangements which should cover:</p> <ul style="list-style-type: none"> <li>• Joint governance;</li> <li>• Delegated functions;</li> <li>• Service/clinical governance.</li> <li>• Other, if appropriate</li> </ul> <p>(Financial governance arrangements will be covered by Joint Resourcing JPIAF 4.) If arrangements are not finalised, fLPA should outline proposals and timescales for doing so.</p>	<p>Arrangements described in fLPA. Appropriate documentation should be submitted with fLPA.</p>	<p>1 April 2003</p>	<ol style="list-style-type: none"> <li>1. No information submitted.</li> <li>2. Not agreed</li> <li>3. Written but not yet agreed by parent organisations.</li> <li>4. Agreed but not yet implemented.</li> <li>5. Agreed and implemented by parent organisations.</li> </ol>

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline evaluation
<p><b>JPIAF 3</b></p> <p><u>Joint Human Resources Arrangements</u></p> <p>Human Resources arrangements in place by 1 April 2003, to cover:</p> <ul style="list-style-type: none"> <li>• Joint LA/NHS Staff Forum;</li> <li>• Joint Statement of Intent for staff;</li> <li>• Joint training/OD plan agreed by 1 April 2003.</li> </ul>	<p>CCD7/2001</p>	<p>Description of the arrangements which should cover:</p> <ul style="list-style-type: none"> <li>• Membership of Joint Forum;</li> <li>• Remit of Joint Forum;</li> <li>• Copy of Joint Statement of Intent;</li> <li>• Copy of joint training/OD plan agreed by 1 April 2003.</li> </ul> <p>(If arrangements are not finalised, fLPA's should outline proposals and timescales for doing so.)</p>	<p>Arrangements described in fLPA. Appropriate documentation should be submitted with fLPA.</p>	<p>1 April 2003</p>	<ol style="list-style-type: none"> <li>1. No information submitted.</li> <li>2. Not agreed.</li> <li>3. Written but not yet agreed by parent organisations.</li> <li>4. Agreed but not yet implemented.</li> <li>5. Agreed and implemented by parent organisations.</li> </ol>

## GUIDANCE NOTES FOR THE JOINT RESOURCING PERFORMANCE INDICATOR (PI)

### Introduction

1. This Annex is necessarily more detailed than its counterparts for joint management and single shared assessment (SSA) respectively, in that the key steps to full implementation for it were not as fully set out in the original guidance. This Annex is in 3 parts:

- paras 2-8 describe the process attaching to the PI;
- the schedule sets out the information to be collected and how it will be used; and
- the requirements for the financial framework (and when key steps should be delivered), detailed guidance on the indicator (including a web link to the self-assessment checklist). **We expect to provide the checklist in web form in mid-March, for completion on-line.**

2. The Scottish Executive Circular CCD7/2001 set out the steps local partnerships need to put in place to implement joint resourcing and joint management, while recognising that while “no one size fits all”. In addition, practical guidance on specific aspects such as aligned budgets is to be found on the JFU website <http://www.scotland.gov.uk/health/jointfutureunit>.

### Timetable

3. Under the Scottish Executive’s ‘Bottom Line’ (January 2002) and ‘Next Steps’ (28 February 2003) letters, local partnerships are expected to have effective joint resourcing arrangements in place for older people’s services by 1 April 2003. ‘Next Steps’ expects this to extend to all other community care groups by 1 April 2004.

### Developing a JPIAF Framework for Reporting on Joint Resourcing Arrangements

4. The framework for reporting already exists in the initial Local Partnership Agreements (iLPAs) completed in 1 April 2002. However, many of the arrangements were embryonic at that stage and have been progressing towards full implementation. As regards developing indicators, the consultation on JPIAF invited the Executive to focus on a relatively small number of meaningful indicators. Progress will now be evaluated through the new JPIAF Performance Indicator for the Joint Resourcing Financial Framework. (This is we believe the kind of more structured approach local partners want. The JPIAF Steering Group and others consulted welcomed both the model and the self-assessment checklist). At this stage, the indicator concentrates on the ‘process’ of implementation. Subsequent PIs, to be developed by the JPIAF Steering Group in 2003, will focus on the service outcomes of joint resourcing.

### Reporting Mechanisms

5. Local partnerships should report on the joint resourcing arrangements through the full Local Partnership Agreements, due by 1 April 2003.

### What are you asked to do?

6. The schedule (attached) sets out the measure (column 1); the primary source of the Executive’s expectations (column 2) (though this should be complemented by practical guidance on the JFU website); and the information to be supplied in support of the measure (column 3). Local partnerships

should supply any supporting documentation they consider appropriate with the full Local Partnership Agreement. We expect this to include the on-line self assessment checklist to show how social work, health and housing partners have together progressed implementation in this area.

How will it be used?

7. The independent consortium of Audit Scotland, SWSI and the JFU will analyse progress using the scale in column 6 of the schedule. The analysis will then inform the Annual Statements referred to earlier. (The implementation of joint resourcing arrangements may be covered during the visits by the Social Work Services Inspectorate, in preparation for the SWSI Annual Report, 2003.)

Enquiries

8. If you would like further information on this indicator, please contact Patrick McGrail, Joint Future Unit ([patrick.mcgrail@scotland.gsi.gov.uk](mailto:patrick.mcgrail@scotland.gsi.gov.uk)) or telephone 0131 244 3610.

**PERFORMANCE INDICATOR FOR JOINT RESOURCING**

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline evaluation
<p><b>JPIAF 4</b></p> <p><u>Joint Resourcing Arrangements</u></p> <p>Joint Resourcing Financial Framework as part of full Local Partnership Agreement</p>	<p>'Next Steps' Letter and links to JR Financial Framework requirements on the JFU website.</p>	<p>Provision of Joint Resourcing Financial Framework for older people's services to cover the sections outlined in the JR Financial Framework Requirements for signing-off the fLPA.</p> <p>Namely: Financial Management Arrangements; Financial Protocols; Strategic Baselines and Operational Baselines.</p> <p>The JRFF Self-Assessment Checklist provides a more detailed indication of the content of the Joint Resourcing Financial Framework.</p>	<p>In full Local Partnership Agreement (fLPA). Appropriate documentation should be submitted with fLPA along with a completed Joint Resourcing Financial Framework Self-Assessment Checklist</p>	<p>1 April 2003</p>	<ol style="list-style-type: none"> <li>1. No information submitted.</li> <li>2. Incomplete and includes unsatisfactory completed items.</li> <li>3. Incomplete but satisfactory for completed items.</li> <li>4. Complete but unsatisfactory in parts.</li> <li>5. Complete and satisfactory.</li> </ol>

## **JOINT RESOURCING FINANCIAL FRAMEWORK (JRFF): KEY REQUIREMENTS**

### Introduction

1. As part of the implementation of joint resourcing for older people's services, each partnership should have an agreed Financial Framework. For all partnerships, the 5 key steps in the Framework set out in para 3 below are already likely to be work in progress towards their full Local Partnership Agreement. For those with further to travel, however, they provide a helpful checklist to assist delivery. The final Joint Resourcing Financial Framework is set out on the JPIAF section of the Joint Future Website. <http://www.scotland.gov.uk/health/jointfutureunit>

2. All local partnerships indicate that they will be adopting aligned budgets at 1 April 2003. The CIPFA Joint Resourcing Advisory and Network Group has developed practical guidance on these arrangements, which partners refer to as their Joint Resourcing Financial Framework. But having no agreed template for its scope or content makes it difficult for both local partners and JFU to assess that all relevant matters have been addressed. In November 2002, the JFU proposed the development of a Joint Resourcing Financial Framework to:

- develop partnerships with Councils and NHS Boards through better understanding of the implementation processes, and to clarify local partnerships' and JFU's expectations
- understand current developments, and inform the need for a delivery support strategy; and
- to use as a JPIAF process indicator for 2002-03, reflecting requirements at an appropriate level.

### The Financial Framework (JRFF)

3. The 5 steps in the Framework are not new. The CIPFA guidance on aligned budgets covers the key areas of financial arrangements and the content of local financial protocols. The remainder reflects widely accepted financial management practice in both Councils and NHS Scotland. The Financial Framework should include, as a minimum:

#### **As at 1 April 2003**

##### **3.1 Financial Management Arrangements**

For joint resourcing of older people's services agreed between the partners, financial management arrangements that meet the individual governance and accountability requirements of each partner and its auditors.

##### **3.2 Financial Protocols**

Agreed between the partners setting out key points of understanding on a range of material financial planning, management and control issues (see aligned budget guidance published by CIPFA on 23 September 2002, supplemented by any local agreements on material issues). The scope of detailed financial protocols is likely to cover arrangements for strategic financial planning; risk assessment and management; operational budget setting, control and management; agreement on treatment of over/underspends; virement; and dispute resolution.

### 3.3 Strategic Baselines

(a) **an agreed 2003-04 total service strategic financial envelope** – for older people’s services (on a full cost basis), using the accounting principles, policies and practices normally applicable to financial planning, management and reporting in their organisation. (It is expected that Council resources will be reported using the CIPFA Best Value – Accounting Code of Practice; and NHS resources reported by patient group and service type, in accordance with current NHS accounting guidance and practice)

(b) **an agreed 2003-04 joint resourcing strategic financial envelope** reflecting the strategic elements of services included for joint resourcing in the Local Partnership Agreement, as a subset of the total service strategic financial envelope.

### 3.4 Operational Baseline – an agreed 2003-04 joint resourcing operational budget

Indicating the level of resources contributed by the local partners to the joint resourcing strategic financial envelope, excluding indirect overheads and other indirect service expenditure allocations.

**From 1 April 2004**

### 3.5 Medium-Term Financial Plan – an agreed indicative 2003-2005 joint financial plan

Setting out indicative changes to both the total service and joint resourcing strategic financial envelopes in the 3 year planning period, as a result of, for example, new investment; service re-provision; re-balancing services or planned reductions in financial resources.

#### Consultation

4. The JPIAF Steering Group, the ADSW Finance Standing Sub-Committee and finance staff within NHS Scotland support the proposals. They suggest that the first 4 components identified in the JRFF can be delivered by 1 April 2003; but that Medium Term Financial Plans will present more difficulty and will not be deliverable until 1 April 2004.

#### Implementation Support and Evaluation

5. The Joint Future Unit will support local partners to deliver their local Joint Resourcing Financial Framework, by:

- **Implementation Support** – the self-assessment checklist assists managers/finance staff to determine current local progress against the JRFF. It also is an aide-memoire for material aspects of the Framework, and can generate issues for referral internally, to any wider local support network or to the Joint Future Unit. The checklist, based on the Framework, is being made available to local authorities and NHS Scotland at their request now on the JFU website. **It is intended to put a final version of the checklist on the JFU website by mid March 2003 for completion on-line as part of the fLPA. (The information will not be for public use). Local partners should therefore check the website.** The checklist will also provide information to construct a national picture through comparative analysis and point to areas of weakness/difficulty in need of support.
- **Prepare for Performance Evaluation** – the self-assessment checklist contents and descriptors will form part of the evaluation by the independent consortium of Audit Scotland, SWSI and JFU of the JRFF Indicator as part of the JPIAF Annual Statement. It will also identify key areas for further information and dialogue as part of the evaluation process.

## Enquiries

If you have any queries please contact Patrick McGrail, Joint Future Unit, JFU  
[Patrick.McGrail@scotland.gsi.gov.uk](mailto:Patrick.McGrail@scotland.gsi.gov.uk) or (telephone 0131 244 3610).

## GUIDANCE NOTES FOR THE SINGLE SHARED ASSESMENT PERFORMANCE INDICATORS (PIs)

### Introduction

1. Circular CCD 8/2001 on Single Shared Assessment (SSA) explains what we mean by single shared assessment and sets out the key steps necessary to achieve its implementation. In broad terms partners in social work, health and housing need:

- an agreed tool;
- systems to sustain the SSA; and
- arrangements to share information, with consent.

A self-assessment framework (on pages 27- 30 of the circular) has enabled local partners to assess their progress towards implementation during 2002-03. Their local action plans (including the self-assessment) to achieve full implementation were submitted to the Joint Future Unit in October 2002.

### Timetable

2. The original timetable for implementing SSA in the 'Bottom Line' letter of January 2002 has been overtaken by the 'Next Steps' letter of 28 February 2003. It phases implementation of SSA over 2 years, ie 2003 and 2004. The expectation is that local partners should aim to have in place:

- SSA for all older people 1 April 2003;
- Arrangements for sharing information to support SSA, by 1 April 2003;
- Agreement on how the SSA tool(s) and processes will be applied to all other community care groups, by 1 April 2003; and
- SSA in place for all other care groups, by 1 April 2004.

### Developing a JPIAF framework for monitoring

3. Draft performance indicators for Single Shared Assessment (a mixture of process and outcome indicators) were included in the JPIAF consultation in Autumn 2002. As for other areas of the JPIAF, the consensus was to focus on a relatively small number of meaningful indicators.

4. In the first instance, the PI's for SSA will concentrate on the 'process' of implementing SSA. The JPIAF Steering Group will develop more outcome-focused measures in 2003. We have also updated the self-assessment framework (SAF) to help local partners assess their progress and to provide a mechanism to report on the SSA performance indicators. You can find it at the JPIAF page on the JFU website now. <http://www.scotland.gov.uk/health/jointfutureunit> **We expect it to update it in mid March, for completion on-line as part of the fLPA. Local partners should therefore check the website.** (Like the checklist for joint resourcing this will not be made public).

### Reporting Mechanisms

5. As the lead authority on assessment, we expect the local authority to collect from its own sources and from its health partners the data and information required to support the JPIAF.

6. The reporting mechanisms for SSA will be:

- the self assessment framework (SAF);
- supporting documentation to evidence the elements required under each section of the framework; and
- a number of statistical tables.

These should form an appendix to the full Local Partnership Agreement, and be submitted to the Joint Future Unit by 1 April 2003.

#### What are you asked to do?

7. The 5 PIs for SSA are set out in the schedule attached. They cover:

- implementing the SSA framework - JPIAF 5;
- speedier assessments - JPIAF 6 (not completed yet);
- joint training for SSA - JPIAF 7;
- joint protocol for accessing resources - JPIAF 8; and
- joint protocol for information sharing - JPIAF 9.

8. The PI for speedier assessments is still being developed by the SSA sub group of the JPIAF Steering Group. We will advise on that soon, for implementation sometime in 2003-04.

9. The schedule is, we believe, self-explanatory. The information to be provided is a combination of process and statistical information. The first column identifies the measures, the second the formal sources (supplemented by practical advice on the JFU website) and the third column the information to be provided. We expect the on-line self-assessment framework to be part of the information submitted. PIs 7 and 8 require additional statistical information to be provided, as per the forms attached.

#### How will it be used?

10. The independent consortium of Audit Scotland, SWSI and the JFU will analyse the information with a view to establishing the level of implementation towards the desired results. The information will be evaluated by both the scoring system as in column 6 and, where appropriate, by other means. The information will form the basis of the Annual Statements referred to earlier. The implementation of SSA may also be covered during the visits by the Social Work Services Inspectorate, in preparation for the SWSI Annual Report 2003.

#### Enquiries

Any enquiries about this indicators should be addressed to Liz Taylor, Joint Future Unit, e mail address: [Liz.Taylor@scotland.gsi.gov.uk](mailto:Liz.Taylor@scotland.gsi.gov.uk) or telephone 0131 244 3652

**PERFORMANCE INDICATORS FOR SINGLE SHARED ASSESSMENT (SSA)**

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline evaluation
<p><b>JPIAF 5</b></p> <p><u>Implementation of Single Shared Assessment Framework</u></p> <p>Local partners have implemented a SSA framework for older people by April 2003</p> <p>Local partners have implemented SSA framework for all other community care groups by April 2004</p>	<p>Circular No CCD8/2001</p> <p>As above and as amended in 'Next Steps' letter</p>	<p>The following should be agreed and be in place:</p> <ul style="list-style-type: none"> <li>• Tools</li> <li>• Processes</li> <li>• Protocol for sharing information</li> <li>• Protocol for accessing resources</li> </ul> <p>The plan should contain all of the above and a timetable for achievement</p> <p>The following should be agreed and be in place:</p> <ul style="list-style-type: none"> <li>• Tools</li> <li>• Processes</li> <li>• Protocol for sharing</li> <li>• Protocol for accessing resources</li> </ul>	<p>Arrangements to be set out in SSA Self Assessment Framework and tables (see JPIAF Guidance Notes) and attached to fLPA as an appendix</p>	<p>1 April 2003</p> <p>1 April 2003</p> <p>1 April 2004</p>	<ol style="list-style-type: none"> <li>1. No information submitted</li> <li>2. Not agreed</li> <li>3. Written but not yet agreed by parent organisations</li> <li>4. Agreed but not yet implemented</li> <li>5. Agreed and implemented by parent organisations</li> </ol>

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline Evaluation
<b>JPIAF 6</b>  <u>Speedier Assessments</u>	<b>TO BE DETERMINED BY JPIAF SUB GROUP ON SINGLE SHARED ASSESSMENTS</b>				

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline Evaluation
<p><b>JPIAF 7</b></p> <p><u>Joint Training for SSA</u></p> <p>Local partners will have joint training plans in place and will train the appropriate staff.</p>	<p>Circular No CCD8/2001.</p>	<ul style="list-style-type: none"> <li>• Joint training plan for SSA</li> <li>• Numbers of staff from each agency trained</li> <li>• % of staff trained against total numbers eligible.</li> </ul>	<p>Partners to report using</p> <ul style="list-style-type: none"> <li>• SSA Self Assessment Framework and table for JPIAF 7.</li> <li>• Both to be attached as appendix to full Local Partnership Agreement. SAF to be submitted electronically.</li> </ul>	<p>1 April 2003 and annually thereafter for numbers of staff trained.</p>	<p>Scale 1-5 as in JPIAF5 and further evaluation systems.</p>

<b>Single Shared Assessment – JPIAF 7</b>				
<b>Assessors who have undergone SSA training in each agency</b>				
	Local Authority (Social Work and Housing)		Health (Primary Care and Acute if applicable)	
Type of Staff/Staff Group	Number of staff trained in SSA	Staff trained as percentage % of staff eligible for training	Number of staff trained in SSA	Staff trained as percentage % of staff eligible for training
Social Worker				
Care Manager				
Occupational Therapist				
Home Care				
Social Care				
Housing				
Other (Please Specify)				
Community Nurse				
Physiotherapist				
Other Nurse (Please specify)				
Other (Please specify)				
<b>Independent Agency Staff</b>	Number of agencies		Number of Staff	

### **Guidance Notes**

1. Information from all agencies should be the numbers who have been trained and the numbers who are eligible for training by 28 February 2003.
2. The actual numbers of staff trained and staff eligible for training should be counted and not whole time equivalents of staff.
3. The "percentage of staff eligible for training" is the percentage of those eligible for training in SSA. This total should include all of those who will be carrying out SSA over time, not just those identified for initial tranches of training.
4. We have identified a number of groups and types of staff that are expected to be involved in carrying out SSA. This may not cover all groups. Please complete the table for other staff who may have been trained in SSA in your area, specifying the type of staff trained.

5. The "Community Nurse" category includes Nurses, Health Visitors, and all other community nursing staff.
6. The 'Social Care' category should include: social work, community care and occupational therapy assistants; day service staff; and residential care staff.

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline Evaluation
<p><b>JPIAF 8</b></p> <p><u>Joint Protocol for Accessing Resources</u></p> <p>Local partners will have in place an agreed joint protocol and eligibility criteria for accessing resources and services by lead assessors across agencies</p>	<p>Circular No CCD8/2001</p>	<ul style="list-style-type: none"> <li>• Joint Protocol</li> <li>• Eligibility criteria</li> <li>• Services and resources accessible via SSA from health, social work and housing (if not specified in joint protocol).</li> </ul>	<ul style="list-style-type: none"> <li>• Partners to report by submitting protocol</li> <li>• Partners to report using the SAF framework for the eligibility criteria</li> <li>• Partners to report using table for JPIAF 8 for access to services and resources across agencies. (See JPIAF Guidance Notes)</li> <li>• All to be attached to fLPA as appendices or, for SAF, submitted electronically.</li> </ul>	<p>1 April 2003 and annually thereafter</p>	<p>Scale 1-5 for JPIAF above and further evaluation systems</p>

<b>Single Shared Assessment – JPIAF 8</b>					
<b>Access to resources across agencies by lead assessors</b>					
	Type of resources				
Lead Assessors	Social care	Housing	Health care	Joint agency	Independent
Social work/social care staff					
Housing staff					
Health care staff					
Other staff – please specify (see note 2)					

### Guidance Notes

1. This table reports on the type of services or resources that may be accessed by any lead assessor in an agency other than the assessor's employing agency, under the local agreement for accessing resources between social work, health and housing. It should be completed to reflect the position at 28 February 2003.
2. The category 'other staff' would include assessors employed by an independent agency to undertake assessment on behalf of the SSA local partnership.
3. **Type of resource** to which staff have access in other agencies should be categorised according to the numbers below.

0 = No access by that group of staff to other agency's resources is in place.

1 = Some direct access to other agency's resources is in place.

2 = Direct referral routes are in place for other agency's services. Direct referral means a referral to a service by the lead assessor and not through an intermediary such as a GP.

There is no need to specify services or resources that staff may access within their own agency. In the first year the recording system is basic but it will be developed to reflect feedback from local areas on progress with access to resources.

4. **Joint agency** resource refers to services that are provided jointly by two or more of the local partners and that may be accessed by lead assessors in single shared assessment.
5. Where partners commission or purchase services from the **independent** sector which may be accessed directly by lead assessors this should be recorded.

Number, name and description of indicator	Where specified	Information to be provided	Format of information provision to Scottish Executive	Submission date	Proposed outline evaluation
<p><b>JPIAF 9</b></p> <p><u>Information Sharing Protocol</u></p> <p>Partners will agree a joint information sharing protocol for older people by April 2003</p> <p>For all other community care groups by April 2004</p>	<p>Circular No CCD8/2001</p> <p>As above</p>	<ul style="list-style-type: none"> <li>• Joint information sharing protocol</li> </ul> <p>As above</p>	<ul style="list-style-type: none"> <li>• Joint information sharing protocol attached as appendix to fLPA.</li> <li>• Also in SAF reported electronically.</li> </ul> <p>As above</p>	<p>1 April 2003.</p> <p>1 April 2004.</p>	<p>Scale 1-5 above for JPIAF 5 and further evaluation systems</p>