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Rutland County Council

# Quality Assurance: CQC Readiness

## CQC Inspection/Quality Assurance of ASC

The Health and Care Act 2022 gave the Care Quality Commission (CQC) new regulatory powers to undertake independent assessment of local authorities' delivery of regulated care functions set out in Part 1 of the Care Act 2014.

The framework:

- sets out clearly what people should expect a good service or system to look like
- places people's experiences of care at the heart of our judgements
- ensures that gathering and responding to feedback is central to our expectations of providers, local authorities and integrated care systems.



## The CQC are the independent regulator of health and social care in England.

The CQC will assess and rate councils' performance across four assurance themes:

- **working with people;**
- **providing support;**
- **ensuring safety;**
- **and leadership.**

It will rate each council against a series of quality statements and publish its findings, also providing a single word rating using its existing ratings of:

- **Inadequate;**
- **requires improvement;**
- **good;**
- **or outstanding.**

## The Single Assessment Framework

The single assessment framework will be used to inspect and rate all providers, local authorities and integrated care systems.

The assessment framework is based on a set of 9 quality statements that are arranged under 4 themes (working with people; providing support; ensuring safety; and leadership) and describe what good care looks like.

The framework:

- Sets out clearly what people should expect a good service or system to look like
- Places people's experiences of care at the heart of every judgement
- Ensures that gathering and responding to feedback is central to the expectations of providers, local authorities and integrated care systems

## Our assessment framework



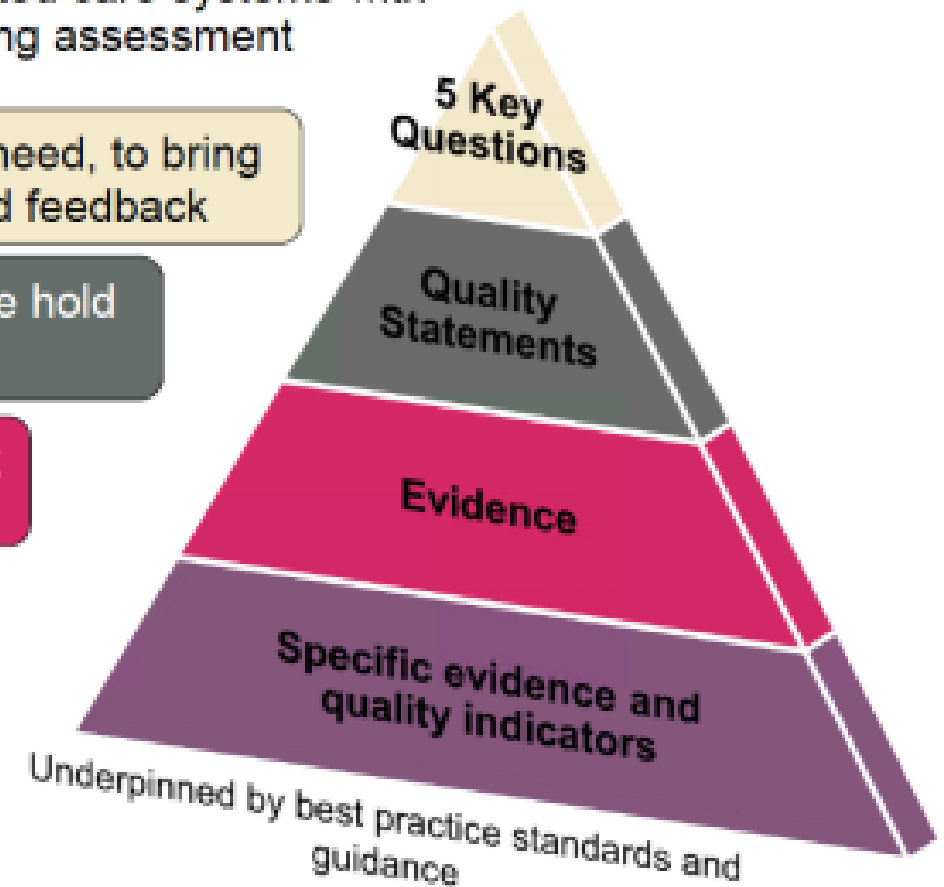
Our framework will assess providers, local authorities and integrated care systems with a consistent set of key themes, from registration through to ongoing assessment

Aligned with “I” statements, based on what people expect and need, to bring these questions to life and as a basis for gathering structured feedback

Expressed as “We” statements; the standards against which we hold providers, LAs and ICSs to account

People’s experience, feedback from staff and leaders, feedback from partners, observation, processes, outcomes

Data and information specific to the scope of assessment, delivery model or population group



## 4 THEMES

## 9 QUALITY STATEMENTS

How local authorities work with **people**

- Assessing needs
- Supporting people to lead healthier lives
- Equity in experience and outcomes

How local authorities provide **support**

- Care provision, integration, and continuity
- Partnerships and communities

How local authorities ensure **safety** within the system

- Safe systems, pathways and transitions
- Safeguarding

Leadership

- Governance, management and sustainability
- Learning, improvement and innovation

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## Evidence for Inspection:

- Peoples lived experience
- Feedback from staff and leaders
- Feedback from partners
- Processes, policy and guidance
- Surveys, peer reviews, national and local data sets
- Outcomes: data and feedback
- The Local Authority Self-Assessment and Information Requirements
- Face-to-face visit

## Local authority information return

### The Information Return:

The information return is an integral part of the assessment process. It gathers the documentary evidence and key information that is required for an assessment, ahead of the visit from CQC.

It enables the assessment team to:

- gain valuable insight into how the local authority is delivering its adult social care functions
- identify areas for further exploration
- identify the additional evidence required to complete the assessment
- target fieldwork activity and minimise time demands on both the assessment team and the local authority.

#### Local authority information return

Item ref No.	Evidence item	Theme	Quality statement(s)
IR 1	Local authority self-assessment – see explanatory note above	All	All
IR 2	Feedback people have sent to the local authority and feedback it has gathered itself <i>Covering the preceding 12 months from the date of completing the information return.</i>	All	All
IR 3	Compliments/complaints: summary of issues, outcomes and actions taken, for each quality statement. <i>Covering the preceding 12 months from the date of completing the information return.</i>	All	All
IR 4	Staff feedback generated by the local authority <i>Covering the preceding 12 months from the date of completing the information return.</i>	All	All
IR 5	Feedback or reports from other regulators: Ofsted, SEND, Coroner, Local Government Social Care Ombudsman <i>Covering the preceding 12 months before the date of completing the information return.</i>	All	All except Partnerships and communities
IR 6	Assessment, care planning and review: processes and pathways from first contact with local authority; flowcharts.	1. Working with people	Assessing needs
IR 7	Care funding decisions: monitoring, oversight, appeals. <i>Information for the public; summary and outcomes of appeals in the preceding 12 months from the date of completing the information return.</i>	1. Working with people	Assessing needs
IR 8	Direct payments: arrangements for offering, allocating and oversight; process, guidance, information for the public. <i>Trends in uptake of direct payments in the preceding 12 months from the date of completing the information return.</i>	1. Working with people	Assessing needs



## The Local Authority Self-Assessment:

As part of the Information Return, RCC will be expected to complete a Self-assessment.

The Self-assessment is an opportunity for all Local authorities to:

- assess and make judgements about your own performance in relation to the quality statements, using evidence to support your judgements
- highlight key successes, risks and challenges
- identify actions being taken to address the most pressing risks.

*“an objective, honest and authentic self-assessment of a council’s strengths and areas to improve, driving the focus of improvement planning and delivery at the local, regional, and national levels in a way that ensures local ownership”.*

## The Timeline:

- CQC official began their assessment process in **April 2023**
- CQC announced they would be postponing formal assessments until **later in 2023**
- The first assessments piloted began in **May 2023 onwards** and included 5 pilot sites
- Outcomes from these pilot assessments were published **November 2023**
- CQC advised in November 2023 that they would announce the next round of 20 assessments in early **December 2023**
- **December 2023** CQC announced 3 assessment sites, Hounslow, West Berkshire and Herefordshire.
- **January 2024** CQC confirmed that although they will announce assessment timescales for the first group of 20 councils, in groups of three. They acknowledged the need to be flexible in scheduling as they scale up the first assessments of all 153 councils.

## What happens when we are notified:

CQC will write to local authorities to notify them that they will be assessed. This will include a request to complete an information return and a date for on-site interviews. The period between receiving notification to the on-site interviews will be approximately **9 to 11** weeks.

CCQ will take into consideration the following factors when planning the schedule of assessments:

- the different types, structures, location, and political make-up of local authorities
- timing of the assessments of integrated care systems
- practical factors that could affect CQCs ability to carry out an assessment, for example transport and accommodation pressures due to major events in an area
- other regulatory activity taking place at a local authority
- existing knowledge of local authorities, for example prioritising local authorities where there is innovation or new models of care that ;that CQC wish to understand more about, or where there are concerns that may require an earlier assessment
- local and national pre-election restrictions.

## The Pilot Sites:

Five Local Authorities volunteered to take part in the first round of CQC assessments:

- Birmingham City Council
- Lincolnshire County Council
- North Lincolnshire Council
- Nottingham City Council
- Suffolk County Council

The Assessments were completed between July-Sept 2023 and the outcomes were published on the 17<sup>th</sup> November 2023

## Outcomes from the Pilot Sites:

- Birmingham City Council – indicative rating of **good**
- Lincolnshire County Council – indicative rating of **good**
- North Lincolnshire Council – indicative rating of **good**
- Nottingham City Council – indicative rating of **requires improvement**
- Suffolk County Council – indicative rating of **good**

## Themes from the first assessments included:

- Outcomes for people were better where there was good partnership working, including with voluntary and community partners as well as health partners.
- Integrated working around discharging people from hospital was working and had improved the flow out of hospitals.
- Staff tended to stay with a local authority when they felt valued, had learning and development opportunities, and where there was a positive culture.
- There were different practices across the 5 local authorities in how they worked with young people who are transitioning from children's services to adult services, so young people's experiences were varied

## Rutland ASC CQC Readiness:

- Since first being made aware of the new assessment regime Rutland ASC have worked to ensure that we are prepared and maintaining good standards of support.
- Early preparation included:
  - CQC Assurance Board established
  - 6 workstreams to focus on areas for improvement across the areas of Digital, Feedback, Co-Production, Workforce and Wellbeing, Policy and Guidance and Use of Data.
  - Quality Assurance Team established
  - Audits against the Single Assessment Framework and the Information Return
  - Active representation within Regional and National forums specific to CQC assessment, to ensure key messages and learning in readiness for CQC were taken forward internally

## Key Deliverables to date:

- CQC Comms and Engagement Plan
- Launch of Self-Service Portal for adults, carers, safeguarding and Therapy
- Revised Customer feedback options
- New case file Audit process
- New Participation Group
- Training and Development review including revised training plan, increased opportunities for staff learning and development, new Staff training channel, newsletter.
- Active involvement in Regional Peer Review, mock self-assessment project and the Annual Conversation (regional mock assessment)
- Workforce and wellbeing survey for ASC with actions achieved
- Use of Data meetings which looks to analyse and understand data relevant to ASC
- Redesign/restructure of ASC Teams to reflect the areas of increased demand and to support more specialist teams
- East Midlands regional dataset – looking at performance in line with the Single Assessment Framework
- Development of RCC practice standards

## Next Steps:

- Intranet – ASC centralised hub for staff learning and development, policy and guidance, induction.
- Finalising the CQC 9 Week Plan
- Further updates and development of policy, procedure and guidance
- Continued development of our Co-Production offer including a Co-Production Charter/Strategy
- A continued focus on recruitment within ASC to ensure fully staffed service
- ASC Strategy to be finalised
- Work with Healthwatch and public health on projects which seek to further establish the experiences of our community (self-funders and feedback)