

Methodology and Approach

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- Under the Care Act, local authorities have duties to make sure that people who live in their areas:
 - Receive services that prevent their care needs from becoming more serious, or delay the impact of their needs
 - Can get the information and advice they need to make good decisions about care and support
 - Have a range of high quality, appropriate services to choose from

CQC's Single 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



Proposed scope of LA assessments



1. **Working with people** - assessing needs, supporting people to live healthier lives, prevention, well-being, information and advice
2. **Providing support** - markets (including commissioning), integration and partnership working
3. **Ensuring safety** - safeguarding, safe systems and continuity of care
4. **Leadership** - capable and compassionate leaders, learning, improvement, innovation

Each of the themes has several quality statements and 'I' statements within it

Choice, control and personalisation are threaded through our entire framework and approach

1. How Local Authorities work with people



This includes: assessing needs (including unpaid carers), supporting people to live healthier lives, prevention, well-being, information and advice

- **Assessing needs** - We maximise the effectiveness of people's care and treatment by assessing and reviewing their health, care, wellbeing and communication needs with them.
 - ✓ *I have care and support that is coordinated, and everyone works well together and with me.*
 - ✓ *I have care and support that enables me to live as I want to, seeing me as a unique person with skills, strengths and goals.*
 - **Supporting people to live healthier lives** - We support people to manage their health and wellbeing so they can maximise their independence, choice and control, live healthier lives, and where possible reduce their future needs for care and support.
 - ✓ *I can get information and advice about my health, care and support and how I can be as well as possible – physically, mentally and emotionally.*
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2. How Local Authorities provide support



This includes: market shaping, commissioning, workforce equality, integration and partnership working

- **Care Provision, integration and continuity** - We understand the diverse health and care needs of people and local communities, so care is joined-up, flexible and supports choice and continuity.
 - ✓ *I have care and support that is coordinated, and everyone works well together and with me.*
 - **Partnerships and communities** - We understand our duty to collaborate and work in partnership, so our services work seamlessly for people. We share information and learning with partners and collaborate for improvement.
 - ✓ *Leaders work proactively to support staff and collaborate with partners to deliver safe, integrated, person-centred and sustainable care and to reduce inequalities.*
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3. How Local Authorities ensure safety within the system



This includes: safeguarding, safe systems and continuity of care

- **Safe systems, pathways and transitions** - We work with people and our partners to establish and maintain safe systems of care, in which safety is managed, monitored and assured. We ensure continuity of care, including when people move between different services.
 - ✓ *When I move between services, settings or areas, there is a plan for what happens next and who will do what, and all the practical arrangements are in place.*
 - ✓ *I feel safe and am supported to understand and manage any risks.*
 - **Safeguarding** - We work with people to understand what being safe means to them and work with them as well as our partners on the best way to achieve this. We concentrate on improving people's lives while protecting their right to live in safety, free from bullying, harassment, abuse, discrimination, avoidable harm and neglect, and we make sure we share concerns quickly and appropriately.
 - ✓ *I feel safe and am supported to understand and manage any risks.*
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4. Leadership



Scope of assessment includes: capable and compassionate leaders, learning, improvement, innovation and governance

Proposed Quality Statements:

- **Governance** - We have clear responsibilities, roles, systems of accountability and good governance to manage and deliver good quality, Ssustainable care, treatment and support. We act on the best information about risk, performance and outcomes, and we share this securely with others when appropriate.
 - **Learning, improvement and innovation** - We focus on continuous learning, innovation and improvement across our organisation and the local system. We encourage creative ways of delivering equality of experience, outcome and quality of life for people. We actively contribute to safe, effective practice and research.
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- People's experience
- Feedback from partners
- Feedback from staff and leaders
- Observation
- Processes
- Outcomes and performance data

Theme 1: How the LA works with people – Assessing Needs

Key question	Effective
Care Act duty	<p>Section 1: Wellbeing principle</p> <p>Sections 9-13: Assessment of an adult or carers needs for care and support; eligibility criteria</p> <p>Section 14-17: Charging and financial assessment</p> <p>Section 18-20: Duty to meet needs</p> <p>Section 24-30: Next steps after assessment</p> <p>Section 31-33: Direct Payments</p> <p>Section 34-36: Deferred Payments (tbc)</p> <p>Sections 67-68 Independent advocacy support</p>
Quality Statement	<p>Assessing needs:</p> <ul style="list-style-type: none"> ✓ I have care and support that enables me to live as I want to, seeing me as a unique person with skills, strengths and goals. ✓ We maximise the effectiveness of people’s care and treatment by assessing and reviewing their health, care, wellbeing and communication needs with them.

Evidence categories and context specific items

<p>People’s experience</p> <ul style="list-style-type: none"> • Feedback from people who use services and unpaid carers, those close to them and their advocates. Includes existing sources (e.g. CQC Give Feedback On Care) as well as bespoke (focus groups etc) • Carers Groups – unpaid carers • Compliments/complaints • Feedback from user and carer surveys • Feedback from community groups, representative groups for people (e.g. advocacy, Healthwatch) 	<p>Feedback from staff and leaders</p> <ul style="list-style-type: none"> • Self-assessment • Interviews and focus groups • Staff surveys • Staff Carers' Network 	<p>Feedback from partners</p> <ul style="list-style-type: none"> • Healthwatch, providers, third sector • Local health partners, GPs • Health & Well-Being Board
<p>Processes</p> <ul style="list-style-type: none"> • Joint Strategic Needs Assessment • Training for assessors including specialist assessors • Assessment and eligibility policy and process • Financial Assessment and Charging Policy • Better Care Fund Plan • Health and Wellbeing plan • Carers' Strategy • LA Audits • LGA Peer Review / Annual conversation 	<p>Outcomes/performance data</p> <ul style="list-style-type: none"> • Waiting time for assessment for (i) adults with care needs, (ii) unpaid carers • % of assessments meeting eligibility criteria for (i) adults with care needs, (ii) unpaid carers • Demographics and forecasts • No of assessments relative to demographics of local population (looking at equality of access) • Assessments and Reviews (quantitative) – numbers overdue by PSR; timeliness of assessment completion; • Assessments and reviews: number of unallocated people; size of caseloads • Number of needs assessments undertaken, number of refusals. • Number of urgent needs requests. Timescales (possibly ASCOF) • NHS England, annual Survey of Adult Carers in England (SACE) <p>Adult Social Care Outcomes Framework:</p>	

Theme 1: How the LA works with people – Assessing Needs

- ✓ I have care and support that enables me to live as I want to, seeing me as a unique person with skills, strengths and goals.
- ✓ We maximise the effectiveness of people's care and treatment by assessing and reviewing their health, care, wellbeing and communication needs with them.

Best practice, standards and guidance

- Local authorities clearly promote wellbeing when carrying out any of their care and support functions in respect of individuals at any stage of considering health and care needs.
- The wellbeing principle is embedded throughout the local authority care and support system and is clearly promoted when carrying out all care and support functions.
- Local Authority has an eligibility framework to ensure that there is clarity and consistency around local authority determinations on eligibility.
- Local Authority has a Charging Policy which is transparent, equitable, sustainable, and promotes wellbeing, social inclusion, independence, choice and control.
- Assessment and care planning arrangements are person-centred, timely and accessible, and focus on achieving the best outcomes for people.
- Local Authority has assessors who are appropriately trained and with the experience and knowledge necessary to carry out assessments, including specialist assessments.
- Local Authority works with partner agencies to provide a holistic and integrated approach to assessment and care planning.
- People are supported to access direct payments to maximise their choice and control about how to meet their support needs.
- LA ensures a sufficient provision of high quality, accessible independent advocacy services are available and offered to facilitate the involvement of an adult or carer who is the subject of an assessment, care or support planning or review.
- LA has a clear strategic ambition and objectives in respect of improving outcomes for unpaid carers and a coherent and adequately resourced delivery plan.
- The needs of unpaid carers are equally recognized; they have access to the support required to enable them to maintain their family life and to access social, leisure, employment and education opportunities.
- Unpaid carers have access to high quality, person-centred assessments tailored to their individual current and potential future support needs including rapid access to high quality replacement care for short breaks and unplanned situations.
- Unpaid carers are provided with the information, training, support and equipment required to undertake their caring role safely and effectively.

Guidance

- [Care Act Statutory Guidance](#), Chapters 6-13
- [Supporting Adult Carers](#), NICE Guidance, 2021
- [End of Life Care for Adults](#), NICE Guidance, 2019
- [Decision Making and Mental Capacity](#), NICE Guidance, 2018
- [Transition from Inpatient Mental Health Hospital to Care Home](#), NICE Guidance
- [Older People with Care Needs and Long Term Conditions](#), NICE Guidance, 2015
- [Learning Disabilities and Behaviours that Challenge](#), NICE Guidelines,
- [Improving the Experience of Care and Support for people with Care and Support Needs](#), NICE Guidelines, 2018
- [Personalisation](#), SCIE Guidance
- [Personal Budgets, Minimum Process Framework](#), Think Local Act Personal
- [Individual Service Funds and Contracting for Flexible Support](#), Think Local Act Personal
- [Making it Real: How to do Personalised Care and Support](#), Think Local Act Personal
- [Personal Social Services Survey of Carers in England, NHS England](#)

Theme 3: Quality Statement descriptors



•**QS 1: Safe systems, pathways and transitions**

- Safety is a priority for everyone, and leaders embed a culture of openness and collaboration.
 - There is strong awareness and monitoring of the areas with the greatest risks to people's well-being, and solutions are developed collaboratively.
 - Care and support is planned and organised with people, partners, and communities in ways that improves their safety across their care journeys and ensures continuity in care, particularly when people move between different services.
 - LA understands where the risks to the continuity of people's support are and it has plans to mitigate and manage them so that people's safety is maintained (eg: when moving between children and adult, hospital discharge).
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Theme 3: Quality Statement descriptors

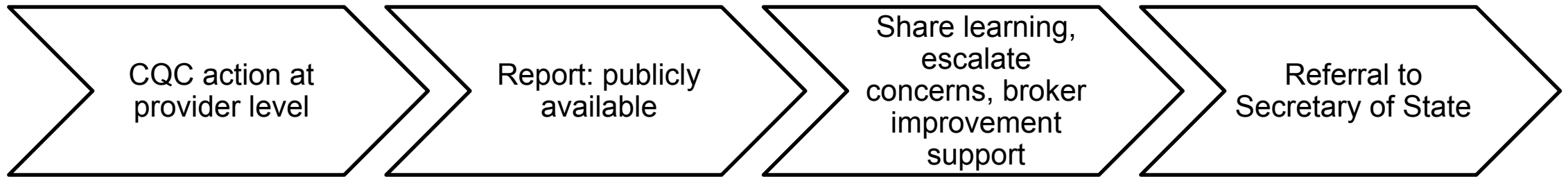


•QS 2: Safeguarding

- LA has a Safeguarding Adults Board that has clear understanding of the key safeguarding risks and issues in the area and a clear, resourced strategic plan to address them.
 - There is a shared understanding within the LA of the safeguarding responsibilities in respect of people with care and support needs.
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 - There is clarity on roles and responsibilities for identifying and responding to concerns. Concerns are investigated promptly so that risks to people's safety and well-being are minimised.
 - People are safe and protected from bullying, harassment, avoidable harm, neglect, abuse and discrimination, and their liberty is protected where this is in their best interests and in line with legislation.
 - Where people raise concerns about safety, enquiries are conducted without delay and with the person at the centre of all activity. People are supported to make choices that balance risks of harm with positive choices about their lives.
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- Early Ministerial steer is for a **single overall rating** at Local Authority level **with narrative and 'sub-ratings'** to provide granularity on the assessment and the areas for improvement.
 - We would use the **four rating levels** for the overall rating: outstanding, good, requires improvement, inadequate.
 - Each of the **Quality Statements would be scored, 1-4**
 - **Evidence categories within the Quality Statements will also be scored, 1-4.** Scores will be aggregated to Quality Statement level. **We currently don't plan to publish this level of detail.**
 - The **overall rating and scores for the quality statements will be published alongside a narrative report.**
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Possible follow-up to reviews



- Throughout 2022:
 - Develop, test and iterate our approach
 - Ongoing coproduction and engagement
- Start reviews from April 2023

Coproducing our approach



- Expert Advisory Group made up of provider representatives, public groups, experts by experience, local government and system partners.

Members include ADASS, Age UK, Association of mental health providers, CPA, Carers Trust, Carers UK, Challenging Behaviour Foundation, DHSC, Disability Rights UK, Family carer, Healthwatch England, LGSCO, LGA, MHCLG, NHS Confederation, NHSE/I, NHS Providers, Ofsted, Rightful Lives, SCIE, Skills for Care, TLAP, Warwickshire County Council

- Regular updates and engagement at CQC's monthly adult social care trade association meetings, LGA sounding board, stakeholder meetings, CQC's External Strategic Advisory Group sessions and external engagement opportunities.

Future plans

- External workshops to further coproduce our approach
 - Scoping potential national survey to gather views from a larger audience
 - Further engagement through provider engagement sessions and local government briefings
 - Invite feedback via online participation platform
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Sector-led improvement and intervention

A new approach to sector improvement and support, building on sector-led improvement programme

White Paper and Health & Care Bill 2021

- Resources, training, expert advice and support provided to local authorities are valued by those who use them.
- Recognising the value of sector-led improvement, our approach remains to enable the sector to drive its own improvement.
- We will increase the scale and reach of the support offer available.
- DHSC intends to play a more proactive role in ensuring support is targeted where it is needed most, informed by data, intelligence, and the views and experience of people who draw on care and support and their carers.
- The Health and Care Bill contains new powers of intervention for Secretary of State where local authorities are failing to discharge their duties to an acceptable standard.

Developing support, improvement and intervention

- Increase in improvement funding of more than £70 million 2022-25.
- More support to local authorities, including to strengthen their market-shaping and commissioning capabilities.
- Increased DHSC/ government scrutiny of awards and drive towards competitive tendering + opportunity with increased spend to marshal skills and experience of more diverse range of organisations.
- Developing assurance and support & improvement governance for good stewardship and so that we can be more active in targeting support.
- Developing intervention regime (subject to Parliamentary approval).



Our priority is to support local authorities to lead their own improvement wherever possible, with statutory intervention considered as a last resort

Local authority unable to improve in agreed timescales. We are working through whether and how to incorporate CQC ratings here.

As a last resort, we will intervene using statutory powers. This may include full time improvement support, improvement panels and – where necessary - ASC commissioners. It will not include independent trusts.

Local authorities continue to lead their own improvement, with additional oversight from CQC/DHSC

Local authorities will be expected to produce a robust improvement plan, and arrange for additional support, with oversight from DHSC

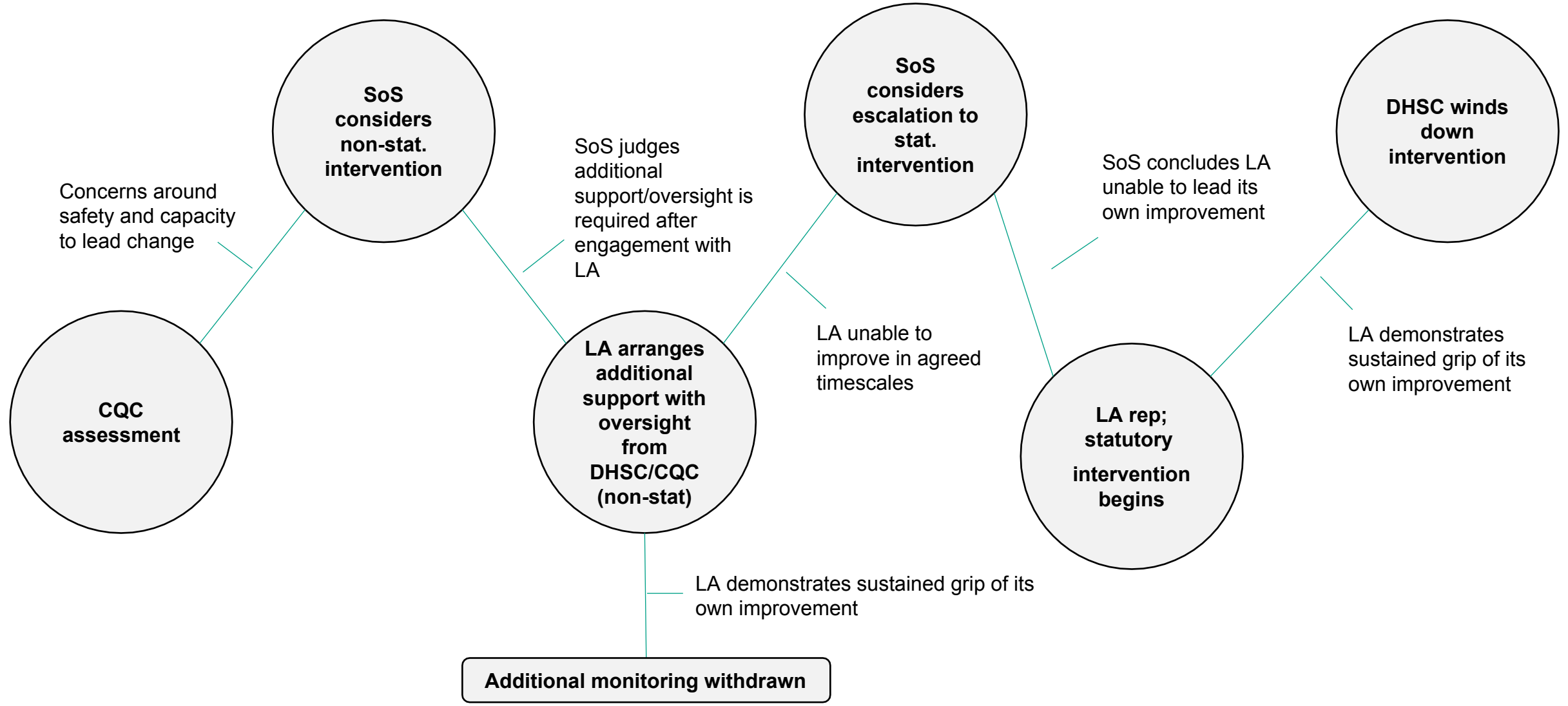
CQC assessment identifies serious/persistent risk to people's wellbeing

Local authorities lead their own improvement, including through drawing on national improvement offer

All LAs will be able to draw on improvement offer as required

DHSC and sector partners work to share good practice

The improvement/intervention journey envisages a strong voice for local authorities and an ongoing role for sector-led improvement



Indicative high-level timeline



Enhanced Assurance – Key Milestones

