

Service Continuity and Care Market Review: Self-Assessment by Councils

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The Government's Adult social care: [coronavirus \(COVID-19\) winter plan 2020 to 2021](#), says that the Department of Health & Social Care (DHSC), in partnership with the Association of Directors of Adult Social Services (ADASS) and the Local Government Association (LGA), will carry out a **Service Continuity and Care Market Review** this Autumn.

This self-assessment questionnaire (SAQ) is the essential building block of this review. It will provide an invaluable understanding on a council by council basis of your analysis of the risks to the continuity of services in the provider sector across each care setting. It will explore the plans that you have to mitigate these risks particularly with regard to the impact of COVID-19 and EU transition alongside your winter planning arrangements.

An important feature of this questionnaire is that it gives you a full opportunity to share examples of good practice and what works well both at individual council and regional level. I am aware of the very significant work and developments both in councils and in regions to support and develop your commissioning activities particularly as these impact on market sustainability and capacity. Many of these plans are well advanced.

You are asked in this questionnaire to specifically set out, based on your own analysis, where additional support could be targeted. We are already working with the LGA, ADASS and with the Care and Health Improvement Programme (CHIP) to consider targeted intensive support as part of the response to these challenges.

The date to complete the guided self-assessment questionnaire is midnight Wednesday 21st October. We are encouraging councils to share their self-assessments with other councils in your region. As part of the partnership approach that we are taking, ADASS regions and CHIP will also provide support you during the process, as well as adding a regional picture and overview as part of the feedback to DHSC.

The questionnaire and process are designed to enable you to enter information and then update or develop your responses up until your final submission is made. Once the final submissions have been made both the SAQ and regional overview will be available in full for DHSC to draw the information together alongside other sector and market information and to produce a final report in mid-November. This report will be shared with the LGA, ADASS and councils. It is anticipated that an overview and summary will be published.

Throughout the next three weeks the LGA, ADASS and DHSC will be working together to support you in getting the very best outcomes from this questionnaire. For information and support about the purpose and use of the self-assessment please contact

servicecontinuitysaq@dhsc.gov.uk. If you have any other questions that relate to this process, please email adass.lga.covid@local.gov.uk. All questions to this email account will be anonymised and responded to by DHSC, LGA or ADASS, as appropriate. This could include technical questions or anything in relation to the requirements of this self-assessment. All questions and responses will be included in a [Frequently Asked Questions \(FAQ\) document](#).

Thank-you for taking the time to complete this questionnaire particularly in this time of unprecedented demand on services.

Ian Winter CBE,
DHSC, Service Continuity and Care Market Review Project Delivery Director
30th September 2020

Completing the self-assessment

You can navigate through the questions using the buttons at the bottom of each page. Use the 'previous' button at the bottom of the page if you wish to amend your response to an earlier question.

If you stop before completing the return, you can come back to this page using the link supplied in the email and you will be able to continue where you left off. To ensure your answers have been saved, click on the 'next' button at the bottom of the page that you were working on before exiting.

All responses will be treated confidentially and used within DHSC, the LGA and ADASS to support the development of the Service Continuity and Care Market Review (SCCMR). For the purposes of any externally accessed publications information will be aggregated, and no individual or authority will be identified in any publications without your consent. In addition, identifiable information may be used internally within the LGA and ADASS but will only be held and processed in accordance with the LGA's privacy statement. Individual council responses may be accessed to aid the legitimate interests of the LGA and ADASS in supporting and representing authorities.

Please indicate that you give permission for the data you provide to be used in the manner described above.

Yes, I give my permission for the data I provide to be used in accordance with the statement above and the LGA's privacy statement.

For any technical support with completing the online form please contact adass.lga.covid@local.gov.uk.

Thank you for taking the time to complete this self-assessment.

Please could you confirm that the details for your Director of Adult Social Services are correct, and if appropriate please provide a contact for any queries we may have about your response.

| | Contact details | Contact details |
|---------------|-----------------------------------|-------------------------|
| | Director of Adult Social Services | Contact for any queries |
| Name | | |
| Role | | |
| Email Address | | |

Please check that your council's name and region below are accurate.

- Council (1) _____
- Region (2) _____

Please give an overview of the current contingency planning work you are doing to maintain service continuity (2,000 character limit).

Section 1 - Understanding Risk

The purpose of this question is to understand the council's assessment of risk across different service types for both council funded and self-funded people. You will be asked to assess risks to capacity and sustainability in all types of service provision.

1. Using local intelligence and your knowledge of the market and current challenges, what is your level of concern about the ability of the local care market to provide the capacity needed between now and the end of March 2021? Each level of concern relates to the council's ability to ensure service continuity and / or secure appropriate alternative provision where needed. This includes the provision for both council commissioned services and self-funded care.

Please use the following guidelines to indicate your level of concern:

Extremely concerned – A point of crisis that compromises our ability to ensure continuity of care has already been reached, or is expected to be reached before Christmas (between now and 15/12/2020)

Moderately concerned – Expect to reach a point of crisis that compromises our ability to ensure continuity of care between Christmas and the end of March 2021 (between 15/12/2020 and 31/03/2021)

Somewhat concerned – Expect serious challenges which may compromise our ability to ensure continuity of care between now and the end of March 2021

Slightly concerned – Expect serious challenges between now and the end of March 2021, but are confident that these will be addressed through our plans to ensure continuity of care is not compromised.

Not at all concerned – Given current knowledge, intelligence and plans we don't expect to face a crisis or serious challenges in relation to continuity of care before the end of March 2021

| | Levels of concern | | | | | Further comments |
|--|---------------------|----------------------|--------------------|--------------------|----------------------|--|
| | Extremely concerned | Moderately concerned | Somewhat concerned | Slightly concerned | Not at all concerned | Please add further comments as necessary |
| Nursing care | | | | | | |
| Residential care - older people | | | | | | |
| Residential care – working age adults | | | | | | |
| Home care | | | | | | |
| Home based reablement | | | | | | |
| Supported living or extra care housing | | | | | | |
| Support provided through direct payments | | | | | | |
| Other (please specify) | | | | | | |

The purpose of this question is to understand the council's view on the underlying causes of the risks highlighted in Q1. The key measurement relates to the requirements of the Care Act as it applies to continuity of care for the provision for both council commissioned services and self-funded care.

2. (a) Using the prompt list of challenges, please assess the extent to which you feel they will present a risk to your council meeting its duties and responsibilities under the Care Act, between now and end of March 2021.

Please provide a number between 1 and 3 for each challenge and for each type of care, where the numbers signify the following:

- 1-** It will present a risk to the service area in question **to a great extent.**
- 2-** It will present a risk to the service area in question **to a moderate extent.**
- 3-** It will present a risk to the service area in question **to a small extent.**

Please leave any of the boxes blank where you feel there is no notable risk to the service area.

| | Nursing care | Residential care - older people | Residential care – working age adults | Home care | Home based reablement | Supported living or extra care housing | Support provided through direct payments | Other (please specify) |
|---------------------------------|--------------|---------------------------------|---------------------------------------|-----------|-----------------------|--|--|------------------------|
| Recruitment of care staff | | | | | | | | |
| Retention of care staff | | | | | | | | |
| COVID-19 - Staffing | | | | | | | | |
| COVID-19 - Infection control | | | | | | | | |
| COVID-19 - Access to testing | | | | | | | | |
| COVID-19 - Zoning and cohorting | | | | | | | | |
| Fee rates | | | | | | | | |
| Provider costs | | | | | | | | |
| Safeguarding issues | | | | | | | | |
| Quality issues | | | | | | | | |
| Insufficient local provision | | | | | | | | |
| Insurance issue | | | | | | | | |
| Voids | | | | | | | | |
| Other (please specify) | | | | | | | | |

2. (b) Please add any further comments as necessary to expand on your responses above.

Please note: The exact question that councils will be asked now will depend on their responses to Q1. To show all possible options for all service types, would take this document to over 50 pages. Therefore, the information provided below are the options a council could choose and they are just shown for Nursing Care. In the online SAQ, the same questions will be asked for all service types.

3. Your response to Question 1 indicated that you are **extremely concerned** about the ability of the local care market for nursing care to provide the capacity needed between now and the end of March 2021, and feel that a point of crisis that compromises your council's ability to ensure continuity of care has already been reached, or is expected to be reached before Christmas (between now and 15/12/2020).

3. Your response to Question 1 indicated that you are **moderately concerned** about the ability of the local care market for nursing care to provide the capacity needed between now and the end of March 2021, and expect to reach a point of crisis that compromises your council's ability to ensure continuity of care between Christmas and the end of March 2021 (between 15/12/2020 and 31/03/2021).

3. Your response to Question 1 indicated that you are **somewhat concerned** about the ability of the local care market for nursing care to provide the capacity needed between now and the end of March 2021, and expect serious challenges which may compromise your council's ability to ensure continuity of care between now and the end of March 2021.

3. Your response to Question 1 indicated that you are **slightly concerned** about the ability of the local care market for nursing care to provide the capacity needed between now and the end of March 2021, and expect serious challenges between now and the end of March 2021, but are confident that these will be addressed through your plans to ensure continuity of care is not compromised.

3. Your response to Question 1 indicated that you are **not at all concerned** about the ability of the local care market for nursing care to provide the capacity needed between now and the end of March 2021, and given current knowledge, intelligence and plans you don't expect to face a crisis or serious challenges in relation to continuity of care before the end of March 2021.

Please note: As with Q3, the exact question that councils will be asked here depends on their responses to previous questions. To show all possible options for all service types, would take this document to over 50 pages. Therefore, the information provided below is shortened, but will help you see what questions will be asked in the online SAQ.

This question is about your view of if the council will reach a tipping point, when and what will be the cause of this. You should use your own interpretation of what a tipping point looks like locally, but the tipping point is likely to be signified by, for example a crisis in the local social care market and/or the council taking the view that they can no longer reasonably expect to be able to access the type and level of provision needed to meet the social care needs of local people. The question asks you to provide a judgement on if you feel a tipping point will be reached locally, the scale of change that would lead to this tipping point and the main cause of this change.

In thinking about your response to Question 1, please could you indicate below what scale of change you feel would precipitate a tipping point, beyond which the council's ability to ensure service continuity and/or secure alternative provision where needed for that service area would be critically compromised. The type of change could be due to increased demand, reduced access to provision or a combination of both. This includes the provision for both council commissioned services and self-funded care.

In your opinion what is the scale of change that would lead to a tipping point between now and the end of March 2021?

- Net reduction in availability of suitable provision of less than 10% (1)
- Net reduction in availability of suitable provision of between 10 - 20% (2)
- Net reduction in availability of suitable provision of over 20% (3)
- Other trigger point (please specify in the box below) (4) _____

What do you anticipate would be the most likely cause of the net reduction that would lead to a tipping point between now and the end of March 2021?

- Predominantly due to increased demand for support (1)
- Predominantly due to a decrease in access to suitable provision (2)
- A combination of increased demand and a decrease in access to suitable provision (3)
- Other trigger point (please specify in the box below) (4) _____

What support or actions do you feel are necessary? Please include any details of actions needed now, and/or at the tipping point.

Please add any further comments you feel would be useful in expanding on your response.

3. Your response to Question 1 indicated that you are **extremely concerned** about the ability of the local care market for Nursing Care to provide the capacity needed between now and the end of March 2021, and feel that a point of crisis that compromises your council's ability to ensure continuity of care has already been reached, or is expected to be reached before Christmas (between now and 15/12/2020).

3. Your response to Question 1 indicated that you are **moderately concerned** about the ability of the local care market for Nursing Care to provide the capacity needed between now and the end of March 2021, and expect to reach a point of crisis that compromises your council's ability to ensure continuity of care between Christmas and the end of March 2021 (between 15/12/2020 and 31/03/2021).

3. Your response to Question 1 indicated that you are **somewhat concerned** about the ability of the local care market for Nursing Care to provide the capacity needed between now and the end of March 2021, and expect serious challenges which may compromise your council's ability to ensure continuity of care between now and the end of March 2021.

3. Your response to Question 1 indicated that you are **slightly concerned** about the ability of the local care market for Nursing Care to provide the capacity needed between now and the end of March 2021, and expect serious challenges between now and the end of March 2021, but are confident that these will be addressed through your plans to ensure continuity of care is not compromised.

3. Your response to Question 1 indicated that you are **not at all concerned** about the ability of the local care market for Nursing Care to provide the capacity needed between now and the end of March 2021, and given current knowledge, intelligence and plans you don't expect to face a crisis or serious challenges in relation to continuity of care before the end of March 2021.

Section 2 - Contingency Planning

The purpose of this question is to understand the specific steps councils have taken in relation to policy and practice, to prepare for provider service change or closure.

4. To what extent do you have in place or use the following measures, plans and contingency approaches to reduce the risks to continuity of care from provider failure?

Please provide a number between 1 and 3 for each measure and for each type of care, where the numbers signify the following:

- 1- The measure is in place within the service area **to a great extent.**
- 2- The measure is in place within the service area **to a moderate extent.**
- 3- The measure is in place within the service area **to a small extent.**

Please leave any of the boxes blank where the measure is not in place at all within the service area. Where a measure has been used in different service areas, please use the numbers to help differentiate the scale of support provided.

a. Local authority funded care and support

| | Nursing care | Residential care - older people | Residential care – working age adults | Home care | Home based reablement | Supported living or extra care housing | Support provided through direct payments | Other (please specify) |
|-------------------------------------|--------------|---------------------------------|---------------------------------------|-----------|-----------------------|--|--|------------------------|
| Use of IPC funding | | | | | | | | |
| Other financial support | | | | | | | | |
| Contractual support | | | | | | | | |
| Other support | | | | | | | | |
| Access to additional provision | | | | | | | | |
| Changes to how people are supported | | | | | | | | |
| Other (Please specify) | | | | | | | | |

b. Self-funded care

| | Nursing care | Residential care - older people | Residential care – working age adults | Home care | Home based reablement | Supported living or extra care housing | Support provided through direct payments | Other (please specify) |
|-------------------------------------|--------------|---------------------------------|---------------------------------------|-----------|-----------------------|--|--|------------------------|
| Use of IPC funding | | | | | | | | |
| Other financial support | | | | | | | | |
| Contractual support | | | | | | | | |
| Other support | | | | | | | | |
| Access to additional provision | | | | | | | | |
| Changes to how people are supported | | | | | | | | |
| Other (Please specify) | | | | | | | | |

The purpose of this question is to understand the steps the council has taken in developing their contingency plans and, crucially, partners' involvement.

5. (a) What policy and practice arrangements do you have in place in the event where a provider closes, or alternative provision needs to be made for other reasons?

This includes the provision for both council commissioned services and self-funded care

| | People supported through council commissioned care | | | People supported through self-funded care | | |
|--|--|--------------------------|------------------|---|--------------------------|------------------|
| | Yes, already in place | Arrangements in progress | No, not in place | Yes, already in place | Arrangements in progress | No, not in place |
| Policy (e.g. transfer arrangements) | | | | | | |
| Partnership (e.g. data sharing agreement with providers) | | | | | | |
| Other (please specify) | | | | | | |

5. (b) Please add any further comments as necessary to expand on your responses to 5. (a) above.

The purpose of this question is to understand the council's view of risk to service continuity, in light of the actions they are taking.

6. To what extent have the following local or partnership arrangements for managing and responding to risks been part of your contingency planning approach?

| | To a great extent | To a moderate extent | To a small extent | Not at all |
|--|-------------------|----------------------|-------------------|------------|
| Working with partners (e.g. other councils, the region, service users, providers, Healthwatch, HWB, LRF) | | | | |
| Information and intelligence (e.g. regional market intelligence, CQC, safeguarding, QA, etc.) | | | | |
| Other (Please specify) | | | | |

6. (b) Please add any further comments as necessary to expand on your responses above.

Section 3 - Support

The purpose of this question is to give councils an opportunity to highlight the three issues of greatest concern and explain likelihood, timing and support plans.

7. (a) What are the three most significant issues that cause you concern as a risk to your ability to deliver on Care Act responsibilities / continuity of care between now and the end of March 2021?

Please describe below the issues that cause you most concern.

| | How confident are you that your mitigation and contingency plans will minimise / address this risk? | | | | Please describe the point at which you would consider this issue to be a critical point? (i.e. beyond which there is a significant risk to continuity of care) | What support or actions do you feel are necessary? Please include any details of actions needed now, and/or at the critical point |
|-----------------------------|---|------------------|--------------------|----------------------|---|--|
| | Very confident | Fairly confident | Not very confident | Not at all confident | | |
| Issue 1 (Please specify) | | | | | | |
| Issue 2 (Please specify) | | | | | | |
| Issue 3 (Please specify) | | | | | | |

7. (b) Council narrative - Please provide a narrative that reflects the situation in your local area, particularly highlighting any points you feel have not already been covered in previous responses.

The purpose of this question is to understand what type of support a council would most want and when this may be required.

8. (a) What further support would you want to see in place to help you deal with the expected service continuity challenges between now and the end March 2021?

Please include support from, for example the Care and Health Improvement Programme (CHIP), including the LGA and ADASS, neighbouring councils and others within your region, the Department for Health and Social Care. If there is a specific delivery channel that is not clear in the type of support detailed, please expand in the comments alongside.

| | When will this support be needed? | | | | Additional comments Please provide any comments to expand on this if needed |
|-------------------------------------|-----------------------------------|-------------------------------------|---|------------|--|
| | Needed urgently | Needed within the next three months | Needed in response to a specific event (e.g. a tipping point) | Not needed | |
| Legislative (e.g. Market oversight) | | | | | |
| Flexible funding | | | | | |
| Peer support | | | | | |
| Market Intelligence | | | | | |
| Other (Please specify) | | | | | |

8. (b) Please add any further general comments as necessary to expand on your responses above.

You have reached the end of this self-assessment. Please tick the box below to indicate that this self-assessment has been signed off by your Director of Adult Social Services (DASS) and your Chief Executive.

Yes, the Director of Adult Social Services (DASS) has signed off this self-assessment. (1)

Yes, the Chief Executive has signed off this self-assessment. (2)

Once you press the 'Submit' button below, you will have completed the survey. You will then be shown an automatically generated summary of your response, which you will be able to download as a pdf.

Once you have submitted this form you will no longer be able to modify your response. If you submit the form and would like to make a further change, please contact us at adass.lga.covid@local.gov.uk to have your response reopened.

Many thanks for taking the time to complete this self-assessment. You are in control of any personal data that you have provided to us in your response. You can contact us at all times to have your information changed or deleted. You can find our full privacy policy here: [click here to see our privacy policy](#)