

Local Authority Assessment

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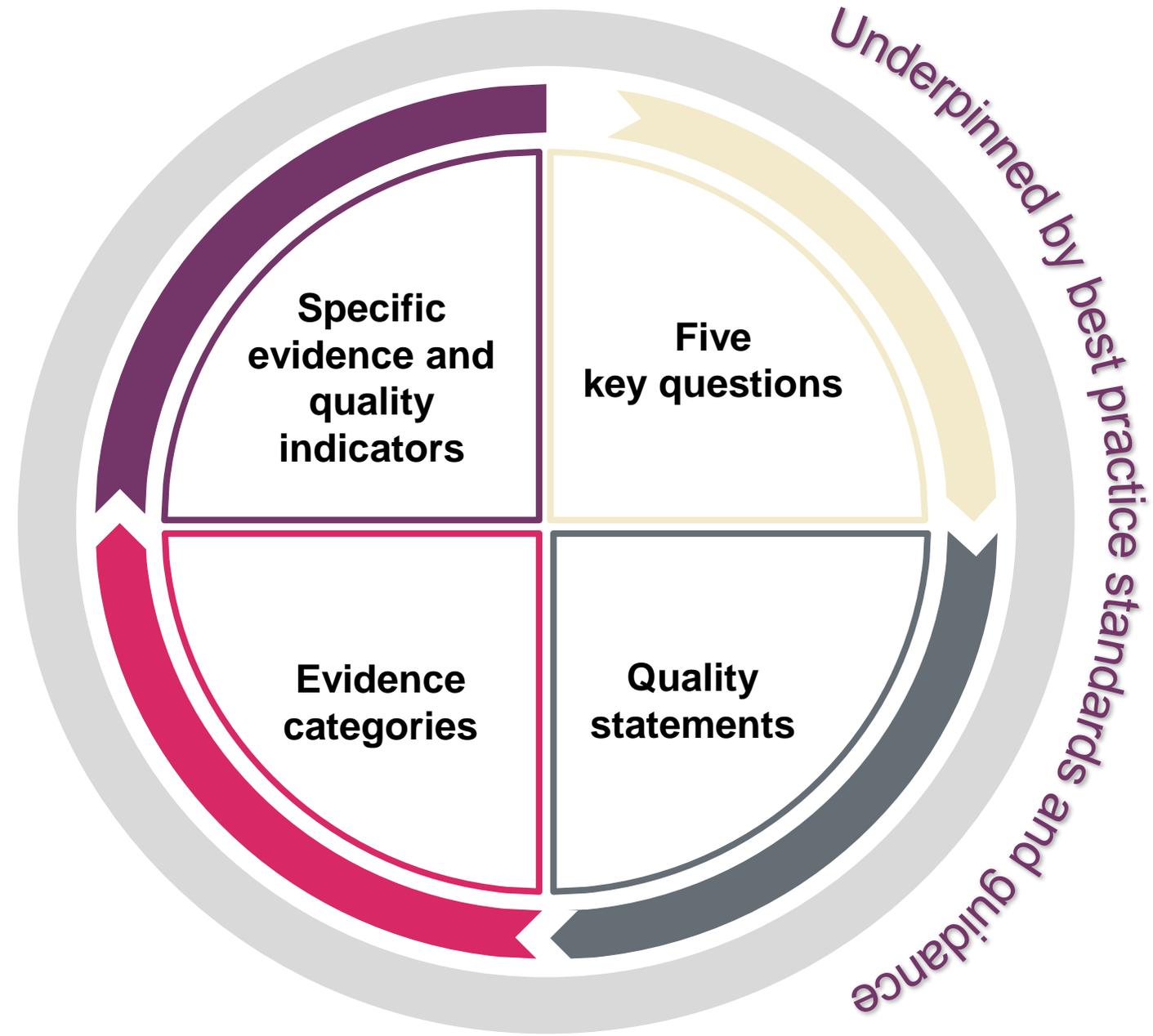
A whole system approach driven by people's needs and expectations

- New duty in the Health and Care Act 2022 for CQC to independently review and assess how Local Authorities are delivering their Care Act functions.
- The Act also sets out duty to review and assess Integrated Care Systems
- Worked in co-production to develop the scope and content, including to identify our key themes for assessment
 - Co-production with LGA, ADASS, DHSC and key stakeholders to ensure successful development and rollout
 - Expert Advisory Group made up of provider representatives, public groups, experts by experience, local government, system partners and DHSC and DLUHC colleagues
 - Test and learns with local authorities

Our single assessment framework

Our framework will assess providers, local authorities and integrated care systems with a consistent set of key themes.

There will be four themes for local authority assessment.



Local authority assessment: scope

The focus of our local authority assessments will be across these four themes:

Theme 1: Working with people

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

Theme 2: Providing support

- Care provision, integration and continuity
- Partnerships and communities

Theme 3: Ensuring safety

- Safe systems, pathways and transitions
- Safeguarding

Theme 4: Leadership

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

A scoring framework to support consistent judgements

For each quality statement in the assessment framework, we will assess the 'required evidence' in the evidence categories and assign a score to the quality statement. The scoring framework to support decisions is:

- 1 = Evidence shows **significant shortfalls** in the standard of care
- 2 = Evidence shows **some shortfalls** in the standard of care
- 3 = Evidence shows a **good standard** of care
- 4 = Evidence shows an **exceptional standard** of care

When we assess evidence, we will assign a score to the relevant quality statement.

The scores for the quality statements aggregate to ultimately produce the ratings, and an overall score.

Local authority assessment- timeline

- From 1 April, we will start to review published evidence and data, across all local authorities, focusing on two quality statements
 - Care provision, integration and continuity
 - Assessing needs
- Looking mainly at data already being published such as Market Position Statements and Joint Strategic Needs Assessment for example
- We'll draw out themes and insight on; access, commissioning, market shaping, workforce and personalisation
- We will publish our findings at aggregate level



Pilots

Running alongside thematic work, we will run **full end to end piloting** of our assessment approach for up to 5 LAs between April and September 2023:

- All 9 quality statements
- Following a **quality assurance and moderation process, publish the first pilot assessment reports by the Autumn** – whole batch together
- Ratings will be **clearly badged as ‘shadow’/‘indicative’** (wording to be agreed with LGA and ADASS)

We will ask for volunteers – a number have already expressed interest.

We will check the pool of volunteers against some criteria to ensure a good mix

Proposed selection criteria

- LA structures: unitary, county, metropolitan, London borough
- Geographical location
- Mix of rural, urban
- Terminosity with ICS
- Will include some who have embraced self-assessment and/or peer review
- Political make up of councils will be considered to achieve a balanced and fair cross section
- Will avoid local elections and where other regulatory activity is happening (eg Ofsted)

Start of formal assessments

- Assessing local authorities is a **new duty** for CQC
- Before we move to an **ongoing assessment model**, we need to **establish a baseline**
- We will start **formal assessments in September** and aim to carry out 20 assessments from September to December 2023
- We will continue to carry out formal assessments and **publish reports and ratings in early 2024**

Local authority assessment interim guidance



Our interim guidance, which is currently subject to government approval, sets out the high-level framework for our oversight of local authorities focusing on the initial baselining period.

The guidance focuses on:

- themes and quality statements
- evidence categories
- how we will assess local authorities
- reporting and sharing information

We will expand and update this interim guidance as we develop our model.

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