

The emerging framework

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Our role and purpose

The Care Quality Commission is the independent regulator of health and adult social care in England.

We make sure health and social care services provide people with safe, effective, compassionate, high-quality care and we encourage care services to improve



New powers

CQC has new roles:



- The Health and Care Act gives CQC a role in reviewing **integrated care systems**
- It also gives CQC a new duty to assess how **local authorities** are meeting their social care duties under part 1 of the Care Act

These will allow us to look more effectively at how care provided in a local system is improving outcomes and reducing inequalities.

We've engaged extensively over the last year on how we'll do this. We want to bring together a view of quality across a local area and put people at the centre of driving improvement in care.

Care Act 2014 (part one)

CQC's new duty is to assess how **local authorities** are meeting their social care duties under part 1 of the Care Act

Local authorities have duties to people who live in their areas around:

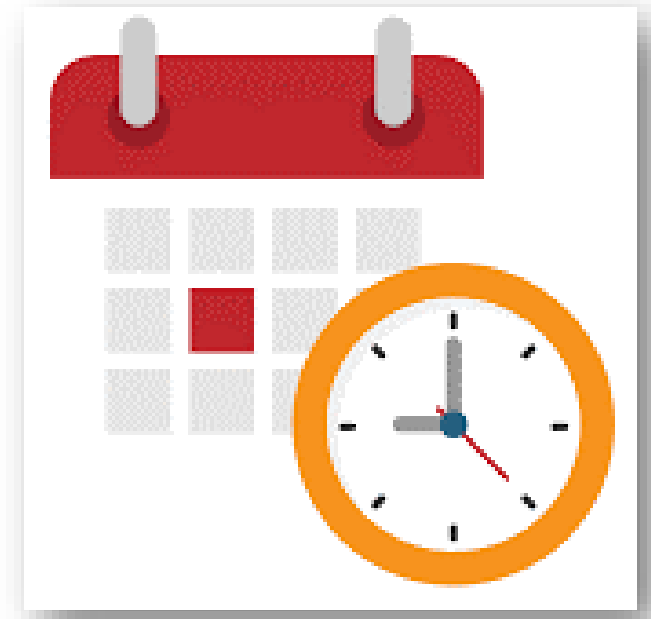
- Prevention
- Information and advice
- High quality, appropriate services



Care Act 2014

Local Authority assessment: timeline

- The Local Authority assessment framework will go live in 2023/24
- We've been engaging on our approach for more than 12 months already to develop the scope and content of the assessment framework
- We're complementing and building on Sector-Led Improvement
- The first two years, from April 2023, are 'baselining' before moving to an agile and responsive model



A single assessment framework

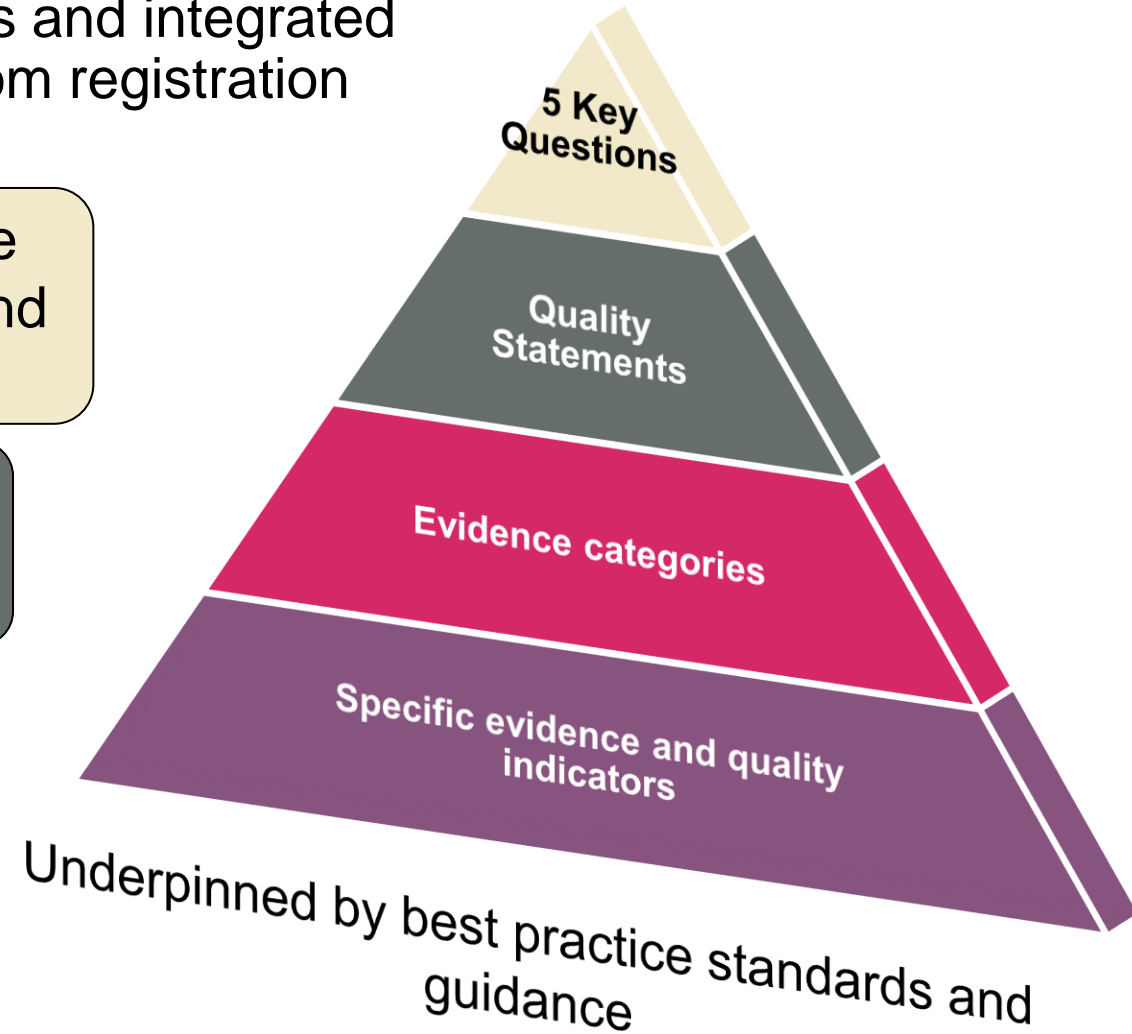
Our framework will assess providers, local authorities and integrated care systems with a consistent set of key themes, from registration through to ongoing assessment

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, Local Authorities and Integrated Care Systems 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



The framework for ICS/LA





‘I’ statement: 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.



‘We/quality’ statement: We work in partnership with others to establish and maintain safe systems of care in which people's safety is managed, monitored and assured, especially when they move between different services.

Principles

Voice of lived experience – central to the development of assurance

Existing foundations – ‘building on existing sector led support and improvement programmes’

Transparency and democratic accountability – improving performance as well as identifying and learning from best practice

Consistency and flexibility – consistent but recognising the local nature of adult social care

Partnership – mutual and proportionate model based on councils’ duties of local accountability to residents, and others partners

Information is shared – all relevant data should be available to the sector as a whole

Flexibility – the framework must be flexible enough to assure the current system

The Department will work with partners to understand the cost implications of the assurance framework. Any costs will be fully funded by Government.

CQC scope: local authorities

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

Theme 1: Working with people

- Assessing needs
- Supporting people to live healthier lives

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 and workforce

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

What we've heard so far

We've heard a number of themes coming through our engagement to date, which include:

- Partnership working
- Skills and capability
- Understanding systems
- Addressing inequalities
- Ratings
- Data
- Proportionate regulation
- Interaction with provider rating



Test and learn activities – what we did

Test and learn activity in Hampshire and Manchester

We focused on two themes:

1. How local authorities work with people
2. Leadership

We aimed to test key aspects of the full assessment to help us understand how it will work in practice and how long a full assessment might take.

We produced a short report which was shared with the local authorities, and scored against the statements



Local authority assessment - reflections

The work helped identify some of the key challenges in assessing local authorities and systems:

- Gaps around the regulated provider voice, which are being addressed
- Guidance needed on benchmarking
- Lack of standard data sets for us to draw on, resulting in a limited ability to compare data sets for consistency
- Improving the reporting
- Usefulness of balancing face to face, online meetings and interviews
- Addressing challenges with including user voice and understanding what good looks like



Local authority assessment – feedback

“Briefing for staff ‘early doors’ would be encouraged”

“An enjoyable experience and CQC were incredibly supportive from start to finish”

“Ensuring CQC are on the right agendas and attending the right meetings”

“More clarity on what CQC are after would be welcomed eg: what local authorities need to do in advance and what CQC will be asking”

“Need to redesign the test and learn process to involve the provider perspective”

“Coproduction is healthy, but a need to meet face to face with real people – actual service users”

Next steps 2022/23

- Continue internal and external engagement.
- Further development, system building, recruitment.
- Review relationship management and supporting improvement.
- Aiming to start reviews from April 2023.
- Baseline assessments.



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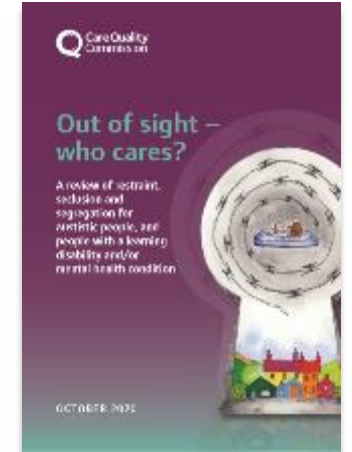
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Focus on theme 1: Working with people

Assessing needs, care planning and review, direct payments, charging arrangements, supporting people to live healthier lives, prevention, wellbeing, information and advice

Quality statement: **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.

Further information: Assessing needs

- People with care and support needs, unpaid carers, those who fund or arrange their own care and communities have the best possible wellbeing outcomes because needs are assessed in a timely and consistent way;
- Assessments, care and support plans are co-produced, up-to-date and regularly reviewed; support is coordinated across different agencies and services and decisions and outcomes are transparent.
- People's care and support reflects their right to choice, builds on their strengths and assets, and reflects what they want to achieve and how they wish to live their lives.

Care Act Sections

Section 1:	Wellbeing principle
Sections 9-14:	Assessment of an adult or carers needs for care and support; eligibility criteria
Section 14,17:	Charging and financial assessment
Section 18-20:	Duty to meet needs
Section 24-27, 30:	Next steps after assessment; care and/or support plans
Sections 31-33:	Direct Payments
Sections: 59, 61, 64:	Transitions (relating to assessments)
Sections 67:	Independent advocacy support

Required evidence: Assessing needs (1/3)

People's experience	Feedback from staff and leaders
<ul style="list-style-type: none">• Direct feedback from people with care and support needs, unpaid carers, people who fund or arrange their own care, those close to them and their advocates• Compliments/complaints• Feedback from people obtained by community and voluntary groups eg: advocacy, Healthwatch, adult and young person's carers groups, faith groups• Survey of Adult Carers (SACE), Adult Social Care Survey (ASCS)• Case tracking <p>If available:</p> <ul style="list-style-type: none">• Feedback from CQC's Give Feedback on Care	<p>Principal social worker</p> <ul style="list-style-type: none">• Local authority initial contact teams/frontline triage team• Assessment and care management staff, social workers and any specialist teams (for example, unpaid carers, learning disability, young people's transitions)• Out-of-hours duty teams• Adult social care portfolio holder• Overview and scrutiny committee• Director of Adult Services• Self-assessment <p>If available:</p> <ul style="list-style-type: none">• Staff carer network

Required evidence: Assessing needs (2/3)

Processes

- Assessment, care planning and review processes and pathways; assessment team structures (showing any specialist teams)
- Policy/process/information relating to eligibility criteria, financial assessment and charging arrangements
- Strategy for supporting unpaid carers
- Quality assurance processes re: assessment, care planning and reviews
- ASC Financial Returns and Short and Long Term Support (ASC FR - SALT)
- % of carers who receive self-directed support
- % of people who use services who receive self-directed support
- 0 % of long term support clients reviewed (planned and unplanned)

Feedback from partners

- Healthwatch
 - Community groups and voluntary sector
 - Local health partners: primary care
 - Care providers
 - Health and wellbeing board
 - Integrated care partnership, integrated care system
- If available:
- Local Government Social Care Ombudsman feedback
 - SEND reviews
 - Ofsted Children Services inspection reports

Required evidence: Assessing needs (3/3)

Outcomes

- Short and Long-Term Support (SALT)
- % of carers who receive direct payments
- % of people who receive direct payments and/or part direct payments

Best practice: Assessing needs

- The wellbeing principle is embedded throughout local authority care: it reflects right to choice, builds on strengths and assets, reflects ultimate goal and how people wish to live
- All arrangements are person-centred, strengths-based, timely and accessible and focused on achieving the best possible outcomes for people
- The needs of unpaid carers are recognized as distinct from a person with care needs; assessments, support plans and reviews for unpaid carers are undertaken separately.
- People can easily access the local authority's care and support services through multiple channels, including online and selfassessment options. There is equality of access for people with different cultural/protected equality characteristics.
- The local authority has arrangements to tell people how to access services and facilities for help with non-eligible care and support needs and for referring to other agencies/departments.