CQC Single Assessment Framework: Local Authority Assurance

May 2023

West Northamptonshire Council

Care Act 2014 regulated a number of care functions delivered by Local Authorities which include:
- Wellbeing principle
- Assessment of an adult or carers needs for care and support, eligibility criteria
- Charging and financial assessment
- Duty to meet needs
- Next steps after assessment
- Direct Payments
- Deferred Payments
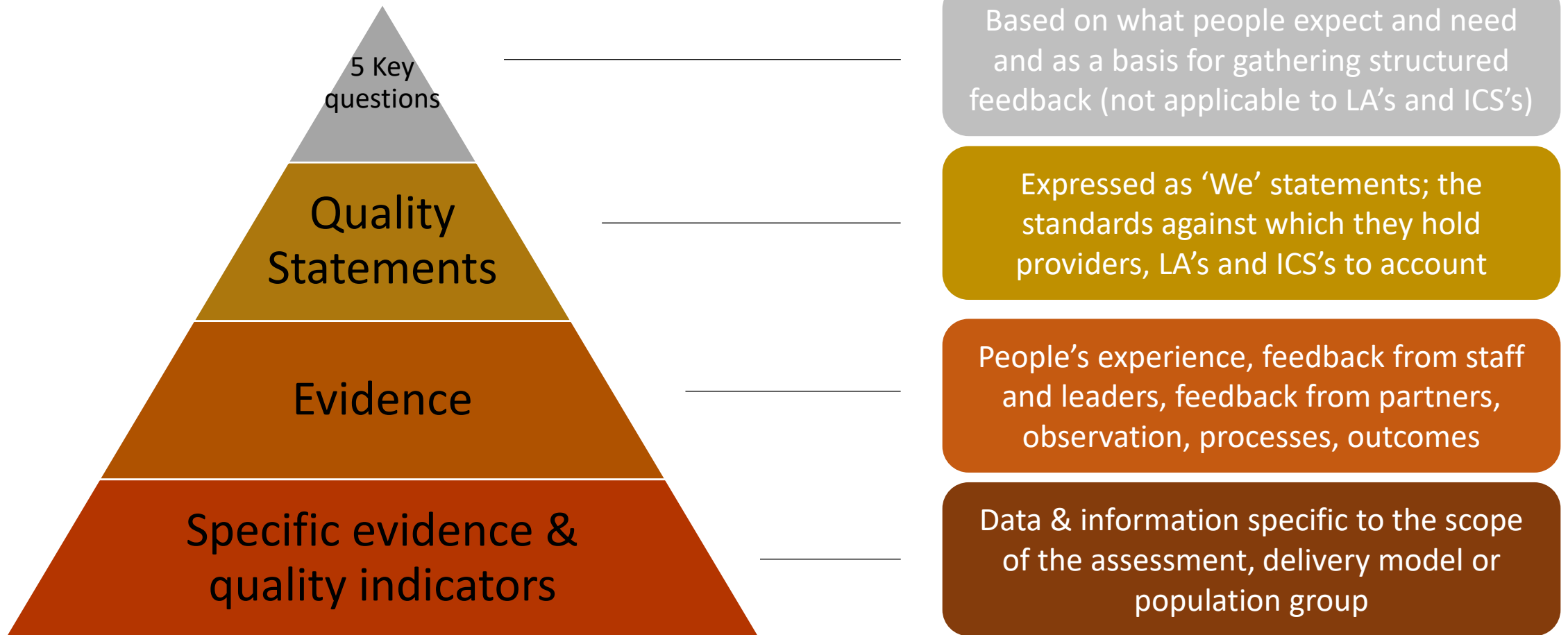- Independent advocacy support

Health & Care Act 2022 gave CQC new regulatory powers to undertake independent assessment of these functions

Regional self assessment exercise prior to commencement of assessments

August!

CQC Single Assessment Framework

West Northamptonshire Council

5 Key questions

Quality Statements

Evidence

Specific evidence & quality indicators

Based on what people expect and need and as a basis for gathering structured feedback (not applicable to LA's and ICS's)

Expressed as 'We' statements; the standards against which they hold providers, LA's and ICS's to account

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

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

- Is a new quarterly statutory return that is mandatory for Local Authorities from 1st April 2023 with a first submission during July 2023

- A decision will be made in autumn 2023 to determine when/if SALT will cease, following parallel running in 2023-24

- Requires the production of listings containing core person information and *events* that have occurred during the reporting period

- Will broadly follow the same data definition/collection sources that are currently used in the SALT return (with the addition of Financial Assessment events)

- There are 50 fields described in the Release 1 specification, of which 33 are mandatory

- There are four types of Events are being collected: Requests, Assessments, Services and Reviews

- Local Authorities have been asked to provide a part or full voluntary submission for 2022-23 and the Business Intelligence Team plan to submit 2022-23 Service Event careFirst dataset in April 2023

- East midlands data

Quality Statements

Theme 1: Working with People

Assessing Needs

Supporting People To Live Healthier Lives

Equity in experiences and outcomes

Theme 2: Providing Support

Care provision, integration and continuity

Partnerships and Communities

Quality Statements

Theme 3: Ensuring Safety

Safe systems, pathways and transitions

Safeguarding

Theme 4: Leadership

Governance, management and sustainability

Learning, improvement and innovation

Self Assessment Document

- Corporate Narrative
  - Key facts
  - ASC strategic direction
  - Partnership
  - Strengths, Risks, Challenges
- Narrative on each section
  - Ambition
  - Performance
  - Challenges for improvement
- Evidence Library

West Northamptonshire Council

Current Self Assessment and actions so far.

1 **Theme 1: Working with People**

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

2 **Customer Access**

We will ensure that information and advice about health, care and support is accessible and available to people at all times

3 Objectives:
- Review and improve current front door processes to ensure they support efficient use of ASC resource
- Increase the availability of self-serve options, including the availability of information on the website
- Review information that is provided to people to ensure that it is accessible to people with protected characteristics

Quality Assurance

We will consistently review and challenge how we work to make sure that our residents receive support and assistance of the highest quality

Objectives:
- Embed appropriate governance structures which focus on overseeing the quality of service delivery
- Complete a full review of all strategies, processes, and procedures to ensure their effectiveness
- Ensure an effective programme of case auditing and feedback is established and embedded

Engagement & Feedback

We will ensure the people we support are central to everything we do, we will involve them in the design of our services, and use their feedback to address challenges when they arise

Objectives:
- Implement a consistent approach to gathering and understanding people's feedback on the support they receive from all of our services
- Develop an approach to ensuring co-production as a key feature of our work
- Understand the underlying causes of complaints and embed a robust approach to addressing these.

Equity & Inclusion

We will seek out and listen to information about people who are most likely to experience inequality in experience or outcomes and tailor the care and support we provide in response to this

Objectives:
- Identify and utilise information which identifies the inequalities in experience and outcomes, along with the barriers to care people may experience
- Design a clear plan and approach to addressing the needs of people with protected characteristics
- Review the support we provide to children transitioning into ASC to ensure that it is responsive to their needs.

4 **Processes to review:**

- Assessment, care planning and review, including processes and pathways from first contact with the local authority
- Arrangements for ensuring timely assessments, care planning and care reviews
- Arrangements for offering, allocating and overseeing the use of Direct payments
- Arrangements for determining Care Act eligibility and care funding decisions
- % of carers who receive self-directed support
- % of people who use services who receive self-directed support
- Prevention strategy and associated delivery plans
- Arrangements for access to equipment and home adaptations
- Arrangements for providing accessible information and advice
- Equality objectives and delivery plans, annual reporting for the Public Sector Equality Duty
- Arrangements for engaging with people to understand their experience relating to Care Act duties
- Inclusion and accessibility arrangements, for example BSL or interpreter services
- Health Inequalities Dashboard

(1) Theme 2: Providing Support

Care Provision, Integration & Continuity   Partnerships & Communities

(2) Strategic Partnerships

We will develop effective strategic partnerships at a local level to ensure that we take a holistic approach to how we support people with the health and care needs

(3) Objectives:
- Embed and deliver Local Area Partnership working
- Work with partners to develop effective joined up strategies and plans to ensure the co-ordinated and effective use of our collective resources
- Continue to explore further opportunities to work with local partners particularly in relation to Mental Health Services, Continuing Health Care and Housing and Homelessness

Market Management

We will work in partnership with our local care market to ensure that it meets the needs of our residents both now and in the future

Objectives:
- A clear approach to our existing market, including an understanding of any gaps, how we will work with the market to ensure it is sustainable and a clear set of strategic intentions.
- Implement an effective and robust processes to drive the improvement of quality across our care market
- Implement appropriate mechanisms for engaging with providers as equal partners and supporting them to be effective as a sector

Information Sharing

We will utilise both the information we hold as a council and the information held by our partners to support the design and delivery of services to ensure they consistently meet people's needs

Objectives:
- A clear approach to utilising information and data in our service planning and decision making processes
- Implement information sharing protocols with our partners and use these effectively
- Outline a clear local approach to a shared health and care record

(4) Processes to review:

- Joint Strategic Needs Assessment
- Market Position Statement and market shaping plans
- Market Sustainability Plan
- LA outputs from cost of care exercise
- Commissioning strategies (including joint & specialist commissioning) and arrangements for monitoring and evaluating their impact
- Use of out-of-area placements and trends over time (up to 3 years)
- Arrangements for quality monitoring and improvement of commissioned services, including out-of-area services
- Workforce strategy to support the workforce capability and capability of the LA
- ASC workforce pressure metric (capacity tracker)
- Bed occupancy (residential) and spare hours (community) (capacity tracker)
- Use of the Better Care Fund
- Partnership working and arrangements to deliver shared local and national objectives. For example, hospital discharge, tackling inequalities, Transforming Care
- Enabling mechanisms, including information sharing, roles and responsibilities

1 **Theme 3: Ensuring Safety**

Safe systems, pathways and transitions   Safeguarding

2

Strategic Safeguarding

We will work with our partners to understand what being safe means to our residents and develop the best way to achieve this.

3 **Objectives:**

- Take a pro-active approach to how we work with partners where data and intelligence identifies the greatest risk to people's safety and wellbeing
- Through the Safeguarding Adults Board work to improve the accountability of partners and quality of data received when safeguarding enquiries are undertaken
- Develop stronger links with the Community Safety Partnership, Housing and Community Support for people experiencing and mental health crisis

Robust Processes

We will ensure that all of our safeguarding processes are robust and deliver the required outcomes and assurance

Objectives:

- Review and update the Adult Risk Management process to ensure it remains effective
- Embed a more consistent approach to information sharing and the dissemination of learning between the Safeguarding Adults Board and operational teams.
- Ensure our front door process is effective and consistently responsive to the level of demand experienced

Data & Information

We will use data and information to support an improvement in the quality and performance of our service delivery

Objectives:

- Improve the accessibility of information we provide to people about Safeguarding and Making Safeguarding Personal
- Ensure the quality of data we hold supports effective decision making and is being used effectively
- Embed a consistent approach to eliciting feedback from people with a lived experience of safeguarding and acting on this
- Consistently evaluate the uptake and effectiveness of safeguarding training and manage this accordingly

Quality of Care

We will ensure that people within our area receive safe and effective care from providers and that we have processes in place to respond to concerns

Objectives:

- Work with local partners to ensure that we are able to act on and address concerns in relation to the quality of care we commission
- Implement an effective and robust processes to drive the improvement of quality across our care market

4 **Processes to review:**

- Pathways when people move between services and agencies: design, evaluation and review
- Contingency planning and emergency preparedness for provider failure and service continuity
- Information sharing protocols
- Safeguarding Adult Board annual strategic plan
- Safeguarding Adult Board annual report
- Safeguarding Adult Reviews & records of subsequent learning & actions taken
- Processes and pathways for managing safeguarding alerts, enquiries and investigations
- Tracking, oversight and quality assurance of safeguarding cases
- Strategic governance of safeguarding themes, trends and outcomes
- Processes for responding to reports and reviews that feature SG responsibilities, including:
- Regulation 28 reports (report to prevent future deaths)
- Domestic homicide reviews
- Mental health reviews and serious incident reviews
- NHS Digital Safeguarding Adults Collection - number of SG referrals made
- NHS Digital Safeguarding Adults Collection - proportion of SG referrals that meet Section 42 threshold (to view trends over time)
- NHS Digital Safeguarding Adults Collection - proportion of individuals lacking capacity who were support by an advocate, family member or friend

Theme 4: Leadership

Governance, Management & Sustainability   Learning, Improvement & Innovation

Strategic Direction

We will establish a clear vision and strategy which supports the delivery of both our corporate plan and ICS strategic ambitions

Objectives:
- Ensure the direction for ASC is aligned to the Joint Strategic Needs Assessment and delivery of the 10 'Live your Best Life Outcomes'
- Outline the strategic direction for key areas of work including prevention, support to carers and mental health support
- Embed a consistent approach to driving improvement, supporting innovation and research

Governance

We will ensure we have effective governance arrangements in place which provide effective oversight and support robust decision making

Objectives:
- Embed a governance framework across ASC which enables quality of analysis, risk management and enables good decision making
- Develop a clear reporting structure with clear and approved terms of reference for all management, leadership and decision making.

Data focus

We will increase our focus on using data to support our decision making at all levels and supporting us to understand the needs of our residents both now and in the future

Objectives:
- Develop and embed dashboards for key KPI's to enable greater and more timely oversight in relation to team activity, timescales and waiting lists
- Upgrade the core ASC system to assist in generating better quality and more timely data and information
- Develop an understanding of, and communicate, community assets across the locality to support the development of a strengths based approach

Workforce

We will embed a clear approach to ensuring that we support our workforce to deliver the highest quality of advice and support to our residents

Objectives:
- Develop a clear training and development offer to all roles to support the progression of internal staff and the delivery of their roles
- Embed a clear approach to recruitment and retention to ensure service continuity
- Create appropriate mechanisms to engage staff and create the opportunity for feedback and service improvement suggestions to be received

Processes to review:

- Adult social care vision and strategic plan(s)
- Governance arrangements for delivering Care Act duties including quality assurance
- Governance arrangements for delivering Care Act duties including risks to delivery
- Governance arrangements for delivering Care Act duties including impact on people's experience and outcomes
- Adult social care risk register and arrangements for internal and external escalation
- Arrangements for the LA's compliance with UK data protection legislation
- If available, a strategy for supporting unpaid carers
- Learning from feedback & events, e.g. people's experiences, whistleblowing information, serious incidents and serious case reviews
- Coroner Regulation 28 reports
- Accreditations with external organisations
- If available, innovation policy or strategy

Engagement – Peoples Experiences

	Working with People			Providing Support		Ensuring Safety		Leadership	
	Assessing Needs	Supporting people to live healthier lives	Equity in experience and outcomes	Care Provision, integration and continuity	Partnerships and communities	Safe systems, pathways and transitions	Safeguarding	Governance, management and sustainability	Learning, improvement and innovation
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	✓	✓	✓	✓	✓	✓	✓		✓
Feedback from community & voluntary groups, e.g. advocacy groups, adult and YP carer groups, faith gropus, groups representing people who are more likely to have a poorer experience of care and poorer outcomes, people with protected equality characteristics	✓	✓	✓	✓	✓	✓	✓		✓
Feedback that people have sent to the LA and feedback it has gathered itself through surveys or focus groups	✓	✓	✓	✓	✓	✓	✓	✓	✓
Feedback from CQC's Give feedback on care facility (if availaible)	✓	✓	✓	✓	✓	✓	✓		✓
Compliments and **complaints**	✓	✓	✓	✓	✓	✓	✓	✓	✓
Healthwatch	✓	✓	✓	✓	✓	✓	✓	✓	✓
Adult Carers **Survey** (SACE)	✓	✓					✓		
Adult Social Care **Survey** (ASCS)	✓	✓		✓			✓		
Case tracking	✓	✓	✓	✓	✓	✓	✓		✓

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	Working with People			Providing Support		Ensuring Safety		Leadership	
	Assessing Needs	Supporting people to live healthier lives	Equity in experience and outcomes	Care Provision, integration and continuity	Partnerships and communities	Safe systems, pathways and transitions	Safeguarding	Governance, management and sustainability	Learning, improvement and innovation
Principal social worker	✓	✓	✓	✓	✓	✓	✓	✓	✓
Principal occupational therapist	✓	✓	✓		✓				
Social work teams						✓	✓		✓
Local authority initial contact teams or frontline triage team	✓								
Assessment & care management staff, social workers and any specialist teams	✓	✓	✓	✓					
Hospital discharge team, intermediate care, reablement team					✓				
Out-of-hours duty teams	✓					✓	✓		
LA designated officer (LADO), designated safeguarding officer or multi-agency safeguarding adults team							✓		
Commissioners	✓	✓	✓		✓			✓	✓
Commissioning teams				✓					
Care provision: Quality monitoring team				✓		✓			
Council adult social care portfolio holder	✓	✓	✓	✓	✓	✓	✓	✓	✓
Overview and scrutiny committee	✓	✓		✓	✓	✓	✓	✓	✓
Council leader								✓	✓
Director of adult social services (DASS)	✓	✓	✓	✓	✓	✓	✓	✓	✓
The local authority's **self-assessment** of its performance for the quality statement	✓	✓	✓	✓	✓	✓	✓	✓	✓
If available, **feedback** from the local authority's staff carers network	✓								
If available, staff forum								✓	✓
If available, feedback from the local authority's staff (from **surveys**)	✓	✓	✓	✓	✓	✓	✓	✓	✓
If availabile, **feedback** from the local autority's equality, diversity & inclusion lead(s)	✓	✓	✓						
If available, **Equality Framework for Local Government self-assessment**				✓					
If available, independent mental capacity advocates							✓		
If available, **information from whistleblowing**									✓
Chief executive								✓	
Director of children's services						✓			
Director of public health		✓	✓	✓				✓	✓
Housing team		✓							

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	Working with People			Providing Support		Ensuring Safety		Leadership	
	Assessing Needs	Supporting People	Equity in experience and outcomes	Care Provision, integration and continuity	Partnerships and communities	Safe systems, pathways and transitions	Safeguarding	Governance, management and sustainability	Learning, improvement and innovation
Community & voluntary groups, including those representing people who are more likely to have a poorer experience of care and poorer outcomes, people with protected equality characteristics and unpaid carers.	✓	✓	✓	✓	✓	✓	✓	✓	✓
Care providers	✓	✓	✓	✓	✓	✓	✓	✓	✓
Local provider forums				✓	✓				
Information and advice providers		✓							
Community equipment providers		✓							
Advocacy providers		✓	✓		✓	✓	✓		
Advocacy professionals	✓								
Healthwatch								✓	✓
Safeguarding Adults Board						✓	✓		
Independent Domestic violence Advisors (IDVA)							✓		
Coroner Regulation 28 reports							✓		
Local health partners	✓	✓	✓	✓	✓	✓	✓	✓	✓
Allied health professionals	✓	✓	✓	✓					
Ambulance and paramedics						✓			
Health and wellbeing board	✓	✓	✓	✓	✓	✓		✓	✓
Health commissioners				✓	✓				
Integrated care partnership, intergrated care system		✓		✓	✓			✓	✓
Local Government Social Care Ombudsman annual letter								✓	✓
If available, Local Government Social Care Ombudsman feedback	✓	✓	✓	✓	✓	✓	✓		
If available, SEND reviews	✓					✓		✓	✓
If available, Ofsted reports for inspecting LA children's services	✓					✓		✓	✓
If available, feedback from other regulators						✓	✓	✓	✓
If available, British Association of Social Workers	✓								
If available, peer review				✓		✓	✓	✓	
If available, police safeguarding lead							✓		
If available, specialist domestic abuse services							✓		