

## Overview of Corporate Risk around the Care Quality Commission (CQC) Assurance Process



## Background

- The Health and Care Act 2022 introduced a new assurance process with effect from April 2023, together with new legal powers for the Secretary of State for Health and Social Care to intervene in local authorities to improve services, where there are significant failures to deliver their Care Act duties.
- Under the new assurance process, the Care Quality Commission (CQC) will assess councils using a single assessment framework which will put adults' services on a similar basis to children's services, in which councils are subject to regular inspection by Ofsted and Government intervention if deemed to be 'inadequate'.
- On 21 September, the Adults and Communities Department Management Team (DMT) agreed to add a new risk to the Department's Strategic Risk Register to reflect that failing to achieve either 'good' or 'outstanding' in the initial CQC Assurance inspection would likely cause significant reputational and financial issues for the Council.
- The risk was initially scored 20 overall ('impact' of 5/5 and 'likelihood' of 4/5), exceeding the threshold of 15 for inclusion in the Corporate Risk Register. This was deemed appropriate as it reflected the significant consequences of the risk materialising and that the assurance process will review the performance of the whole Council in delivering Care Act duties.
- On 16 November, Adults and Communities DMT revised the 'likelihood' score for this risk down from 4 to 3, to reflect that significant preparations were underway to mitigate the risk and an initial review of the Department's performance in delivering Care Act duties, whilst highlighting some areas requiring improvement, suggested that the likelihood of failing to achieve at least a rating of 'good' may have been slightly overestimated

# Overview of the CQC Assurance Themes

From April 2023, the Care Quality Commission (CQC) will begin to assess the performance of our services in delivering Care Act duties. The CQC will explore our performance and plans to improve across the following 4 themes:

## Working with People

- Wellbeing and Prevention
- Assessments
- Care and Support Planning



## Providing Support

- Commissioning
- Market Shaping
- Partnership-working

## Ensuring Safety

- Preventing harm and abuse
- Managing risks to peoples' safety
- Safeguarding vulnerable people

## Leadership

- Stable leadership
- Governance and performance management
- Learning and innovation

## Summary of the CQC Assurance Risk

Risk Description	Risk Score	Mitigations
<p>If A&amp;C fail to provide robust evidence of good practice for the CQC inspectors, then this will result in a poor inspection outcome and incur reputational risk alongside extra resources and possible external governance to undertake any actions required to make the improvements necessary to fulfil statutory requirements.</p>	<p><b>15 (Impact 5 x Likelihood 3)</b></p>	<ol style="list-style-type: none"> <li>1. Prepare a clear Self-Assessment which highlights our strengths, areas requiring improvement, and plans to improve services.</li> <li>2. Collate all policies, strategies and guidance of relevance to the inspections and implement an improvement plan to address any gaps (e.g. missing or out-of-date documents)</li> <li>3. Undertake thorough preparations for the inspection visits, including ensuring all documentation is readily-available and staff have a strong understanding of the CQC assurance process</li> </ol>

## Update on our Preparations for CQC Assurance

### Progress

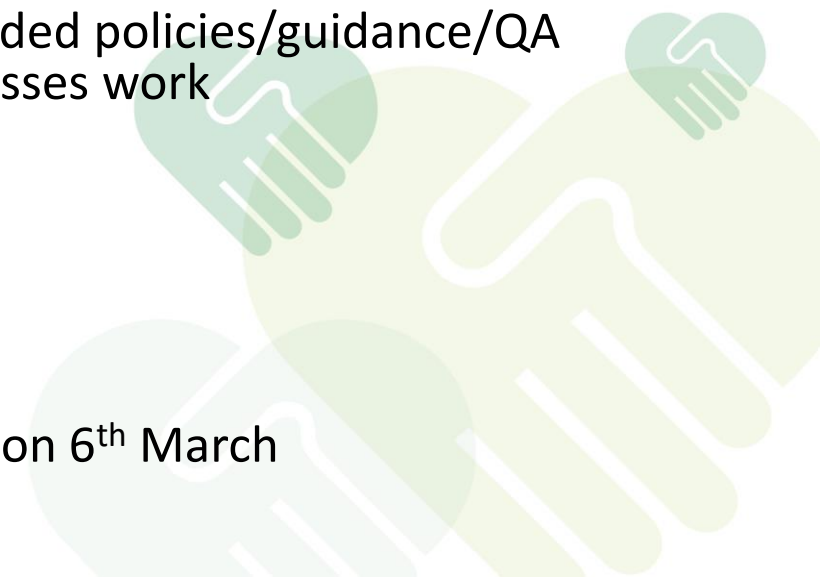
- Gathered initial Self-Assessment findings based on internal engagement and desk-based research
- Staff survey completed - 240 responses received. Staff workshops to begin 16/01 - 222 registrations
- Assurance Workstream has agreed high-level aims and approach to assurance comms/engagement

### Next Steps

- Further internal engagement, and significant external engagement, to take place from January-March 2023
- Develop evidence base for practice assurance - to identify how well-embedded policies/guidance/QA processes etc are in how frontline teams operate and how well these processes work
- Overview and Scrutiny Committee workshop on 13<sup>th</sup> February

### Approval Due Dates

- Programme Board to review/approve Draft Self-Assessment on 17/02
- Final CQC Self-Assessment presented to Overview and Scrutiny Committee on 6<sup>th</sup> March





## Brief Summary of Initial Self-Assessment Findings

Theme	Topic	Current Rating and Areas for Improvement
Working with People	Focus on wellbeing and prevention throughout care and support	Feedback from service users and carers on care experiences (social contact)
	Partnership-working in prevention	
	Access to information and advice / care and support	Feedback from service users and carers on access to information, advice and support.
	Assessment and eligibility framework	
	Innovation in prevention activities	
	High-quality, responsive intermediate care and reablement services	
	Unpaid carers have access to information, training, and support	Feedback from carers on access to information

## Brief Summary of Initial Self-Assessment Findings

Theme	Topic	Current Rating and Areas for Improvement
Providing Support	Understanding local care and support needs and shaping the market around these	Lack of specialist commissioning strategies. Opportunity to increase level of co-production in development of commissioning strategies.
	Integration, partnership-working and joint-commissioning	
	Working with providers to ensure services are sustainable, affordable and provide continuity	
	Developing, supporting, and promoting a capable and effective workforce	Higher turnover rate than national average. Workforce pressures
	Supporting innovation in care and support	

## Brief Summary of Initial Self-Assessment Findings

Theme	Topic	Current Rating and Areas for Improvement
Ensuring Safety	Prevention and early intervention	Uptake of training by providers. Service user feedback on how safe services made them feel.
	Focus on safety and continuous improvement	
	Demand management	Numbers of people awaiting assessment and review. Sufficiency of resources/skilled staff. Safeguarding training completion rates.
	Individual / Public Participation	
	Partnership Working	
	Risk Management and Emergency Response	Reporting to Commissioning and Quality Service about safeguarding alerts or enquiries linked to a contracted provider



## Brief Summary of Initial Self-Assessment Findings

Theme	Topic	Current Rating and Areas for Improvement
Leadership	Leadership and governance	
	Equalities, diversity and human rights	Staff Survey 2021 suggests disabled staff feel less satisfied than average amongst all staff
	Continuous improvement, learning and innovation	
	Services are developed in collaboration with people and communities	Clear ambition and plans to embed co-production throughout service design but this is not yet reflected in practice
	Participation in system wide and sector led improvement	