CQC Assurance
Adult Care Self-Assessment
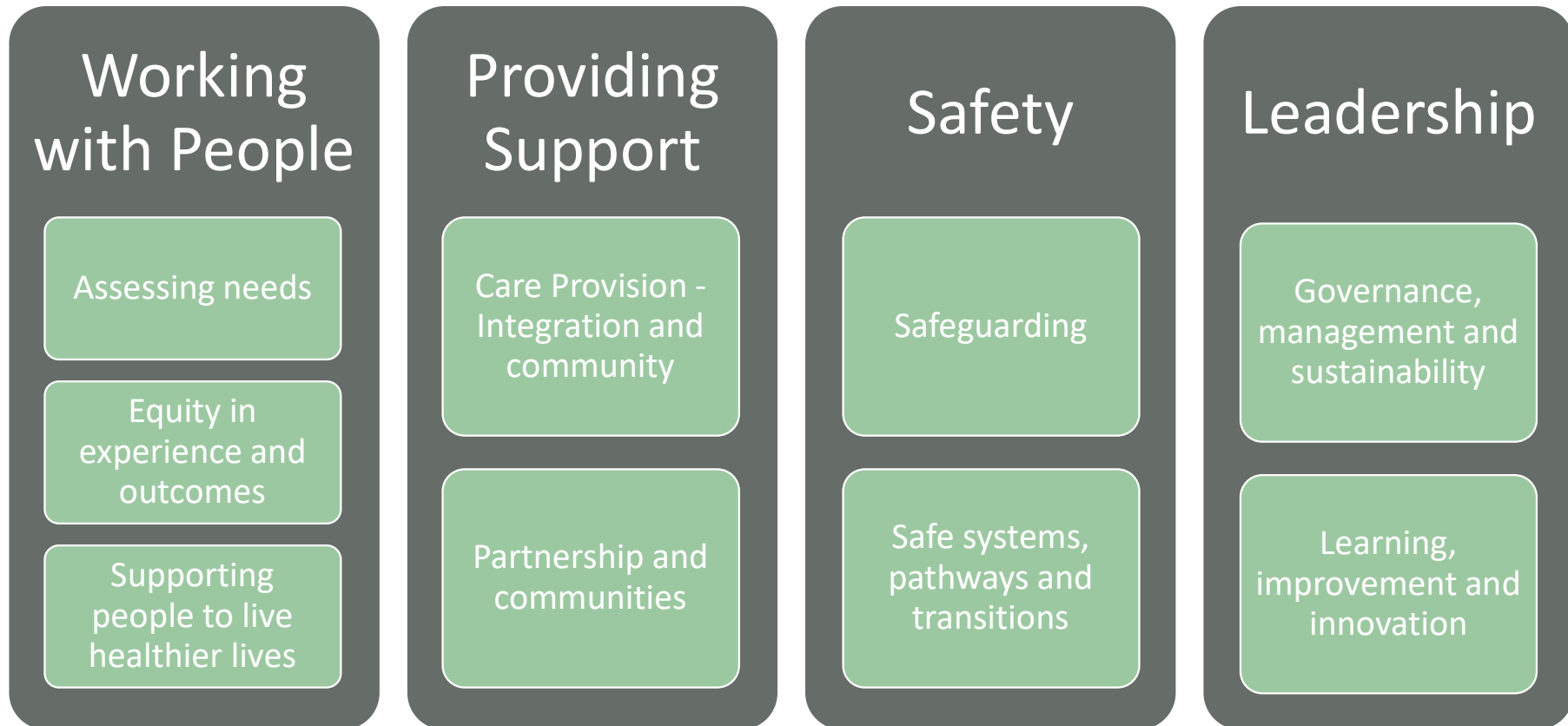
County Durham Partnership Board

23 January 2024

Background

- Prior to March 2010, annual assessments of local authority Adult Social Care were undertaken by the Commission for Social Care Inspection (CSCI) on behalf of central government. In March 2010, the powers which CSCI had to carry out this independent assessment activity were stood down.

- In April 2022, the Health and Care Act (2022) came into force. It gave CQC regulatory powers from April 2023 to enable them to assess how local authorities discharge their Adult Social Care duties under Part 1 of The Care Act (2014).

- Pilots have been undertaken and the approach is now being rolled out.

- CQC will also assess the Integrated Care System (ICS) and how they are working address health inequalities.

Themes and Quality Statements

Working with People

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

Providing Support

- Care Provision - Integration and community
- Partnership and communities

Safety

- Safeguarding
- Safe systems, pathways and transitions

Leadership

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

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CQC assurance framework

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

5 Key Questions

Quality Statements

Evidence categories

Specific evidence and quality indicators

Underpinned by best practice standards and guidance

Our CQC assessment preparation

Self-assessment

Leads have written quality statements related to the four themes

A comprehensive survey exercise has been held to gather views of partners, stakeholders and service users and carers

The survey findings have been used to inform our self-assessment.

Evidence base

Collating a map of documentation, data and case studies

Assessing information in the public domain and that which is statutorily returned (CQC "evidence we have")
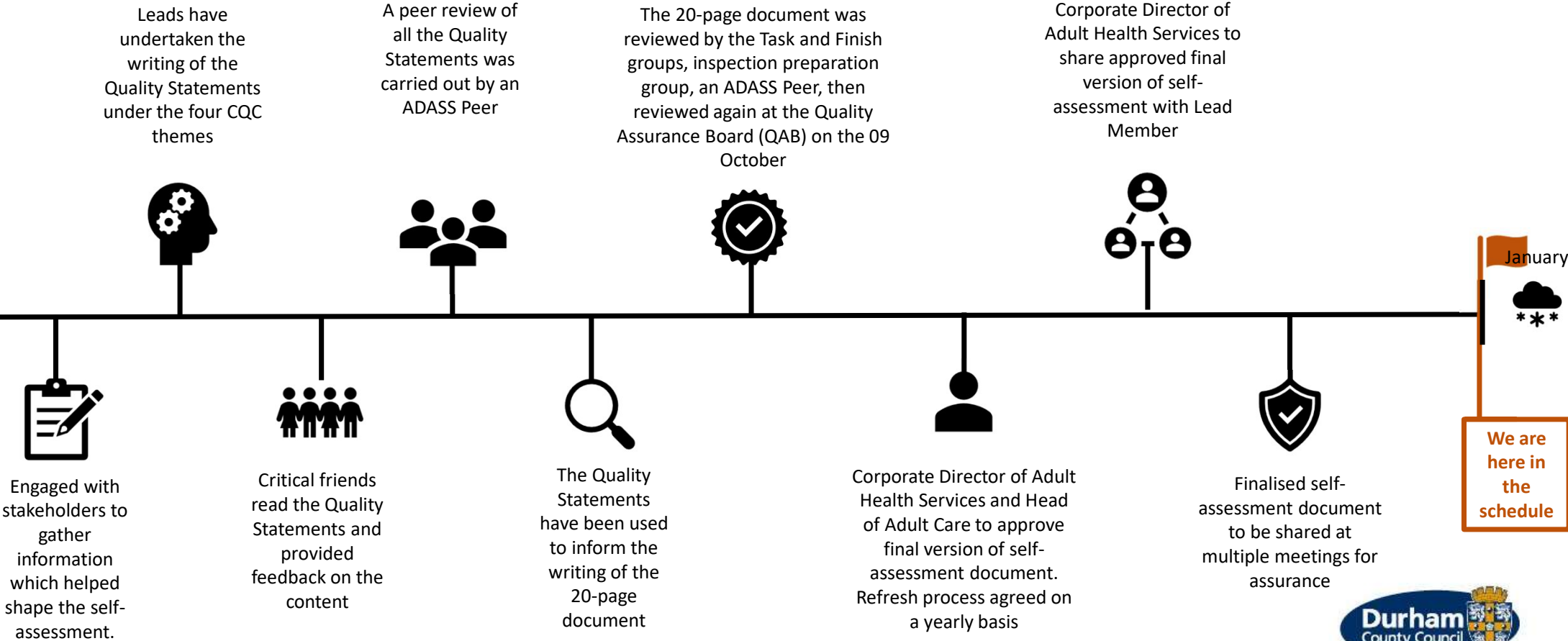
Assuring information which we are gathering as part of the base (CQC "evidence we will request")

Linking evidence to themes to support our self-assessment

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Process of Self-Assessment schedule

Leads have undertaken the writing of the Quality Statements under the four CQC themes

A peer review of all the Quality Statements was carried out by an ADASS Peer

The 20-page document was reviewed by the Task and Finish groups, inspection preparation group, an ADASS Peer, then reviewed again at the Quality Assurance Board (QAB) on the 09 October

Corporate Director of Adult Health Services to share approved final version of self-assessment with Lead Member

January

Engaged with stakeholders to gather information which helped shape the self-assessment.

Critical friends read the Quality Statements and provided feedback on the content

The Quality Statements have been used to inform the writing of the 20-page document

Corporate Director of Adult Health Services and Head of Adult Care to approve final version of self-assessment document. Refresh process agreed on a yearly basis

Finalised self-assessment document to be shared at multiple meetings for assurance

We are here in the schedule

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OUR ADULT CARE SELF-ASSESSMENT

We have followed the LGA ADASS guidance in our approach to developing our adult social care self-assessment.

Our self-assessment documents are:

Section A: An Overview and Summary of our Self-Assessment

This document shares:
- Our key messages
- Sets out the local context
- Shares our key strengths
- Priorities for improvement and track record of delivery.

Section B: The Adult Social Care Self-Assessment

This is a narrative document framed around the 4 CQC themes, drawing from the content of our quality statements, including:
- Current performance
- Strengths
- Risks
- Issues and challenges

To give an overview of Adult Social Care at Durham County Council.

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OUR ADULT CARE SELF-ASSESSMENT

Section C: Our Self-Assessment process and sign off

This document confirms the processes undertaken, including sign off processes and formal endorsements of the self-assessment.

Section D: Our Self-Assessment Document Library

This lists any evidence referenced within the self-assessment.

Section E: Our Self-Assessment evidence links to data sources

This document provides links to all the performance information referenced in the self-assessment, plus all statutory returns.

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SUMMARY OF OUR STRENGTHS AND AREAS FOR IMPROVEMENT

Theme: Working With People	
Strengths	Areas for Improvement
• **Very few delayed transfers of care from hospital** • **Effective sign-posting / resolution at the front door** • **Multi-disciplinary case-working** • **Safe and Manageable caseloads**	• Waiting lists and backlogs • Increased number of carers expressing dissatisfaction with the support they receive • Mental Health

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SUMMARY OF OUR STRENGTHS AND AREAS FOR IMPROVEMENT

Theme: Providing Services	
Strengths	Areas for Improvement
• **Integrated system and highly effective partnership working** • **Effectively managing capacity and demand for services** • **Supporting the Provider Market and the Care Academy** • **Strong Commissioner and Provider relationships** •	• Reablement capacity • Co-production / engagement • Direct Payments and Personal Assistants • Further developments in specialist residential care homes and support living markets to ensure capacity and Value For Money

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SUMMARY OF OUR STRENGTHS AND AREAS FOR IMPROVEMENT

Theme: Ensuring Safety	
Strengths	Areas for Improvement
• **Strong system leadership (incl strong focus on wellbeing)** • **Strategic Information Sharing** • **Executive Strategy Management process**	• Current service development work required in Safeguarding Operations • Service user engagement & advocacy • Data quality

SUMMARY OF OUR STRENGTHS AND AREAS FOR IMPROVEMENT

Theme: Leadership	
Strengths	Areas for Improvement
• **Strong system leadership** • **Robust Workforce strategy** • **Communication and engagement with staff** • **Strong approach to learning and development** • **Quality Assurance Framework**	• Recruitment and retention • Technology Enabled Care • Data quality

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AREAS OF IMPROVEMENT

- A total of 12 areas of improvement (AOI) have been pulled from the Self-Assessment document, which are being monitored in the Inspection Preparation Group to ensure progress.
  - 3 AOI sit within CQC Theme Working with People
  - 3 AOI sit within CQC Theme Providing Support
  - 3 AOI sit within CQC Theme Ensuring Safety
  - 3 AOI sit within CQC Theme Leadership

- From the 12 AOI, 32 actions have been identified.

- The AOI will also be included in the Adult Care Service Plan.

AREAS OF IMPROVEMENT EXAMPLE

Area of Development:

- Development work in Safeguarding Operations

Issue description:

- Safeguarding Concerns and Enquires were being investigated in a timely way but recording delays led to the appearance of incomplete work.

- Quality and consistency around recording and monitoring differs across service areas.

- Inconsistent methodology and data sets for Performance Indicators (not aligned to SAC where applicable, different reporting sources).

Actions that have come from this:

- A Task and Finish Group was established to lead the investigation and an Impact Statement was developed outlining key issues and a suite of actions necessary to resolve any problems.

- A data cleanse was undertaken, staff briefing sessions, led by our Safeguarding Adults Team Manager, were rolled out, and a briefing note produced to re-iterate standard practice in this area. Performance data on Concerns and Enquiries is now much improved and continues to be monitored closely. In the 12 months, the % of safeguarding concerns remaining incomplete after 1 month and the % of safeguarding enquiries remaining incomplete after 3 months have both halved.

Current Position

5 Pilot inspections completed;

- Birmingham - *Good*
- Nottingham – *Requires Improvement*
- North Lincs - *Good*
- Lincolnshire - *Good*
- Suffolk - *Good*

Next 3 to be assessed:
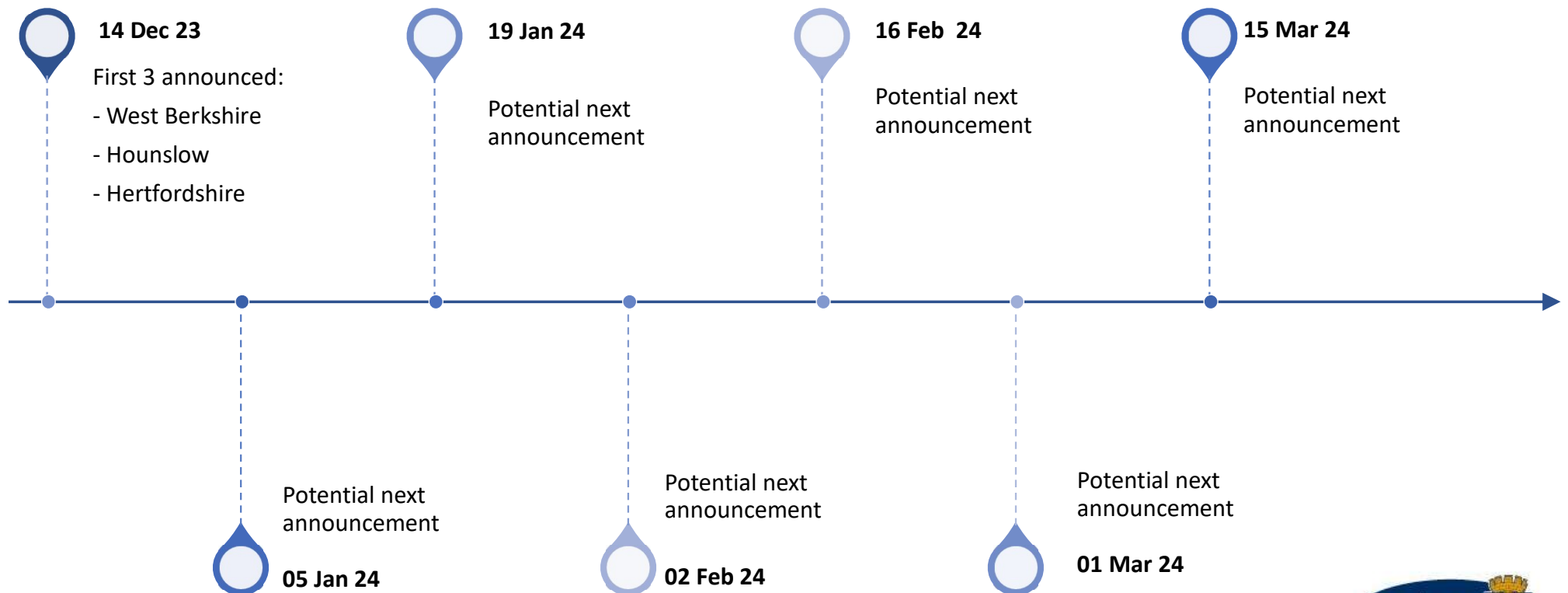
- Hounslow
- Hertfordshire
- West Berkshire

Will take place in **February** and last around **3 days**.

CQC will be notifying other Local Authorities in batches stating, *"probably every fortnight".*

There are 20 Local Authorities assessments in each cohort.

Still expecting all Local Authorities to be completed by **April 2025**.

Potential Schedule of the 1ˢᵗ group of 20 CQC Assessment Announcements

14 Dec 23

First 3 announced:
- West Berkshire
- Hounslow
- Hertfordshire

19 Jan 24

Potential next announcement

16 Feb 24

Potential next announcement

15 Mar 24

Potential next announcement

Potential next announcement

05 Jan 24

Potential next announcement

02 Feb 24

Potential next announcement

01 Mar 24

Updated 21/12/2023

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Questions, Comments & Feedback…