

# **SCRUTINY ADVISORY BOARD - ADULTS**

**Meeting date: 5 January 2023**

**From: John Readman – Executive Director People**

## **CQC Assurance Framework 2023 – Adult Social Care**

### **1.0 Purpose of Report**

1.1 To brief Scrutiny Members on the requirement and expectations of CQC Assurance Preparation, ahead of the inspection regime coming into being from April 2023.

### **2.0 Issues for Scrutiny**

2.1 Scrutiny members are asked to note the outline of the CQC Assurance Framework and agree the approach to assurance being taken by Adults Social Care.

2.2 Scrutiny members are asked to consider any additional or ongoing updates they would require on preparation for the future CQC inspections.

### **3.0 Background**

3.1 Until now, Adult Social Care in its widest sense has not been subject to an inspection regime in the same way that Providers and Children's services are regulated. This is set to change with the introduction of CQC Assurance Framework from April 2023.

3.2 CQC are proposing to inspect all Local Authorities in England within the first 2 years. As yet there is no clear guidance as to how local authorities will be selected though it is likely that a risk based approach may be taken based on data within the public domain and any previous inspections. It would be expedient to assume that one or both of the new unitary authorities may fall within the first year of inspections.

3.3 Inspection ratings will be given along the lines of current provider ratings. What is not yet clear, is if and when inspections from the first year will be published. Inspections within the first year may not be across the 4 key themes and may be focussed around one or two themes.

3.4 As this date is now rapidly approaching the paper seeks to inform Scrutiny on the steps being taken to prepare for inspection.

## 4.0 CQC Quality Framework

- 4.1 The CQC Quality Framework will form the basis of the inspections undertaken by the CQC. A revised version of the framework has been circulated in November, and whilst still awaiting ministerial sign off there is not expected to be much additional change. The framework is focussed around the 4 key themes outlined below.
- 4.2 The framework focuses on four key themes:
1. **Working with people:** How local authorities work with people (this includes: assessing needs (including unpaid carers, supporting people to live healthier lives, prevention, well-being, information, and advice, equity in experience and outcomes).
  2. **Providing support:** How local authorities provide support (this includes: market shaping, commissioning, integration and partnership working).
  3. **Ensuring safety:** How Local Authorities ensure safety within the system (Safeguarding, safe systems, and continuity of care).
  4. **Leadership and workforce:** Leadership capability within Local Authorities (Social Care leadership, learning, improvement, and innovation)
- 4.3 Each theme has associated Quality statements known as We and I statements. The We statements relating to the organisation more generally, and the I's to the individuals experience and expectations.
- 4.4 NWADASS have been leading on work to support authorities in developing a regional inspection approach such as a shared understanding of what "good looks like" across the 4 themes, benchmarking of indicators and self assessment. A range of support and toolkits will be available to support authorities in preparing for inspection. Cumbria has participated in the working groups and development of a shared approach.
- 4.5 A Steering Group has been established including the Principal Social Worker. The steering group is working to complete a self assessment against the 4 key themes by Christmas and to use this understand and risk assess any gaps and areas for improvement. This would allow an improvement plan to be in place in the New Year. To support this a lead has been identified for each key theme to include Commissioning and Safeguarding.
- 4.6 The framework emphasises the need for organisational self awareness and evidencing direction of travel on an improvement journey. It will be essential to ensure ASC leadership and members have awareness and understanding of the strengths, shortfalls, and risks of the delivery of ASC. We recently invited the LGA to undertake an informal review against 2 of the CQC key themes, working with people and ensuring safety. There were no surprises which is positive in terms of self awareness – and there are plans in place.

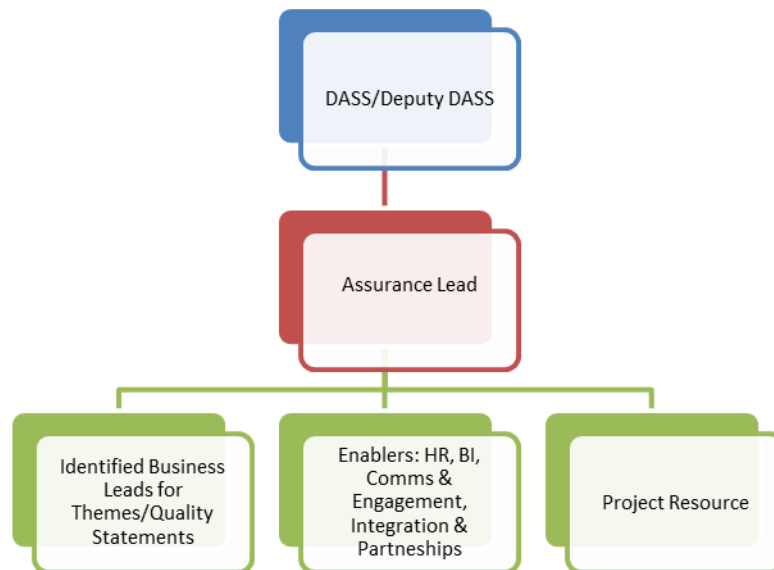
However, this provides a strong reminder of the significant work we have to do ahead of the inspection regime commencing in April 2023.

- 4.7 Consideration will also need to be given, in developing our assurance approach for the two new unitary authorities pre and post vesting day.

## 5.0 Approach to CQC Assuredness & Preparation

- 5.1 A steering group and programme of work has been established to formalise the work and to co-ordinate the assurance work across Adult Social Care. The framework themes will look across Adult Social Care and will require detailed input from Operations, Commissioning, Safeguarding and Integration and Partnerships.

- 5.2 The programme structure is outlined below and incorporates the learned experience of the authorities who are the trail blazers for early inspection.



- 5.3 The work will be led by the Deputy DASS prior to vesting day, but with day-to-day direction provided by the Senior Manager Transformation Adults, who is acting as the Assurance Lead.

- 5.4 Representation and input from service or corporate 'Enablers' such as HR, Business Intelligence, Communications & Engagement will be needed to support preparation activity. Learning from preparation for Offsted inspections for Children's services and Cumbria Care should also be incorporated. Input from Integration & Partnerships & Cumbria Care colleagues will be valuable and key in developing our approach.

- 5.5 The Framework will also consider how Adult Social Care functions within the wider system and the partnership arrangements we have in place. A range of NHS and other statutory partners will be approached for their views on the Council's ASC performance. Voluntary sector, user led organisations and private sector providers of services are also likely to be approached,

including Healthwatch. It will be an essential requirement of the Snr Lead for CQC Assurance to draw upon this insight, particularly in areas where they think the council should improve or alternatively where they recognise existing performance is of a high standard.

## **6.0 Governance & Wider Council Support**

- 6.1 The workstream is contained within the Promoting Independence Programme. As such the programme has oversight at Director and Assistant Director level.
- 6.2 It will be essential for elected members to be aware and updated on the progress in demonstrating the councils performance against the quality framework, any strengths and weaknesses identified from the self assessment and the improvement plans being put into place. It will be necessary to provide updates to the current administration and the two shadow authorities pre vesting day.
- 6.3 Scrutiny Board will have a key role in demonstrating oversight of the delivery of Adult Social Care and any challenges and risks it is facing. CQC will consider scrutiny from elected members and a shared vision for Adult Social care when evaluating against the framework..
- 6.4 The Adult Social Care CQC Assurance Regime will be of equal profile to Children Ofsted Inspections, and will therefore require the same level of commitment and resourcing in terms of communications, business intelligence, learning and development, people management, financial, children's services, public health, democratic services and integration and partnerships.

**Amanda McGlennon**  
**Senior Manager Transformation Adults**  
*15 December 2022*

---

***Please ensure that every part of this section where there is an asterisk\* is completed in accordance with the instructions before sending the report to Legal and Democratic Services, (please delete this sentence, prior to release).***

## **Appendices**

N/A

### **Previous Relevant Council or Executive Decisions *[including Local Committees]***

No previous relevant decisions.

## **Background Papers**

No background papers” and delete the line above.

Contact: Amanda McGlennon – Senior Manager Transformation – Adults

[Amanda.mcglennon@cumbria.gov.uk](mailto:Amanda.mcglennon@cumbria.gov.uk)

Tel: 07867 443526