

## BARNSELY METROPOLITAN BOROUGH COUNCIL

**REPORT OF: EXECUTIVE DIRECTOR OF PLACE HEALTH AND ADULT SOCIAL CARE**

**TITLE: Preparedness for CQC Assurance – Adult Social Care**

<b>REPORT TO:</b>	<b>Cabinet</b>
<b>Date of Meeting</b>	<b>12 July 2023</b>
<b>Cabinet Member Portfolio</b>	<b>Place Health &amp; Adult Social Care</b>
<b>Key Decision</b>	<b>No</b>
<b>Public or Private</b>	<b>Public</b>

### **Purpose of report**

The purpose of this report is to sight Cabinet on Adult Social Care's readiness for inspection by the Care Quality Commission (CQC) assessment. To provide assurance of our approach, provide an overview of areas for improvement and consider additional one-off capacity to support us.

### **Council plan priority**

Healthy Barnsley

- People are safe and feel safe.
- People live independently with good physical and mental health for as long as possible.
- We have reduced inequalities in health and income across the borough.

### **Recommendations**

That cabinet:

1. Note the contents of the report and self-assessment (Appendix B).
2. That Cabinet supports the funding of additional capacity within ASC to respond to / address issues arising from the Multi-Agency Risk Assessment Conferences.
3. That Cabinet supports the commissioning of a third-party organisation to undertake a public conversation to shape the strategic priorities for Adult Social Care

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## 1 INTRODUCTION

- 1.1. As of 1 April 2023, Adult Social Care became subject to assessment and inspection by the Care Quality Commission (CQC). The approach to this self-assessment was developed in September 2022. At this point, the CQC had released a draft framework and a questionnaire which provided insight into their thinking around standards and evidence. The Quality Assurance and Service Improvement Team (QASI) used these to develop a self-assessment approach.<sup>1</sup>
- 1.2. This self-assessment has involved asking senior managers from Adult Social Care (ASC) to provide evidence which the CQC may use to form judgements about key elements of the framework. Where managers have been able to provide evidence, a sample has been tested to assess its quality. Engagement has been limited to managers within the adult social care business unit because they will have primary responsibility for responding to assessment and inspection requests from the CQC.
- 1.3. Where evidence has been found, a sample has been reviewed to assess quality against the standards within the framework. Priority was given to evidence relating to areas which had not been reviewed in the recent past. The self-assessment approach means the findings such be treated as indicative. There may be other areas not examined in detail which are key strengths or require improvement. The self-assessment is attached at Appendix B.
- 1.4. Since the approach to the self-assessment was designed, the Association of Directors of Adult Social Services (ADASS) have developed and shared a self-assessment tool with councils. This focuses on the specific standards within the framework and asks for a judgement on compliance. The potential responses range from 'strongly agree' to 'strongly disagree' and contain a 'don't know option'. The Director of Adult Social Care (DASS) and Service Directors have completed this on behalf of the council.
- 1.5. Since March 2023 the QASI have employed a current CQC inspector to undertake mock interviews with senior staff across the directorate. In May and June 2023 Team Managers will be interviewed and staff will take part in focus groups. This self-assessment has helped shape the questions explored as part of this exercise. Findings from the interviews will be shared with staff and managers in July 2023. These findings will help to further clarify work required to prepare for CQC assessment.
- 1.6. Adult Social Care in Barnsley has many strengths, most notably strong feedback from people, families, staff and partners and a positive Safeguarding Adults peer review. Lots of practical steps are being taken to

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<sup>1</sup> <https://www.cqc.org.uk/news/our-approach-assessing-local-authorities>

make sure we are ready to showcase the good work we do in Barnsley. This includes conducting mock interviews with managers and staff, gathering best practice case studies, providing clarity on inspection roles and responsibilities and a welcome pack for inspectors.

## **2. PROPOSAL**

2.1. A summary of findings from the self-assessment is contained below. These are organised into the themes within the CQC Assessment Framework. The self-assessment (Appendix B) is our summary position statement, alongside this the Directorate has developed an action plan. If actions are approved, progress against these will be regularly reported to the DASS and Senior Leadership Team within Adult Social Care.

### **Theme 1: Working with people**

2.2. Working with people is primarily about Adult Social Care (ASC). The working with people theme covers.

- Assessing needs
- Care planning and review
- Direct payments
- Supporting people to live healthier lives
- Prevention
- Wellbeing
- Information and advice
- Understanding and removing inequalities in care and support
- People's experiences and outcomes from care

2.3. The self-assessment identified the following key strengths

- Reducing numbers of older people being permanently admitted to residential care
- Feedback from people shows excellent overall satisfaction of people who use services with their care and support.
- Feedback from people shows an excellent social care related quality of life of score.
- Feedback from people suggests the proportion of people who use services who have control over their daily lives is excellent.
- Increases in the percentage of people with a learning disability in paid employment

2.4. The self-assessment identified the following key areas for improvement:

- Caseloads / prioritisation of cases / high risk cases
- Monitoring arrangements for high-risk cases
- Equipment and Adaptations / Dols / Specialist Team trays

- Multi Agency Risk Assessment Conferences (MARAC)
- Case Tracking
- IAG Strategy and Action Plan
- Direct Feedback from people, families, advocates and providers

## **Theme 2: Providing Support**

2.5. Providing Support is primarily about Adult Commissioning. This theme covers.

- Market shaping
- commissioning
- workforce capacity and capability
- Integration and partnership working

## **Summary of areas for improvement**

2.6. Below is a summary of areas of strength identified

- Market Position Statement (MPS) sets a clear direction of travel.
- Average wait for homecare has reduced from approximately 6 days to 1 day. There is no waiting list for homecare.
- Reported increase in average occupancy levels for older persons residential care to 83% (71% in 2021).
- Progress made co-producing a new short break offer with carers
- Excellent overall satisfaction of people who use services with their care and support.
- Increases in the percentage of people with a learning disability in paid employment

2.7. Below is a summary of areas identified for improvement

- Direct feedback from people who use services, those close to them and their advocates.
- Feedback from partners and how this informs the commissioning cycle
- More robust market shaping plan
- Changes to Care Quality Commission (CQC) ratings / number of service providers exiting the market / number of registered services without a Registered Manager.
- Commissioning embargoes – procedure, governance and changes over time.
- Personal Assistants - clarity in ambition and actions for developing the market.
- Joint Commissioning strategies – clarity about ambitions and plans to achieve these.
- Out of Area Placement protocols – to be finalised and implemented.

## **Theme 3: How the local authority ensures safety within the system**

2.8. The safety theme covers.

- Section 42 safeguarding enquiries

- reviews
- Safe systems
- Continuity of care

2.9. It should be noted that safety is a cross-cutting theme which overlaps with working with people and providing support and leadership. The areas highlighted below are those which have not been explored in earlier sections.

2.10. The self-assessment identified the following strengths

- Increase in number of safeguarding concerns received from friends, families and neighbours
- Safeguarding resources and guidance web pages
- Support and challenge from Safeguarding Board and subgroups
- Implementation of a new preparing for adulthood team and pathway

2.11. The self-assessment identified the following areas for improvement

- Pathways and transition. An assessment of the impact of changes made.
- Safeguarding – actions associated with the external safeguarding review (March 2023) need to be agreed and implemented.
- Serious Adult Review Action Plan. An assessment of the impact of the actions delivered needs to be undertaken.

#### **Theme 4: Leadership**

2.12. This theme covers;

- Strategic planning
- Learning
- Improvement
- Innovation
- Governance,
- Management and Sustainability

2.13. The self-assessment identified the following areas of strength.

- Positive feedback from staff through the social work healthcheck
- Positive feedback from social work staff from the staff survey
- Evidence of commitment to learning, reflection and investment in change
- New approach to procedures – providing clarity for staff and managers
- Progress made with inspection readiness – roles, responsibilities and welcome pack.

2.14. Summary of areas for improvement

- Evidence for assessment. Management engagement with evidence requirements for CQC needs to improve. Need to develop best practice examples to show case our work.
- Staff Survey – AJC areas for improvement need to be actioned.

- Quality assurance – more focus on the impact of changes to practice and processes.
- Data and Intelligence – implementation of performance framework and associated improvements.
- Better Lives Programme - Benefits and baseline required / link with key performance targets.
- Corporate compliments and complaints (unable to access these directly)

### **Inspection Practicalities**

2.15. The self-assessment focuses on trying to improve outcomes for people to make sure that we are assessment ready 365 days per year. This section explores what practical arrangements have been put in place to ensure we are ready to give the best possible account of ourselves and the work we do when the inspection notification arrives. This draws on the experience of colleagues in children's social care who are already subject to inspection.

### **Roles, responsibilities, and evidence sign off**

2.16. A roles and responsibilities document has been drafted. This proposes that all evidence released to the CQC requires sign-off by the Director of Adult Social Care (DASS) or a Service Director in their absence. When inspection notifications are received, there is also an expectation that senior managers will clear their diaries to enable them to fully engage and focus on the inspection. Key contacts and seconds have been identified for a range of functions which support an inspection, including FM (ID Badges, room bookings, car parking, refreshments), IT (systems access, Laptops) and Business Intelligence (Data requests), amongst others.

### **List of bases and facilities and timetable templates**

2.17. When conducting an inspection, the CQC may wish to visit staff working out in local areas and talk to them in a variety of places of work. A list of bases has been collated with HR, complete with address and details about facilities (car parking, contacts, wi-fi etc.). Inspection timetable templates have been developed to enable the management of people. Children's social care has provided letter templates and distribution lists to aid communication in the run-up to the inspection.

### **Welcome pack**

2.18. Work has started to develop a welcome pack for inspectors visiting Barnsley. This is designed to give them a sense of our borough and make their short stay with us as seamless as possible. We are planning to include key information about the geography of the borough, the profile of residents, details about adult social care and key bases. In addition to this the pack will include maps of the main office base, links to the railway station and details of nearby hotels.

### **Mock interviews**

2.19. We want to ensure that staff and senior managers are as confident and comfortable as possible talking to people external to the council about the work

they do with people in Barnsley. The QASI have asked a current CQC Inspector to carry out a series of mock interviews with staff. Interviews have been completed with all senior managers (including the DASS). The inspector was provided with identified areas for improvement to help develop the questions initially explored. Sessions have been booked with Team Managers, the Safeguarding Board Manager, commissioning managers and colleagues from Public Health in May and June 2023. Staff focus groups will be set up in June 2023.

### **Best Practice Examples**

**2.20.** A best practice call for evidence has been shared with senior managers and teams from across the council. The QASI are collating these and working with staff to develop profiles which link these to the CQC themes and standards.

## **3 IMPLICATIONS OF THE DECISION**

### **3.1 Financial and Risk**

3.1.1 The Director of Finance or his representative (Strategic Finance Business Partner) has been consulted in the drafting of this report.

3.1.2 At this stage there are no recurrent financial implications arising from the outcome of the self-assessment review undertaken to ensure readiness and compliance with the CQC inspection framework. It is envisaged that the identified areas of improvement across the key themes of the CQC framework (see section 2) can be addressed within existing budgetary provision for Adult Social Care.

3.1.3 The following non-recurrent resource commitments have been agreed to address specific issues or gaps (to be funded from the earmarked resources for the Better Lives Programme):

- Backfill QA post (£78k): - additional temporary capacity (2 year fixed term) has been recruited to within the Quality Assurance team (through backfilling existing vacant post) to support the self-assessment review work;
- MARAC (tbc): - additional capacity within ASC (grade and cost subject to evaluation) is sought to respond to / address issues arising from the Multi-Agency Risk Assessment Conferences. It is proposed that this is funded on a non-recurrent basis – ongoing requirement subject to evaluation of the work / impact.
- Big Conversation (£40k): - procurement of external support to deliver a Big Conversation with people across Barnsley around Adult Social Care. This will support some of the areas identified in the CQC self-assessment around engagement with people who use adult social care services and inform steps to creating a longer term strategy / vision.

3.1.4 There is associated risk with regards to performance data and intelligence –

which has been identified as a key area of improvement (see para 2.14 above). Implementation of a robust performance framework for adult social care is important and key element of the Inspection framework. Approximately £45K has been provided to the council to assist with the new performance and data requirements. Colleagues from business intelligence are also preparing a wider paper on demand and capacity within their service for SMT in June 2023.

## **3.2 Legal**

- 3.21 There are no direct legal consequences arising from the contents of the report save for the need to identify and action preparedness steps to ensure that the Council is adopting operational innovations and their overall duty of care in the provision of adult social care service provision.

## **3.3 Equality**

- 3.31 Full Equality Impact Assessment completed. The following key actions will be taken forward to help reduce the potential for unequal actions.
- 3.32 Adult Social Care will develop a clear equitable approach to case load management and prioritisation of work
- 3.33 Review of Information, advice and guidance
- 3.34 Adult Joint Commissioning and Adult Social Care will establish provider and user group forums to collect feedback.
- 3.35 The identified findings and actions to address these will help to address equality issues. For example, having more effective approaches to caseload management, prioritisation, and management of high-risk cases should help to reduce variability.

## **3.4 Sustainability**

- 3.41 The decision-making wheel has not been completed. There is no sustainability or climate change impacts from this work.

## **3.5 Employee**

- 3.51 The implications for employees are minor. They involve the implementation of service improvements which are similar to the normal business planning process which takes place annually.
- 3.52 There are short-term resource implications for managers. Over the coming months, there is a requirement for approximately 50 hours of work to be completed by several managers across adult ASC and AJC. This work is largely of a one-off nature and will require a small amount of ongoing work to be maintained. There are some small ongoing resource implications which are either part of business as usual or have already been catered for.



### **3.6 Communications**

Working closely with the communications team at this stage around internal communications to staff, and support for additional materials that may be required.

The communications and marketing team work closely with Adult Social Care and Better Lives Board communicating their journey and celebrating achievements and information to the public linking with the ICB.

## **4. CONSULTATION**

- 4.1 Consultation has taken place with managers across social care. No direct consultation has taken place with people and families as part of the self-assessment however the work has relied on and assessed consultation which adult social care and adult joint commissioning have undertaken as part of their business-as-usual work.

## **5. ALTERNATIVE OPTIONS CONSIDERED**

- 5.1 Do nothing – this was not deemed to be acceptable because the CQC Assessment Framework was new, and the council had not done any work to assess its performance against this specifically. Doing nothing heightens the risk that the council is not as ready as it could be for CQC assessment and Inspection
- 5.2 Adopt an approach to assess compliance against the standards – this was considered but not recommended for a number of reasons. The first was that the framework was only in draft form in September 2023, when the approach was being designed. The second was that since 2018 the directorate had completed many pieces of discovery work which focus on comparing quality against the legislation and best practice. The third reason was that it would be very difficult to do this in detail across all the themes and standards within them. Doing this systematically would take years to complete. In the short term, it would lead to focus on a very narrow range of areas which would leave a risk that the council would neglect other areas
- 5.3 Adopt an evidence-based approach – this option was chosen for a number of reasons. Firstly, the CQC will use evidence to make judgements about quality.
- 5.4 Secondly, it allowed an assessment of preparedness in Barnsley that went across all the themes and standards. Thirdly it would enable the council to identify gaps and areas for improvement in the short term.

## **6. REASONS FOR RECOMMENDATIONS**

- 6.1 The actions recommended have been identified as part of the self assessment.

## 7. GLOSSARY

Not applicable

## 8. LIST OF APPENDICES

Appendix B: Self Assessment

Appendix C: Equality Impact Assessment

## 9. BACKGROUND PAPERS

If you would like to inspect background papers for this report, please email [governance@barnsley.gov.uk](mailto:governance@barnsley.gov.uk) so that appropriate arrangements can be made

## 10. REPORT SIGN OFF

<b>Financial consultation &amp; sign off</b>	Senior Financial Services officer consulted and date <i>Joshua Amahwe 12/05/2023</i>
<b>Legal consultation &amp; sign off</b>	Service Director, Law & Governance Services & Monitoring Officer consulted and date Sukdave Ghuman 23/05/2023

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