Care Quality Commission

Assessment framework for local authority assurance

November 2023

We will use this framework to assess how well local authorities are performing against their duties under Part 1 of the Care Act 2014. We developed this framework through co-production with partners, agencies and people with direct experience of using care and support services.

The assessment framework uses a **subset** of the quality statements from the overall single assessment framework. This is because local authorities are being assessed against a different set of statutory duties to registered providers.

Our assessment framework for local authorities comprises 9 quality statements mapped across 4 overall themes.

For each theme we set out:

- The I statements and quality statements that we will assess:
    - Quality statements are the commitments that local authorities must commit to. Expressed as 'we statements', they show what is needed to deliver high-quality, person-centred care.
    - I statements are what people expect. They are based on Think Local Act Personal's 'Making It Real' framework.
- Sections of the Care Act to which the quality statements relate
- Required evidence categories for each quality statement and sources of evidence.

Theme 1: Working with people

This theme covers:

- assessing needs
- planning and reviewing care
- arrangements for direct payments and charging
- 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.

See more about local authority assessments

Assessing needs

Quality statement

We maximise the effectiveness of people's care and treatment by assessing and reviewing their health, care, wellbeing and communication needs with them.

- I have care and support that is co-ordinated, and everyone works well together and with me.
- I have care and support that enables me to live as I want to, seeing me as a unique person with skills, strengths and goals.

Summary

People with care and support needs, including unpaid carers, those who fund or arrange their own care and communities have the best possible wellbeing outcomes. This is because:

- their care and support needs are assessed in a timely and consistent way
- assessments and care and support plans are co-produced, up-to-date and regularly reviewed
- support is co-ordinated across different agencies and services
- decisions and outcomes are transparent.

People's care and support reflects their right to choice, builds on their strengths and assets, and reflects what they want to achieve and how they wish to live their lives.

Related sections of the Care Act

Care Act 2014:

- Section 1: Wellbeing principle
- Sections 9-13: Assessing needs
- Section 14(1) and (3) to (8); Section 17(1) and (3) to (13): Charging and assessing financial resources
- Section 18(1)(a), (c); (2) to (4), (6) and (7); Section 19-20: Duties and powers to meet needs
- Sections 24(1), (2) and 25, sections 26(1) and (3) and 27: Next steps after assessment
- Sections 60-64: Young carer's and child's carers assessments
- Section 67: Independent advocacy support (involvement in assessments, plans etc.)

Required evidence

People's experience

- 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 people obtained by community and voluntary groups. For example:
    - advocacy groups
    - adult and young person's carers groups
    - faith groups
    - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available)
- Compliments and complaints
- Healthwatch
- Survey of Adult Carers (SACE), Adult Social Care Survey (ASCS) - see detailed metrics
- Case tracking

Feedback from staff and leaders

- Principal social worker
- Principal occupational therapist
- Local authority initial contact teams or frontline triage team
- Assessment and care management staff, social workers and any specialist teams
- Out-of-hours duty teams
- Commissioners
- Council adult social care portfolio holder

- Overview and scrutiny committee
- Director of adult social services
- The local authority's self-assessment of its performance for the quality statement

If available, feedback from the local authority's:

- Staff carers network
- Staff (from surveys)
- Local authority equality, diversity and inclusion lead(s)
- Peer review

Processes

- Assessment, care planning and review, including processes and pathways from first contact with the local authority
- Timeliness of assessments, care planning and care reviews
- Arrangements for determining eligibility for Care Act assessments, support and care funding. Appeals made against decisions.
- Adult Social Care Financial Returns and Short and Long-Term Support (ASCFR - SALT) - see detailed metrics

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Local health partners

- Allied health professionals
- Care providers
- Health and wellbeing board
- Advocacy providers

If available:

- Local Government Social Care Ombudsman feedback
- SEND reviews.
- Reports from Ofsted for inspecting local authority children's services (ILACS)

Outcomes

We will not look at evidence under this category.

Best practice and guidance

- Care and support statutory guidance, chapters 6 to 13: Care Act: GOV.UK
- Proportional assessment approaches in adult social care: DHSC
- The Care Act and whole family approaches (carers.org)
- Determination of eligibility under the Care Act 2014: Social Care Institute for Excellence
- Improving the experience of care and support for people using adult social care services: NICE NG86
- Supporting people who provide unpaid care for adults with health or social care needs, quick guide: NICE
- Supporting Adult Carers: NICE NG150

- No wrong doors for young carers: Carers Trust
- Older people with social care needs and multiple long-term conditions: NICE NG22
- Care and support of people growing older with learning disabilities: NICE NG96
- Social work for adults experiencing complex needs: NICE NG216
- The Good Lives Framework: Learning Disability England
- Enabling positive lives for autistic adults, quick guide: NICE
- Making it real: how to do personalised care and support: Think Local Act Personal (TLAP)
- Strengths-based social work: practice framework and handbook: GOV.UK
- Challenging adult social care decisions: Equality and Human Rights Commission
- Mental Capacity Act 2005 Code of Practice

Supporting people to live healthier lives

Quality statement

We support people to manage their health and wellbeing so they can maximise their independence, choice and control. We support them to live healthier lives and where possible, reduce future needs for care and support.

- I can get information and advice about my health, care and support and how I can be as well as possible – physically, mentally and emotionally.

- I am supported to plan ahead for important changes in my life that I can anticipate.

Summary

The local authority works with people, partners and the local community to promote independence and support people to prevent, reduce or delay the need for care and support. It does this by providing or arranging provision of services, facilities, resources and other measures.

The local authority takes steps to identify people with needs for care and support that are not being met.

People in the area have access to the information and advice they need to make informed decisions about how to meet their care and or support needs.

Related sections of the Care Act

Care Act 2014:

- Section 1: Wellbeing principle
- Section 2: Preventing needs for care and support
- Section 4: Providing information and advice
- Sections 6-7: Co-operation generally and in specific cases
- Sections 31-33: Direct payments

Required evidence

People's experience

- 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 people obtained by community and voluntary groups. For example:
  - advocacy groups
  - adult and young person's carers groups
  - faith groups
  - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available)
- Compliments and complaints
- Healthwatch
- Survey of Adult Carers (SACE), Adult Social Care Survey (ASCS) - see detailed metrics
- Case tracking

Feedback from staff and leaders

- Council adult social care portfolio holder
- Overview and scrutiny committee

- Commissioners
- Principal social worker
- Principal occupational therapist
- Assessment and care management staff, social workers
- Director of adult social services
- Director of public health
- Housing team
- The local authority’s self-assessment of its performance for the quality statement

If available, feedback from the local authority's:

- Staff (from surveys)
- Peer review

Processes

- Strategy to prevent, reduce or delay the need for care and support and delivery plans
- Services, facilities and other measures in place to prevent, reduce or delay the need for care and support
- Steps being taken to identify people whose care and support needs are not being met
- Arrangements and timeliness of assessment and access to aids and equipment to promote independence
- Arrangements for providing accessible information and advice
- Arrangements for supporting people to use direct payments and uptake

- Adult Social Care Outcomes Framework (ASCOF)/Adult Social Care Finance Report and Short- and Long-Term support (ASCFR-SALT) - see detailed metrics

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Local health providers and allied health and care professionals
- Health and Wellbeing Board
- Information and advice providers
- Community equipment providers
- Integrated care partnership, integrated care system
- Advocacy providers
- Care providers

If available

- Local Government Social Care Ombudsman feedback

Outcomes

We will not look at evidence in this category.

Best practice and guidance

- Care and support statutory guidance, chapters 2 and 3: Care Act: GOV.UK

- Prevention in social care: SCIE
- Older people: independence and mental wellbeing: NICE NG32
- Accessible Information Standard: NHS England
- Shaping the future. Planning, commissioning and delivering information, advice and brokerage in the context of the Care Act: Think Local, Act Personal (TLAP)
- Information and advice for adult social care, strategy tool: Think Local Act Personal (TLAP)
- Intermediate care including reablement: NICE NG74
- Role and principles of reablement: Social Care Institute for Excellence
- Supporting Adult Carers: NICE NG150
- Personal budgets: minimum process framework: Think Local Act Personal (TLAP)

Equity in experiences and outcomes

Quality statement

We actively seek out and listen to information about people who are most likely to experience inequality in experience or outcomes. We tailor the care, support and treatment in response to this.

- I have care and support that enables me to live as I want to, seeing me as a unique person with skills, strengths and goals

Summary

This quality statement covers:

- Understanding and addressing barriers to care and support
- Understanding and addressing inequalities in experience and outcomes
- Ensuring care and support meets the diverse needs of communities
- Ensuring people are encouraged to give feedback, which is acted on and used to drive improvements
- Meeting legal requirements relating to equality and human rights. This includes:
    - avoiding discrimination
    - having regard to the needs of people with different protected equality characteristics
    - making reasonable adjustments to support equity in experience and outcomes.

Related sections of the Care Act

Care Act 2014:

- Section 1: Wellbeing principle

Required evidence categories

People's experience

- 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 people obtained by community and voluntary groups. For example:
    - advocacy groups
    - adult and young person's carers groups
    - faith groups
    - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available)
- Compliments and complaints
- Healthwatch
- Case tracking

Feedback from staff and leaders

- Council adult social care portfolio holder
- Principal social worker
- Principal occupational therapist
- Commissioners

- Assessment and care management staff, social workers including any specialist teams
- Director of adult social services
- Director of public health
- The local authority's self-assessment of its performance for the quality statement

If available, feedback from the local authority's:

- Staff (from surveys)
- Equality, diversity and inclusion leads
- Equality Framework for Local Government – self assessment
- Peer review

Processes

- Arrangements for identifying people at risk of having unmet needs or poor outcomes because of their protected equality characteristics
- Arrangements for reducing inequalities of experience and outcomes relating to Care Act duties. These include:
    - strategies
    - action plans
    - equality impact assessments
    - evidence of impact and outcomes
- Equality objectives and delivery plans - annual reporting for the Public Sector Equality Duty, if available
- Inclusion and accessibility arrangements, for example British Sign Language or interpreter services

Feedback from partners

- Community and voluntary sector groups, including those representing:
  - people who are more likely to have a poorer experience of care and poorer outcomes
  - people with protected equality characteristics
  - unpaid carers
- Local advocacy providers
- Local care providers
- Local health partners and allied health professionals
- Health and Wellbeing Board

If available

- Local Government Social Care Ombudsman feedback

Outcomes

We will not look at evidence under this category.

Best practice and guidance

- Care and support statutory guidance: Care Act: GOV.UK
- Public Sector Equality Duty, Equality Act 2010: GOV.UK
- Improving the experience of care and support for people using adult social care services: NICE NG86
- Community engagement: improving health and wellbeing and reducing health inequalities: NICE NG44

- Equally outstanding
- The essential guide to the Public Sector Equality Duty: Equality and Human Rights Commission
- Equality and human rights in social care: Equality and Human Rights Commission
- Co-production: Social Care Institute for Excellence

Theme 2: Providing support

This theme covers:

- market shaping
- commissioning
- workforce capacity and capability
- integration
- partnership working.

See more about local authority assessments

Care provision, integration and continuity

Quality statement

We understand the diverse health and care needs of people and our local communities, so care is joined-up, flexible and supports choice and continuity.

- I have care and support that is co-ordinated, and everyone works well together and with me.

Summary

- The local authority understands the care and support needs of people and communities. There is a good variety of care providers, provision is resilient and there is sufficient capacity to meet demand now and in future.
- Local people have access to a diverse range of safe, effective, high-quality support options to meet their care and support needs. This includes unpaid carers and those who fund or arrange their own care. Services are sustainable, affordable and provide continuity for people.

Related sections of the Care Act

Care Act 2014:

- Section 1: Wellbeing principle
- Section 3: Promoting integration of care and support with health services
- Section 5: Promoting diversity and quality in provision of services
- Section 48: Provider failure (temporary duty to provide services)
- Section 77: Register of Sight Impaired Adults
- Section 79: Delegation of functions

Required evidence

People's experience

- 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 people obtained by community and voluntary groups. For example:
  - advocacy groups
  - adult and young person's carers groups
  - faith groups
  - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available)
- Compliments and complaints
- Healthwatch
- Survey of adult carers (SACE), Adult social care survey (ASCS) - see detailed metrics
- Case tracking

Feedback from staff and leaders

- Council adult social care portfolio holder

- Overview and scrutiny committee
- Principal social worker
- Assessment and care management staff, social workers and any specialist teams
- Director of adult social services
- Director of public health
- Commissioning teams
- Local authority housing team
- Care provision: Quality monitoring team
- The local authority's self-assessment of its performance for the quality statement

If available

- Staff feedback from the local authority's own surveys
- Peer review

Processes

- Joint Strategic Needs Assessment
- Market Position Statement and Market Shaping plans
- Commissioning strategies (including joint and specialist commissioning, housing with care and specific support for unpaid carers). Arrangements for monitoring and evaluating their impact
- Market capacity:
    - timeliness of service provision - residential, nursing, home care and supported living services, respite services
    - availability of services to support hospital discharge
    - use of out-of-area placements and trends over time

- Strategy for maintaining capacity and capability in the social care workforce
- Market sustainability plans
- Arrangements for:
    - understanding and responding to local trading conditions
    - determining a fair cost of care with providers
- Arrangements for quality monitoring and improvement of commissioned services and for supporting improvement. Arrangements for detecting early warnings of potential failure, including for services commissioned from outside of the area

If available

- Skills for Care data on ASC workforce turnover, vacancy rate, sickness absence and qualifications

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Local health partners and allied health professionals
- Care providers, local provider forums
- Health commissioners
- Health and wellbeing board
- Integrated care partnership and integrated care system

If available

- Local Government Social Care Ombudsman feedback

Outcomes

We will not look at evidence in this category.

Best practice and guidance

- Care and support statutory guidance, chapter 4: Care Act: GOV.UK
- Market shaping toolkit: Institute of Public Care
- Market position statement guidance: Institute of Public Care
- Market shaping to support individual purchasing of care: Institute of Public Care
- Place-based market shaping: co-ordinating health and social care: Institute of Public Care
- Integrated commissioning for better outcomes, commissioning framework: Local Government Association
- Commissioning for better outcomes: ADASS
- People not process – Co-production in commissioning: Think Local Act Personal (TLAP)
- Commissioning services for people with a learning disability framework: Skills for Care
- Building the right support: NHS England
- Supporting people with a learning disability and/or autism who display behaviour that challenges, including those with a mental health condition. National service model: NHS England
- Services for autistic people and people with a learning disability (Right support, right care, right culture)

- Out of sight – who cares?: Restraint, segregation and seclusion review
- Home care: delivering personal care and practical support to older people living in their own homes: NICE NG21
- Care and Continuity: contingency planning for provider failure, a guide for local authorities: Local Democracy Think Tank

Partnerships and communities

Quality statement

We understand our duty to collaborate and work in partnership, so our services work seamlessly for people. We share information and learning with partners and collaborate for improvement.

Summary

- The local authority works actively towards integrating care and support services with services provided by partner agencies. This achieves better outcomes for people who need care and support and unpaid carers and helps to reduce inequalities.
- Partnership working helps to ensure that care and support meets the diverse needs of individual people and communities. People experience a seamless care and support journey, and their support is co-ordinated across different agencies and services.

Related sections of the Care Act

Care Act 2014:

- Section 1: Wellbeing principle
- Section 3: Promoting integration of care and support with health services
- Sections 6-7: Cooperation generally and in specific cases

Required evidence

People's experience

- 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 people obtained by community and voluntary groups. For example:
    - advocacy groups
    - adult and young person's carers groups
    - faith groups
    - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available)
- Compliments and complaints

- Healthwatch
- Case tracking

Feedback from staff and leaders

- Council adult social care portfolio holder
- Overview and scrutiny committee
- Principal social worker
- Principal occupational therapist
- Assessment and care management staff, social workers
- Hospital discharge team, intermediate care, reablement team
- Commissioners
- Local authority housing team
- Director of adult social services
- The local authority's self-assessment of its performance for the quality statement

If available

- Staff feedback from the local authority's own surveys
- Peer review

Processes

- Partnership working to deliver shared local and national objectives, for example using the Better Care Fund.
- Working with voluntary and charity sector groups to understand and meet local needs

- Monitoring and evaluating the impact of partnership working on people's outcomes
- Arrangements to support effective partnership working, including information sharing, roles and responsibilities, governance and accountabilities

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Local health partners
- Care providers, local provider forums
- Health commissioners
- Health and wellbeing board
- Integrated care partnership and integrated care system
- Advocacy providers

If available

- Local Government Social Care Ombudsman feedback

Outcomes

We will not look at evidence under this category.

Best practice and guidance

- Care and support statutory guidance, chapters 15 and 16: Care Act: GOV.UK
- National framework for continuing health care and NHS-funded care: GOV.UK
- Stepping up to the place: NHS Confederation
- Localism: Delivering integration across housing, health and care: Housing LIN
- Principles of workforce integration: Skills for Care
- End of life care for adults: service delivery: NICE NG142
- 2023 to 2025 Better Care Fund policy framework: GOV.UK
- Hospital discharge and community support guidance, Annex C: GOV.UK
- Strategic collaborative planning and commissioning: LGA
- Effective systems of health and care: CQC

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

This theme covers:

- Section 42 safeguarding enquiries
- reviews
- safe systems
- continuity of care.

See more about local authority assessments

Safe systems, pathways and transitions

Quality statement

We work with people and our partners to establish and maintain safe systems of care, in which safety is managed, monitored and assured. We ensure continuity of care, including when people move between different services.

- When I move between services, settings or areas, there is a plan for what happens next and who will do what, and all the practical arrangements are in place.
- I feel safe and am supported to understand and manage any risks.

Summary

- Safety is a priority for everyone. There is a strong awareness of the risks to people across their care journeys. The approach to identifying and managing these risks is proactive and effective. The effectiveness of these processes is monitored and managed to keep people safe.
- Care and support is planned and organised with people, together with partners, and communities in ways that improve their safety across their care journeys and ensures continuity in care. This includes referrals, admissions and discharge, and where people are moving between services.

- The views of people who use services, partners and staff are listened to and taken into account.
- Policies and processes about safety are aligned with other key partners who are involved in people's care journey to enable shared learning and drive improvement.

Related sections of the Care Act

Care Act 2014:

- Section 1: Wellbeing principle
- Sections 6-7: Cooperation generally and in specific cases
- Section 19(3): Power to meet needs for care and support
- Section 37(1), (3), (4), (5)(a), (e), (f), and (6) to (15); Section 38(1)(a) and (2) to (8): Continuity of care and support when adult moves
- Section 48: Provider Failure (Temporary duty to provide services)
- Section 58-65: Transition for child to adult care and support

Required evidence

People's experience

- 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 people obtained by community and voluntary groups. For example:
    - advocacy groups
    - adult and young person's carers groups
    - faith groups
    - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available).
- Compliments and complaints
- Healthwatch
- Case tracking

Feedback from staff and leaders

- Council adult social care portfolio holder
- Overview and scrutiny committee
- Principal social worker
- Social work teams
- Out-of-hours duty teams
- Care provision: Quality monitoring team
- Director of adult social services
- Director of children's services

- The local authority's self-assessment of its performance for the quality statement

If available

- Staff feedback from the local authority's own surveys
- Peer review

Processes

- Safety management systems:
  - approach to identifying and managing risks to people across their care journeys
  - monitoring the effectiveness in keeping people safe.
- Safety during transitions and continuity of care, including
  - referrals, admissions and discharge
  - where people are moving between services (including children into adulthood, hospital discharge, moving to another local authority and when transitioning between services)
- Contingency planning and emergency preparedness for provider failure and disruptions in the provision of care and support
- Alignment of safety management policies and processes with other key partners who are involved in people's care journey to enable shared learning and drive improvement.
- Arrangements with health partners to ensure delegated healthcare duties and medicines support provided by social care staff are carried out safely
- Information sharing protocols

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Care providers
- Local health partners
- Ambulance and paramedics
- Health and wellbeing board
- Safeguarding Adults Board
- Advocacy providers

If available:

- Local Government Social Care Ombudsman
- Reports from Ofsted for inspecting local authority children's services (ILACS)
- SEND area review reports
- Feedback from other regulators

Outcomes

We will not look at evidence under this category.

Best practice and guidance

- Care and support statutory guidance, chapters 15 to 16: Care Act: GOV.UK

- Transition from children's to adults' services for young people using health or social care services: NICE NG43
- Transition between inpatient mental health settings and community or care home settings: NICE NG53
- Transition between inpatient hospital settings and community or care home settings for adults with social care needs: NICE NG 27
- Preparing for adulthood: National Development Team for Inclusion
- Disabled children and young people up to 25 with severe complex needs: integrated service delivery and organisation across health, social care and education: NICE NG213
- Managing medicines for adults receiving social care in the community: NICE NG67
- Ordinary residence: resolving disputes in health and care: GOV.UK
- Care and Continuity: contingency planning for provider failure, a guide for local authorities: Local Democracy Think Tank
- Effective systems of health and care: CQC

Safeguarding

Quality statement

We work with people to understand what being safe means to them as well as with our partners on the best way to achieve this. We concentrate on improving people's lives while protecting their right to live in safety, free from bullying, harassment, abuse, discrimination, avoidable harm and neglect. We make sure we share concerns quickly and appropriately.

- I feel safe and am supported to understand and manage any risks.

Summary

- There are effective systems, processes and practices to make sure people are protected from abuse and neglect.
- Section 42 safeguarding enquiries are carried out sensitively and without delay, keeping the wishes and best interests of the person concerned at the centre. People can participate in the safeguarding process as much as they want to.
- There is a clear understanding of the key safeguarding risks and issues in the area and a clear, resourced strategic plan to address them.
- Lessons are learned when people have experienced serious abuse or neglect and action is taken to remove future risks and drive best practice
- People are supported to understand safeguarding, what being safe means to them, and how to raise concerns when they don't feel safe, or they have concerns about the safety of other people.
- People are supported to make choices that balance risks with positive choice and control in their lives.
- People are supported to understand their rights, including their human rights, rights under the Mental Capacity Act 2005 and their rights under the Equality Act 2010.

Related sections of the Care Act

Care Act 2014:

- Section 1: Wellbeing principle
- Sections 6-7: Cooperation generally and in specific cases
- Sections 42-43: Safeguarding adult at risk of abuse or neglect
- Sections 68: Independent advocacy support (safeguarding enquiries and reviews)

Required evidence

People's experience

- 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 people obtained by community and voluntary groups. For example:
    - advocacy groups
    - adult and young person's carers groups
    - faith groups
    - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available)
- Compliments and complaints
- Healthwatch
- Survey of Adult Carers (SACE), Adult Social Care Survey (ASCS) - see detailed metrics
- Case tracking

Feedback from staff and leaders

- Council adult social care portfolio holder
- Overview and scrutiny committee
- Principal social worker
- Social workers
- Out-of-hours duty team
- Director of adult social services
- Local authority designated officer (LADO), Designated Safeguarding Officer or Multi-agency Safeguarding Adults Team
- The local authority's self-assessment of its performance for the quality statement

If available

- Staff feedback from the local authority's own surveys
- Peer review

Processes

- Systems, processes and practices to make sure people are protected from abuse and neglect. Processes and pathways for managing:
  - safeguarding alerts
  - Section 42 enquiries
- Safeguarding Adults Board annual strategic plan and annual report
- Oversight and quality assurance of safeguarding cases, themes, trends, outcomes:
  - timeliness of responding to concerns and section 42 enquiries
  - actions to address any safeguarding themes, trends and key safeguarding risks
- Lessons learned when people have experienced serious abuse or neglect and action to remove future risks and drive best practice. Response to Safeguarding Adult Reviews and other reports and reviews that feature safeguarding responsibilities. This includes:
  - Regulation 28 reports (Report to Prevent Future Deaths)
  - domestic homicide reviews
  - mental health reviews and serious incident reviews
- Support for people to understand how to raise concerns when they don't feel safe, or if they have concerns about the safety of other people and to understand their rights. This includes their human rights, rights under the Mental Capacity Act 2005 and their rights under the Equality Act 2010
- Training and support for staff involved in safeguarding work to undertake safeguarding duties effectively.
- Skills for Care data on safeguarding, Mental Capacity Act, DOLS training (if available)
- NHS Digital Safeguarding Adults Collection - see detailed metrics

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Local health partners
- Care providers
- Advocacy providers
- Safeguarding Adults Board (SAB)
- Independent Domestic Violence Advisors (IDVA)
- Independent mental capacity advocates
- Coroner Regulation 28 Reports

If available:

- Police safeguarding lead
- Specialist domestic abuse services
- Local Government Social Care Ombudsman
- Feedback from other regulators

Outcomes

We will not look at evidence under this category.

Best practice and guidance

- Care and support statutory guidance, chapter 14: Care Act: GOV.UK

- Revisiting safeguarding practice: GOV.UK
- Safeguarding Adults Reviews under the Care Act, implementation support: Social Care Institute for Excellence
- Making safeguarding personal: ADASS
- Mental Capacity Act 2005 code of practice: GOV.UK

Theme 4: Leadership

This theme covers:

- strategic planning
- learning
- improvement
- innovation
- governance
- management
- sustainability.

See more about local authority assessments

Governance, management and sustainability

Quality statement

We have clear responsibilities, roles, systems of accountability and good governance. We use these to manage and deliver good quality, sustainable care, treatment and support. We act on the best information about risk, performance and outcomes, and we share this securely with others when appropriate.

Summary

- There are clear and effective governance, management and accountability arrangements at all levels within the local authority. These provide visibility and assurance on:
  - delivery of Care Act duties
  - quality and sustainability and risks to delivery
  - people's care and support experiences and outcomes
- The local authority uses information about risks, performance, inequalities and outcomes to:
  - inform its adult social strategy and plans
  - allocate resources
  - deliver the actions needed to improve care and support outcomes for people and local communities.
- There are robust arrangements for the availability, integrity and confidentiality of data, records and data management systems.

Related sections of the Care Act

Care Act 2014:

- Section 1: Well-Being Principle.

Delivery of all Care Act functions is underpinned by effective leadership.

Required evidence

People's experience

- Compliments and complaints
- Feedback that people have sent to the local authority and feedback it has gathered itself through surveys or focus groups
- Healthwatch

Feedback from staff and leaders

- Council adult social care portfolio holder
- Overview and scrutiny committee
- Chief executive
- Council leader
- Principal social worker
- Director of adult social services
- Director of public health
- Commissioners
- The local authority's self-assessment of its performance for the quality statement

If available

- Staff feedback from the local authority's own surveys
- Staff forum
- Peer review

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Healthwatch
- Local health partners
- Care providers
- Health and wellbeing board
- Integrated care partnership, integrated care system
- Local Government Social Care Ombudsman annual letter

If available:

- SEND review
- Reports from Ofsted for inspecting local authority children's services (ILACS)
- Feedback from other regulators

Processes

- Adult social care strategic plan(s)

- Governance arrangements for delivering Care Act duties including:
    - quality assurance
    - risks to delivery, risk register
    - impact on people's experiences and outcomes
- Adult social care risk register and arrangements for internal and external escalation

Outcomes

We will not look at evidence under this category.

Best practice and guidance

- The governance and risk resilience framework: Centre for Governance and Scrutiny
- Good governance handbook: Healthcare Improvement Partnership
- Diverse by design: 15 key elements: Local Government Association
- Guidance on the appointment of Caldicott Guardians their role and responsibilities: National Data Guardian for Health and Social Care

Learning, improvement and innovation

Quality statement

We focus on continuous learning, innovation and improvement across our organisation and the local system. We encourage creative ways of delivering equality of experience, outcome and quality of life for people. We actively contribute to safe, effective practice and research.

Summary

- Learning from people's feedback about their experiences of care and support, and feedback from staff and partners is embedded throughout the local authority's work and it informs strategy, improvement activity and decision making at all levels. Coproduction is embedded throughout the local authority's work.
- There is an inclusive and positive culture of continuous learning and improvement. The local authority has strong external relationships that support improvement and innovation. Staff and leaders engage with external work, including research, and embed evidence-based practice in the organisation.
- There are processes to ensure that learning happens when things go wrong, and from examples of good practice. Leaders encourage reflection and collective problem-solving.

Related sections of the Care Act

Care Act 2014:

- Section 1: Well-being Principle.

Delivery of all Care Act functions is underpinned by effective leadership.

Required evidence

People's experience

- 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 people obtained by community and voluntary groups. For example:
    - advocacy groups
    - adult and young person's carers groups
    - faith groups
    - 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 local authority and feedback it has gathered itself through surveys or focus groups
- Feedback from CQC's Give feedback on care facility (if available)
- Compliments and complaints
- Healthwatch
- Case tracking

Feedback from staff and leaders

- Council adult social care portfolio holder
- Overview and scrutiny committee
- Chief executive
- Council leader

- Principal social worker
- Director of adult social services
- Director of public health
- Commissioners
- Assessment and social work teams
- The local authority's self-assessment of its performance for the quality statement.

If available:

- Staff feedback from the local authority's own surveys
- Staff forum
- Information from whistleblowing
- Peer review
- Employee Standards Health Check for Social Workers

Feedback from partners

- Community and voluntary sector groups, including those representing:
    - people who are more likely to have a poorer experience of care and poorer outcomes
    - people with protected equality characteristics
    - unpaid carers
- Healthwatch
- Local health partners
- Care providers
- Health and wellbeing board

- Integrated care partnership, integrated care system

If available:

- SEND review reports
- Reports from Ofsted for inspecting local authority children's services (ILACS)
- Feedback from other regulators
- Local Government Social Care Ombudsman, including annual letter - see detailed metrics

Processes

- Learning and improvement actions arising from from feedback and events, for example:
    - people's experiences
    - whistleblowing information
    - serious incidents and serious case reviews
- Coroner Regulation 28 Reports
- Engagement in external work, including research
- Co-production arrangements
- Local authority's own workforce development plan, including continuous professional development, training and support to deliver Care Act duties effectively.

Outcomes

We will not look at evidence under this category.

Best practice

- Co-production: Social Care Institute for Excellence
- Quality improvement made simple: The Health Foundation
- A guide to quality improvement tools: Healthcare Quality Improvement Partnership
- Enabling innovation and adoption in health and social care: Developing a shared view
- Effective complaint handling for local authorities: Local Government and Social Care Ombudsman

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