

# Review of compliance

<b>Octavia Housing and Care</b>	
Leonara House	
<b>Region:</b>	London
<b>Location address:</b>	49 Lanark Road Maida Vale London W9 1AP
<b>Type of service:</b>	Domiciliary Care Agency
<b>Publication date:</b>	June 2011
<b>Overview of the service:</b>	<p>Leonora House is a domiciliary care agency of Octavia Housing and Care. The service is based at 49 Lanark Road and provides care and support to older people and people with learning disabilities living in their own flats at the new purpose built block at the same address.</p> <p>Domiciliary Care staff provide care and support twenty four hours a day, according to people's needs.</p>

# Summary of our findings for the essential standards of quality and safety

## What we found overall

**We found that Leonara House was meeting all the essential standards of quality and safety we reviewed.**

The summary below describes why we carried out the review, what we found and any action required.

### Why we carried out this review

We carried out this review as part of our routine schedule of planned reviews.

### How we carried out this review

We reviewed all the information we hold about this provider, carried out a visit on 07/04/2011, talked with people who use services and their relatives, talked with staff, talked to other stakeholders, checked the provider's records, and looked at records of people who use services.

### What people told us

All the people we talked to, including stakeholders, were positive about the support provided by the service based at this location. People who use services were satisfied with service and said they felt safe and treated with respect.

### What we found about the standards we reviewed and how well Leonara House was meeting them

#### **Outcome 1: People should be treated with respect, involved in discussions about their care and treatment and able to influence how the service is run**

- Leonara House ensures that people who use services understand the care and support available to them and can express their views about the care and support

they receive. The views and experiences of people who use services are integral to the service.

- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 2: Before people are given any examination, care, treatment or support, they should be asked if they agree to it**

- Leonara House ensures that people who use services understand and consent to their support.
- Overall, we found that Leonara House was meeting this essential standard..

**Outcome 4: People should get safe and appropriate care that meets their needs and supports their rights**

- Leonara House ensures that people who use services experience an effective, safe and appropriate service and receive support that meets their needs and protects their rights.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 5: Food and drink should meet people's individual dietary needs**

- Leonara House ensures that, where support is needed, people who use services have a healthy diet.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 6: People should get safe and coordinated care when they move between different services**

- Leonara House ensures that people who use services receive coordinated support, where other services are involved.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 7: People should be protected from abuse and staff should respect their human rights**

- Leonara House ensures that people who use services are safeguarded and their human rights are valued.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 8: People should be cared for in a clean environment and protected from the risk of infection**

- Leonara House ensures that people who use services are supported to maintain a clean and safe environment in their own homes and staff are protected by safe working practices.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 9: People should be given the medicines they need when they need them, and in a safe way**

- Leonara House ensures that people who use services receive medicines in a timely, safe and appropriate way.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 10: People should be cared for in safe and accessible surroundings that support their health and welfare**

- Leonara House ensures that people who use services are supported to maintain a safe environment in their own homes
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 11: People should be safe from harm from unsafe or unsuitable equipment**

- Leonara House ensures that people who use services are protected from the risk of harm from unsafe equipment in their own homes
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 12: People should be cared for by staff who are properly qualified and able to do their job**

- Leonara House ensures that people who use services are supported by staff who are safe, competent, fit and able to do the job.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 13: There should be enough members of staff to keep people safe and meet their health and welfare needs**

- Leonara House ensures that the sufficient numbers of appropriate staff support people who use services in their own homes

- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 14: Staff should be properly trained and supervised, and have the chance to develop and improve their skills**

- Leonara House ensures that people who use services are safely cared for by competent and well supported staff.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 16: The service should have quality checking systems to manage risks and assure the health, welfare and safety of people who receive care**

- Leonara House ensures that people who use services are protected and cared for by an organisation that has sound quality, risk management and management systems in place.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 17: People should have their complaints listened to and acted on properly**

- Leonara House ensures that people who use know that their concerns and complaints are listened to and acted on properly.
- Overall, we found that Leonara House was meeting this essential standard.

**Outcome 21: People's personal records, including medical records, should be accurate and kept safe and confidential**

- Leonara House ensures that people who use services know that their personal records are accurate, safe and confidential.
- Overall, we found that Leonara House was meeting this essential standard.

**Action we have asked the service to take**

We have not asked the Provider to take any action in response to this report.

**Other information**

N/A

**What we found**  
for each essential standard of quality  
and safety we reviewed

The following pages detail our findings and our regulatory judgement for each essential standard and outcome that we reviewed, linked to specific regulated activities where appropriate.

We will have reached one of the following judgements for each essential standard.

**Compliant** means that people who use services are experiencing the outcomes relating to the essential standard.

A **minor concern** means that people who use services are safe but are not always experiencing the outcomes relating to this essential standard.

A **moderate concern** means that people who use services are safe but are not always experiencing the outcomes relating to this essential standard and there is an impact on their health and wellbeing because of this.

A **major concern** means that people who use services are not experiencing the outcomes relating to this essential standard and are not protected from unsafe or inappropriate care, treatment and support.

Where we identify compliance, no further action is taken. Where we have concerns, the most appropriate action is taken to ensure that the necessary improvements are made. Where there are a number of concerns, we may look at them together to decide the level of action to take.

More information about each of the outcomes can be found in the *Guidance about compliance: Essential standards of quality and safety*.

# Outcome 1: Respecting and involving people who use services

## What the outcome says

This is what people who use services should expect.

People who use services:

- Understand the care, treatment and support choices available to them.
- Can express their views, so far as they are able to do so, and are involved in making decisions about their care, treatment and support.
- Have their privacy, dignity and independence respected.
- Have their views and experiences taken into account in the way the service is provided and delivered.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 1: Respecting and involving people who use services

### Our findings

**What people who use the service experienced and told us.**  
People we spoke to said they had been provided with good information before taking up the service. Because the domiciliary care service and their self contained flats were established at the same time, they told us it was easy to understand how their care and support would be provided. They also told us that their needs had been assessed as part of their entry into the service.

People were very happy with the service. They said that the staff were “marvellous” and treated them respectfully at all times. Where they received personal care, people said that their dignity was preserved and wishes respected.

Relatives told us that the service took away the worries they had about their family members being vulnerable and unwell in their own homes.

Staff provided support to people in their flats. Staff were kind, informative, engaging and clearly enjoyed positive relationships with the people who use services. Staff prepare meals, do cleaning, deliver shopping and spend time with people who use

services.

### **Other evidence**

The registered manager and members of the management team described the background to the service. The purpose built building at 49 Lanark Road opened in February 2010. It contains 21 self contained one bedroom flats. On the basement floor, there is a day centre run by Age Concern.

People living in the flats are able to use a day centre based in the building and run by Age Concern. They are able to socialise, participate in courses, and eat shared meals. There is a shared garden area at the rear of the building and a communal lounge and kitchen where social events are held. There are a range of weekly events held in the communal areas, as well informal socialising. Domiciliary staff often accompany people to social events, both inside and outside the building, and in the community.

Initial assessments had been completed by social workers and community mental health professionals. Then the DCA completed their own assessments. The majority of people receive some personal care, support with medication and assistance with the activities of daily living. Domestic practical support includes assistance with cooking, shopping, laundry and cleaning.

Stakeholders and referrers we spoke to told us that they had seen the positive difference this new model of care had made in the lives of their clients. One stakeholder said that staff were sensitive and “from the cleaners upwards, all treat people as people”.

### **Our judgement**

Leonara House ensures that people who use services understand the care and support available to them and can express their views about the care and support.

# Outcome 2: Consent to care and treatment

## What the outcome says

This is what people who use services should expect.

People who use services:

- Where they are able, give valid consent to the examination, care, treatment and support they receive.
- Understand and know how to change any decisions about examination, care, treatment and support that has been previously agreed.
- Can be confident that their human rights are respected and taken into account.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 2: Consent to care and treatment

### Our findings

**What people who use the service experienced and told us**  
People told us that “they always ask me if I want to do something” or “check my opinion”. They said that they could always do the things they wanted to do and that staff were sensitive to their preferences.

**Other evidence**  
There were two people receiving care who lacked capacity. They had had Mental Capacity Act (MCA) assessments and best interests meetings. We saw on file consent forms completed for assistance with medication. There were policies and procedures in place covering a range of consent issues and staff understood that they were there to provide support in ways that people wanted and preferred. They also understood that people could say no to things they did not want to happen.

Staff told us that local advocacy groups visit the service and talk to people about their rights.

**Our judgement**  
Leonara House ensures that people who use services understand and consent to

their support.

# Outcome 4: Care and welfare of people who use services

## What the outcome says

This is what people who use services should expect.

People who use services:

- Experience effective, safe and appropriate care, treatment and support that meets their needs and protects their rights.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 4: Care and welfare of people who use services

### Our findings

**What people who use the service experienced and told us**  
People told us that their care was planned and consistent. They said that their needs were assessed and planned for. One person spoke for others by saying she “couldn’t believe her luck” to have the degree of support and independence afforded to her by the staff.

We observed staff working closely and considerately with people who use services. It was clear that staff knew and understood people’s needs and were able to meet them.

Some staff provide hand and shoulder massages, which people said they enjoyed.

**Other evidence**  
Care files for people who use services contained detailed information about people’s assessed care needs and clear plans to deliver care and support. There were risk assessments and health care plans in place. People’s mental health and wellbeing had been continually reviewed, with support from community based mental health teams. Some people had complex health needs, including rehabilitative needs, that required a step by step programme. These steps were clearly set out for staff to follow. People’s mobility needs had been assessed and addressed. Where one person needed a high level of physical support, staff were trained to provide this.

District nurse provide additional support. There was evidence on file that some people's health and wellbeing had improved significantly since living in more isolated situations in the community. Stakeholders from the local community mental health teams said that they had seen major improvements in the wellbeing of people with mental health needs. They described the service as "brilliant" and "superb". The placing local authority told us that the mixed model of care (for people of different ages and backgrounds) was working well and that feedback they had received from relatives was very positive.

Staff said they had time to sit, listen and talk with people and get to know them, and had time to go for walks with people. Staff described their philosophies of care, "we don't want to take over in people's flats, in their lives. And, as key workers, we try to engage people and motivate them in small tasks that help keep them alert and on the go". We saw evidence that people with early stage dementia were benefiting from this approach. Staff demonstrated good skills in working with people with memory loss.

Staff described how they checked people's preferences and helped them achieve a good quality of life through having their preferences addressed each day. They had a sound understanding of both encouraging independence and protecting people's privacy when delivering personal care.

### **Our judgement**

Leonara House ensures that people who use services experience an effective, safe and appropriate service and receive support that meets their needs and protects their rights.

# Outcome 5: Meeting nutritional needs

## What the outcome says

This is what people who use services should expect.

People who use services:

- Are supported to have adequate nutrition and hydration.

## What we found

<b>Our judgement</b>
<b>The provider is compliant</b> with outcome 5: Meeting nutritional needs

<b>Our findings</b>
<p><b>What people who use the service experienced and told us</b> We observed lunch in the day centre. While there, we spoke to some people who live on site and use the services of the domiciliary care agency. They told us they enjoyed the meals that staff cooked for them and appreciated the help they received in their own flats. They said they also valued the opportunity for socialising and eating with other people, including their neighbours, at social gatherings and in the day centre.</p> <p><b>Other evidence</b> Care staff support people by cooking or helping them cook in their flats. Staff do people's shopping and buy what people say they would like to eat.</p> <p>Staff told us that there are advantages to having day centre on site. People can choose to eat at home, have a meal in the day centre or have a meal delivered from the day centre kitchen. People can go out for meals in the community and care staff sometimes accompany them. One person receives meals on wheels.</p> <p>Staff monitor people's diet and nutrition, with support from a visiting nutritionist. They monitor fluid intake of people who have dementia. We saw the daily recording of people's food and drink intake. People's weight is regularly monitored. Key workers can be matched to people of similar cultural backgrounds and this can help in meeting people's cultural food choices.</p>

Staff have been trained in food hygiene.

**Our judgement**

Leonara House ensures that people who use services have a healthy diet.

# Outcome 6: Cooperating with other providers

## What the outcome says

This is what people who use services should expect.

People who use services:

- Receive safe and coordinated care, treatment and support where more than one provider is involved, or they are moved between services.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 6: Cooperating with other providers

### Our findings

**What people who use the service experienced and told us**  
On this occasion we did not speak to people about this outcome area.

**Other evidence**  
The domiciliary care agency has good links with service providers in the Westminster area. These include a range of public sector and voluntary sector organisations, including health providers and social services. We saw records of referrals and contacts across agencies. There was close cooperation between agencies where care needed effective coordination.

Staff worked closely with other agencies to ensure that they had good information about people’s needs. Staff from other agencies told us that the Leonara House worked closely with them and that cooperation was “easy”.

**Our judgement**  
Leonara House ensures that people who use services receive coordinated support, where other services are involved.

# Outcome 7: Safeguarding people who use services from abuse

## What the outcome says

This is what people who use services should expect.

People who use services:

- Are protected from abuse, or the risk of abuse, and their human rights are respected and upheld.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 7: Safeguarding people who use services from abuse

### Our findings

**What people who use the service experienced and told us**  
People told us that they felt safe with staff. They said that the care and support they received made them feel more secure than they had felt living in their original homes. They said that having staff fully accessible on site at all times, at the end of a call bell if necessary, gave them “peace of mind”. People said that the staff treated them with respect and were never rude or inappropriate.

Relatives told us that the model of care was very beneficial for their family members and that they knew they were safe. They said that staff were respectful and kind.

**Other evidence**  
Staff had been trained in safeguarding and had a good understanding of how to protect people. They could describe the meanings of abuse and identify specific risks and things to watch out for.

Safeguarding records demonstrated good practice, in line with the organisation’s policy and procedures. Where safeguarding issues had come up, they were handled effectively and people were protected. The service had a rolling risk assessment process to ensure that risks of abuse were minimised.

**Our judgement**

Leonara House ensures that people who use services are safeguarded and their human rights are valued.

# Outcome 8: Cleanliness and infection control

## What the outcome says

Providers of services comply with the requirements of regulation 12, with regard to the *Code of Practice for health and adult social care on the prevention and control of infections and related guidance*.

## What we found

<b>Our judgement</b>
<b>The provider is compliant</b> with outcome 8: Cleanliness and infection control

<b>Our findings</b>
<p><b>What people who use the service experienced and told us</b> People told us that their flats were cleaned daily. The flats we visited were clean and hygienic.</p> <p><b>Other evidence</b> The service has infection control policies and procedures in place that comply with the <i>Code of Practice for health and adult social care on the prevention and control of infections and related guidance</i>. Staff work in people's homes and support them to maintain a safe, hygienic environment. Staff clean people's flats daily.</p> <p>Staff have been trained in infection control. They showed us the laundry where night staff wash people's clothes. There were infection control guidelines on display. The service monitors infection control risks in people's homes and in other areas of the building where care staff work.</p> <p><b>Our judgement</b> Leonara House ensures that people who use services are supported to maintain a clean and safe environment in their own homes and staff are protected by safe working practices.</p>

# Outcome 9: Management of medicines

## What the outcome says

This is what people who use services should expect.

People who use services:

- Will have their medicines at the times they need them, and in a safe way.
- Wherever possible will have information about the medicine being prescribed made available to them or others acting on their behalf.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 9: Management of medicines

### Our findings

**What people who use the service experienced and told us**  
People said that staff help them with their medication where necessary and that they received the medication they needed.

**Other evidence**  
Staff told us that they provide support with medication to those people who need it and that they have been trained to do so. Training records confirmed this. We saw the medication policy and procedure which outlined the medication arrangements for staff to follow.

Accurate medication records showed that the staff observed good practice in supporting people to receive their medication safely and in a timely way. People keep their medication safely in the flats.

**Our judgement**  
Leonara House ensures that people who use services receive medicines in a timely, safe and appropriate way.

# Outcome 10: Safety and suitability of premises

## What the outcome says

This is what people should expect.

People who use services and people who work in or visit the premises:

- Are in safe, accessible surroundings that promote their wellbeing.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 10: Safety and suitability of premises

### Our findings

**What people who use the service experienced and told us**  
On this occasion we did not speak to people about this outcome area.

**Other evidence**  
Staff work in a new, well maintained environment. They were familiar with what to do in an emergency and records showed that there were regular fire safety drills in the building. All building health and safety arrangements were in place, including the control of exits. Fire exits were clearly marked. The housing association that runs the service owns the building and an on call maintenance system protects staff and people living there. Risks assessments are in place covering the work that staff do in people’s flats and in other parts of the building. The building has disability access.

**Our judgement**  
Leonara House ensures that people who use services are supported to maintain a safe environment in their own homes.

# Outcome 11: Safety, availability and suitability of equipment

## What the outcome says

This is what people should expect.

People who use services and people who work in or visit the premises:

- Are not at risk of harm from unsafe or unsuitable equipment (medical and non-medical equipment, furnishings or fittings).
- Benefit from equipment that is comfortable and meets their needs.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 11: Safety, availability and suitability of equipment

### Our findings

**What people who use the service experienced and told us**  
On this occasion we did not speak to people about this outcome area.

**Other evidence**  
Equipment in people’s homes is provided by health care services after professional assessments. Staff are trained to use it, if necessary. For example, one person needs a hoist and staff told us that the occupational therapist had trained them to use it. This training was in addition to their general manual handling training.

There is an on call system in the home where people can alert staff to their needs from their flats. We observed staff responding promptly to this call system.

Other equipment in people’s home is checked and maintained through their tenancy arrangements. There are risk assessments and guidelines in place to protect staff working in people’s flats.

**Our judgement**  
Leonara House ensures that people who use services are protected from the risk of harm from unsafe equipment in their own homes

# Outcome 12: Requirements relating to workers

## What the outcome says

This is what people who use services should expect.

People who use services:

- Are safe and their health and welfare needs are met by staff who are fit, appropriately qualified and are physically and mentally able to do their job.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 12: Requirements relating to workers

### Our findings

**What people who use the service experienced and told us**  
People told us that they felt safe with the staff, who knew how to meet their needs.

**Other evidence**  
The service has a sound process in place to recruit appropriately skilled and safe staff. Records included full pre-employment checks, including qualification, reference and Criminal records bureau (CRB) checks. People’s competencies, skills and knowledge were checked at interview and during probationary periods. Staff files contained all recruitment information.

**Our judgement**  
Leonara House ensures that people who use services are supported by staff who are safe, competent, fit and able to do the job.

# Outcome 13: Staffing

## What the outcome says

This is what people who use services should expect.

People who use services:

- Are safe and their health and welfare needs are met by sufficient numbers of appropriate staff.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 13: Staffing

### Our findings

**What people who use the service experienced and told us**  
People told us that staff are always available when they need them.

**Other evidence**  
Staff support people living in their own flats, with regular visits throughout the day. Because people all live in the same building, staff are based in the building and are available to meet people’s planned and unplanned needs. There was no evidence of missed visits to people in their homes. A key worker system is in place and there is a named staff member responsible for reviewing and overseeing each person’s care and support plans. Staff handover time is built into the care workers’ rota.

**Our judgement**  
Leonara House ensures that sufficient numbers of appropriate skilled staff support people who use services in their own homes. They provide a continuous and consistent service because domicillary care staff are always on site.

# Outcome 14: Supporting workers

## What the outcome says

This is what people who use services should expect.

People who use services:

- Are safe and their health and welfare needs are met by competent staff.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 14: Supporting workers

### Our findings

**What people who use the service experienced and told us**  
People told us that staff were capable and understood their needs.

**Other evidence**  
Staff files and training records showed that all staff had had a comprehensive induction. Staff training covered all mandatory skills for care basics, with additional training in safeguarding adults, person centred care, re-enablement, risk assessment, first aid, food hygiene, infection control, health and safety, challenging behaviour, medication, manual handling, mental health, dementia, end of life care, stroke awareness and supervision training. Staff hold NVQ qualifications and some staff have been trained in therapeutic massage and aromatherapy.

Managers hold fortnightly supervision meetings with staff, including holding night time sessions with the night care workers. Supervision records were detailed and demonstrated good professional practice in supporting staff. Staff told us that they felt valued and supported in their work and that the management team encouraged them to develop. Staff described the management team as “hands on and always available”. There are regular staff meetings to provide support and review practice.

There is a performance appraisal system in place.

**Our judgement**  
Leonara House ensures that people who use services are safely cared for by competent and well

supported staff.

# Outcome 16: Assessing and monitoring the quality of service provision

## What the outcome says

This is what people who use services should expect.

People who use services:

- Benefit from safe quality care, treatment and support, due to effective decision making and the management of risks to their health, welfare and safety.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 16: Assessing and monitoring the quality of service provision

### Our findings

**What people who use the service experienced and told us**  
People told us that staff always ask their views and respond to their wishes.

**Other evidence**  
People are formally surveyed once a year. We saw the results of the previous year’s survey, which indicated that people were pleased with the care and support they received.

The organisation has formal mechanisms in place for checking the quality of the service. These include regular reviews and audits, complaints monitoring, incident and accident and accident monitoring systems and feedback loops. Audits sampled showed thorough processes in place.

**Our judgement**  
Leonara House ensures that people who use services are protected and cared for by an organisation that has sound quality, risk management and management systems in place.

# Outcome 17: Complaints

## What the outcome says

This is what people should expect.

People who use services or others acting on their behalf:

- Are sure that their comments and complaints are listened to and acted on effectively.
- Know that they will not be discriminated against for making a complaint.

## What we found

<b>Our judgement</b>
<b>The provider is compliant</b> with outcome 17: Complaints

<b>Our findings</b>
<p><b>What people who use the service experienced and told us</b> People said they were comfortable to raise concerns if they had any and would talk to the staff or the manager.</p> <p><b>Other evidence</b> Leonara House has a clear and accessible complaints policy and procedure in place. Information about what to do if they are unhappy with the service is given to people who use services in a format that they can understand.</p> <p>Staff understood what to do if people raised a complaint or concern. They had a good understanding of the complaints policy. We saw the complaints records. There were few complaints and a significant number of compliments.</p> <p><b>Our judgement</b> Leonara House ensures that people who use know that their concerns and complaints are listened to and acted on properly.</p>

# Outcome 21: Records

## What the outcome says

This is what people who use services should expect.

People who use services can be confident that:

- Their personal records including medical records are accurate, fit for purpose, held securely and remain confidential.
- Other records required to be kept to protect their safety and well being are maintained and held securely where required.

## What we found

### Our judgement

**The provider is compliant**  
with outcome 21: Records

### Our findings

**What people who use the service experienced and told us**  
On this occasion we did not speak to people about this outcome area.

**Other evidence**  
Records of the service were kept and stored in good order in the office. Both records for people who use services and for the service itself were kept up to date, clearly documented and written in a accessible style for people to understand. Daily records by care staff were written in a professional and non- judgemental style. Administrative staff showed us electronic records, which were up to date and securely kept.

Data protection and consent policies and procedures were in line current legislation.

**Our judgement**  
Leonara House ensures that people who use services know that their personal records are accurate, safe and confidential.

# What is a review of compliance?

By law, providers of certain adult social care and health care services have a legal responsibility to make sure they are meeting essential standards of quality and safety. These are the standards everyone should be able to expect when they receive care.

The Care Quality Commission (CQC) has written guidance about what people who use services should experience when providers are meeting essential standards, called *Guidance about compliance: Essential standards of quality and safety*.

CQC licenses services if they meet essential standards and will constantly monitor whether they continue to do so. We formally review services when we receive information that is of concern and as a result decide we need to check whether a service is still meeting one or more of the essential standards. We also formally review them at least every two years to check whether a service is meeting all of the essential standards in each of their locations. Our reviews include checking all available information and intelligence we hold about a provider. We may seek further information by contacting people who use services, public representative groups and organisations such as other regulators. We may also ask for further information from the provider and carry out a visit with direct observations of care.

When making our judgements about whether services are meeting essential standards, we decide whether we need to take further regulatory action. This might include discussions with the provider about how they could improve. We only use this approach where issues can be resolved quickly, easily and where there is no immediate risk of serious harm to people.

Where we have concerns that providers are not meeting essential standards, or where we judge that they are not going to keep meeting them, we may also set improvement actions or compliance actions, or take enforcement action:

**Improvement actions:** These are actions a provider should take so that they **maintain** continuous compliance with essential standards. Where a provider is complying with essential standards, but we are concerned that they will not be able to maintain this, we ask them to send us a report describing the improvements they will make to enable them to do so.

**Compliance actions:** These are actions a provider must take so that they **achieve** compliance with the essential standards. Where a provider is not meeting the essential standards but people are not at immediate risk of serious harm, we ask them to send us a report that says what they will do to make sure they comply. We monitor the implementation of action plans in these reports and, if necessary, take further action to make sure that essential standards are met.

**Enforcement action:** These are actions we take using the criminal and/or civil procedures in the Health and Social Care Act 2008 and relevant regulations. These enforcement powers are set out in the law and mean that we can take swift, targeted action where services are failing people.

## Information for the reader

<b>Document purpose</b>	Review of compliance report
<b>Author</b>	Care Quality Commission
<b>Audience</b>	The general public
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