

Adult Social Care – Preparing for CQC Inspection

CQC Inspection of Adult Social Care

CQC are assessing how well Local Authorities meet their Care Act duties. For each local authority, CQC will gather evidence in this order:

- **what they have**, for example evidence from national data collections, insight from their regulation of providers
- **what they need to request**, for example specific policies and strategies, internal and external survey results, feedback from staff, self-assessment of performance
- **what they need to actively collect**, for example from case tracking, focus groups, conversations with staff and leaders; they will only actively collect information that they can't get through other means.

CQC Inspection of Adult Social Care

Each assessment starts when CQC sends a request for information, an 'information return'. The information return requests the documentary evidence and key information that CQC need to carry out an assessment. This enables the CQC assessment team to:

- gain valuable insight into how the local authority is delivering its adult social care functions
- identify areas for further exploration
- identify the additional evidence that they need to actively collect to complete the assessment
- target on-site activity and minimise time demands on both the assessment team and the local authority.

CQC Self-Assessment

The information return also includes a request for a self-assessment. This is an item of evidence in the 'feedback from staff and leaders' evidence category. It is an opportunity for local authorities to:

- assess and make judgements about their performance in relation to Care Act duties
- highlight key successes, risks and challenges
- identify actions being taken to address the most pressing risks.

CQC On-Site visit

When CQC are `on site`, they expect to:

- speak with people who are using care and support services, and with their representatives. This is especially where people may find it hard to communicate through telephone or video conversations
- speak with staff, leaders and partner organisations.

They will usually do this through small group discussions or interviews. They may hold these online if it is suitable for the people taking part.

CQC Case Tracking

Case tracking helps CQC gather the lived experiences of people using social care. They consider this information alongside what people tell them and evidence gathered e.g. through surveys.

Case tracking is when they follow the pathway of a small number of people to gather evidence. A pathway is a person's 'journey' from the point they first approach the local authority. It covers:

- the assessment of their needs
- care planning
- moving through services (if applicable)
- the impact of the care
- outcomes for the person
- review of their needs.

CQC Case Tracking

CQC ask for an anonymised list of 50 people. They provide a template about the primary needs of those people. The themes may change, but are currently:

- older people
- young people who have transitioned to adult services
- people who have recently come out of hospital and are receiving care
- autistic people and people with a learning disability
- people with needs relating to their mental health or substance misuse
- people with physical disabilities or long-term conditions
- unpaid carers

From the list, they will select 6 people to speak with, plus 4 reserve people.

CQC Feedback

CQC will also use the feedback they receive from people and their representatives about their experiences. This could be:

- from their Give feedback on care services
- when people contact them through their National Customer Service Centre

To help us collect evidence they will work with other people and organisations, for example local Healthwatch groups and Experts by Experience. They can help CQC to contact people, families and carers, and engage with communities whose voices are seldom heard.

CQC Ratings

CQC will follow these initial 3 stages:

- Review evidence within the evidence categories they are assessing for each quality statement.
- Apply a score to each of these evidence categories.
- Combine these evidence category scores to give a score for the related quality statement.

CQC then combine the quality statement scores to give an overall score and a rating for a local authority. By using the following rules, they can make sure any areas of poor quality are not hidden:

- If one or more quality statements have a score of 2, there cannot be an overall rating of outstanding.
- If one or more quality statements have a score of 1, there cannot be an overall rating of either good or outstanding.

ASC Self-Assessment

Self-Assessment is structured in line with the four CQC inspection themes, nine quality statements and 38 criteria

The Four Themes:

Theme 1 - Working with People

Theme 2 - Providing Support

Theme 3 - Ensuring Safety

Theme 4 - Leadership

CQC Ratings

- Ratings between 25 to 28% will be considered inadequate
- Ratings between 39% and 62% will be considered requires improvement
- Ratings between 63% and 87% will be considered good
- Ratings above 87% will be considered outstanding