

## Adult social Care Regulation



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# CQC purpose and role



## Our purpose

We make sure health and social care services provide people with safe, effective, compassionate, high-quality care and we encourage care services to improve

## Our role

We monitor, inspect and regulate services to make sure they meet fundamental standards of quality and safety and we publish what we find, including performance ratings to help people choose care



# Ambition for social care: The Mum Test (or Anyone You Love test)

**Is it  
effective?**

**Is it responsive to  
people's needs?**

**Is it  
safe?**

**Is it  
well-led?**



**Is it  
caring?**

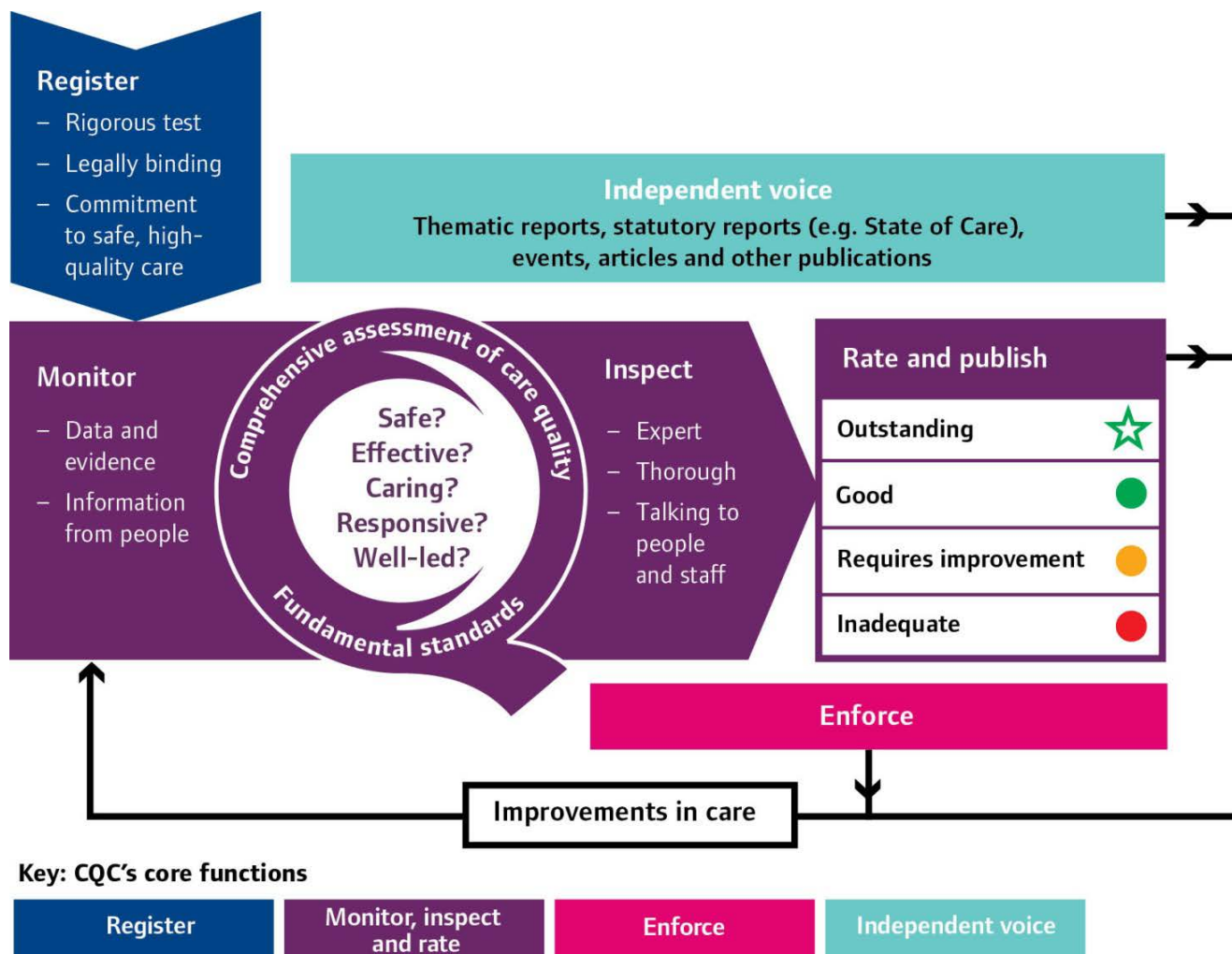
***Is it good enough for my Mum?***

## What we do:

- Set clear expectations
- Monitor and inspect
- Publish and rate
- Celebrate success
- Tackle failure
- Signpost help
- Influence debate
- Work in partnership



# Our new approach





# Fundamental standards

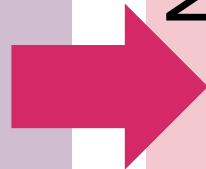


## Previous Regulations

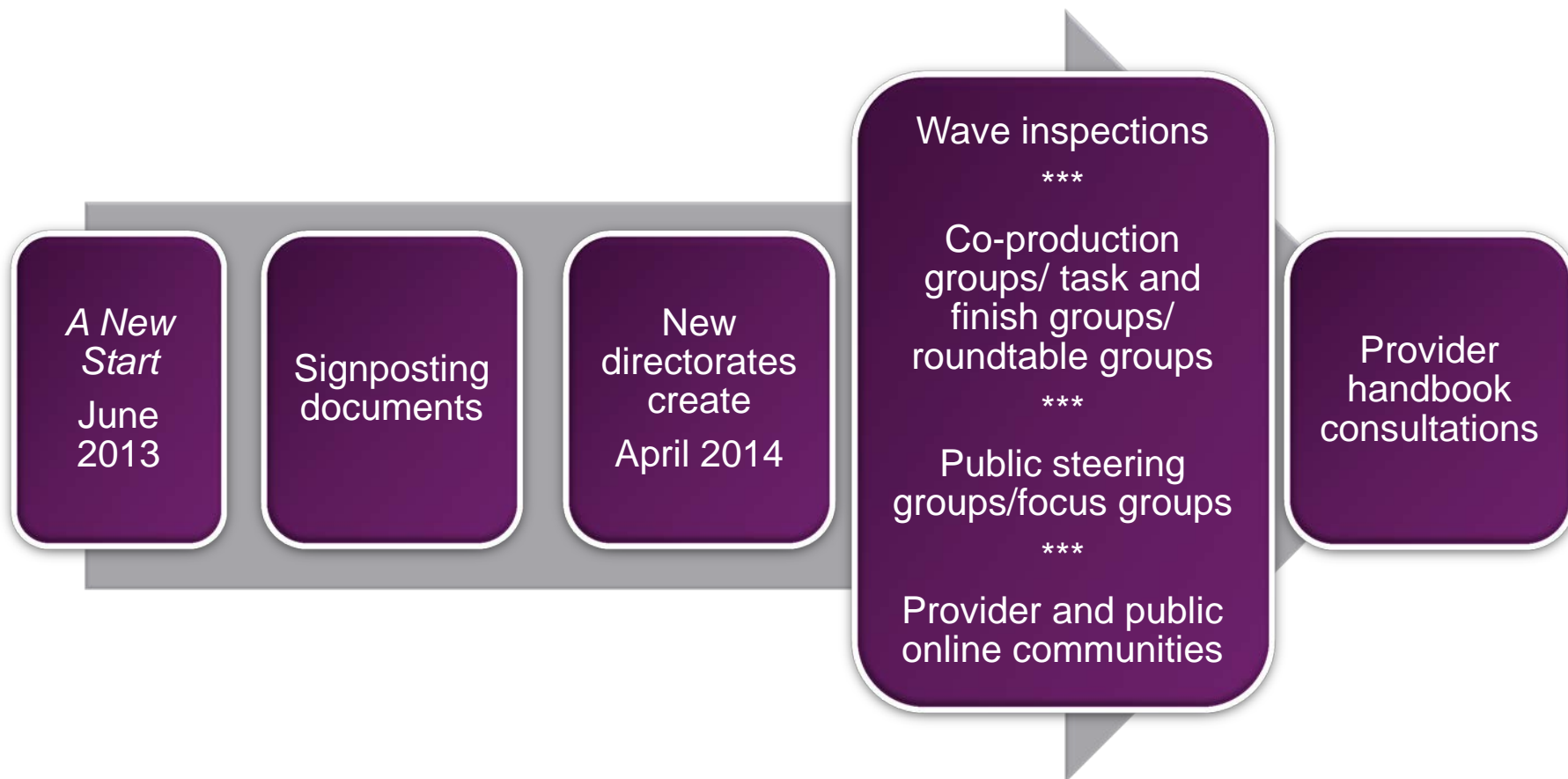
Care and welfare of service users  
Assessing and monitoring the quality of service provision  
Safeguarding service users from abuse  
Cleanliness and infection control  
Management of medicines  
Meeting nutritional needs  
Safety and suitability of premises  
Safety and suitability of equipment  
Respecting and involving service users  
Consent to care and treatment  
Complaints  
Records  
Requirements relating to workers  
Staffing  
Supporting workers  
Cooperating with other providers

## New Regulations

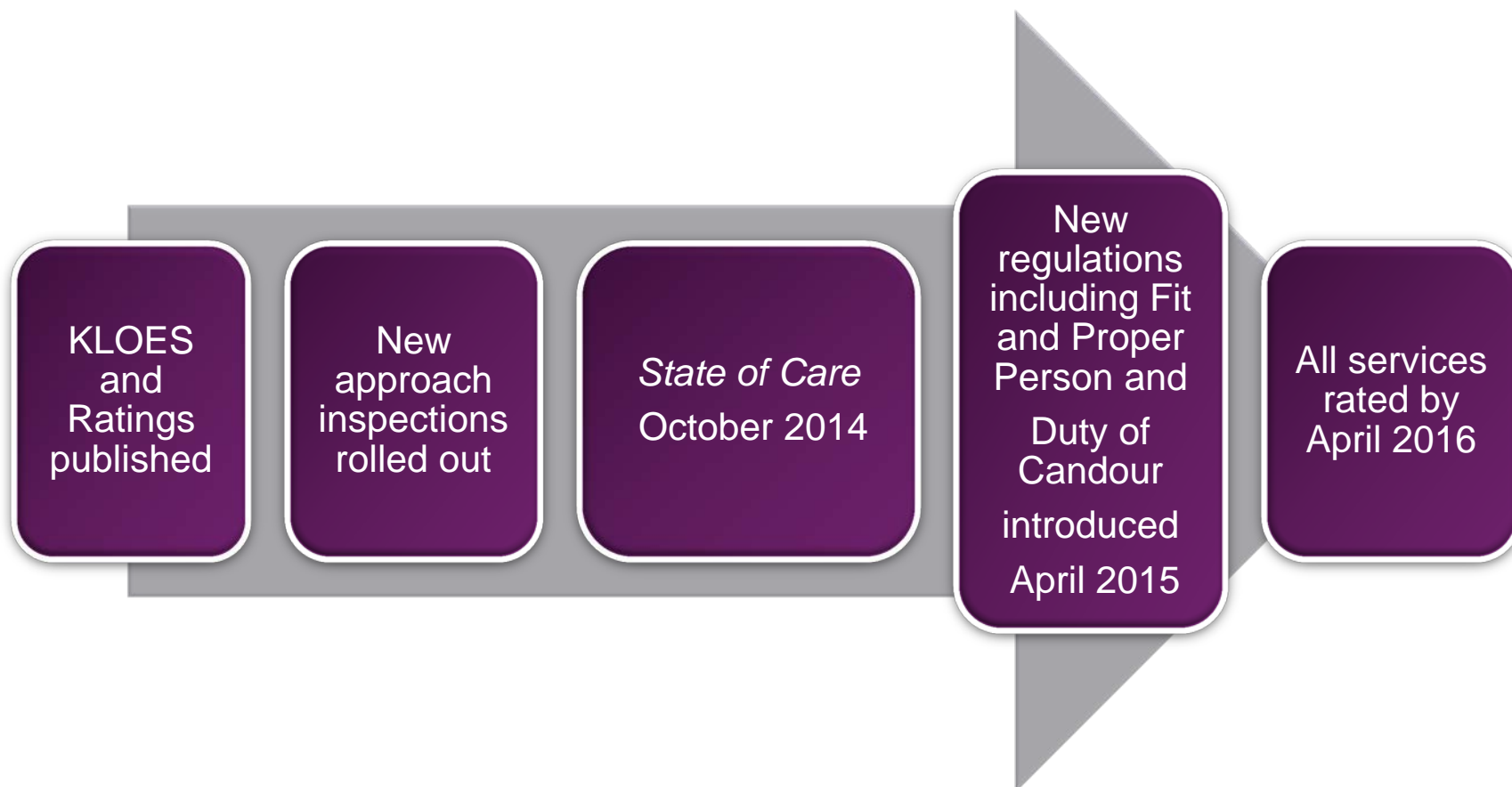
Person-centred care  
Dignity and respect  
Need for consent  
Safe care and treatment  
Safeguarding service users from abuse  
Meeting nutritional needs  
Cleanliness, safety and suitability of premises and equipment  
Receiving and acting on complaints  
Good governance  
Staffing  
Fit and proper persons employed and  
Fit and proper persons requirement for directors  
Duty of candour



# Delivering on priorities (1)



## Delivering on priorities (2)





## > Purpose

- > Ensure directors or equivalents are held accountable for the delivery of care and
- > They are fit and proper to carry out this role

## > Actions for providers

- > Ensure recruitment of 'directors' tests whether candidates meet the requirement

## > CQC

- > Registration
- > Respond to concerns raised



- Purpose
  - Ensure failing services improve or close
- Actions for providers
  - Use time available to improve service
- CQC
  - Services rated as inadequate will go into special measures
  - Time limited period to improve
  - Improvements made – out of special measures
  - No improvement – move to cancel registration



## ➤ Purpose

- Public able to see rating of service quickly and easily

## ➤ Actions for providers

- Display ratings in service and website
- Suggest accompany with additional information

## ➤ CQC

- Will provide template
- Inspection – check that rating is displayed



# What will market oversight do?



## > Purpose

- > Protect people in vulnerable circumstances by spotting if a provider may fail – and make sure right action is taken

## > CQC will:

- > Monitor finances of 'difficult to replace' providers – 40-50
- > Provide early warning to local authorities
- > Assist with system response if failure occurs

## > It will not:

- > Either 'bail out' struggling providers, or pre-empt failure through inappropriate disclosure of information



# Our enforcement powers

Severity

- Requirements (formerly known as compliance actions)
- Warning notices
- S.28 warning notices

Protect people who use services by requiring improvement

## Civil enforcement powers

- Impose, vary or remove conditions of registration
- Suspension of registration
- Cancellation of registration
- Urgent procedures

## Failing services

- Immediate action to protect from harm
- Time-limited 'final chance'
- Coordination with other oversight bodies

Protect people who use services by requiring improvement

## Criminal powers

- Penalty notices
- Simple cautions
- Prosecutions

## Holding individuals to account

- Fit and proper person requirement
- Prosecution of individuals

Hold providers to account for failure



STATE OF CARE



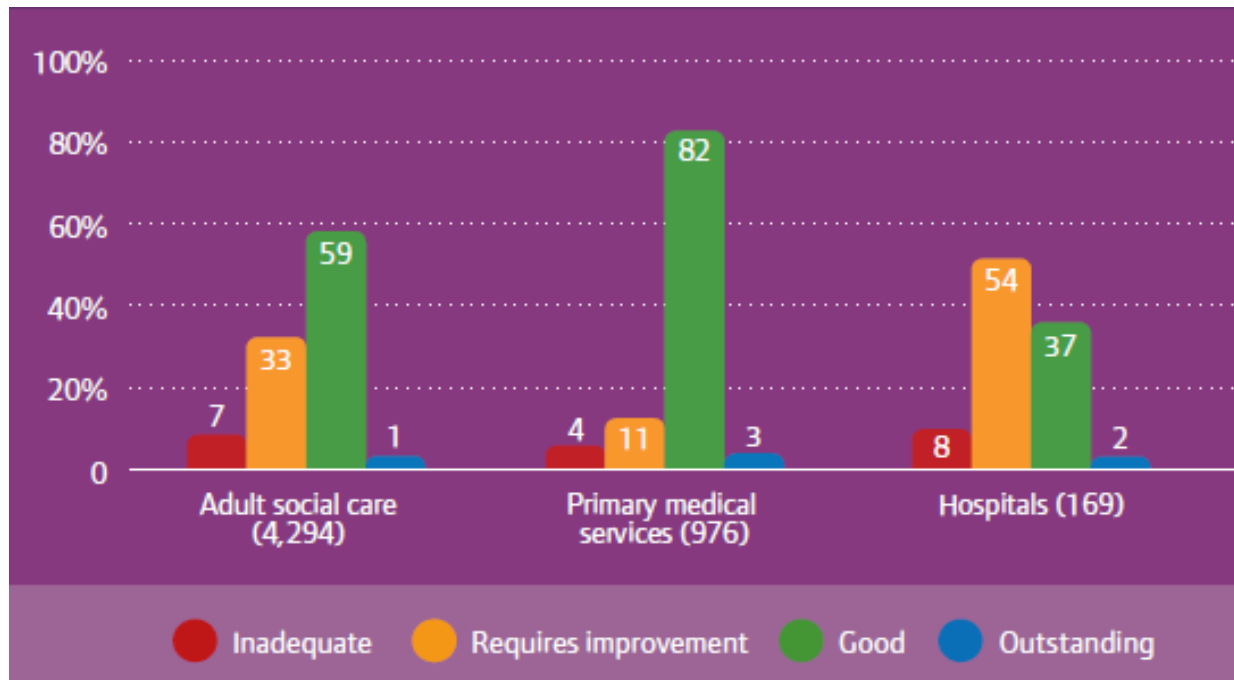
# The state of health care and adult social care 2014/15

#StateofCare



# A challenging environment

Despite challenging circumstances, the majority of services have been rated as good, with some rated outstanding



There is significant variation in quality - and safety continues to be the biggest concern

Of CQC's key questions, providers were most likely to get an inadequate rating for safety

10%

of adult social  
care services

6%

of primary  
medical services

13%

of hospitals

Strong leadership is emerging as more crucial than ever to delivering good care

Effective planning

Focus on delivering for people

Culture of openness and staff engagement

Willingness to collaborate with partners

94%

More than nine out of 10 of the services we have rated as good or outstanding overall were also good or outstanding for their leadership.

# Adult social care



By May 2015, we had rated a fifth of adult social care providers. Three in five got a good or outstanding rating

59%

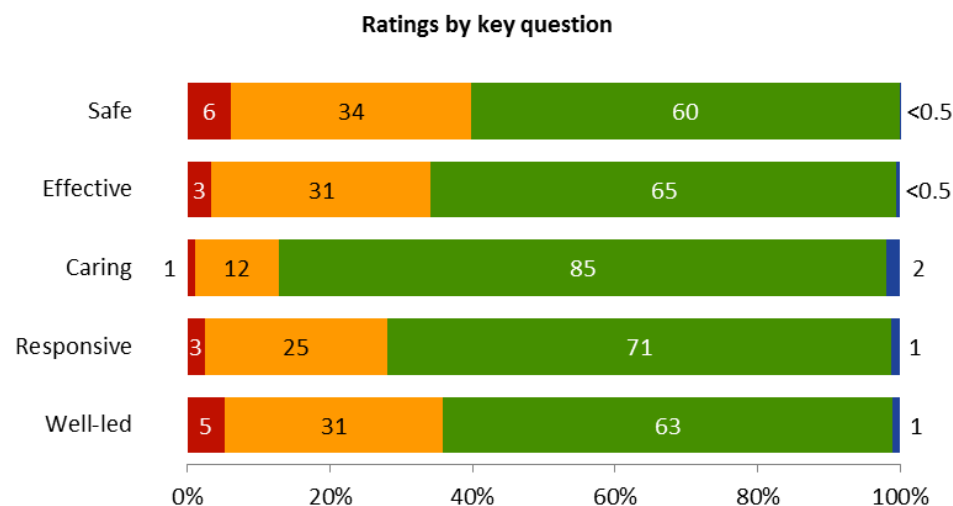
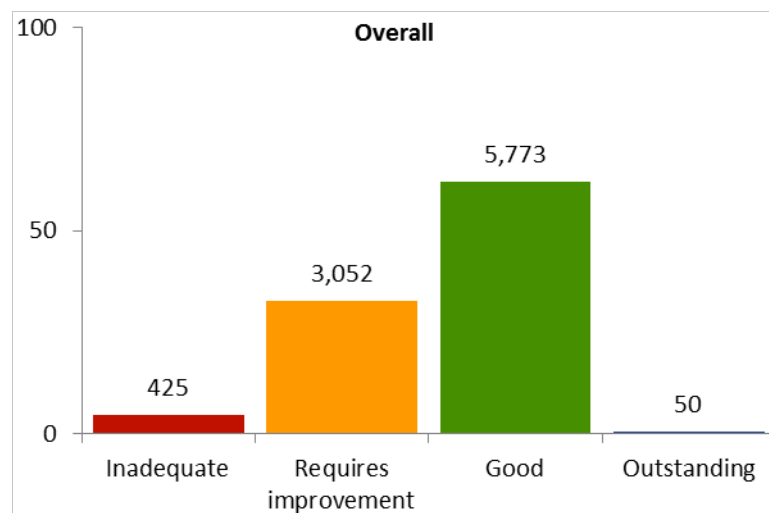
A registered manager consistently in post has a crucial influence on quality

Staff recruitment and retention remain a serious challenge

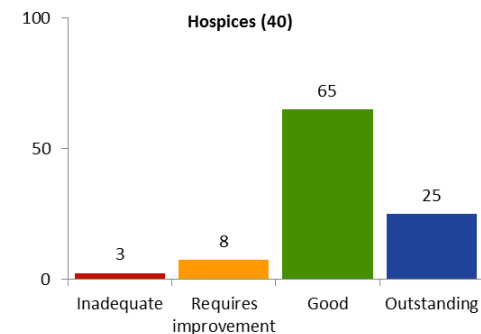
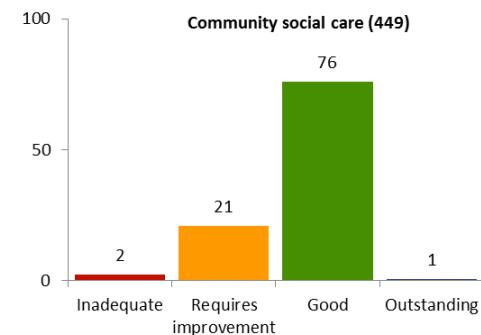
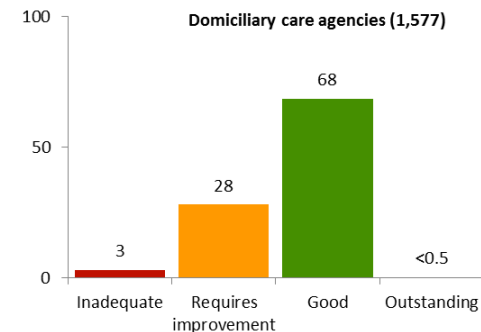
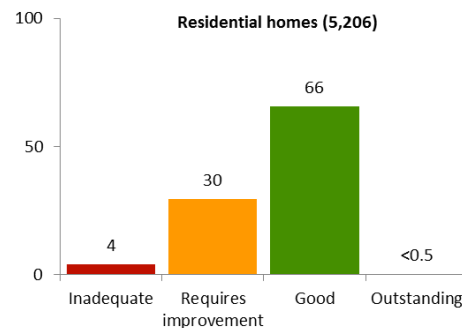
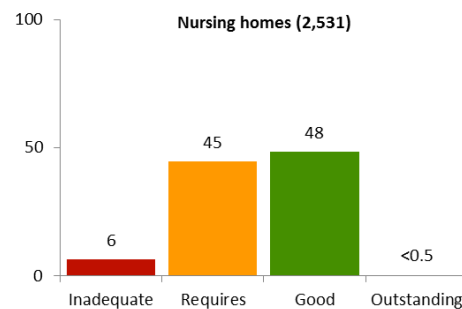
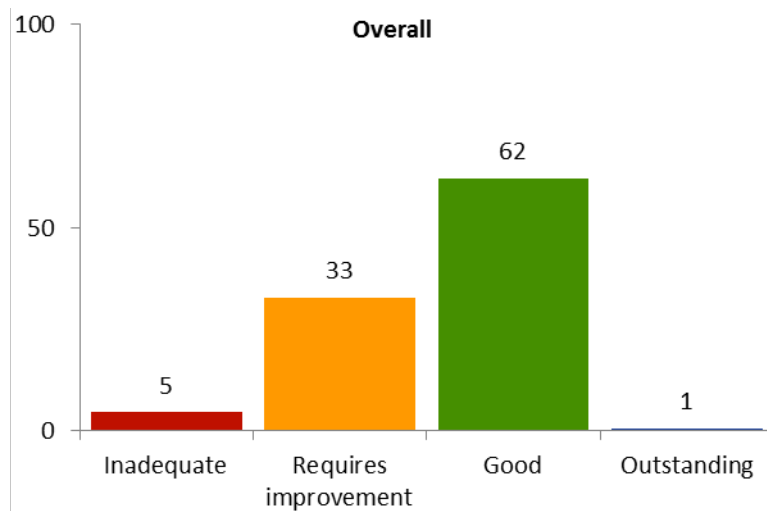
# Current ratings overall and by key question



Current overall ratings			
Inadequate	Requires improvement	Good	Outstanding
5%	33%	62%	1%



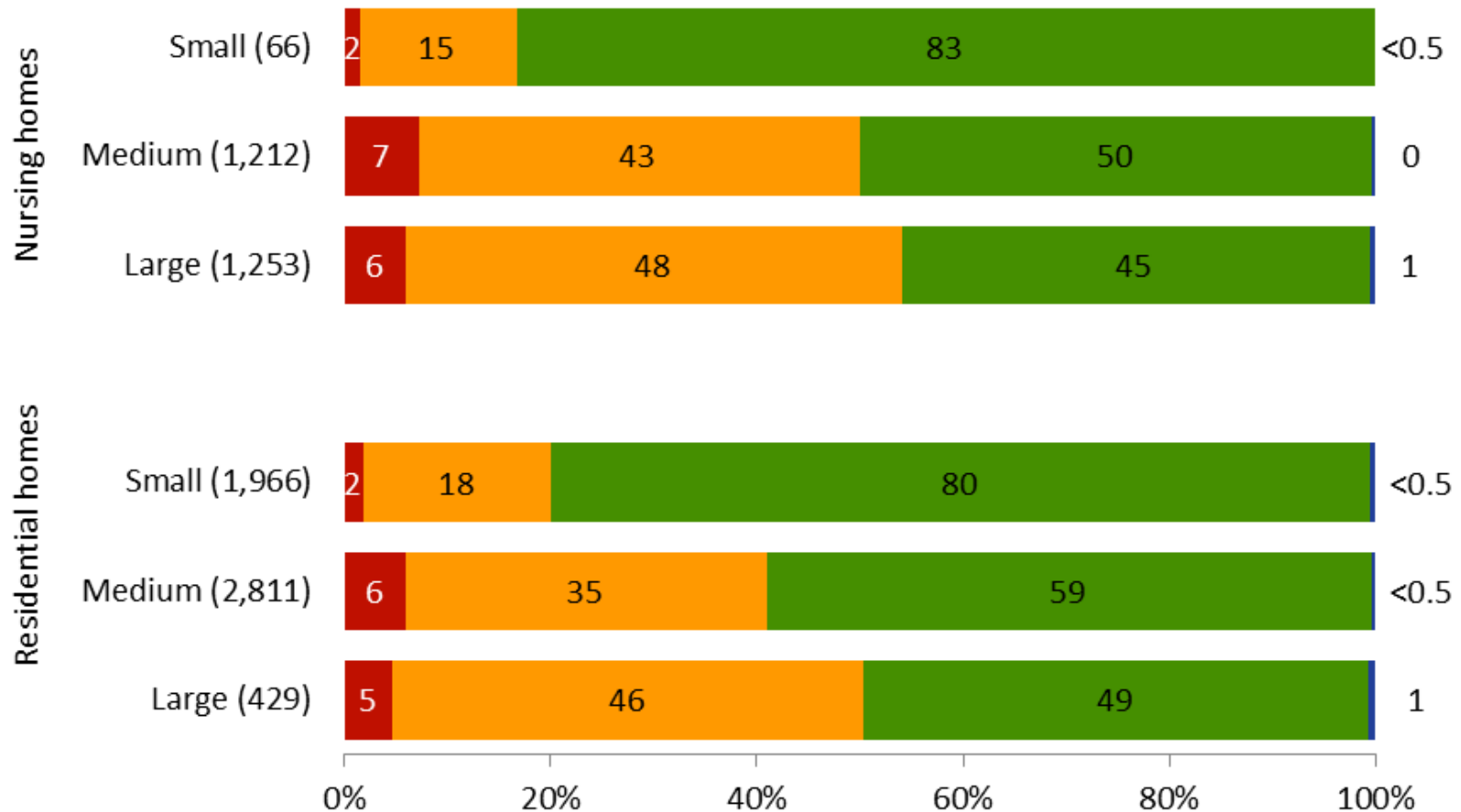
# Current overall ratings by service type



Note: Figures in charts are percentages



# Current overall ratings by size of care home



# Common themes from 'well-led': Outstanding

- Effective monitoring, quality assurance and audit
- Open culture - people can share views and issues are addressed
- Services have a consistent registered manager supportive of staff
- People speak highly of the service



# Common themes from 'well-led': Outstanding



- Effective systems to manage and develop staff
- Safe care promoted – good oversight of care and staff communication
- A can do, will do, attitude
- Effective partnership working
- Continuous development of the service/manager/staff with best practice followed
- Service/staff recognised through awards
- Strong links with local community

“This place is brilliant, management care so much, as do the staff, everybody knows their role and the atmosphere is amazing.”, “I’m made to feel important, I’m constantly encouraged to always better myself.”

# Common themes from 'well-led': Inadequate

- People speak of management churn and change
- Poor care planning = lack of personalised care
- Closed culture - people cannot raise issues or views are not listened to or acted upon
- Registered manager unable to lead and support staff well, or not in post
- Poor care oversight with care plans not up to date, reviewed or followed



# Common themes from 'well-led': Inadequate

- Ineffective systems to identify and manage risks and learn from mistakes
- Lack of supervision and training opportunities to develop staff skills
- Poor working relationship between the manager and the provider
- Under developed partnership working and community links
- Unawareness of best practice
- Notifications to CQC not made



# Five influences on quality

## Working together



Staff – recruit and retain; capable, confident and supported

Providers – care, learn, improve, integrate, innovate

Commissioners and funders – tough but don't compromise on quality

Regulators – on the side of people using services

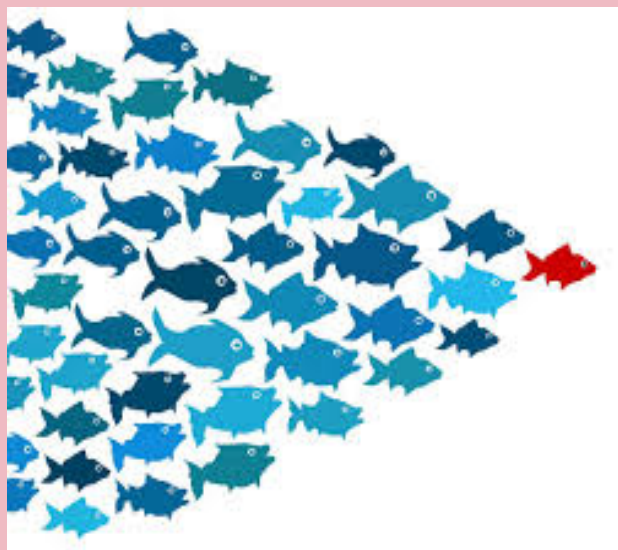
Public and people who use services – listen and act



# What should we do?

## > Stand up for adult social care

- > Celebrate the good
- > Challenge the bad



- > Be positive and honest
- > Work together

> And...always remember why we do this

# Remember why we do this.....



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# Remember why we do this.....



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# Remember why we do this.....



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# Outstanding care at home

- ‘Staff were given the opportunity to build meaningful relationships with people and ample time to meet people’s needs and provide companionship’
- ‘People felt care workers treated them with kindness and respect’
- ‘The registered manager delivered dementia training to the public – including bank and shop staff – to help them understand how to help people with dementia’

Home Instead Senior Care,  
West Lancashire and Chorley



## An outstanding care home

‘Relatives and friends visiting the home told us they only had positive experiences and praise for this service’



‘Staff told us that they would not like to work anywhere else’

Vida Hall,  
Harrogate



## Another outstanding care home

"We didn't think we were outstanding. And perhaps that's why we were – I think it's because we see every single person as an individual. It is our privilege to support them to live the last years of

their life with as much happiness, love and security as we can give them."

Suzanne, Prince of Wales  
House, Ipswich



# Thank you



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