



**CQC ASSURANCE
PREPARATION
WEBINAR SERIES**

26 January 2023



Welcome

We are just waiting for everyone to join. This event will start shortly

- Please could we ask you to remain on mute throughout the presentations.
- Say hello and introduce yourself in the chat
- Please use the chat function to ask questions throughout the session
- This meeting will be recorded
- All presentations and resources will be shared after the meeting



How to Complete Your Self Assessment

Agenda

1100 Welcome

Hazel Summers, Partners in Care and Health

1105 What we have already learnt - Learnings from Manchester Test & Learn and ADCS

1110 How to Complete your Self Assessment – Guidance and Workbook

1130 What Good looks Like – a Northern collaborative

Lia Chelminiak, NW ADASS

1140 Questions

A photograph of a woman with curly hair, wearing a light blue cardigan over a white shirt, leaning over a grey armchair. She is looking down at an older woman with short white hair who is sitting in the chair. The scene is brightly lit, suggesting a window in the background. The overall mood is warm and supportive.

What have we learnt so far?

Learnings from Manchester Test & Learn Experience and Children's Services

“The questions in the self-assessment are broad in scope which challenged us in terms of our responses”

“Some of the data questions require more clarity e.g. clear definition of waiting list and waiting times”

“Know your duties under the Care Act “

“Must be evidenced based - If you don't know it, why? How can you find out? “

“Be brave and not include all your evidence within the assessment (brevity is a virtue) - But you must have this within your evidence portfolio”

“Focus on impact, user experiences and outcomes (case studies & quotes are effective) – not processes”

“Be balanced and honest - know yourself “

*“Engage with colleagues and Councillors
Has to be something everyone recognises (and wants to read!) “*

A photograph of a woman with curly hair, wearing a blue cardigan, leaning over a seated woman with short grey hair and glasses. The woman with curly hair is pointing at something on the seated woman's lap, likely a workbook. The background is a bright, indoor setting with a plant.

Adult Social Care Self Assessment – Guidance and Workbook

Self-Assessment and CQC Assessment

- The assessment of ASC by the CQC will focus on councils' delivery of their duties as set out in the Part 1 of the Care Act 2014
- It is also important to recognise that the Care Act links across to the Mental Health Act and the Mental Capacity Act - meaning that CQC will also assess ASC's performance in these areas.

Reminder of 4 key themes

The assessment framework has been grouped into four key themes, each with quality statements mapped to them:

1. How councils work with people

Assessing needs, care planning and review, direct payments, charging, supporting people to live healthier lives, prevention, wellbeing, information and advice.

2. How councils provide support

Market shaping, commissioning, workforce capacity and capability, integration and partnership working.

3. How councils ensure safety

Safeguarding enquiries, reviews, Safeguarding Adults Board, safe systems, pathways and continuity of care.

4. Leadership

Culture, strategic planning, learning, improvement, innovation, governance, management and sustainability.

What is an ASC self assessment?

At its simplest, the ASC self-assessment process should provide a systematic framework to consider three key questions that enable an organisation to arrive at evidence-based judgements that can enable it to focus efforts to support improvement:



Key Principles

There are some important principles underpinning good self-assessment:

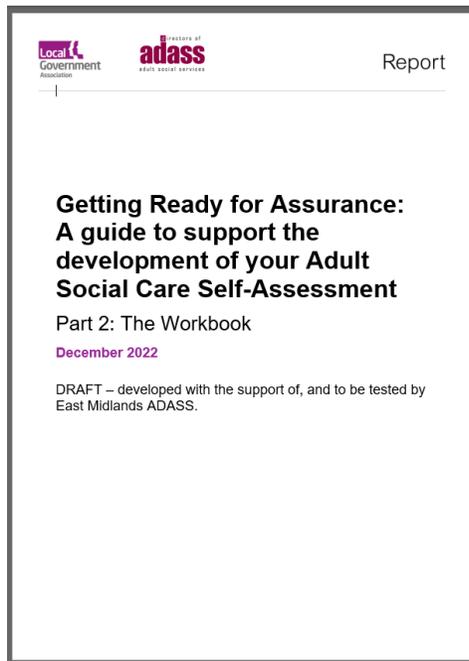
- What is asserted without evidence can be dismissed without evidence.
- Triangulation of evidence from different sources is essential – this means considering the entire array of performance data, direct observation of practice/documents and, vitally in the case of ASC, the balanced views of people with lived experience, staff, partners and other stakeholders.
- There is a difference between process assurance (evidence that the right plans, policies and procedures are in place, for example: Joint Strategic Needs Assessment (JSNA); prevention strategy; practice audit plan; complaints policy) and outcomes assurance (evidence of the impact achieved via these plans, policies and procedures,
- **USE THE SELF ASSESSMENT AS AN IMPROVEMENT TOOL**

A photograph of a woman with curly hair, wearing a light blue cardigan over a white shirt, leaning over a grey armchair. She is smiling and looking at an elderly woman with short white hair and glasses who is seated in the chair. The background is bright and slightly blurred, showing a window and some greenery.

Support Guide

LGA/ADASS Self-Assessment

The guide and the workbook provide a framework to enable the completion of an objective, honest and authentic self-assessment of a council's strengths and areas to improve, driving the focus of improvement planning and delivery at the local, regional, and national levels in a way that ensures local ownership.



Includes:

- Guidance
- Workbook
- Extra tools: spreadsheet checklist and LG Inform metric summary

The self-assessment template (the Workbook) covers:

- Section A: Key messages
- Section B: Self-assessment
- Section C: Summary of process undertaken to self-assess
- Section D: Document library
- Section E: Evidence library

The Guide and workbook Part 1 and 2

- The guide and the workbook provide a framework to enable the completion of an objective, honest and authentic self-assessment of a council's strengths and areas to improve, driving the focus of improvement planning and delivery at the local, regional, and national levels in a way that ensures local ownership.
- Focuses on the CQC assessment framework themes, which in themselves reflect the requirements set out in Part 1 of the Care Act 2014 and other relevant legislation, the aim is that it will have sufficient confidence of the CQC to meet their "Local Authority Self-Assessment and Information Requirements" (LASAIR) needs.
- The workbook is also supported by reports and datasets in LG Inform to provide councils with easy access to the data and insight they can use to support evidence-based discussion and judgements.
- This is an honest and aware self-appraisal and councils should not be selective in the evidence they supply. Balanced and authentic feedback from people who draw on social care should also be sought and triangulated.
- Learning from Children's Services emphasises the importance of using the self-assessment as a tool for improvement.

You should ensure when completing your self assessment

Engage

Don't do your self assessment in an ivory tower, confined to the views of senior leaders. It should reflect the experiences of people with lived experience, professionals working in adult social care and the organisations who work with it.

Evidence

What is asserted without evidence can be dismissed without evidence. Triangulate the evidence and give greatest weight to experience and outcomes

Enact

Being aware of strengths and areas for improvement is not enough. It is equally important to evidence that you act on insight as presenting insight.

What did we learn from Test and Learn sites

CQC asked councils, in their self-assessment to:

- Assess and make judgements about performance in relation to the CQC quality statements, using evidence to support judgements and progression
- Highlight key successes
- Identify any mitigating actions being taken to address the most pressing risks.

CQC has also issued principles for the completion of the Self-Assessment,

1. Statements should reflect local priorities, making explicit the link between priority and achievement, for how priorities link to the JSNA local innovation and good practice.
2. Assessments should be supported by evidence that is explicitly referenced, and where possible using evidence based directly on the experience of people who use services and their carers.

Developing and Completing the Self-Assessment

- The learning from colleagues in Children's Services is that the processes deployed will matter and the early identification of a Senior Responsible Officer and Self-Assessment Lead will be essential.
- Securing very visible engagement with, and endorsement of, the self-assessment by people with lived experience and your key partners will mean there can be greater confidence in its contents and accuracy. It is important therefore to start conversations with stakeholders early and to identify the people you want to sign off the final document, so they are engaged from the start.

The Self-Assessment Workbook

- While recognising that each council will wish to ensure that the final self-assessment report reflects their corporate style and approach, Part 2 of this guide offers a workbook, including checklists templates and links to data that support the gathering of evidence through a three-stage process to shape the final Self-Assessment which will have five core sections.
- **Section A** - Key messages, setting out the local context and ASC's key strengths, priorities for improvement and track record of delivery. (NOTE: This will be drafted in Stage 3)
- **Section B** - Self-assessment of performance using the CQC themes and focusing on the quality statements and CQC key lines of enquiry (Stages 1 and 2)
- **Section C** - Summary of process undertaken including sign off confirming the engagement process
- **Section D** - Document library – providing links to key plans, reports referenced in the self-
- **Section E** – Evidence Library

Summary of the workbook process

Stage 1

Checklists

- Assessment of strengths and areas for development against CQC Key Lines of Enquiry

Stage 2

Self Assessment Templates

- Evidence based self assessments for each CQC Quality Statement drawing on Stage 1 work.

Stage 3

Self Assessment Report

- Narrative document framed around CQC Themes, drawing on Stage 2 work

The Workbook

- **The three stages** in the Workbook provide a structured framework based around the CQC assessment themes and key lines of enquiry (LG Inform Self-Assessment reports are being developed to support the completion of the Workbook. These will continually evolve and develop to provide an intelligence-based resource that enables effective comparison and benchmarking with other councils to inform and evidence the self-assessment. These will be shaped to reflect the core themes in the assessment framework but will include the following:
 - Local context – including information about an area and its population, focusing on aspects directly and indirectly related to health and social care such as life expectancy, deprivation, employment. This also includes some measures that look at adult social care in the wider council context.
 - Activity and need – focusing on what we know about the activity and need for adult social care provision in an area.
 - Provision – drawing on data published by the CQC about registered locations providing a broad picture of social care provision looking at capacity, quality and the range and diversity of provision.
 - Workforce – linking closely with Skills for Care to draw out some key headline measures from their detailed workforce profiles.
 - All the data sources used will be maintained, updated and refreshed as they become available, and the reports will be reviewed based on feedback to give people access to the

Stage 1

- **Completion of Quality Statement Checklists**

- There is a checklist for each of the key CQC assessment themes which reflect the evidence, best practice and guidance highlighted in the CQC assessment framework. An excel version of the stage 1 checklist is available for councils who would find it useful.
- The checklists facilitate engagement from the start of the process and ensure the development of the self-assessment is progressed in a way that recognises strengths and areas for improvement based on evidence.
- The checklist for each quality statement can be completed by different constituent groups with ratings triangulated and evidence aggregated and/or completed through a workshop or working groups involving all stakeholders.
- When completed the checklists will provide an initial view about current performance drawing out areas of strength as well as areas for improvement, with an evidence/rationale (this will also help in identifying where there may be gaps in evidence that will need to be addressed through the next stage of work). A data pack has been developed to provide ready access to relevant ASC data sources.
- Work should also start to describe the local context in which ASC is working and a checklist to support this is also included.

Stage 2

Completion of Quality Statement

- **Self- Assessment Templates**

These are key documents that will inform the drafting of the final self-assessment document, drawing out the areas of strength and the areas identified for improvement.

There is a template for each quality statement framed around core themes, with a series of prompts offered:

- 1) Ambition/vision and current performance
 - 2) Evidence used to understand performance. Empirical analysis should be distinguished from anecdotal information. Views from all service users, both positive and negative, should be encouraged.
 - 3) Views from all service users both positive and negative should be encouraged
 - 4) Plans to maintain or improve performance in this area
- It is expected that each template will be completed by a senior colleague with responsibility for this area within the council, ensuring appropriate engagement test and challenge
 - Each template provides for the inclusion of quotes on what others say about the council's performance that may be helpful in the final document and prompts the identification of any documents that will need to be included in the self-assessment library

Stage 3

Drafting of the Self-Assessment

- This document should be no more than 20 pages and should provide a compelling and authentic narrative specific to the individual council which includes links to evidence/data and performance
- The template in the workbook offers a framework and structure that councils *may* wish to use to produce the final self-assessment document. It is based on five sections, drawing on the work through stages 1 and 2, and providing assurance on the process undertaken and ensuring links relevant reports and sources of evidence.
- **The pen on this final self assessment should be held by one person – It should not be written by committee!**

3-Stage Process

The three-stage process described in the Workbook provides a structured framework based around the CQC assessment themes and key lines of enquiry

- Theme 1: Working with People
- Theme 2: Providing Support
- Theme 3: Ensuring Safety
- Theme 4: Leadership



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Top Tips

Top Tips

A	Accountable for our own improvement and engagement in SLI
S	Specific to local context and circumstances because councils ARE different
S	Supported by staff and partners – people are engaged in the development of our SA
U	Users, Carers and their advocates are accorded greatest importance and highlighted throughout our SA
R	Rigorous – A balances analysis of strengths and areas to improve
A	Action orientated – Establishes our track record of improvement and sets out our plans to maintain/improve our performance
N	Nuanced around CQCs 4 Assurance domains so councils produce one ASC SA using it for different purposes
C	Concise – with a clear focus on the outcomes achieved
C	Evidence informed (including empirical, benchmarked and trend data)

A young woman with curly hair, wearing a light blue cardigan over a white shirt, is leaning over a grey armchair. She is smiling and looking down at an elderly woman with short, light-colored hair who is sitting in the chair. The elderly woman is looking up at the younger woman. The background is bright and slightly blurred, showing a window and some greenery.

What good looks like



Q&A



Thank you

Our Next Webinar, 'What to do
when you get the Call' is on 14th
March, 12-1pm

