CQC Assessment and Review Procedure and Guidance Mapping Tool

> **Using this tool:** This tool has been developed to support local authorities to map their procedures and guidance against the 4 themes covered in a CQC assessment and review process. It can be amended and adapted as required without seeking further permissions from tri.x.
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> **Related tri.x content:** This section has been pre-populated, based on the core content available to all tri.x customers. Please note, this may need to be amended to reflect the content provided to your local authority. This is because not all local authorities use all available content, and sometimes the title of procedures is changed to reflect local terminology. If your Safeguarding Adults Board also uses tri.x, you may wish to add relevant content from this manual to the table.

Theme 1: Working with People

Theme 1 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.

It is divided into 3 areas:

- Assessing needs
- Supporting people to live healthier lives
- Equity in experiences and outcomes.

Area	Summary	Related tri.x content	Related local content
Assessing needs	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.	Deciding the Outcome of a Contact or Referral Actions and Next Steps - Allocation for Support, Assessment or Review - Urgent or Interim Care and Support Preparing to Establish Needs The Skilled Conversation - A Strengths Based Approach - A Whole Family Approach - Talking about Individual Wellbeing Agreeing Needs and Making and Formal Record Understanding and Applying Eligibility Criteria Communicating the Outcome and Next Steps	

		Care and Support Planning/Support Planning	
		Preparing to Carry out a Care and Support/Support Plan Review	
		The Full Review Conversation	
		The Light Touch Review Conversation	
		Deciding the Outcome of a Care and Support/Support Plan Review and Making a Formal Record	
		Direct Payments	
		Individual Service Funds	
		Financial Assessment	
		Risk Assessment	
		Joint Work	
		NHS Continuing Healthcare	
		NHS-funded Nursing Care	
		Joint Packages of Health and Social Care	

		End of Life Procedures and Practice Guidance	
Supporting people to live healthier lives	The local authority works with people, partners and the local community to promote independence and support people to prevent, delay or reduce their needs for care and support. It does this by providing a range of services and facilities. People in the area have access to the advocacy, information and advice they need to make informed decisions about how to meet their care and or support needs.	Technology Enabled Care Actions and Next Steps • Providing Information and Advice • Accessing a Prevention Service • Using Independent Advocacy The Reablement Plan The Reablement Review • Planning to End Reablement The Skilled Conversation (Occupational Therapy) Providing Direct Support Joint Work	
Equity in experiences or outcomes	• 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	Actions and Next Steps • Using Independent Advocacy Preparing to Establish Needs • Consent, Refusal and Engagement Difficulties Care and Support Planning	

	Ensuring people are encouraged to give feedback, which is acted on and used to drive improvements	• Mental Capacity and Engagement Difficulties Preparing to Carry Out a Care and Support/Support Plan Review • Consent, Refusal and Engagement Difficulties Interpreter and Translation Services	

Theme 2: Providing support

Theme 2 covers:

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

It is divided into 2 areas:

- Care provision, integration and continuity
- Partnerships and communities

Area	Summary	Related tri.x content	Related local content

Care provision, integration and continuity	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.	Actions Following a Care and Support Plan Review • Reporting Concerns about a Service Provider Service Interruptions and Provider Failure	
Partnerships and communities	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.	Actions and Next Steps • Accessing a Prevention Service Providing Information about a Person or Carer Individual Service Funds Joint Work NHS Continuing Healthcare NHS-funded Nursing Care	

		Joint Packages of Health and Social Care	
		No Recourse to Public Funds	

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

Theme 3 covers:

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

It is divided into 2 areas:

- Safe systems, pathways and transitions
- Safeguarding

Area	Summary	Related tri.x content	Related local content
Safe systems, pathways and transitions	Safety is a priority for everyone, and leaders embed a culture of openness and collaboration. Care and support is planned and organised with people, partners, and communities in ways that improve their safety across their care journeys and ensures continuity in care, particularly	The Skilled Conversation • Talking about Risk Care and Support/Support Planning • The Skilled Conversation: Risk and Contingency Actions Following a Care and Support/Support Plan Review	

	when people move between different services.	• Reporting Concerns about a Service Provider • Whistleblowing Transition to Adult Care and Support (all chapters within contents list section) Providing Information about a Person or Carer Risk Assessment Joint Work Continuity of Care Arrangements Cross Border Placements Section 117 Aftercare Ordinary Residence Deputyship and Financial Affairs Prisons and Approved Premises No Recourse to Public Funds Protecting Moveable Property and Belongings	

Safeguarding	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. People are supported to make choices that balance risks with positive choice and control in their lives. 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.	Safeguarding Adults Deprivation of Liberty Safeguards Procedure Recognising and Responding to Deprivations of Liberty Risk Assessment Acting as an Appropriate Adult	

Theme 4: Leadership

Theme 4 covers:

- strategic planning
- learning
- improvement
- innovation

- governance
- management
- sustainability.

It is divided into 2 areas:

- Governance, management and sustainability
- Learning, improvement and innovation.

Area	Summary	Related tri.x content	Related local content
Governance, management and sustainability	There are effective governance and performance management arrangements at all levels. These provide visibility and assurance on: • delivery of Care Act duties and risks to delivery • quality and sustainability • people's care and support experiences and outcomes The local authority uses information about risks, performance, inequalities and outcomes to: • inform strategy • allocate resources • deliver the actions needed to improve care and support outcomes for people and local communities	Recording and Keeping Record Providing Information about a Person or Carer Legal Services	

Learning, improvement and innovation	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 and this is shared by all leaders and staff across the organisation and with their partners.		

Appendix A: Quality Statements and I Statements

For each theme there are 'Quality Statements' and/or 'I Statements'.

- Quality statements are what local authorities must commit to. During the assessment and review of your local authority, the CQC will want to know how it is meeting the commitments in the quality statements, and, where commitments are not being met, what plans are in place to make improvements.
- I statements are what people expect. During the assessment and review, the CQC will speak to adults, carers and partner agencies to find out what their experiences are to see how well these experiences align with the I Statements.

Theme	Quality Statement/s	I Statements

1.Working with people – Assessing needs	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.
1.Working with people – Supporting people to live healthier lives	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.
1.Working with people – Equity in experiences and outcomes	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.
2.Providing support – Care provision, integration and continuity	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.
2.Providing support – Partnerships and communities	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.	N/A

3.How local authorities ensure safety within the system – Safe systems, pathways and transitions	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.
3.How local authorities ensure safety within the system – Safeguarding	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.
4.Leadership - Governance, management and sustainability	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.	N/A
4.Leadership - Learning, improvement and innovation	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.	