

Report of the Commissioning & Contracts Manager, Adults
Commissioning, Modernisation & Provision (ACE).

Quality Monitoring of Residential, Nursing & Homecare Services.

Summary

1. This report provides Members of HOSC with an overview of the processes in place to monitor the quality of services delivered by providers of Residential/Nursing Care and Homecare in York. Services are regulated and monitored by the Care Quality Commission. The Council also undertakes additional monitoring and quality assurance evaluation, which is undertaken by the Contracts and Quality Monitoring officers within the Adults Commissioning Team.
2. The report also provides Members with a summary of the current performance of providers against CQC Standards and the Council's own standards for performance and quality.

Background

3. All services are regulated by the Care Quality Commission (CQC) and as the regulator it carries out annual inspection visits and follow-up visits (announced/unannounced) where applicable. All reports are within the public domain and CQC have a range of enforcement options open to them should Quality and Standards fall below required expectations.
4. The Adults Commissioning Team work closely with CQC in the sharing of concerns and information relating to provision but the Council also adopts its own monitoring process. The standards that it sets are high and providers are expected to achieve compliance in all aspects. Should performance fall below the level that is acceptable, a provider will be placed on an enhanced monitoring

plan or an improvement plan. This can also lead to placements being suspended until quality and performance improves.

5. The monitoring approach to both areas is set out below. The Council also adopts a similar approach to the Quality management of its own in-house Elderly Persons Homes and Homecare Services and from January 2013, all aspects of Quality monitoring within the sector will be part of the Adults Commissioning Team to ensure a consistent approach.

Residential, Nursing & Homecare Services - Monitoring

Residential & Nursing Care;

6. The Council adopts a consistent and significant degree of contract monitoring across all the services it commissions. Taking information from several areas it enables the Council to monitor performance and quality of the services it purchases and ensure successful outcomes and quality for the people whom receive services.

As part of its approach to monitoring the Council;

- Conducts Quality Monitoring and Audit reviews of Services involving Customers and Relatives
- An analysis of any complaints/concerns made by Individuals/Carers and an analysis of issues raised by Care Managers.
- Analysis of any Safeguarding Referrals made.
- Close liaison and discussion with the Care Quality Commission regarding standards and quality.
- Sharing of information on Quality, Standards and Performance with Health Colleagues
- Undertakes Joint visits where required with Health.
- Analysis of performance against standards set within service contracts.

What happens if a Provider does not meet required standards?

Feedback on performance is always shared with providers, and issues are addressed in business and review meetings. Progress on these issues are followed up at subsequent meetings. If a Provider over a period of time fails to meet the requirements set by the Council then it will be placed on an enhanced monitoring or

Improvement Plan and given specific timescales to achieve the desired improvement. Any Provider placed on an improvement plan would be subjected to enhanced monitoring during the period that the plan is in place. Where improvements are not delivered contractual remedies will be considered and applied, with appropriate risk management plans developed.

Homecare;

7. Again the Council adopts a consistent and significant degree of contract monitoring across all the homecare services it commissions. Taking information from several areas it enables the Council to monitor the performance and quality of the services it purchases, to ensure successful outcomes and quality for the people whom receive these services.

As part of its approach to monitoring the Council;

- Conducts a quarterly survey of 25% of all individuals whom are using home care services, this captures their views on the quality of the services they receive, the timings of visits and if they are being treated with dignity and respect. Surveys are also carried out on all services provided by Council Carers.
- Quarterly analysis of any complaints/concerns made by Individuals/Carers and an analysis of issues raised by Care Managers.
- Analysis of any Safeguarding Referrals made.
- Analysis of information provided by partners through their "Home Care Monitoring Systems" where active. This includes details of all late/missed calls, numbers of carers visiting people, times of call in line with individuals requirements and actual service delivery.
- Quarterly Business Meetings, Six Monthly Reviews and an Annual Review.
- Analysis of performance against standards set within service contracts.
- Copies of Provider Surveys and reviews of complaints and compliments log.

What happens if a Provider does not meet required standards?

Feedback on performance is always shared with providers, and issues are addressed in the regular business meetings and review meetings. Progress on these issues is followed at subsequent

meetings. If a Provider over a period of time fails to meet the requirements set by the Council then it will be placed on an enhanced monitoring plan or Improvement Plan and given specific timescales to achieve the desired improvement. Any Provider placed on an improvement plan would be subjected to enhanced monitoring processes during the period that the plan is in place. Where improvements are not delivered contractual remedies will be considered and applied, with appropriate risk management plans developed.

8. Within both areas of provision, individuals in receipt of services and their carers if they have any concerns or wish to complain are asked to contact the provider in the first instance to try and resolve the matter. Most concerns are addressed at this stage without the Customer having to contact the Council. They can however contact the Council direct (their Care Manager or the Monitoring team) who will then work with the provider to address the concerns.
9. A customer can also contact the Council and complain directly through the Council's Complaints Policy which would be investigated in line with the Council's policy. The commissioning team are always advised of complaints even if they are not the investigating officers and the team would work with care management colleagues to seek a suitable resolution.

Quality Standards in York.

Residential & Nursing Care

10. There are currently 44 Registered Care Homes within York. These include services provided by the Council. The table below shows a summary of the number of homes meeting all the specified outcome areas as designated by CQC and reported within inspection reports.
11. CQC Essential Standards fall into 5 areas which have a number of outcome areas within. A full list of outcomes is attached at Annex A of this report.

The key areas are:

- Standards of treating people with respect and involving them in their care
- Standards of providing care, treatment and support that meets people's needs

- Standards of caring for peoples safely and protecting them from harm
- Standards of staffing
- Standards of quality and suitability of management

	Compliance (from most recently published report)				
	Standards of treating people with respect and involving them in their care	Standards of providing care, treatment and support that meets peoples needs	Standards of caring for people safely and protecting them from harm	Standards of staffing	Standards of quality and suitability of management
Residential and Nursing care					
Number of homes meeting all outcomes in standards group (X of 44)	44	42	40	43	44
Number of homes with improvements required in at least one outcome in standards group	0	1	4	1	0
Number of homes where CQC have taken enforcement action on at least one outcome in standards group	0	1	0	0	0
		4	7	13	
Outcomes requiring improvement			7		
			9		
			7		
			10		
Outcomes resulting in enforcement action		4			

12. In total, there are 4 Homes which currently have compliance issues listed against them.
 Two homes have one improvement action, One home has two improvement actions and One Home has three improvement and one enforcement actions . All the information from CQC is within the public domain and customers can also access details regarding inspection reports from the Council's website.

13. Members should note that one nursing home that was inspected recently resulted in a formal warning/enforcement notice stating that they must make urgent improvements to standard of care. The home failed in three outcome areas and the Council is supporting the home to take the action that it needs to improve its services and comply with statutory regulations and best practice. The home has agreed an action plan with CQC and the Council is using this as an improvement plan and monitoring as such.
14. There are 3 further homes classed as non-compliant, no homes are currently on improvement plans but all are currently subject to close monitoring arrangements. It is likely that one home may be placed on an improvement plan in the near future.
15. It should be noted that there is one additional provider recently inspected where CQC issued no compliance requirements, it does however continue to be monitored by the Council through an existing improvement plan.
16. As part of developing its on-going approach to monitoring services. Officers have been working closely with Health colleagues within the Infection Prevention & Control Nursing Service and are undertaking a pilot of 4 joint visits to share experiences and learning about monitoring of provision. The visits will be evaluated and as a result a joint approach to aspects of monitoring may become part of standard processes.

Home Care

17. There are 38 providers registered to provide Domiciliary Care in York. These are a varied range of providers including Council Framework providers, in house services, organisations specialising in Supported Living and small businesses. Out of the 38, 12 Home care providers are on the Council's framework for providing services directly under contract to the Council.
18. Members should also note that there have been a few new organisations developing in York of late and a number of these 8 have not been inspected by CQC to date or have had a change in circumstances meaning previous inspections are now not listed.
19. There are 8 specialist organisations which provide a number of supported living services to the Council. Members should note that

whilst these are registered as domiciliary care support, the Council also has significant monitoring processes in place as part of its commissioned services to monitor and directly contract these services.

20. The main Council monitoring is obviously focused on the providers who are commissioned to provide services directly to the Council. Providers on the Council framework at present provide approximately 6000 hours of services per week to around 820 customers. Of the 12 providers on the Council's three tiered framework, only one provider has compliance actions from CQC. This provider is also on an action plan with the Council and by mutual agreement is not accepting any new customers onto services. Council officers are working very closely with both the provider and CQC and significant progress has been made with the organisation in meeting the outcomes of the plan put in place by the Council.
21. The table below identifies the position in relation to the current inspection reports detailed by CQC, the Essential Standards and Outcomes are as detailed earlier within this report.

	Compliance (from most recently published report)				
Home Care	Standards of treating people with respect and involving them in their care	Standards of providing care, treatment and support that meets peoples needs	Standards of caring for people safely and protecting them from harm	Standards of staffing	Standards of quality and suitability of management
Number of Providers meeting all outcomes in standards group (8 Providers awaiting inspection)	30	30	29	28	29
Number of Providers with improvements required in at least one outcome in standards group	0	0	1	2	1
Number of Providers where CQC have taken enforcement action on at least one outcome in standards group	0	0	0	0	0
Outcomes requiring improvement			7	14	21
				14	

22. Members should note that there is one provider who is non compliant in three of the areas detailed above and that this is a framework provider. Alongside this the other non compliant provider (one area) is not on one of the Council framework contracts.
23. There are also three providers who are on enhanced monitoring arrangements from the Council, none are on formal improvement plans and improvements have been made which should hopefully move providers back onto standard monitoring in the immediate future.

Analysis

24. This report informs Members both of the processes that are in place to ensure services are monitored appropriately and that measures are in place should performance and quality fall below the standards expected by the Council. Members will note that the Council adopts its own high level of expectation from Providers and at times takes action even if providers are deemed to be CQC compliant.
25. Members will note that 93% of all providers in York are meeting all essential standards, the position nationally as published by CQC in their Market Report (June 2012) was 72%.
26. Members are asked to consider if they wish to receive a shortened version of this report focusing on the compliance and standards provision across the sector and if they would like to receive this quarterly or every 6 months.

Implications

Financial

27. There are no finance issues associated with this report.

Equalities

28. There are no direct equality issues associated with this report

Other

29. There are no implications relating to Human Resources, Legal, Crime and Disorder, Information Technology or Property arising from this report.

Risk Management

30. There are at present no risks identified with issues within this report.

Recommendations

- Members receive a shortened version of this report on six monthly basis to consider the performance and standards of provision across care service in York.

Reason: To inform Members of the Quality of provision across Residential and Home Care services in York.

Contact Details

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Report Approved **Date** *8 January 2013*

Pete Dwyer
Director of Adults, Children and
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Report Approved **Date** *8 January 2013*

Specialist Implications Officer(s)

Wards Affected:

All

For further information please contact the author of the report

Background Papers:

Annexes: **CQC Essential Standards**