

## Appendix 8 - Providers guide to Care Governance

The aim of this document is to define the purpose and procedures of the Care Governance Board and how its operation might impact on services and providers.

As you will already know the Care Quality Commission (CQC) use a compliance system to show how well a service is performing against Key National Standards. CQC then use this information (in addition to other feedback) to assess the performance of Adult Social Care departments in terms of procuring and delivering quality services to its residents. In line with this, the Care Governance Board seeks to draw together and review information gathered from various sources in order to ensure that services commissioned are of a high standard

The dissemination of information through the Contracts and Care Governance Team will ensure that Heads of Service are immediately informed of any concerns that indicate a possible safeguarding or service quality issue. The Head of Service will decide, based on the information they have, whether the Caution List Process needs to be followed. This process allows for the handling and action of potential or known safeguarding or quality concerns regardless of the considered level of risk.

**Caution List :** A list of providers

- With whom new placements are not made, or made with caution, where quality and/or safeguarding adults concerns are being investigated or where a contractor is in “breach” of contract.

### **The Caution List Process**

Once a Head of Service has decided a service or a provider should be added to the Caution List it will remain on the Care Governance Board agenda for monitoring purposes until the board are satisfied that all issues have been resolved.

Each service/provider on the Caution List will be given a commissioning status as follows:

- Red – High risk
- Amber – Medium risk

Red flagged services – will have a robust agreed action plan put in place which will be closely and regularly monitored. No new services will be commissioned. Existing

services will be closely monitored and movements made where they are deemed necessary.

Amber flagged services – will have a robust agreed action plan put in place which will be closely and regularly monitored. New services will be commissioned with caution on a case-by-case basis. Existing services will be closely monitored and movements made where they are deemed necessary.

Green flagged services – will have completed the action plan and made any recommended changes within their service. An on going action plan may be in place if required but commissioning will resume to normal and the provider will be removed from the Caution List. Green flagged services will not appear on the caution list.

At each Care Governance Board meeting a decision will be made as to:

- which new providers/services have been or need to be added to the list and their commissioning status;
- whether providers currently on the list should remain and what their change in commissioning status is, if any
- Whom and what should be communicated within and outside BFC for any cases discussed.

If a provider is placed on the Cautions List they will be advised of this in writing and provided with a designated contact at the Council who will liaise with them regarding action planning and improvements.

To this end, Providers are expected to provide;

- A prompt response to issues that have resulted in the flag status
- Ensure attendance at any meetings (including safeguarding meetings, where appropriate) that are requested in relation to the flag status.
- The completion and submission of timely action plans

Following the Care Governance Board meeting the Contracts Team will update the Cautions List and communicate to the rest of the board regarding any new cases or updates as agreed. The Contracts Team will also inform/update providers on their status. It may be that they are asked to provide details of the people that they have at their homes, which are funded by bodies other than Bracknell Forest Council.

### **Sources of Information**

There is information from a range of sources that will help the Care Governance Board and Heads of Service determine risk and commissioning status:

- **CQC Reports and Regulatory Letters/Information**

CQC publish reports for all services inspected on their website. On a monthly basis they circulate notifications to local authorities of all inspection reports that have been published in the previous month (for services in their area). They may also contact local authorities if they have concerns about a home in their area.

- **Cautions, alerts or referrals from other Local Authorities**

Where other Local Authorities have safeguarding concerns about the quality of services, they will alert either the Contracts and Care Governance Team or Care Management Teams. Safeguarding Adults Co-ordinators from local authorities also share information about services known to them.

- **Referrals to the Local Authority Safeguarding Adults Alerts**

Safeguarding alerts are made to Care Management Teams or the Contracts Team which may lead to Safeguarding Adults investigations.

- **Deprivation of Liberty Safeguards (DOLS)**

Requests made and/or authorised under the Mental Capacity Act in relation to DOLS are monitored and reported on by the Adult Safeguarding Service Manager and may highlight service concerns.

- **Complaints, MP enquiries and Member enquiries**

BFC has procedures to respond to complaints, MP and Member enquiries. Where complaints or enquiries are made regarding service delivery for Adult Social Care services these are raised with the relevant team.

- **Financial Checks and Insurance Checks**

Credit checks measure financial robustness and can be carried out at any time by the Council. Services are required to have a range of insurances in place, depending on the nature of the service provided. Services without adequate insurance place service users and the Council at risk. The Contracts Teams monitors providers policy expiry dates and may ask for a copy of the renewal certificate.

- **Feedback from Individuals, Providers, Reviews and Quality Assurance Monitoring**

Any individual in contact with a service may raise concerns about its quality. This might be a person receiving a service, their friends or family, carers, an employee of a provider or a professional visiting the service. Such information will be received through a range of routes depending on the informant. Service providers themselves may inform the Council about an issue relating to their own service or another service they know of.

- **Feedback from Quality Assurance monitoring**

In consultation with operational teams and providers, the Contracts Team undertake annual Quality Assurance reviews of all care homes and home care providers in the borough via desk top and field based monitoring.

More frequent Quality Assurance reviews may be undertaken for providers that are deemed to be medium or high risk.