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10 December 2024

To: All Members of the Adults & Health Scrutiny Panel

Dear Member,

Adults & Health Scrutiny Panel - Tuesday, 17th December, 2024

I attach a copy of the following reports for the above-mentioned meeting which were not available at the time of collation of the agenda:

**9. QUALITY ASSURANCE/CQC OVERVIEW (PAGES 1 - 14)**

To provide details of recent quality assurance activity carried out in Haringey.

Yours sincerely

Dominic O'Brien,  
Principal Scrutiny Officer

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<b>Report for:</b>	Adults and Health Scrutiny Panel –
<b>Title:</b>	Overview of Quality Assurance within the Adult Social Care Provider Market for Haringey residents (December 2023 – November 2024)
<b>Report authorised by:</b>	Rebecca Cribb, Head of Commissioning and Resident Finances
<b>Lead Officer:</b>	Richmond Kessie, Commissioning and Quality Assurance Officer, London Borough of Haringey
<b>Ward affected:</b>	N/A
<b>Report for Key / Non-Key Decision:</b>	Report for Information

## **1. Describe the issue under consideration.**

- 1.1. This paper reports on the most recent quality assurance activity of adult social care providers carried out by Haringey Council (the Council), working in partnership with host local authorities, Integrated Care Board (ICB) and the Care Quality Commission (CQC); providing a general overview of inspections carried out in the borough between December 2023 and November 2024 as well as an update on the implementation of Haringey's Quality Assurance and Contract Management Framework (QACMF).
- 1.2. It is worth noting from the outset the prevailing challenges and pressures for care providers. As reported to this Panel previously, inflation and increases in Living Wage continue to cause cost pressures for care providers. Although these pressures have been mitigated by our annual inflationary uplift process aims for a fair and equitable allocation of available funding to providers, given the limited government funding available we have been unable to completely eliminate, only reduce, this pressure and continue to work with providers towards paying a fair cost of care across the provider market.
- 1.3. We continue to build close partnerships the provider market, with well attended monthly Provider Forums, and strive towards delivering high-quality and sustainable services.

## **2. Cabinet Member Introduction**

- 2.1. N/A

### **3. Recommendations**

- 3.1. The Adults & Health Scrutiny Panel is asked to note the contents of this report and feedback and comment on the work to quality assure the adult social care sector in Haringey.

### **4. Reasons for decision**

- 4.1. N/A

### **5. Alternative Options Considered**

- 5.1. N/A

### **6. Background Information**

#### **6.1. *Local Authorities' Role in Adult Social Care***

Local authorities play a critical role in ensuring the quality and safety of the adult social care provider market. Under the Care Act 2014, they have a duty to oversee and support a sustainable care market that delivers high-quality, person-centred services to meet the needs of residents. This involves working collaboratively with providers to maintain robust quality assurance processes, addressing any concerns, and promoting continuous improvement. Local authorities must also monitor compliance with regulatory standards, such as those set by the Care Quality Commission (CQC) and intervene where providers fail to meet these requirements. By engaging in quality assurance, local authorities help safeguard the well-being of vulnerable adults, reduce risks, and build public confidence in the care system.

#### **6.2. *Haringey's Adult Social Care Market***

In the 12 months to November 2024, Haringey provided services to 5,348 clients and commissioned care from just over 220 CQC-registered providers, compared to approximately 250 in the previous year—a noticeable reduction due to a combination of care packages no longer being required and packages being handed back as the provider can no longer meet client needs. Of these providers, nearly 28% were based within Haringey, a proportion similar to the previous 12-month period.

Table 1: Commissioned provider locations, Dec 2023- Nov 2024, by CQC Rating

	LBH Commissioned Providers			
	Number of registered providers	CQC rated Good or Outstanding	CQC rated RI or Inadequate	Not yet CQC rated
In-borough - Host	86	55	8	23
		64%	9%	27%
In-borough – Commissioned by LBH	64	59	5	0
		92%	8%	-
Out of borough – Commissioned by LBH	180	150	26	4
		83%	14%	2%

As the host authority, LB Haringey oversees 86 CQC-registered providers, some of which operate multiple locations within the borough; a net increase of one provider compared to the previous 12-month period. While a significant proportion of in-borough providers (23 providers, or 27%) remain unrated—a net increase of 10 providers compared to the previous year—our policy of not placing with unrated providers ensures that 92% of our in-borough placements are with providers rated *Good* or *Outstanding*.

However, we are commissioning from 8 fewer in-borough provider locations compared to the previous 12-month period. Several of these providers have exited the care market and others have changed their registration address to another borough.

83% of out-of-borough placements are with providers rated *Good* or *Outstanding*; unchanged from the previous 12-month period. However, there has been a decrease in the number of out-of-borough placements that are *Not Yet Rated*, as well as a corresponding rise in those rated *Requires Improvement* (RI) or *Inadequate*, though the total number remains low (26 locations). Placements with lower-rated or unrated providers occur only in cases of client choice or when a provider's CQC rating changes after placement. The Quality Assurance team conducts due diligence before any placement is made, and if a provider's rating falls below *Good*, welfare checks are carried out to ensure the safety and well-being of clients.

### 6.3. ***New and closed services***

Since December 2023, eight new domiciliary care agencies have registered in Haringey, contributing to the expansion of home-based care services in the area. This compares to one new service in the previous 12-month period.

No new care homes have registered in Haringey during the same period, indicating a potential stagnation in the growth of residential care options.

In addition, three care services have closed in Haringey since December 2023 due to financial viability issues, which may impact the availability of services in the borough. This is comparable to the four service closures reported in the previous 12-month period.

#### 6.4. Providers requiring quality assurance intervention - active casework.

Currently, 15 providers commissioned to provide care by LB Haringey, have been identified as high risk and in need of intervention by either or both the Council and the ICB. Of these, six providers are based in Haringey, and LB Haringey is leading the intervention efforts for these providers, collaborating with ICB and CQC as needed. For the remaining nine providers, the host respective local authorities lead the intervention, with LB Haringey contributing to their activities and processes. All 15 providers are currently suspended from receiving new packages of care from LB Haringey.

Table 2 below provides a summary of the six Haringey-based providers identified as "high risk," along with an outline of the quality assurance interventions to date.

The Quality Assurance Team is also working with an additional three providers in Haringey identified as requiring intervention by the Council, the Integrated Care Board (ICB), or both, and is collaborating with the CQC as needed.

Over the past 12 months, the QA team has assisted two providers in implementing improvements following unfavourable CQC inspection ratings. As a result, we are now confident that both providers will achieve favourable ratings in their next CQC inspections. Additionally, the team supported another provider in enhancing their service quality to address concerns related to the standard of care.

*Table 2: Summary of High-risk in-borough providers*

Provider Ref	Service type	No. LBH funded residents	Summary of Risk	Actions taken/ Outcome
EH	Care Home	2 (of 9 clients)	CQC Requires Improvement rating in all 5 areas (safe, effective, caring, responsive and well-led) in Sept 2022	<ul style="list-style-type: none"> <li>• Provider suspended from receiving new referrals.</li> <li>• QA team visited on several occasions to review the improvement plan.</li> <li>• QA team is satisfied with the improvements made.</li> <li>• QA team believes the provider is ready for CQC reinspection.</li> <li>• CQC has been informed of the improvements and a request for an</li> </ul>

				inspection has been submitted.
BR	Care Home	6 (of 6 clients)	CQC Requires Improvement rating 3 areas (safe, effective, and well-led) in May 2023	<ul style="list-style-type: none"> <li>• QA team visited on several occasions to review the improvement plan.</li> <li>• QA team is satisfied with the progress and improvements made.</li> <li>• QA team believes the provider is ready for CQC reinspection.</li> <li>• QA team has informed CQC of the improvements and requested an inspection of the service.</li> </ul>
NH	Home Care	10	CQC Requires Improvement rating in two areas (safe and well-led) in July 2022	<ul style="list-style-type: none"> <li>• Provider suspended from receiving new referrals.</li> <li>• Improvement plan received from the provider.</li> <li>• QA team visited to review the improvement plan.</li> <li>• Provider advised that further improvements are needed.</li> </ul>
LCC	Home Care	48	CQC Requires Improvement rating in 3 areas (safe, responsive, and well-led) - in December 2023	<ul style="list-style-type: none"> <li>• Provider suspended from receiving new referrals.</li> <li>• Improvement plan received from the provider.</li> <li>• QA team visited to review the implementation of the improvement plan.</li> </ul>

				<ul style="list-style-type: none"> <li>• Further improvements are required.</li> <li>• QA team will schedule another visit to assess the ongoing implementation of the plan.</li> </ul>
AC	Home Care	10	CQC Requires Improvement rating in 2 areas (safe and well-led) in February 2024	<ul style="list-style-type: none"> <li>• Provider suspended from DPS activity.</li> <li>• QA team is satisfied with the improvements and believes the provider is ready for CQC reinspection.</li> <li>• CQC has been informed of the improvements, and a request for an inspection has been submitted.</li> </ul>
NL	Home Care	14	Whistleblowing report from a former staff member alleges fraud related to DP payments, staff payments, and staff working without the right to work in the UK.	<ul style="list-style-type: none"> <li>• Provider suspended from receiving new referrals.</li> <li>• QA team visited the provider.</li> <li>• Concerns raised regarding recruitment practices and lack of management oversight.</li> <li>• Provider submitted an improvement plan.</li> <li>• QA team visited to review the implementation of the improvement plan.</li> <li>• Some improvements have been made</li> </ul>



				in recruitment practices. <ul style="list-style-type: none"> <li>• Ongoing concerns which provider has been asked to address</li> </ul>
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Table 3 below provides summary information of the nine out of borough providers currently identified at “high risk”, including an outline of the quality assurance interventions to date.

Over the past 12 months, the QA team successfully supported an out-of-borough provider in implementing improvements, leading to a 'Good' rating in their CQC reinspection.

*Table 3: Summary of High-risk Out-of-borough providers*

<b>Provider Ref</b>	<b>Service type</b>	<b>Local authority Lead</b>	<b>LBH funded residents</b>	<b>Summary of concerns</b>	<b>Actions taken/ Outcome</b>
DC	Home care	Islington	73	<ul style="list-style-type: none"> <li>• Whistleblowing report regarding poor recruitment practices (e.g., no DBS on file for staff), and carers not adhering to allocated time.</li> <li>• CQC inspection resulted in a Requires Improvement (RI) rating in two areas: Safe and Well-Led – in February 2023</li> </ul>	<ul style="list-style-type: none"> <li>• Islington is leading the provider concern process.</li> <li>• Regular QA visits and meetings are conducted to monitor staff and client files.</li> </ul> <p>Ongoing meetings with the provider to work through the improvement plan.</p>
SSCG	Home Care	Camden	57	<ul style="list-style-type: none"> <li>• Safeguarding Concerns raised regards to poor quality of care.</li> </ul>	<ul style="list-style-type: none"> <li>• Improvement plan is in place with timelines for actions to be completed.</li> </ul>

				<ul style="list-style-type: none"> <li>• CQC inspection rated provision RI in 2 areas (safe and well-led)</li> </ul>	<ul style="list-style-type: none"> <li>• QA team to schedule a visit soon to assess the implementation of the action plan.</li> </ul>
AH	Nursing Home	Enfield	1	<ul style="list-style-type: none"> <li>• CQC Rated Inadequate by CQC and issued an enforcement notice.</li> </ul>	<ul style="list-style-type: none"> <li>• Provider now rated Requires Improvement (RI) in 4 areas: Safe, Effective, Responsive, and Well-Led following reinspection.</li> <li>• LBH client reviewed and offered the choice to move, but happy with the placement. Enfield lifted the suspension but will continue to monitor the service.</li> </ul>
ARNH	Nursing	Barnet	5	Missed medication and allegations of neglect.	<ul style="list-style-type: none"> <li>• Barnet is leading the provider concerns process and conducting visits twice weekly.</li> <li>• All 5 LBH clients have been reviewed with no concerns regarding their care.</li> <li>• Barnet is satisfied with the improvements made and has approved up</li> </ul>

					to 5 new admissions.
EC	Supported Living.	Enfield	7	The co-director and registered manager resigned, and there is currently no registered manager in place.	<ul style="list-style-type: none"> <li>• Enfield is leading the establishment concern process.</li> <li>• A new interim manager has been appointed to oversee the service.</li> <li>• New Registered Manager (RM) application submitted to CQC.</li> <li>• All LBH residents have been reviewed, with no concerns raised regarding care and safety.</li> </ul>
AL	Care Home	Barnet	3	CQC issued a warning notice following the November 2024 inspection regarding Regulations 9, 12, 14, 17, and 18.	<ul style="list-style-type: none"> <li>• Barnet is leading the provider concern process.</li> <li>• QA team is attending the provider concern meetings.</li> <li>• Care management Teams undertaking welfare checks</li> </ul>
PHEL	Supported Living	Newham	1	<ul style="list-style-type: none"> <li>• Complaints from a resident's family regarding</li> </ul>	<ul style="list-style-type: none"> <li>• Care management asked to review client and report any</li> </ul>

				<p>poor quality of care.</p> <ul style="list-style-type: none"> <li>• Ongoing s42 safeguarding investigation in relation to a resident.</li> <li>• Changes in senior leadership and management, with senior staff leaving due to difficulties in partnership working with the Council.</li> <li>• Concerns about staff culture, morale, and support.</li> </ul>	concerns to QA team
SNH	Nursing home	Enfield	12	<ul style="list-style-type: none"> <li>• Concerns raised regarding cleanliness.</li> <li>• CQC has completed an inspection; outcome pending.</li> </ul>	<ul style="list-style-type: none"> <li>• Enfield is monitoring and satisfied with the progress made regarding the implementation of the improvement plan.</li> </ul>
ML	Supported Living	Enfield	12	<ul style="list-style-type: none"> <li>• Rated Requires Improvement (RI) in 2 areas (Safe and Well-Led) by CQC.</li> <li>• Concerns raised by LBH due to the high level of safeguarding incidents received.</li> </ul>	<ul style="list-style-type: none"> <li>• Care management has reviewed all LBH clients, with no concerns raised.</li> <li>• Enfield is leading the provider concern process and will monitor the provider for the next 3 months.</li> </ul>

### 6.5. **Employers Sponsorship License**

The care industry has faced significant staffing shortages in the wake of Brexit, prompting the government to introduce the Employer Sponsorship License. This initiative allows care providers to sponsor carers from abroad to help address the workforce gap. However, regionally, and nationally some providers have failed to comply with the terms of their sponsorship agreements, leading to the suspension or revocation of their licenses.

In the past 12 months, three out-of-borough providers supporting Haringey clients had their licenses suspended. In response, the QA team took swift and decisive action to ensure the safety and well-being of affected residents.

Additionally, there has been a coordinated response across the North Central London (NCL) sub-region. Through the *Proud to Care North London* initiative, efforts are being made to support displaced care workers by matching them with job vacancies within the care sector, helping to mitigate the impact of these disruptions.

### 6.6. **CQC Inspections**

In the past 12 months, two CQC-registered locations in Haringey have undergone inspections, a decrease from seven in the previous 12-month period:

- One home care provider was downgraded from *Good* to *Requires Improvement*.
- One residential/nursing care provider, currently rated *Good*, is still awaiting the outcome of its inspection.

Table 4: CQC Inspection Outcomes in the last 12 months

	Outstanding	Good	Requires improvement	Inadequate	Total
Community based	0	0	1	0	1
Care homes	0	0	0	0	0
Total	0	0	1	0	1

### 6.7. **LB Haringey Quality Assurance and Contract Monitoring (QACMF) Framework - Update**

#### i. Background

The Quality Assurance and Contract Management Framework (QACMF) was launched in November 2023. It provides the rationale and guidance on how the Council monitors and supports adult social care providers with provision of contractually compliant and quality assured services.

It also provides the process through which the Quality Assurance (QA) and Contract Management functions link with each other, Safeguarding processes, Council-to-Council risk management, other stakeholders and the CQC.

The Framework aims to establish a comprehensive approach for LB Haringey Adult Social Care to monitor and assure the quality of provider services. It emphasises the importance of contract monitoring throughout the commissioning cycle, facilitating communication about provider concerns, and managing risks associated with quality and safeguarding issues.

This framework complements existing procedures in Safeguarding, and the Establishment Concerns Process and is designed to support service improvement while outlining clear decision-making responsibilities for staff.

ii. Progress since November 2023

The QACM Framework was introduced to Adult Social Care staff in November 2023. This included an introduction to the new referrals process, which exists within the adult social care case management system, Liquid Logic, and sharing of the process through which referrals are made and how they are managed.

The QACM Board, chaired by the Head of ASC Commissioning, launched in February 2024. The Board has as part of its membership the Head of Safeguarding, Quality Assurance, Commissioning and Brokerage team members, the Principal Social Worker and other social care colleagues. The Terms of Reference for the Board give it decision-making power to decide at what stage of the QACM Framework a provider should be in and provides the forum for discussion and agreement on how they will be managed to improve quality outputs.

Since the framework's introduction, the Quality Assurance (QA) team has been actively monitoring and addressing service concerns. Over the past 12 months, they have conducted 45 visits to providers, both within and outside the borough, to assess service quality and investigate issues. The QA team has also resumed quarterly information-sharing sessions with the Integrated Care Board (ICB), the Care Quality Commission (CQC), and the safeguarding team. Furthermore, regular monthly forums with home care and care home providers continue to foster collaboration and support improvements in service delivery.

The Commissioning function has embedded contract management with block contract-provision providers. This is undertaken at least quarterly, but often monthly. Workbooks have been developed for providers to complete in advance of contract management meetings, based upon their contractual obligations with the Council.

At least one meeting a year takes place in-person at the provider's premises, which provides Commissioners with the opportunity to meet several members of the team and understand more about the provider's offer.

Dashboards for both contract management and quality assurance functions have been developed, to give an overview of activity taking place within each area. These are presented at each QACM Board meeting.

iii. Next steps

Reporting through Liquid Logic, the Council's Adult Social Care Case Management System, is in development, as more colleagues use the referrals process.

Improved links between the Quality Assurance team and Safeguarding continue to be embedded within business-as-usual activities, such as increased invitations to Case Conferences by Safeguarding to Quality Assurance team members.

Resourcing will be needed to expand the number of providers who fall within contract management eligibility. The proposed list of providers includes those with whom Haringey has either high volume of spend and / or number of people supported, and totals almost forty suppliers.

Via the Commissioning Co-Production Group, a set of questions are being developed for Commissioners and Quality Assurance (QA) Officers to ask residents and carers about the services they receive from a provider who is either having a contract management meeting or QA intervention.

These questions are based around themes such as feeling safe, being involved in one's support and independence. We are working with Speech and Language Therapy and our Communications team to produce multiple versions of the questions to be able to reach the widest possible audience for feedback about services.

**7. Statutory Officers comments (Chief Finance Officer (including procurement))**

**7.1. Finance and Procurement**

This is an update report for noting and as such there are no direct financial implications associated with this report.

**7.2. Legal**

This is an update report for noting and as such there are no recommendations for action that have a direct legal implication.

**7.3. Equality**

This is an update report for noting and as such there are no recommendations for action that have an Equality implication.

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