Good and outstanding care

Transitional monitoring approach

Well-led

This resource includes good practice recommendations related to the Care Quality Commission's (CQC) Transitional Monitoring Approach focus being used by inspectors from October 2020.

Whilst the recommendations predate the COVID-19 pandemic, they provide insight from existing CQC inspection reports as what constitutes good and outstanding practice.

As part of their Transitional Monitoring Approach, CQC inspectors will look at some key areas of Well-led from their fuller inspection process. This includes supporting the service, transparency, keeping up to date, monitoring quality, learning and innovation.

The document covers the following Key Lines of Enquiry:

W2. How does the governance framework ensure that responsibilities are clear and that quality performance, risks, and regulatory requirements are understood and managed?

W4. How does the service continuously learn, improve, innovate and ensure sustainability?

W5. How does the provider work in partnership with other agencies?

Service type key:
A = Applicable to all services
C = Community based care, including homecare
R = Residential and nursing homes

For organisations who may be subject to a full CQC inspection, please refer to our main Good and outstanding care guide.

W2. Governance

Governance has been identified as an increasingly important area for well-led services to get right. Without good governance and related systems, many care services wouldn't be able to effectively continue to deliver high standards of care.

	Recommendations from good and outstanding providers	Service type
✓	Ensure managers and leaders understand CQC regulations and associated legal requirements and implications.	A
✓	Ensure managers and leaders understand the impact of a good or poor inspection on the reputation of the service, so they suitably resource the organisation to meet the standards.	A
✓	Ensure managers and leaders understand their role and responsibilities and are accountable for ensuring effective governance.	A
✓	Ensure there is a clear, documented management structure at all levels.	A
✓	Deliver timely and effective communications and feedback across the organisation.	A
✓	Where a board and/or directors exist, ensure they are proactively engaged and support managers to deliver high standards of care.	A
✓	Ensure leadership at all levels of the organisation is of the highest standards. All appointed should be fit and proper persons for the role they are responsible for.	A
✓	Regularly review performance and manage people effectively to maintain high standards of care.	A
✓	Where improvements are needed but existing managers and leaders are resistant to change, consider changing senior personnel to strengthen the service.	A
✓	Clearly document all decisions related to decisions, actions, behaviours and performance.	A

	Maintain all records in strict compliance with the General Data Protection Regulations (GDPR).	A

What to avoid		Service type
	The management don't have an effective overview of the service.	A
	Failure of the provider to suitably resource the service (e.g. stained beds not being replaced due to costs involved) and identify and manage risk.	A
	There is little or no accountability and effective governance within the service. Openness and transparency is lacking in those governing the service.	A
	Poor record management and inability to provide documented proof across different parts of the business (recruitment, training, supervision, care plans, audits, etc.).	A
	Poor record management being excused on other factors (e.g. previous staff at the service or "it was a very busy time for us") or inaccurate/misleading or potentially falsified information.	A
	New management systems had been introduced without appropriate care and attention (e.g. paper based care plans archived before new system was ready for transition).	A
	Failure to support the service to schedule and undertake regular meetings needing to deliver standards of care required (e.g. staff meetings, audit and risk meetings, resident and family meetings).	A
	Performance management records and actions are poorly documented, failing to clearly demonstrate what has been undertaken and protecting people who use or work for the service.	A
	Managers and leaders are unable to back-up what is stated in inspections and audits with any clear evidence or are contradicted by others interviewed.	A

	Where no registered manager was in post, failure to proactively progress recruitment and application to the CQC.	A

Available to help

[Leadership Qualities Framework (Guide for those in governance roles)](#) **(Skills for Care)**	[Nominated individuals](#) **(Skills for Care)**	[NICE auditing tools](#)

W4. Quality improvement, innovation and sustainability

Good and outstanding rated services encourage and effectively resource the drive for improvement. From effective quality assurance practices to the ability to research and act upon innovation, these services are committed to providing the best care possible and can implement the changes needed.

Recommendations from good and outstanding providers	Service type
✓ Use an effective quality assurance system to monitor the standards of the service and inform organisational learning and improvement.	A
✓ Ensure the monitoring and quality improvement systems are easy to manage and quick to demonstrate to others, as the CQC may wish to look at as part of inspections.	A
✓ Where appropriate, use a short observational framework for inspection (SOFI) to observe care to help us understand the experiences of people who are unable to talk with us (the CQC may use this same tool in their own inspections).	A
✓ Ensure findings from audits, inspections, assessments and other reviews are clearly documented and actioned. Enable this information to be fed into the services continuous improvement plan.	A
✓ Follow a regular cycle of planning, action and review to assess, set, meet and reflect on achieving positive outcomes for people who use the service.	A
✓ Consider using technology and software that provides a real time view of care delivery as it's happening, including dashboard overviews, incisive reporting functionality and performance triggers.	A
✓ Regularly undertake unannounced inspections/audits, ensure staff become comfortable to be a part of such processes.	A

✓	Involve specialists and advisors in the monitoring and continual improvement of the service (e.g. quality assurance teams, Healthwatch, experts-by-experience).	A
✓	Involve people who need care and support and/or family/advocates in the quality assurance process.	A
✓	Ensure staff are fully engaged and supportive of the approach to continual improvement (e.g. links are made to this in supervision and the services improvement plan is shared with all staff and discussed in supervision).	A
✓	Publish and share findings from consultations and surveys with those who contributed, including staff, people who need care and support, their families and other stakeholders.	A
✓	Ensure the business plan clearly documents work associated with continual improvement of the service.	A
✓	Prioritise continuous improvement and make available realistic resources to ensure these can be achieved. The people who need care and support, and include SMART measures to gauge the success and impact of improvements.	A

What to avoid		Service type
✖	There was no consistent system for the service to identify, address and monitor any concerns or risks relating to care.	A
✖	The service focus on improvement is almost entirely reactive on a day-to-day basis.	A
✖	The service doesn't effectively plan for improvements and ensure they're suitably resourced.	A
✖	The service hasn't actioned improvements identified at their last CQC inspection or external audit.	A
✖	Audits weren't accurate or completed by competent people (e.g. an internal audit identified eight medication errors, whilst the CQC inspector identified 41 errors).	A
✖	The records fail to indicate how the service has learned from past mistakes and strengthened the care as a result.	A

Available to help

Adult Social Care Workforce Data Set (ASC-WDS)
(Skills for Care)

W5. Working in partnership, sharing best practice

Good and outstanding services will often have strong links into the local community. They have established mutually beneficial relationships with the local authority, safeguarding teams, clinical commissioning groups (CCGs) etc. and work together to ensure more joined up care.

	Recommendations from good and outstanding providers	Service type
✓	Ensure people who need care and support play a key role in the local community (and vice-versa). Actively work to establish new links.	A
✓	Ensure people who need care and support benefit from their engagement with the wider community and are able to live fulfilling and meaningful lives.	A
✓	Proactively seek guidance and involvement from healthcare professionals, local experts, agencies and advocates.	A
✓	Create a culture where managers, leaders and staff are well known within the local community, sharing their experience and expertise to benefit others.	A
✓	Work in partnership with other organisations and use research to improve practice and provide high quality care.	A
✓	Ensure managers and leaders engage with other agencies (including other social care services, local authority etc.) for peer-to-peer support.	A
✓	Establish mutually beneficial relationships within the local community (including alliances and networks), enabling them to share good practice, expertise and/or resources.	A
✓	Engage with volunteers who can make meaningful contributions to the service.	A
✓	Assess and understand the benefits of community engagement. Regularly review the impact and seek to continually improve.	A

What to avoid		Service type
✕	The service doesn't actively seek to engage people who need care and support in activities within the local community.	A
✕	There is low awareness of the service within the local community, including with external healthcare professionals and similar types of services.	A
✕	The service doesn't promote community engagement opportunities for their staff and the people they care for.	A
✕	The organisation doesn't review the impact of community engagement activities to inform continuous improvement.	A
✕	The service doesn't engage in good and best practice opportunities within the community.	A

Available to help

Community, strength and asset-based working
(Skills for Care)