



Review Sheet

Last Reviewed
14 Sep '20Last Amended
14 Sep '20Next Planned Review in 12 months, or
sooner as required.

Business impact



Minimal action required circulate information amongst relevant parties.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

This policy outlines the spot check process and how spot checks must be conducted to ensure an oversight of care practices in a service user's home. A spot check form is included within the policy. It has been reviewed and only minor changes made. References have also been reviewed to ensure that they remain current. The reference number of this policy has changed. Previously it was QC21.

Relevant legislation:

- The Care Act 2014
- Equality Act 2010
- The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- Human Rights Act 1998
- Mental Capacity Act 2005
- Mental Capacity Act Code of Practice
- General Data Protection Regulation 2016
- Data Protection Act 2018

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: NICE, (2015), *Home care: delivering personal care and practical support to older people living in their own homes NICE guideline [NG21]*. [Online] Available from: <https://www.nice.org.uk/guidance/ng21/chapter/Recommendations> [Accessed: 14/9/2020]
- Author: NICE, (2018), *People's experience in adult social care services: improving the experience of care and support for people using adult social care services NICE guideline [NG86]*. [Online] Available from: <https://www.nice.org.uk/guidance/ng86> [Accessed: 14/9/2020]
- Author: Care Quality Commission, (2015), *Guidance for providers on meeting the regulations*. [Online] Available from: https://www.cqc.org.uk/sites/default/files/20150324_guidance_providers_meeting_regulation [Accessed: 14/9/2020]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Use existing, planned methods for sharing information

Equality Impact Assessment:

QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.



1. Purpose

1.1 To ensure that services are delivered to the specified standards of Inspiring Aspirations Plus Ltd T/A Inspiring Support.

1.2 To ensure that the Service User has opportunities to raise concerns with a person other than their direct Support Worker.

1.3 To ensure that Support Workers receive ongoing supervision and support.

1.4 To identify future developments for the service at Inspiring Aspirations Plus Ltd T/A Inspiring Support.

1.5 To support Inspiring Aspirations Plus Ltd T/A Inspiring Support in meeting the following Key Lines of Enquiry:

Key Question	Key Lines of Enquiry
RESPONSIVE	R2: How are people's concerns and complaints listened and responded to and used to improve the quality of care?
SAFE	S2: How are risks to people assessed and their safety monitored and managed so they are supported to stay safe and their freedom is respected?
WELL-LED	W2: Does the governance framework ensure that responsibilities are clear and that quality performance, risks and regulatory requirements are understood and managed?

1.6 To meet the legal requirements of the regulated activities that {Inspiring Aspirations Plus Ltd T/A Inspiring Support} is registered to provide:

- | The Care Act 2014
- | Equality Act 2010
- | The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- | Human Rights Act 1998
- | Mental Capacity Act 2005
- | Mental Capacity Act Code of Practice
- | General Data Protection Regulation 2016
- | Data Protection Act 2018



2. Scope

2.1 The following roles may be affected by this policy:

- | Registered Manager
- | Other management
- | Care staff

2.2 The following Service Users may be affected by this policy:

- | Service Users

2.3 The following stakeholders may be affected by this policy:

- | Family
- | Advocates
- | Representatives



3. Objectives

3.1 To equip managers with a framework to objectively check the standard of Service User Support provided by Support Workers against the standards of Inspiring Aspirations Plus Ltd T/A Inspiring Support and ensure that it is delivered as planned.



4. Policy

4.1 To demonstrate the commitment of Inspiring Aspirations Plus Ltd T/A Inspiring Support to high-quality care and to ensure consistently high standards of care. Inspiring Aspirations Plus Ltd T/A Inspiring Support will make regular arrangements for unannounced spot checks to be undertaken on the services delivered by its Support Workers in the Service User's own home.

4.2 Inspiring Aspirations Plus Ltd T/A Inspiring Support will ensure that this takes place with the consent of the Service User or their representatives upon joining the service. Where needed, Inspiring Aspirations Plus Ltd T/A Inspiring Support will ensure that the Service User has the support they require to provide informed consent.

4.3 Jo Kerley will appoint appropriately trained and experienced staff to carry out spot checks.

4.4 Checks will be unannounced and their frequency determined by contractual and local requirements as well as by the level of risk to the Service User as assessed and recorded in their Care Plan. That risk may arise from:

- | The intensity of the service
- | The complexity of the service, either in content or arrangements, for example, the requirement of multiple staff and high levels of communication
- | The level of training and skill required of the Support Workers and the experience of the Support Workers providing the service
- | Potential issues with the environment within which the Service User lives, including isolation
- | The Service User not having ready access to family or advocate support
- | Any other factors relevant to the individual Service User, including temporary factors

4.5 Jo Kerley will ensure that all staff who carry out spot checks receive appropriate and ongoing training to ensure that checks are conducted in line with the requirements of Inspiring Aspirations Plus Ltd T/A Inspiring Support, treating the Service User with dignity and respect at all times.

4.6 Spot checks will not be announced, unless overriding reasons related to Service User privacy, dignity and security mean that this is necessary.

Spot check visits may be announced to the Service User before the visit, but never to the Support Workers providing that service.

4.7 Service Users will be given sufficient information about the spot check process in a format that has been assessed as accessible to and understandable by them.

4.8 The assessor will have the relevant identification and authorisation to carry out the checks. This will be shown to both the Service User and the staff member(s) before checks begin.

4.9 All information will be systematically recorded on the Spot Check Form and used to monitor the provision of Support to the Service User and the wider service through quality assurance processes. Any matters of concern will be escalated appropriately. Possible, potential or actual safeguarding issues will be reported immediately to Suffolk County Council and the CQC as per the Safeguarding Policy and Procedure at Inspiring Aspirations Plus Ltd T/A Inspiring Support.

4.10 Information from spot checks will be used to:

- | Monitor the service provided
- | Follow through any serious matters or safeguarding issues identified to ensure satisfactory resolution
- | Identify and take action on any trends or service-wide issues which may become apparent from multiple reports
- | Recognise outstanding practice

4.11 Service Users will be supported to express their views on the service they receive as part of the process.

4.12 Inspiring Aspirations Plus Ltd T/A Inspiring Support will ensure that Support Workers understand the spot check process through their induction, and are updated, when necessary, on the positive reasons and outcomes for the checks.

4.13 When matters of concern are identified or complaints raised about a Support Worker or the wellbeing of the Service User, spot checks may be carried out before the next scheduled check, and as soon as is practicable. This may include in the evenings or at weekends to ensure that the quality of services is maintained at all times.



Where Safeguarding concerns are raised, the Safeguarding Policy and Procedure at Inspiring Aspirations Plus Ltd T/A Inspiring Support will be followed.

4.14 Inspiring Aspirations Plus Ltd T/A Inspiring Support recognises and understands that a Service User has a right to refuse to allow a spot check to take place in their home. Where a Service User does refuse, Jo Kerley will ensure that they understand the reasons why spot checks are performed and will try to establish why the Service User is refusing. If the Service User does not wish to consent, Jo Kerley will ensure that other measures are used in cooperation with the Service User to ensure the safety of the Service User and the quality of the service being delivered.



5. Procedure

5.1 Training

- | All Support Workers' employment terms will include the carrying out of spot checks
- | At the point of induction, all Support Workers will view the Spot Checks Policy and Procedure and their role within the process
- | Where individual training requirements are highlighted and at appropriate intervals, staff will receive additional support either via formal training sessions, within team meetings, 1-1s or in writing
- | All staff members who are appointed as assessors to spot check will have sufficient experience and seniority to undertake the role, which will be determined by Jo Kerley or their representative. They will have undertaken sufficient training and shadowing before undertaking spot checks
- | As a minimum, Inspiring Aspirations Plus Ltd T/A Inspiring Support will complete 4 spot checks per year
- | Assessors will also have their knowledge of the process refreshed annually and be updated with any changes to the process as they occur

5.2 Service Users

Service Users will be made aware of the Spot Checks Policy and Procedure prior to their service starting. Information about spot checks will also be included in the Service User Guide.

Service Users must be given the support they require to understand the information they are given. Where necessary, access will be made available for advocates, as well as for any other aid required.

Before any spot check begins, the assessor will check what support the Service User needs to understand what is about to take place, as well as any assistance required for communicating their views.

5.3 Safeguarding

At any point within the check, if a safeguarding concern is witnessed, or becomes known, the Safeguarding Policy must be adhered to and Jo Kerley informed.

5.4 Before Spot Checks

Before spot checks, Jo Kerley will:

- | Agree the spot check schedule ensuring that the dates are diarised and that the Service User is informed before the visit. Where there are concerns about the Support Worker's timekeeping and spot checks are to be performed outside the Service User's home, Jo Kerley must consider whether to inform the Service User that a member of staff from Inspiring Aspirations Plus Ltd T/A Inspiring Support will be outside their home/in the road
- | Make a decision as to whether a spot check will be carried out while the Support Worker is with the Service User, or whether a check is required while the Support Worker is not present, such as where concerns regarding that Support Worker may have been raised
- | Provide the assessor with the relevant information which may focus the discussions, such as detail about a complaint as well as providing the documentation to manage and record the check
- | Take action where poor performance or concerns arise and ensure that the performance and/or safeguarding policies and procedures at Inspiring Aspirations Plus Ltd T/A Inspiring Support are followed
- | Undertake audits of spot checks to identify themes and trends and to ensure continuous quality improvement

5.5 The Assessor

The assessor will:

- | Carry out the spot check according to the policy, the training provided and using the documentation



and Care Plan information provided

- | On completion of the spot check, immediately inform Jo Kerley of any concerns and the action that needs to be taken

5.6 After Spot Checks

After spot checks Jo Kerley will:

- | Ensure that the spot check reports are reviewed and ensure that appropriate action is taken
- | File the spot checks with the Service User's file and the Support Worker's file, with a copy of any record where a concern has been recorded in the incident file organised by incident type, in order to look for trends over time. Inspiring Aspirations Plus Ltd T/A Inspiring Support must ensure that data protection regulation requirements are followed in line with storage and archiving
- | Inform the Support Worker of any compliments given. These will be recorded on their personal file and within the compliments recording system at Inspiring Aspirations Plus Ltd T/A Inspiring Support
- | Ensure that any trends and themes that have an adverse impact on quality are discussed as part of quality meetings with information anonymised

5.7 Spot Check Frequency

Inspiring Aspirations Plus Ltd T/A Inspiring Support will ensure that the frequency of spot checks is agreed locally and will consider the complexity of the services and the Service User's needs, the skills and experience of the Support Workers, any contractual requirements, safeguarding matters, accidents, incidents or complaints.

As a minimum, Inspiring Aspirations Plus Ltd T/A Inspiring Support will complete 4 spot checks per year. The spot check is in addition to any supervision or team meetings. Spot checks can form part of supervision meetings but Jo Kerley must consider the Supervision Policy and Procedure and the environment that the supervision is most suitable to take place within.

5.8 Refusal to Consent to Spot Checks

Spot checks will be agreed before a service commences. Where a Service User, after a service commences, refuses spot checks, the Nominated Person will engage with the Service User as to the reasons and work to find agreement. Where this is not possible, the Nominated Person will seek an alternative method with the Service User. If an adequate solution cannot be agreed, the Nominated Person may determine that the safety of the service cannot be assured and serve notice as per the terms and conditions of the service.



6. Definitions

6.1 Spot Check

- | A check of the support or care delivered in people's homes by a representative of the provider. The timings will vary to ensure that a true picture of the care can be seen and checked and the Support Worker will not know when this will take place. Service Users will be involved, where possible, and the information from the checks will be used to help improve the service

6.2 Consent (CQC definition)

- | A person's agreement to, or permission for, a proposed action, particularly any form of examination, care, treatment, or support
- | Professionals have their own codes of practice that indicate how they should manage the consent they need from people who use services
- | In our guidance, we recognise that the consent of a person who uses services can involve another person, and that it can be obtained, given and recorded in different ways



Key Facts - Professionals

Professionals providing this service should be aware of the following:

- 1 Spot checks will only be undertaken by staff who have the right skills and training to undertake them
- 1 Support Workers will not be informed before a check happens that it will be taking place
- 1 Assessors will ask for feedback from professionals who may be visiting a Service User about the service provided



Key Facts - People affected by the service

People affected by this service should be aware of the following:

- 1 Before you take up the service, Inspiring Aspirations Plus Ltd T/A Inspiring Support will make you aware of what spot checks are and why they will be carried out whilst you use the service
- 1 You will be included and asked for your views in the process and helped to understand what is happening when a spot check takes place, as well as being informed about any positive changes made because of the checks



Further Reading

As well as the information in the 'underpinning knowledge' section of the review sheet we recommend that you add to your understanding in this policy area by considering the following materials:

Government Website - Coronavirus:

<https://www.gov.uk/coronavirus>

NHS - Coronavirus:

<https://www.nhs.uk/conditions/coronavirus-covid-19/>

The National Institute for Health and Care Excellence (NICE) has a host of best practice documents relevant for both health and social care as well as audit tools and e-learning:

<https://www.nice.org.uk/>

The Social Care Institute for Excellence (SCIE) has a page on their website dedicated to available Quality Assurance resources and services:

https://www.scie.org.uk/atoz/?f_az_subject_thesaurus_terms_s=quality+assurance&st=atoz

The CQC has a range of resources that can be accessed via:

<https://www.cqc.org.uk/publications/themes-care/themes-health-social-care>

Think Local Act Personal: A national partnership transforming health and care through personalisation and community-based support. They published their 'Driving up Quality' paper with key principles to quality assurance and have a range of resources on their website:

<https://www.thinklocalactpersonal.org.uk/>

The Healthcare Quality Improvement Partnership (HQIP) offers a range of resources including audits and guides for the social care sector and care homes:

<https://www.hqip.org.uk/>



Outstanding Practice

To be 'outstanding' in this policy area you could provide evidence that:

- | The wide understanding of the policy is enabled by proactive use of the QCS App
- | There is a clear audit trail to show how spot checks are well connected to quality assurance monitoring for the individual and the wider service. There is easy access to positive observation where areas of concern are found and it is clear how direct improvement can be traced to these findings
- | To ensure that Service Users are helped to be a part of the process, understand what is happening and are aware of the positive aspects of why this takes place, they will be involved in helping make improvements to the process along with members of staff
- | Staff can clearly see the benefits of spot checks and improvements in their personal development, which is directly linked to feedback from spot checks



Forms

The following forms are included as part of this policy:

Title of form	When would the form be used?	Created by
Spot Check Form - QC27	To complete all staff spot checks	QCS

Service User Name:				Reference Number:			
Address:							
Tel:							
Number of Hours/Week:		Number of Visits per/week:		Number of Support Workers/week:			
Name of Assessor:							
Reason for Spot Check:							
Name of Support Worker (s) Attending During Spot Check:							
Date of Spot Check	Time of Spot Check		Arrive		Depart		
Section One - On Arrival in the Service User's Home							
				Yes	No	Comment	
Does the Support Worker arrive at the Service User's home on time?							
Does the Support Worker have the Keys/Key safe number and alert the Service User upon arrival?							
Is the Support Worker dressed smartly in a clean, company uniform?							
Does the Support Worker introduce him/herself and says 'Hello' to the Service User and call them by the name they have asked to be called in the Care Plan?							
Does the Support Worker have an ID Badge that is current and valid and if they are not known to the Service User do they show the ID badge?							
Where electronic monitoring is used, has the Support Worker logged in correctly?							

Section Two - Care Plan			
	Yes	No	Comment
Does the Support Worker check the Service User's Care Plan upon arrival?			
Does the Support Worker check the Service User's Visit Notes upon arrival?			
Does the Support Worker seek the Service User's consent before delivering any aspect of care?			
Does the Support Worker know what care the Service User needs?			
Section Three - Safe Working Practices			
Does the Support Worker wash their hands before and after providing care and support?			
Does the Support Worker use PPE correctly?			
Is the Support Worker vigilant for hazards in the home?			
Is any food handled correctly and hygienically?			
Is the working area kept clean and tidy and is any PPE disposed of correctly?			
Section Four - Medication			
Is the MAR completed correctly?			
Does the Support Worker follow the 6 Rights of Medication correctly?			
Section Five- Attitude and Behaviour			
Does the Support Worker communicate well with the Service User and evidence compassionate care?			
Does the Support Worker respect the privacy of the Service User?			
Does the Support Worker respect the dignity of the Service User?			
Does the Support Worker allow the Service User to make their own choices?			
Does the Support Worker work in an enabling way?			

Section Six - Recording			
	Yes	No	Comment
Does the Support Worker accurately record on the care records the activities that have been undertaken?			
Does the Support Worker log out correctly if electronic monitoring is used?			
Section Seven - Service User Feedback			
Do you know which Support Worker will be coming to visit you?			
Does the Support Worker usually wear identification?			
Does your Support Worker come on time?			
Does the Support Worker respect your privacy and treat you with dignity?			
Does the Support Worker usually wear gloves and plastic aprons for personal care?			
Does the Support Worker make you feel comfortable and safe?			
Do you feel in control of your care service? (can you make your own choices)			
Do you know how to make a complaint?			
If you have made a complaint was it resolved?			
Are you happy with the care you receive from Inspiring Aspirations Plus Ltd T/A Inspiring Support?			
Is there anything else you want to tell me about your care?			

Inspiring Aspirations Plus Ltd T/A Inspiring Support

Section Eight - Actions				
Action		Outcome	Timescale	Action by
1				
2				
3				
4				
5				
6				
7				

Date of Follow up if needed	
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