



Review Sheet




Last Reviewed
14 Sep '20



Last Amended
14 Sep '20



Next Planned Review in 12 months, or
sooner as required.

Business impact	 <p>Minimal action required circulate information amongst relevant parties.</p>
Reason for this review	Scheduled review
Were changes made?	Yes
Summary:	This policy details the good governance approach of the service and the roles and responsibilities that can be undertaken. It has been reviewed with no imminent changes in practice and references have been updated to ensure they remain current. The reference number of this policy has changed. Previously it was QC24.
Relevant legislation:	<ul style="list-style-type: none"> • Health and Safety at Work etc. Act 1974 • The Human Medicines Regulations 2012 • The Social Care and Social Work Improvement Scotland (Requirements for Care Services) Regulations 2011 • Data Protection Act 2018 • Public Services Reform (Scotland) Act 2010 • Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)
Underpinning knowledge - What have we used to ensure that the policy is current:	<ul style="list-style-type: none"> • Author: Royal College of Nursing, (2016), <i>Clinical governance</i>. [Online] Available from: https://www.rcn.org.uk/clinical-topics/clinical-governance [Accessed: 14/9/2020] • Author: Scally, G and Donaldson, L, (1998), <i>Clinical governance and the drive for quality improvement in the new NHS in England</i>. [Online] Available from: https://www.ncbi.nlm.nih.gov/pmc/articles/PMC1113460/ [Accessed: 14/9/2020] • Author: Care Quality Commission, (2019), <i>Health and Social Care Act 2008 (Regulated Activities) Regulations 2014: Regulation 17</i>. [Online] Available from: https://www.cqc.org.uk/guidance-providers/regulations-enforcement/regulation-17-good-governance#guidance [Accessed: 14/9/2020] • Author: SCIE, (2013), <i>Social care governance: A practice workbook for Northern Ireland (2nd edition)</i>. [Online] Available from: https://www.scie.org.uk/publications/misc/governance.asp [Accessed: 14/9/2020]
Suggested action:	<ul style="list-style-type: none"> • Encourage sharing the policy through the use of the QCS App
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 describe what good governance means to Inspiring Aspirations Plus Ltd T/A Inspiring Support and that the term 'good governance' links to a quality management framework within Inspiring Aspirations Plus Ltd T/A Inspiring Support. The Quality and Quality Assurance Policy and Procedure must therefore be read with this policy.

1.2 To specify who has accountability and what action Inspiring Aspirations Plus Ltd T/A Inspiring Support takes to continuously improve services.

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

Key Question	Key Lines of Enquiry
EFFECTIVE	E1: Are people's needs and choices assessed and care, treatment and support delivered in line with current legislation, standards and evidence-based guidance to achieve effective outcomes?
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?

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

- | Health and Safety at Work etc. Act 1974
- | The Human Medicines Regulations 2012
- | The Social Care and Social Work Improvement Scotland (Requirements for Care Services) Regulations 2011
- | Data Protection Act 2018
- | Public Services Reform (Scotland) Act 2010
- | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)



2. Scope

2.1 The following roles may be affected by this policy:

- | All staff
- | Registered Manager

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:

- | Commissioners
- | External health professionals
- | Local Authority
- | NHS



3. Objectives

3.1 To demonstrate that the auditing, identification and management of governance at Inspiring Aspirations Plus Ltd T/A Inspiring Support is effective and clear. With procedures for reviewing and learning from incidents, near misses, accidents, complaints, whistleblowing and safeguarding concerns.

3.2 To ensure that evidenced-based care is used to continuously improve quality through a culture of openness and transparency.



4. Policy

4.1 Inspiring Aspirations Plus Ltd T/A Inspiring Support commits to providing safe, high-quality care. The systems and processes at Inspiring Aspirations Plus Ltd T/A Inspiring Support meet legal responsibilities, comply with best practice and the views of our staff and Service Users.

Inspiring Aspirations Plus Ltd T/A Inspiring Support will;

- | Take a human rights-based approach that protects and upholds a Service User's right to privacy, dignity, choice, respect and control
- | Encourage, listen and respond to the views of Service Users, staff and people who have an interest in Inspiring Aspirations Plus Ltd T/A Inspiring Support
- | Promote a culture of openness, honesty and transparency, fulfilling our Duty of Candour responsibilities. Our staff will be knowledgeable and confident to challenge and report risks and concerns
- | Have clearly defined roles and responsibilities to ensure accountability
- | Identify risks in all areas of Inspiring Aspirations Plus Ltd T/A Inspiring Support and will act to remove or reduce these risks
- | Analyse governance processes to identify themes and trends and take corrective action where required
- | Review all governance processes to ensure that we work innovatively and are effective

Inspiring Aspirations Plus Ltd T/A Inspiring Support follows this policy and procedure to create an environment in which excellence in care will flourish.

4.2 Accountabilities - Inspiring Aspirations Plus T/A Inspiring Support will

- | Have responsibility for scrutinising governance systems and processes at Inspiring Aspirations Plus Ltd T/A Inspiring Support
- | Ensure continuous improvement
- | Have an organisational structure in place that defines leadership and accountability

4.3 Responsibilities - Registered Manager

- | Be responsible for overall management of Inspiring Aspirations Plus Ltd T/A Inspiring Support
- | Seek and respond to the views of Service Users, staff, health professionals, advocates and other interested parties
- | Delegate responsibility and hold staff to account for agreed actions
- | Have governance systems that are effective and fit for purpose and achieve continuous improvement
- | Report statutory notifications and escalate concerns to Nicholas Cook
- | Take a values-based approach to recruitment and promoting staff retention
- | Promote an open, transparent culture and learning environment
- | Ensure that there is ongoing compliance with regulatory and contractual requirements
- | Ensure compliance with policies and procedures
- | Ensure that there are enough staff with suitable skills, experience and knowledge
- | Review and learn from accidents, incidents (including safeguarding), complaints and share this learning with staff
- | Act on results of audits and reviews of the service



- | Collate, report and use data to inform stakeholders of the quality of the service
- | Seek expert advice by working with other health professionals
- | Work within Codes of Conduct and act as a role model at all times

4.4 Responsibilities - Support Worker

- | Work within their job description and code of conduct
- | Provide the Support as planned
- | Raise concerns and suggestions in a timely manner
- | Identify personal learning needs
- | Follow the policy and procedure
- | Work within Codes of Conduct and act as a role model at all times



5. Procedure

5.1 Accountability

- | Within Inspiring Aspirations Plus Ltd T/A Inspiring Support there is a clear, structured approach to governance with all staff having a line manager and defined accountabilities documented in job descriptions
- | Where there is accountability for informing external stakeholders or the involvement of other organisations about any aspect of Inspiring Aspirations Plus Ltd T/A Inspiring Support, accountability will be documented
- | All staff will ensure that they work within their own professional codes of conduct at all times
- | All staff at Inspiring Aspirations Plus Ltd T/A Inspiring Support have accountability for ensuring that they work within Inspiring Aspirations Plus Ltd T/A Inspiring Support and Suffolk County Council safeguarding procedures, and any poor practice or failure to follow the procedures will result in disciplinary action

5.2 Audit

Inspiring Aspirations Plus Ltd T/A Inspiring Support will undertake reviews and monitor systems and processes to identify where quality or safety issues are being compromised and will respond appropriately and without delay. Inspiring Aspirations Plus Ltd T/A Inspiring Support will do this by:

- | Undertaking audits in areas such as health and safety, medication management, infection control, Care Planning, safeguarding, environmental etc.
- | Using best practice such as NICE guidelines to benchmark standards and performance
- | Involving people who use the services where possible
- | Put in place an audit cycle and will review themes, trends and risks from audit at board level as well as operational management level

5.3 Effectiveness

Effectiveness is about making sure the right people get the right care at the right place in an effective way, Inspiring Aspirations Plus Ltd T/A Inspiring Support will achieve this by ensuring:

- | Care Plan and Service User reviews are undertaken, care practice is undertaken to ensure adherence to procedures and to identify when any changes or further developments to practice are required
- | Nutrition, skin, medication and falls are included in this process
- | That effectiveness is monitored, and additional resources and support identified where appropriate e.g. district nurses, GP or other community health support
- | That when a Support issue is beyond the knowledge, skills and experience of the staff involved, then additional support is identified to ensure that the issues are shared and the outcomes for the Service User improved

5.4 Continuing Professional Development

- | Staff skills will be regularly reviewed and where additional training is required, this will be identified and provided
- | Opportunities will be provided to widen skills, understanding and knowledge



- | This will increase the ability of the staff and ultimately, Inspiring Aspirations Plus Ltd T/A Inspiring Support, to provide effective, timely and responsive support
- | Where incidents arise, a root cause analysis will assess whether training needs to be reviewed

5.5 Involvement of Service Users

- | In order to ensure that governance is effective and holistic, Service Users will be involved in determining the quality, timeliness and level of support provided and inform the results of any governance processes
- | Inspiring Aspirations Plus Ltd T/A Inspiring Support will listen to Service Users and Inspiring Aspirations Plus Ltd T/A Inspiring Support will adapt the service as a result
- | Systems, such as surveys, will be used to gain Service User views
- | Any changes made will be fed back to the Service User and recognition given to their views
- | This process is central to the concept of 'person-centred care' and continuous improvement
- | Inspiring Aspirations Plus Ltd T/A Inspiring Support will work to the Accessible Information Standards to ensure equity for the people who use its services

5.6 Remediating Underperformance

- | Any shortfalls in Support provision will be identified through the governance process
- | The reasons for the shortfall will be analysed and if the issue was the result of poor performance by staff it will be addressed either through supervision, additional training, disciplinary procedures or ultimately dismissal
- | If there are implications for staff teams it will be addressed through training, supervisions or team meetings
- | Risk assessments, Care Plans and ways of working will be revisited and updated to reassess the issues and develop more robust processes
- | External resources may be identified to assist with the delivery of training or to provide guidance on improving practice
- | Inspiring Aspirations Plus Ltd T/A Inspiring Support will ensure that its staff are aware of key policies and procedures such as Whistleblowing, Safeguarding, Accident and Incident Reporting and that they adhere to these policies included in the QCS Management System
- | All staff have a responsibility for staying up to date with Inspiring Aspirations Plus Ltd T/A Inspiring Support policies and procedures and checking the QCS online or mobile app for updates and documents
- | Jo Kerley has responsibility for ensuring that the policies and procedures within the QCS Management System are customised and reflect all aspects of governance processes within Inspiring Aspirations Plus Ltd T/A Inspiring Support and that staff have read and understood the documents

5.7 Risk Management

Inspiring Aspirations Plus Ltd T/A Inspiring Support understands that risk management is about minimising risks to Service Users by:

- | Identifying what can and does go wrong during Support
- | Understanding the factors that influence this
- | Learning lessons from any adverse events
- | Ensuring that action is taken to prevent recurrence
- | Putting systems in place to reduce or eliminate risks

Within Inspiring Aspirations Plus Ltd T/A Inspiring Support, we will manage risk by;

- | Reviewing complaints, accidents and incidents, near misses, safeguarding and whistleblowing concerns
- | Actively learning from mistakes by reviewing every incident or near miss, when it arises, investigating why it happened, how it happened, who was involved and create an action plan that we will follow to stop it happening again. The review of all incidents will be analysed to identify themes or trends so that this will also evidence whether Inspiring Aspirations Plus Ltd T/A Inspiring Support is learning from



incidents

5.8 Staff Management

- | Staff will be supervised in line with the Supervision Policy and Procedure and this will be recorded and evidenced
- | The supervisions will contain relevant discussions about specific issues of concern, will inform the governance process and identify best practice and areas that need to be redressed
- | Staff will be encouraged to share views and opinions and be involved in Care Planning and the development of ways of working
- | Staff with accountability for particular areas of work will be informed of these responsibilities and provided with tools and guidance to ensure that they deliver the identified oversight responsibility
- | Role-specific codes of conduct will be used as a means of monitoring performance and staff standards



6. Definitions

6.1 Governance

- | A framework through which organisations are accountable for continually improving the quality of their services and safeguarding high standards of care by creating an environment in which excellence in care will flourish

6.2 Root Cause Analysis

- | A method of problem-solving used for identifying the root causes of faults or problems. It is a useful tool following safeguarding incidents, complaints, accidents, near misses or any other incidents that cause concern



Key Facts - Professionals

Professionals providing this service should be aware of the following:

- | Staff will have regular supervisions and Inspiring Aspirations Plus Ltd T/A Inspiring Support will have an appraisal process in place so that staff understand what they are accountable for
- | Inspiring Aspirations Plus Ltd T/A Inspiring Support has processes in place where Support practices are identified, reported and monitored and actions are taken to improve practice
- | All staff have responsibility for following processes and procedures and using appropriate recording methods, which is all part of robust governance procedures
- | Inspiring Aspirations Plus Ltd T/A Inspiring Support consistently uses root cause analysis following any incidents, including safeguarding incidents, to understand lessons learnt and prevent issues arising again



Key Facts - People affected by the service

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

- | You will be involved, and your opinions sought regarding the care and support provided
- | Inspiring Aspirations Plus Ltd T/A Inspiring Support has a complaints procedure that we will share with you in a way that makes it easy for you to tell us when something is wrong



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:

Skills for Care offers a suite of resources to support with roles and responsibilities alongside governance care guides for social care:

<https://www.skillsforcare.org.uk/Leadership-management/managing-a-service/roles-and-responsibilities/Roles-and-responsibilities.aspx>

Guide 34: Practice development: collaborative working in social care (SCIE, 2010) - SCIE has identified collaborative methodology as one of many ways of implementing change based on evidence from research and practice. The method presented here has been adapted for social care from the NHS model and represents a simple approach to change management:

<https://www.scie.org.uk/publications/guides/guide34/>

Root Cause Analysis:

<https://improvement.nhs.uk/resources/learning-from-patient-safety-incidents/>

SCIE: Guide 38 Social Care Governance (SCIE, 2011) - although not updated since 2011, this workbook provides some clear governance practices for England:

<https://www.scie.org.uk/publications/guides/guide38/>

QCS Quality and Quality Assurance Policy

Note: SCIE Social Care Workbook for NI links directly to the RQIA standards in Northern Ireland. However, the document has information that is very relevant in England and clarifies the concept of governance within a social care setting.



Outstanding Practice

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

- 1 Accountability and responsibility for governance is widely known and people are actively seeking responsibility
- 1 Service improvements can be directly attributed to the governance processes
- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support has evidence of being exceptionally open and transparent in the area of governance
- 1 External organisations are involved in governance structures at Inspiring Aspirations Plus Ltd T/A Inspiring Support
- 1 Where mistakes or errors are identified through governance processes, they are addressed in a timely manner and they do not reoccur
- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support uses best practice resources to inform development and evidence that governance drives improvement
- 1 Inspiring Aspirations Plus Ltd T/A Inspiring Support consistently uses root cause analysis following any incidents, including safeguarding incidents, to understand lessons learnt and prevent issues arising again
- 1 The wide understanding of the policy is enabled by proactive use of the QCS App



Forms

Currently there is no form attached to this policy.