

Care Quality Observational Rating Criteria

RED	AMBER	GREEN
<ul style="list-style-type: none"> • No Registered manager, • Been on an action plan for more than 6 months • Rated as inadequate in one or more areas by the CQC • Served Default Notice • Little improvement following action plan • Entrenched institutional concern • Safeguarding Training not up-to-date/not aware of how to report a safeguarding concern/issue • DBS checks/safer recruitment not in place • Unqualified staff • Significant issues around management/ leadership • Little/poor evidence of records/procedures or policies 	<ul style="list-style-type: none"> • Interim manager • A further visit is required (following a proactive or reactive visit) • Rated as requires improvement in one or more areas by the CQC • A number of issues around management/leadership • Some records, procedures or policies in place but in need of updating • Bad odours • Building/ cleanliness appears unsatisfactory • Residents do not appear well looked after 	<ul style="list-style-type: none"> • No further visit required after intro visit • No further visits required • Rated outstanding or good in all areas by the CQC • Self reporting concerns

This is a guide only. Other factors may be taken into account by the Care Quality Officers including intelligence from Contract Officers.

Contracts Intelligence/Observational Rating Criteria

RED	AMBER	GREEN
<ul style="list-style-type: none"> • Serious concerns reported by Care Quality Team or Care Placement Team • Hand back of packages • Voluntary embargo • Lack of leadership/ senior accountability • High staff turnover/ staff exodus • Significant whistle blowing • Been on an action plan for more than 3 months • Served Default Notice • Little/no improvement following action plan • Adverse change to financial position/trading account/credit rating • Enforce Embargo/no new Packages of care/ review current PoCs/consider ending contract 	<ul style="list-style-type: none"> • Interim manager • Extraordinary meeting/visit is required (following a proactive or reactive visit) • Minor concerns reported by Care Quality or Care Placement • A number of issues around management/leadership • Any whistle blowing • Poor recruitment or staff retention • Lack of capacity to meet demands in any area. • Any concerns re professionalism • Any requests for rate increases • Some records, procedures or policies in place but in need of updating • Consider embargo/continue with existing Packages of care. • Bad odours • Building/ cleanliness appears unsatisfactory. • Residents do not appear well looked after 	<ul style="list-style-type: none"> • No further visit required after intro visit • No further visits required • Rated outstanding or good in all areas by the CQC • Self reporting concerns • No financial concerns • No request for rate increases • Completing quarterly data returns • Have capacity to meet demand • Good recruitment strategy • Positive feedback from Care Placement Team • Good communication with Commissioning

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