



Quality Assurance and Improvement Team

# **Children & Young People Quality Assurance & Improvement Framework**

## **Guidance for Providers**

### **Contents**

<b>1.0</b>	<b>Introduction and Guiding Principles.....</b>	<b>3</b>
<b>2.0</b>	<b>QA Activity Explained .....</b>	<b>6</b>
<b>3.0</b>	<b>Provider Quality Rating (PQR).....</b>	<b>10</b>
<b>4.0</b>	<b>Other ways we obtain information. ....</b>	<b>11</b>
<b>5.0</b>	<b>The way we use and share information. ....</b>	<b>11</b>
<b>6.0</b>	<b>Useful Contacts .....</b>	<b>14</b>
<b>Appendix 1</b>	<b>Activity Matrix .....</b>	<b>15</b>
<b>Appendix 2</b>	<b>.....</b>	<b>16</b>

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## **Quality Assurance and Improvement Framework (QAF)**

### **1.0 Introduction and Guiding Principles**

This Quality Assurance & Improvement Framework (QAF) sets out the primary ways in which the Council will monitor and support Children's Services-across social care and education.

The services currently supported by the QAF are listed below:

#### In Borough

- SEND Children's Homes
- Residential Children's Homes
- Supported Accommodation
- Alternative Provisions
- Resourced Provisions
- Specialist Schools & Colleges

#### Out of Borough

- Specialist SEND Schools
- Specialist SEND Colleges
- Residential Special Schools (Education Only)
- Alternative Provisions (Registered and Unregistered)
- Social Care Provisions – Unregistered Residential & Supported Accommodation
- Social Care Provisions - Ofsted Requires Improvement and Below

The Quality Assurance & Improvement Team (QA&I) monitors and supports services commissioned by Bolton Council to ensure that they are meeting the requirements of their contract and the quality and performance standards described in the service specification. The Contract & Quality Monitoring Officer (CQMO) also provides support to providers to improve their services where this is required.

The QAF has several underpinning principles:

#### **Accountability**

The primary purpose of the QAF is to provide assurance that the services commissioned by the Council are of a high quality and are delivering what is set out in the contract and service specification. As part of this process, providers will receive "critical friend" feedback and supported to continuously improve. Following some aspects of our QA work we will apply a risk rating; we will be open and honest with providers about what this rating is and explain what it means.

## **Supportive and Improvement focussed.**

The Council values the role that providers play in delivering services to some of our most vulnerable children and young people. Whilst accountability is key, the QAF is also supportive and provides opportunities for the Council to support providers where issues have been identified and improvement needed. The Council wants to work with providers, with the aiming of driving up quality across the borough. The Council believes that a strong and collaborative relationship with providers will support a higher quality and vibrant market.

## **Triangulation**

The QAF seeks to develop a thorough understanding of quality and recognises that multiple sources of information are required to do this. In most situations the QA&I Team will triangulate information to provide further evidence of quality. Triangulation means more than one piece of evidence will be used to confirm something has happened; or, that what is being described in one way is supported in another. For example, data from a provider which shows their volume of activity in a given period will be checked with children and young people's experience and activity logs; or, a manager saying they have a robust complaints procedure would be checked by looking at the service's complaints policy, checking with children and young people that they know how to make a complaint, reviewing complaints data and looking for evidence that the service learns and improves as a result.

## **Early intervention**

Where we have concerns about a provider's ability to meet the requirements of their contract or specification or we are concerned that there is a risk of harm to children and young people, we will intervene as early as possible. This means the support the Council and its partners can provide will be deployed to reduce the risk or other actions may be taken to safeguard children and young people. Such actions could include a temporary suspension of new placements or where services are failing, the transfer of children and young people to other providers.

## **Proportionality**

The Council recognises that not all services or providers are the same and they are delivering a diverse range of services. The QAF will be used proportionately, focussing on risk rather than a one size fits all approach.

## Working together

We believe that continuous improvement can only happen where there is a strong working relationship between providers, commissioners, and other stakeholders. We will work to develop relationships to support improvement in the market. These will be at individual provider level and across sectors. Working together means:

- Shared ambition
- Collaborating with others
- Mutual trust
- Sharing learning, knowledge, and ideas
- Valuing each parties' strengths

## The Quality Assurance Framework (QAF)

Staff from the Quality Assurance & Improvement Team will carry out a range of activities to gather evidence to test whether standards and contract requirements are being met and to support continuous improvement. To achieve this, the following activities will take place:

Ref.	Standard QA ' <u>In Borough</u> ' Activity	Minimum frequency
QMC-1	Quality and Contract Monitoring Visit	<ul style="list-style-type: none"> <li>• Social Care – RI or below including unregistered annually.</li> <li>• Special Schools &amp; Colleges – Annually</li> <li>• Resource Provisions – Alternating 2 yearly</li> <li>• Registered AP – Alternating 2 yearly</li> <li>• Unregistered AP – Annually</li> </ul>
QMC-2	Quality and Safety Assurance Visit	<ul style="list-style-type: none"> <li>• Ad-hoc (All providers)</li> </ul>
QMC-5	Dashboard Data Return	<ul style="list-style-type: none"> <li>• Social Care - Monthly.</li> <li>• SEND Education &amp; AP – Termly</li> </ul>
QMC-8	Staff, Children and Parent/Guardian Evaluation & Visit	<ul style="list-style-type: none"> <li>• Included within Audit visit and/or ad-hoc based on risk</li> </ul>
QMC-9	Childrens Home & Supported Accommodation Validation Visit	<ul style="list-style-type: none"> <li>• Annual for unregistered and RI or below</li> </ul>

QMC-9	SEND Education & AP Validation Visit	<ul style="list-style-type: none"> <li>• Unregistered AP - Annually</li> <li>• Registered AP – Alternating 2 yearly</li> <li>• SEND Education – Annually</li> </ul>
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Ref.	Standard QA <u>'Out of Borough'</u> Activity	Minimum Frequency
QMC-1	Quality and Contract Monitoring Visit	All - Annual
QMC-2	Quality and Safety Assurance Visit	Ad-Hoc
Data Return	Data Return Documentation (Via SEND team)	Termly
QMC-6	SEND 'Out of Borough' Education Visit	All - Annual

The frequency and type of activity that we carry out with you will change depending on the type of provider you are, the type of service you provide and other factors such as the risk to service users' safety or the risk to meeting the terms of our agreement. For information on how we apply the standard QA activity and for minimum frequencies for your service please see Appendix 1.

For some providers and services, the standard QA activity will be supplemented with additional activities which are specific to them. Additional QA activities are detailed in Appendix 2.

Any Unregistered service and Registered Service with a rating of **Requires Improvement** or **Inadequate**, irrespective of their location will receive additional visits whilst being supported with their action plan, the number of extra visits will be determined by the CQMO considering risks to service users, the provider, and the Council.

## 2.0 QA Activity Explained

### QMC-1 Quality and Contract Monitoring Visit (In Borough and Out of Borough)

The Quality and Contract Monitoring visit will take place, as a minimum every 24 months but for some providers this may happen more often. These visits may increase due to a regulation inspection grading concern or a change in Registered Manager / Registered Service Manager. The purpose of the meeting is to check providers are meeting the contract specification, that they are meeting standards and customer expectations and are working to continuously improve. The meeting is two-way and is a key point in the calendar for the Council and the provider to work together to resolve issues. Providers should use the opportunity to seek solutions to problems or concerns, celebrate successes and to share ideas for improving their service.

The meeting will be led by the QA&I Team and, as a minimum, the attendance will include the following individuals:

- Contract and Quality Monitoring Officer - (CQMO), Bolton Council

- Registered Manager/Identified School or Academy Lead (Ofsted Registered)

The provider may invite any other individuals they think necessary for the discussion (e.g., a deputy or regional manager). Other officers from the Council may also attend depending on the issues that need to be discussed, including:

- Principal Quality Assurance and Improvement Officer
- Commissioning Officer or Manager
- Children's Social Care Lead Officer
- SEND Officer

The meeting will always, where possible, take place at the provider's premises. For accommodation-based services this will be at the service location e.g., the children's home. If this is not possible, the meeting will take place at the provider's local office, council office or another suitable location. The meeting is an opportunity for providers to share pertinent information about the service, to identify risks and challenges and to ask questions of the commissioner and seek support where required.

The Quality and Contract Monitoring meeting is the primary means of monitoring services and will be scheduled in advance. Broadly, the areas for discussion include:

- Safeguarding
- Complaints and feedback
- Incidents
- Restrictive Physical Interventions (RPI)
- Management and leadership
- Workforce
- Financial health
- Contract compliance
- General observations
- Challenges
- Quality assurance
- Positive stories
- Continuous improvement
- AP – Individual Intervention Plans

Within services where children and young people live or learn, there will also be a 'quality and safety check' undertaken on the day of the meeting. The 'quality and safety check' is a visual check of the service undertaken by the Contract and Quality Monitoring Officer (CQMO) and they will be validating what has been discussed in the meeting and making a general assessment of quality and safety. As part of this process, the CQMO will look at a sample of children and young people's files, training records, the rota and any other pertinent information as well as talking to children and staff.

A completed QMC-1 form will usually be emailed to the provider within ten working days of the meeting taking place. The QMC-1 form will include the provider quality rating (see section 2), where appropriate an improvement action plan and the results of any checks on documentation.

Any areas for improvement will be agreed with the providers and recorded in section 3 of the QMC-1 form. Providers are expected to maintain a rolling plan of their improvement activity.

### **QMC-2 Quality and Safety Assurance Visit (In-Borough and Out of Borough)**

Quality and Safety Assurance visits will take place normally in response to something that the Council has been made aware of, for example, a complaint or information from another visiting professional. Therefore, Quality and Safety Assurance Visits are ad-hoc and can be made without prior notification to the provider. The primary purpose of a Quality and Safety Assurance Visit is to check that children and young people are safe, but they will also be used to provide assurance that previously identified issues have been dealt with or to provide further evidence in support of improvement or enforcement work. QMC-2 visits will normally be made by a member of the Quality Assurance and Improvement Team but could also be carried out by other officers from the Council (e.g., Social Workers) or sometimes partner organisations.

### **QMC-3 Childrens Home & Supported Accomodation Annual Self Evaluation Form and QMC-4 SEND Education Annual Self Evaluation Form (In-Borough Only)**

Some providers may be asked to complete and submit an annual self-assessment. The self-assessment will allow the QA&I Team to undertake a desk-top assessment of a provider's quality and their compliance with the contract and specification.

The self-assessment may be an annual requirement for some providers where the CQMO deems this to be necessary, and you will be notified of the deadline for submission of the assessment and any supporting evidence in advance. For Children's SEND Services, you will be asked to submit your most recent Ofsted Report.

QMC-3&4 Self-Assessments, along with your supporting evidence, should be emailed to [childrensquality@bolton.gov.uk](mailto:childrensquality@bolton.gov.uk)

### **QMC 5 - Dashboard Data Returns (In-Borough Only)**

The information return provides the QA&I Team with ongoing data about a provider's quality, productivity, and performance against key performance indicators.

Most providers will have to submit some form of information return. The frequency and the content of information returns is specified in Appendix 2.



## **Data Returns (Out of Borough Education and AP)**

Data Returns for out of borough SEND Special Schools/Colleges/AP are submitted to the SEND team and the QA&I team are copied in on a ternly basis. CQMO will use this information to risk assess our providers and to scrutinise prior to undertaking any interventions.

## **QMC-6 SEND 'Out of Borough' Education Visit (Out of Borough Only)**

For providers outside the borough of Bolton who provide education via a specialist school, college and/or alternative provision a QMC-1 & QMC-6 compliance visit will be held every 12 months. This will only apply where there are Bolton children and young people within the provision who hold an EHCP. Some providers may receive more visits than the two specified above for the following reasons:

1. Ofsted regulation grade falls below 'Good'.
2. Where there is no known 'Host Local Authority' quality assurance schedule.
3. Where professionals raise concerns with the QA&I team.
4. Where providers fail to complete termly monitoring data and/or the data highlights a concern.

Findings from the visit will be shared with provider and relevant heads/leads at Bolton and an improvement plan put in place, where applicable, which will be monitored by the QA&I Team until such time it has been completed.

## **QMC-8 Staff, Children and Parent Evaluation & Visit (In-Borough Social Care Only)**

For some providers, a 12 monthly survey of young people, staff and parent's experience will be undertaken by the QA&I Team where applicable. The visit will take the form of interviewing staff employed and may include permanent, bank staff and agency staff. The visit may include an observation of staff practice of Bolton children and young people and/or an appropriate survey dependent on age, ability, and understanding. The purpose of the visit is to ensure all persons involved with the children have their expectations met, their experience is good and there are no quality or safety issues. As part of the visit or a desktop exercise outside of the visit this will involve receiving feedback from Families, Social Workers or other relevant professionals where appropriate.

The staff, children and young people feedback, where applicable and possible, will be in the form of a semi-structured interview and will be carried out in person with a sample of children and young people, staff, and family members on a one-to-one basis. Where this is not possible the feedback will be undertaken via telephone. In some circumstances, a focus group will be arranged where this is appropriate or provides a more efficient means of capturing the information, or in some cases observations of practice involving children and young people and staff will be completed.

The survey will be organised by the QA&I Team, and they will work with the Provider to ensure children and young people, staff and their families can take part. Anonymous results from the survey will be shared with providers.

### **QMC-9A Childrens Home & Supported Accommodation Validation Visit & QMC-9B SEND Education Validation Visit (In-Borough Only)**

For most providers and services, a visit will be undertaken by the QA&I Team to validate the self-assessment where applicable.

The validation visit will seek evidence to support the provider's self-assessment and, for Ofsted regulated services, will include an in-depth quality audit. The date of the validation visit will be notified in advance.

## **3.0 Provider Quality Rating (PQR)**

The QA&I Team will allocate a Provider Quality Rating (PQR) to providers on the completion of its quality assurance activities.

The PQR is a judgement made by the QA&I Team based on the information presented at the time. The PQR does not directly affect your agreement with the council, however, by definition, a poor rating may be recorded because you are in breach of your agreement which could on its own lead to contract action and suspension or termination of work. The PQR is unrelated to the judgements and ratings made by a statutory regulator (e.g., Ofsted).

The QA&I Team will make the judgement based on its findings from the visits it undertakes, or the information provided. For example, the judgement can be based on whether a provider is meeting standards or expectations set out in the contract and specification; whether there have been any incidents and how these are being dealt with; if the provider is struggling to recruit enough staff; or, it could relate to the financial stability of a provider. The table in Appendix 3 contains more information about the rating and how each category is defined (NB: These are a guide only).

The PQR will be made known to providers and will be shared with key leaders in the council where appropriate as part of a range of indicators about provider quality. This information is not formally published/put in the public domain.

The PQR can be updated at any time but as a minimum will be updated each time after a Quality and Contract Monitoring visit (QMC-1)

For PQR definitions please see Appendix 3.

## **4.0 Other ways we obtain information.**

### Complaints, compliments and other comments

Information shared by people who use our services in complaints, compliments and comments can be used to support other quality assurance or improvement work and to build an overall picture of how good services are.

### Other Professionals

Many of the services the Council commissions are social care services and therefore often have visiting professionals from health and social care, for example, Parents, Social Workers, School Nurses, who may offer information.

We encourage health and care professionals to share information about the services they visit with the QA&I Team. For example, information about things they have seen or heard whilst visiting. The information shared could be about good as well as poor practice. We use information such as this to help us provide support to providers, identify good practice as well as take more urgent action when necessary.

## **5.0 The way we use and share information.**

The information gathered through the QAF will be used in several ways. Including, but not limited to:

### To identify Key Lines of Enquiry

The Quality Assurance and Improvement Team will maintain an overview of the quality of all providers commissioned by the Council. The QAF will provide the QA&I team with the evidence to form questions and key lines of enquiry which can then be followed up at routine Quality and Contract Monitoring meetings or in an ad hoc manner as and when issues arise.

### To support learning and improvement

The QA&I Team will, wherever possible, support providers to improve as soon as issues or concerns are identified. In each element of the QAF there are opportunities to learn from practice good and bad. Learning identified in the QAF will be used with individual providers to help them improve and used more broadly to drive improvement across sectors. For example, an improvement made by one provider resulting from a serious incident will be learning that, shared in the right way, and protecting identities of children and young people, and/or the provider, will be useful to all providers.

Similarly, problems encountered by one provider may be being encountered by other providers and so this information will be used to seek a sector-wide solution to a problem.

### Information Sharing Requests

In all instances of information sharing the CQMO responding to such requests would in the first instance contact the provider and make them aware of the request, who has made the request and what information is being requested. The CQMO will ask the provider to share any QMC forms completed where appropriate with the person requesting, the QA&I team where appropriate will only share brief details of the provider including our own RAG rating (No concerns, minor concerns etc).

In responding to any safeguarding concerns these will automatically be shared appropriately with relevant services.

In response to Ofsted as a regulating body requesting information, we would again make the provider aware of their request and ensure Ofsted receive relevant information timely with agreement from the provider.

### To safeguard service users

Safeguarding concerns for children and young people with care and support needs identified through the QAF will be reported to the relevant Safeguarding Team.

Information about a provider gathered through the QAF which relates to harm, or the potential harm of a child or young person will also be shared with appropriate key stakeholders. The type of information shared could include Ofsted/CQC inspection reports, Quality Monitoring Forms (QMC), safeguarding, complaints and other 'soft' intelligence.

Key stakeholders may include Local Authority Designated Officers, Social Workers, Independent Reviewing Officers, Greater Manchester Integrated Care Board, and key leaders within the Council.

### To monitor contracts and take contract action.

Evidence gathered through the QAF will be used to ensure that the requirements set out in our contracts and specifications are being met. Sometimes, the evidence gathered will trigger some form of contract enforcement. This type of action is rare as it is hoped that most issues can be dealt with and resolved before it gets to a point of invoking clauses in the contract. In these circumstances information will be shared with Bolton Council's Legal Services Department.

### To support market oversight and provider failure duties

Bolton Council has a duty to ensure people's social care needs are met. The duty means that if a provider is forced to close, the Council must ensure children and young people continue to receive care.

Evidence about a provider's quality, financial, or organisational health will be shared with commissioners and senior managers within the Council to support decision making, planning and actions in relation to provider failure.

### To support market shaping duties

Bolton Council has a statutory responsibility for market shaping. The Childrens Act 1989 sets out the requirements for Councils to support the development of care services that meet the needs of the local population and for working collaboratively to develop a high-quality care market.

Aggregated evidence obtained through the QAF will be shared with commissioners and senior managers within the Council and Clinical Commissioning Group to support decision making and the development of future services, care models and tenders.

#### Local Authority Multi Agency Groups and Information Sharing

As part of our ongoing quality assurance we will hold regular meetings and groups throughout the calendar year to support, inform and share information with relevant departments within the local authority including,

- SEND & AP Quality Assurance Group (Quadrimester)
- QA&I & Inclusion Team Group (Monthly)

Drivers of change which underpin the Bolton 2030 Vision which is our strategic partnership plan for more information please visit <https://www.boltonvision.org.uk/>

In 2010, Statutory Guidance was issued on the implementation of Section 22G of the Children Act 1989 that is referred to as the Sufficiency Duty: [Children Act 1989 Link](#)

## 6.0 Useful Contacts

### **Quality Assurance and Improvement Team – Bolton Council**

For more information about this framework or if you have any questions about it, please contact the QA&I Team.

[Childrensquality@bolton.gov.uk](mailto:Childrensquality@bolton.gov.uk)

01204 334236

[www.bolton.gov.uk](http://www.bolton.gov.uk)

### **Bolton Safeguarding Team, Bolton Council**

To report concerns 01204 337000.

For professional support 01204 332032

### **Greater Manchester Integrated Commissioning Board - Bolton**

01204 462000

[gmicb-bol.communications@nhs.net](mailto:gmicb-bol.communications@nhs.net)

[Bolton | Greater Manchester Integrated Care Partnership \(gmintegratedcare.org.uk\)](http://Bolton | Greater Manchester Integrated Care Partnership (gmintegratedcare.org.uk))

### **Care Quality Commission**

03000 616161

[www.cqc.org.uk](http://www.cqc.org.uk)

### **Ofsted**

0300 123 4666

General – [enquiries@ofsted.gov.uk](mailto:enquiries@ofsted.gov.uk)

Complaints - [Complaints procedure - Ofsted - GOV.UK \(www.gov.uk\)](http://Complaints procedure - Ofsted - GOV.UK (www.gov.uk))

### **Children's Commissioner**

020 7783 8330

[Contact us | Children's Commissioner for England \(childrenscommissioner.gov.uk\)](http://Contact us | Children's Commissioner for England (childrenscommissioner.gov.uk))

### **NSPCC**

0808 800 5000

[Dedicated helplines | NSPCC](http://Dedicated helplines | NSPCC)

## Appendix 1 Activity Matrix

### Applicable Standard QA Activity Matrix

This table shows which elements of our standard QA activity apply to which service type. Services are listed in QAF Priority Groupings.

Applicable QA Activity									
Provider	QMC-1	QMC-2	QMC-3	QMC-4	QMC-5	QMC-6	QMC-8	QMC-9A	QMC-9B
<b>Childrens Homes (Unregistered and RI or Below)</b>	Annually	Ad-hoc	Ad-hoc		Monthly		Ad-hoc and within the audit	Annually	
<b>Supported Accommodation</b>	Annually	Ad-hoc	Ad-hoc		Monthly		Ad-hoc and within the audit	Annually	
<b>Alternative Provision - Registered</b>	Alternate 12 monthly with QMC-9	Ad-hoc			Termly				2 Yearly alternating with QMC-1
<b>Alternative Provision – Unregistered</b>	Annually	Ad-hoc		Ad-hoc	Termly				Annually
<b>Resource Provision</b>	2 Yearly alternating with QMC-9B	Ad-hoc			Termly				2 Yearly alternating with QMC-1
<b>Special Schools (IB)</b>	Annually	Ad-hoc			Termly				Annually
<b>Special Schools, Colleges and AP (OOB)</b>	Annually	Ad-hoc			Termly	Annually			

### Minimum (Physical on Site) Visit Frequencies

The following table shows the minimum number of physical on-site visits a provider can expect from the Quality Assurance and Improvement Team in a 12-month period and the type of visit this will be.

<b>Ofsted Regulated Services – Minimum visit frequency per annum</b>		
<b>Service type</b>	<b>Min volume of visits p.a.</b>	<b>Visit type (min volume p.a.)</b>
Children's Home – Unregistered and RI or below	2	X1 QMC-1 X1 QMC-9A
Supported Accommodation	2	X1 QMC-1 X1 QMC-9A
Alternative Provision - Registered	1	X1 QMC-1 X1 QMC-9B To be alternated 12 monthly
Alternative Provision - Unregistered	2	X1 QMC-1 X1 QMC-9B
Resourced Provision	1	X1 QMC-1 X1 QMC-9B QMC-1 and QMC-9B will alternate on an annual basis.
SEND Special Schools, AP and Colleges – Out of area	2	X1 QMC-1 X1 QMC-6
SEND Special Schools & Colleges – Bolton	2	X1 QMC-1 X1 QMC-9B

\*Any Ofsted-registered service with a rating of **Requires Improvement** or **Inadequate** may receive additional visits whilst being supported with their action plan, the number of extra visits will be determined by the CQMO considering risks to service users, the provider, and the Council.

\*\*Resourced Provisions in Bolton will receive 1X QMC-1 within 24 months and 1X QMC-9 within 24 months on an alternating basis where the provider offers a low risk. Providers will receive an extra visit where concerns are raised and/or their Ofsted rating falls below 'Good'.

\*\*\*Where capacity increases within CQMO portfolios providers may be risk assessed and judged to be able to receive fewer visits than the QAF outlines. This may also occur where the number of unregulated provisions increase. All providers will receive a minimum of one visit per annum where capacity allows.

## Appendix 2

### Provider Quality Rating (PQR) Definitions



Category	Definition	Rating
No concerns	There were no issues identified at the QMC-1 meeting either by the registered manager/lead/head or the CQMO. All aspects of the specification and contract are being met. There is no evidence that standards or regulations are being breached. There is no evidence that the provider is struggling financially. The provider has all necessary paperwork, insurances, registrations to deliver the service. Young people's experience is good. Learning and improvement is being undertaken when issues are identified. There have been one or two complaints, but these are minor in nature and have been reported to QA and are being dealt with appropriately. There are no substantiated safeguarding concerns or enquiries. There is no substantiated whistleblowing.	1
Minor concern	Some minor concerns were identified either by the CQMO, the service manager or other professional. These concerns do not impact on children and young people's safety and there is no risk of harm or abuse if action is taken. Evidence suggests that one or more standards are not being met but can be (or are being) easily resolved and do not impact on safety - further work may be required to understand the nature of the concern further. Some aspects of the contract or specification are not being met but can be (or are being) resolved easily by the provider. There are one or two complaints of a minor nature that are being resolved by the provider, but a trend is appearing. Provider reports an issue which may affect its ability to meet one or more of its KPIs or productivity targets and is working on a solution. Provider has missed a reporting period (e.g., failed to send back a return or other information, no invoice received).	2
Moderate concern	Concerns have been identified either by the CQMO, service manager, other professional or the regulator. These concerns may impact on children and young people's safety and if not dealt with there is a risk of harm. An incident has occurred which led to a moderate harm and there is no evidence that learning has been identified and improvements put in place. There have been several incidents recently of moderate harm occurring with a recurring theme e.g., RPI, medication, etc. There are several safeguarding concerns being investigated. There is one or more s.47 safeguarding enquiries ongoing. There has been a whistleblowing which requires improvement actions from the provider. Evidence shows that one or more aspects of the specification and contract are not being met which is affecting service delivery and/or quality and will take time to put right. Provider is not meeting one or more of its KPIs but working on a solution. Provider is not meeting productivity targets but working on a solution. The provider has financial problems and has warned they may struggle to pay staff. The provider is struggling to recruit staff but has plans in place. No registered manager in place. High staff turnover.	3
Significant concern	Concerns have been identified either by the CQMO, service manager, other professional or the regulator. These concerns will impact or have already impacted on customer safety. There is a significant risk of further harm. An incident has occurred which led to significant harm and there is no evidence of investigation, learning or improvement.	4

	<p>Evidence shows that a significant part of the contract or specification is not being met and this has impacted service delivery and quality. There is not sufficient evidence presented that show problems are being rectified. There have been numerous safeguarding concerns and s.47 enquiries some of which have been substantiated. Provider is not meeting many of their KPIs or productivity targets and there is no evidence that this will improve. The provider is struggling to recruit staff and no plans to rectify. Children and young people's experience is very poor with numerous complaints, whistleblowing and other issues being raised. There are other issues which will mean the provider is at risk of failing/closing if action is not taken. The provider reports it is struggling financially.</p>	
Catastrophic concern	<p>There is evidence to suggest the provider has major financial problems and they are close to failure e.g., information from Ofsted market oversight, non-payment of creditors, warning from provider. The regulator has issued a warning of closure because of irrecoverable issues with the quality of the service. The provider has issued notice it wishes to leave the market. Very urgent attention is required including activation of contingency plans.</p>	5

**Please note, these definitions are given as a guide.**