Appendix D – Care Home Escalation Structure

Operational Staff				Quality Monitoring		Contracting		Senior Managers/Directors	
Continuing Healthcare Assessors	**Care Management**	**Community Staff**	**NCC Safeguarding Team**	**NHSN**	**NCC**	**NHSN**	**NCC**	**NHSN**	**NCC**
Level 1 – Default (day to day business, low level concerns to address with care home)									
Assess resident and liaise with care home staff - CHC assessor	Assess resident and liaise with care home staff	Note in case records - liaise as appropriate with CHC or Care Manager	Unlikely to have a role at this stage	Standard monitoring and liaison with CHC & NCC monitoring officers	Standard monitoring and liaison with Care Management & NHSN monitoring managers	Receive standard monthly reporting from monitoring managers	Receive standard monthly reporting from monitoring officers	No role	No role
Level 2 – Persistent Default = concerns continue, and need some formal action including SOVA									
Respond to individual care needs for the resident; report concerns into monitoring team; meet residents protection needs via SOVA; review care ensuring concerns are acted upon - inform team leader	Respond to individual care needs for the resident; report concerns into monitoring team; meet residents protection needs via SOVA; review care ensuring concerns are acted upon	Respond to individual care needs for the resident; report concerns into monitoring team; meet residents protection needs via SOVA; liaise with GP	May be individual incidents managed as part of procedures	Investigate nature of concern. Detail actions required with timescales; increase monitoring levels; inform contracts team; use monthly meetings to share information and agree joint monitoring requirements; liaise with GPs	Investigate nature of concern. Detail actions required with timescales; increase monitoring levels; inform contracts team; use monthly meetings to share information and agree joint monitoring requirements	Note concerns and actions required. Record in risk register and receive updates from monitoring managers. Consider issuing a contract query or performance notice	Note concerns and actions required. Record in risk register and receive updates from monitoring officers. Consider issuing a default notice	Update from monitoring and contracting team through standard 1:1	Update from monitoring and contracting team through standard 1:1
Level 3 – Persistent & or Serious Default (significant and/or sustained concerns that require enforcement action, including planned cancellation of contract)									
Respond to individual care needs for the resident; report concerns into monitoring team; meet residents protection needs via SOVA; review care ensuring concerns are acted upon - involve line manager	Respond to individual care needs for the resident; report concerns into monitoring team; meet residents protection needs via SOVA; review care ensuring concerns are acted upon ; liaise with GP re individual patient needs	Respond to individual care needs for the resident; report concerns into monitoring team; meet residents protection needs via SOVA; review care ensuring concerns are acted upon; liaise with GP re individual resident needs	May require strategy meeting/case conference including range of agencies - including contract & monitoring teams for institutional abuse	Strategy meeting with NCC monitoring officers to specify areas of concerns, risk assess, mitigating action & agree increased levels of monitoring; include GPs within strategy; formal reporting into contract managers: reporting to CQC; communications into CQC/NCC/NHSN information sharing meeting. Agree communication strategy with residents and representatives	Strategy meeting with NHSN monitoring managers to specify areas of concerns, risk assess, agree mitigating action & agree increased levels of monitoring; formal reporting into contract managers: reporting to CQC; communications into CQC/NCC/NHSN information sharing meeting	Meet with provider to review concerns. Establish an action plan with defined timescales and outcomes. Consider issuing a performance notice or warning notice. Communicate any suspension notice to monitoring managers across NCC/NHSN; CHC; CQC; Care Management and relevant community staff. Inform out of area PCT. Consider need for strategy meeting for contract termination. Brief senior managers	Meet with provider to review concerns. Establish an action plan with defined timescales and outcomes. Consider issuing a serious default notice. Communicate any suspension notice to monitoring managers across NCC/NHSN; CHC; CQC; Care Management and relevant community staff. Inform out of area LAs. Consider strategy meeting for contract termination. Brief senior managers	Receive briefing on actions taken - senior manager may take an active role in the enforcement action. Consider meeting with residents and representatives	Receive briefing on actions taken - senior manager may take an active role in the enforcement action. Consider meeting with residents and representatives
Level 4 – Persistent/Serious & Significant Default (Care home at risk of urgent closure)									
Strategy meeting as per procedure for risk of urgent closure - Responsibility for individual resident contained within this - involvement of senior manager	Strategy meeting as per procedure for risk of urgent closure - Responsibility for individual resident contained within this	Supporting care of residents as identified from the strategy meeting	Require strategy meeting/case conference including range of agencies	Strategy meeting as per procedure for risk of urgent closure - Responsibility for overall monitoring of the service and response to the action plan requirements. Reporting through the strategy meeting and into contracts team/senior managers	Strategy meeting as per procedure for risk of urgent closure - Responsibility for overall monitoring of the service and response to the action plan requirements. Reporting through the strategy meeting and into contracts team/senior managers	Strategy meeting as per procedure for risk of urgent closure - Responsibility for enforcement action and meeting service providers. Liaise with other authorities. Reporting through the strategy meeting and to senior managers	Strategy meeting as per procedure for risk of urgent closure - Responsibility for enforcement action and meeting service providers. Liaise with other authorities. Reporting through the strategy meeting and to senior managers	Organise Strategy meeting as per procedure and agree lead responsibilities with NCC - assign responsibilities for various components	Organise Strategy meeting as per procedure and agree lead responsibilities with NHSN - assign responsibilities for various components