STEP ONE

STEP FOUR

STEP THREE

STEP TWO

**ISSUE RECEIVED**

Please note that immediate advice should be sought from Safeguarding where there are concerns that give raise to the safety of individuals, where there is concern about the conduct of someone in a position of trust and where there is uncertainty about whether thematter should be the subject of a Safeguarding referral and further guidance is required.

SAFEGUARDING

CONTRACTS

COMPLAINTS

INTERNAL

**Joint Quality Management Meeting (JQMM)** or straight to **Further Action** if issue cannot wait to be considered at next JQMM

**FURTHER ACTION?**

(Including same day monitoring if risk level requires this)

**QUALITY ASSURANCE MEETING**

Meet with provider and raise concern

YES\*

NO

**NORMAL CONTRACT MONITORING**

**ISSUES RESOLVED?**

YES

NO\*

Developmental Action Plan (DAP) /Corrective Action Plan (CAP)

CLOSE

**Provider Performance Meeting (PPM)**

(PPM)

Developmental Action Plan (DAP) /Corrective Action Plan (CAP)

**DAP / CAP Performance Review**

**IMPROVEMENT SATISFACTORY?**

YES

NO\*

Review Timescales

**JOINT INTER-AGENCY MONITORING PANEL (JIMP)**

**SERVICE OPERATIONS SUPPORT GROUP (SOSG)**

Developmental Action Plan (DAP) /Corrective Action Plan (CAP)

**DAP / CAP Performance Review**

**IMPROVEMENT SATISFACTORY?**

YES

NO\*

Review Timescales

\*NB. The steps 1-4 only serve as a guide. The process does not preclude the missing of steps where there is a clear rationale to do so.

For example, significant issues that give rise to serious concerns about a provider’s ability to appropriately safeguard individuals or where the provider has taken the decision to close the service or there are serious concerns about the ability / appropriateness of a Provider to continue to operate, should proceed straight to JIMP / SOSG without the need to first hold a QA Meeting or PPM.

**RISK ASESMENT Criteria**

|  |  |
| --- | --- |
| **Engagement Criteria** | **Score** |
| Provider has been notified of concerns and evidence has been provided that no action needs to be takenProvider has addressed concerns and no further action is requiredNo further problems have arisen since notification | 0 |
| Provider has been notified of concerns and is taking action  | 1 |
| Provider has been notified of concerns and is taking action but concerns exist about providers capacity to achieve timely change Further assurance and improvement are required | 2 |
| Provider has been notified of concerns but problems persistProvider is not being open, transparent or engaging with the processProvider is minimising/ denying need to address concernsImmediate assurance and improvements are required | 3 |
| Provider has been notified of concerns but has not respondedProvider is unable to demonstrate and/ or sustain assurance and improvements | 4 |

|  |  |
| --- | --- |
| **IMPACT Criteria** | **Score** |
| Overall the service is not materially affectedQuality of life is not affectedIndividuals are not at risk of harmProvider can maintain quality of care | 0 |
| Some aspects of the service are compromisedQuality of life is not significantly affectedIndividuals are not at risk of harmSingle Agency response is requiredProvider can maintain quality of care with support from contract management | 1 |
| The service is compromisedThe quality of life of some individuals may be affectedIndividuals may be at risk of harmMulti Agency response is required with support from contract management (enhanced contract management)  | 2 |
| The service is compromised to a significant extentQuality of life is affectedIndividuals are at risk of harmMulti Agency support and monitoring is required (which could include multi-agency involvement and oversight) | 3 |
| The service is severely affected and maybe unable to meet a large proportion of its obligations and liabilitiesQuality of life is significantly affectedIndividuals are at risk of significant harmIntensive Multi Agency involvement and oversight is required | 4 |
| Operational performance of the provider would be compromised to the extent it would not be able to meet core obligations and liabilities.Major adverse repercussions for individuals making care unsustainable or unsafeProvider is unable to recover or continue to be viableA Service Operations Support Group is required | 5 |

**Risk Assessment Matrix**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Normal Contract Monitoring** | **Quality Assurance Meeting** | **Provider Performance Meeting (PPM)** | **JOINT INTER-AGENCY MONITORING PANEL (JIMP)** | **Service Operations Support Group (SOSG)** |

**KEY**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **IMPACT CRITERIA** | **5** |  |  |  |  |  |
| **4** |  |  |  |  |  |
| **3** |  |  |  |  |  |
| **2** |  |  |  |  |  |
| **1** |  |  |  |  |  |
| **0** |  |  |  |  |  |
|  | **0** | **1** | **2** | **3** | **4** |
|  | **ENGAGEMENT CRITERIA** |