



Care Inspectorate Planning Activities

Report to: Strategy and Performance Committee

Date: 18 August 2012

Report by: Karen Anderson, Director of Operations (Planning, Assurance, Public Reporting)

Report No: SP-12-2012

Agenda Item: 7

PURPOSE OF REPORT

The purpose of this paper is to inform committee members of current approaches to Care Inspectorate planning activities and set out work underway to develop new planning approaches to enable more effective delivery of corporate outcomes and objectives and more efficient deployment of resources.

RECOMMENDATIONS

That the Strategy and Performance Committee:

1. Notes the progress to date on implementation of new approaches to planning
2. Provides strategic advice on any aspect of the planning process
3. Approves the revision of the Corporate Plan for implementation 2013-2016

Version Control and Consultation Recording Form

Version	Consultation	Manager	Brief Description of Changes	Date
	Senior Management	K Anderson	Consultation with ET members	09/08/2012
	Legal Services			
	Resources Directorate			
	Committee Consultation (where appropriate)			
	Partnership Forum Consultation (where appropriate)			
Equality Impact Assessment				
To be completed when submitting a new or updated policy (guidance, practice or procedure) for approval.				
Policy Title:				
Date of Initial Assessment:				
EIA Carried Out			YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
If yes, please attach the accompanying EIA and briefly outline the equality and diversity implications of this policy.				
If no, you are confirming that this policy will have no negative impact on people with a protected characteristic and a full Equality Impact Assessment is not required.			Name: Karen Anderson Position: Director of Operations	
Authorised by Director	Name:K Anderson		Date:09/08/12	

1.0 BACKGROUND

The Care Inspectorate developed an interim Corporate 2011-2014 to provide initial strategic direction for the organisation during the period of bringing together the three discrete organisations (Care Commission, Social Work Inspection Agency and HMIE Child Protection team).

The interim Corporate Plan was developed at a time of anticipated significant budget reductions during the period 2011-2014 and set out how the Care Inspectorate managed the 3 continuing areas of work inherited from its predecessor bodies; developed change programmes to lay the foundations for new ways of working in future years; and, took steps to align corporate objectives and performance management to outcomes- based reporting.

The interim Corporate Plan was informed by the Minimum Frequency and Intensity of Inspection framework and the annual Inspection Plan previously approved by Ministers ahead of the establishment of the Care Inspectorate.

Although the interim Corporate Plan sets out high level change programmes and corporate outcomes it is not supported by a business improvement plan that details current and emerging development and national policy activities, planned change projects to enable more informed resource planning and outcomes based budgeting activities.

1.1 Inspection Planning

During the first two years of its inception, the Care Inspectorate continued to utilise an annual planning methodology for inspection of regulated care services while deploying resources to fulfil the obligations of previous inspection regimes such as Child Protection 2 inspections, Initial Scrutiny Level Assessments (ISLAs) and develop new scrutiny models for piloting in the joint inspection of services for children.

The Minimum Frequency and Intensity of Inspection framework sets out the expected schedule of when different service types require inspection but the actual schedule is currently delegated to individual inspector level to plan.

This methodology served the organisation well in the initial stages but does not enable medium to long term planning or efficient deployment of resources.

1.1.1 Process Mapping

To enable more efficient effective deployment of resources and workforce planning significant work has been undertaken to map current processes and practices across inspection, registration and complaints activities. This will inform development of more efficient ways of working; clarify roles and responsibilities between inspection and admin colleagues; inform wider role

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developments and career pathways across the workforce; and an evidence base of where our ICT systems work well and where new business processes require to be introduced.

1.1.2 Workforce Planning

The Care Inspectorate continues to use a workforce planning model developed by the Care Commission to plan the required amount of allocated inspection hours for each care service depending on the type of service, size, scope, geographic location and risk assessment.

Work commenced in late 2011 to review via a diary exercise whether the allocated inspection hours were accurate across all care service inspection activities.

Work is also currently underway in assessing the likely resource requirements for deployment of new scrutiny models in children and adult services and inspection of social work services.

1.1.3 Performance Management

To date we have continued to report against the objectives and KPIs agreed in the corporate plan 2011-14, and outlined in our report to Strategy and Performance Committee on 7 July 2011 entitled 'Performance Management in SCSWIS'.

There is an acknowledged need for more robust performance management indicators that also includes qualitative measures focusing on outcomes for people who use services their carers and families. With this in mind, in August and September 2011 the internal auditors facilitated two sessions with Board members to develop a new set of KPIs. Further work including a Board Development session in June 2012 has now been done to develop refined key performance and quality indicators for implementation in 2013/14.

1.1.4 Risk Assessment and Intelligence

During the first year of operation, the Care Inspectorate developed a new risk assessment document to improve how the organisation captured information and evaluated risk for all regulated care services.

Significant work has been ongoing in the development of a Risk and Intelligence framework and this will provide a strong foundation on which to inform new planning approaches.

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2.0 IMPLEMENTATION OF NEW PLANNING PROCESSES

2.1 Corporate Plan

The Care Inspectorate's Corporate Plan was developed to provide an interim direction of travel for business activities. Since its development there has been a number of changes to political and policy direction that directly affects the work of the Care Inspectorate. For example, integration of health and social care, recommendations from the Health and Sport Committee, changes to the Care Inspectorate budget planning, impending review of National Care Standards, and the introduction of new models of scrutiny. These combined with recent work on developing new values and vision and recommendations from the structural review undertaken by Morrison HRC means that the Care Inspectorate needs to develop a new three year rolling Corporate Plan from 2013. This will enable the implementation of a new vision, values and successful deliver of corporate objectives and outcomes that focus on improving the quality of care for people in Scotland.

The new Corporate Plan will inform and be informed by the strategic risk register.

Appendix A provides a visual diagram of the new approach to planning within the Care Inspectorate.

Appendix B provides timelines for development of a revised Corporate Plan, Business Improvement Plan and Operational Plan.

2.2 Business Improvement Plan

To enable detailed execution of the Corporate Plan, a three year Business Improvement Plan 2013 – 2016 will be developed during Autumn / Winter 2012. This will enable forward planning for all scrutiny, improvement, development and policy activities so that the Care Inspectorate can deliver its corporate objectives and outcomes through maximising deployment of its resources in the most efficient and effective way.

2.3 Operational Planning

A new national approach to operational planning is currently being developed and implemented. This new approach will enable planning of all regulated care service, strategic inspections and social work inspection over a 3-4 year period based on risk and intelligence so that scrutiny activities are more proportionate and targeted to drive continuous improvement to the quality of care. Individual workloads will be allocated centrally but with flexibility built in to enable localised deployment and effective performance management.

This new approach will be informed by rigorous evidence on how the Care Inspectorate makes best use of its resources by developing new inspection,

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complaints and registration processes and ensuring that staff work plans are realistic, relevant to skills, knowledge and expertise and give an accurate allocation of workload hours required to fulfil tasks and contribute to realising corporate objectives and outcomes.

A key outcome from this work will be the development of a 3-4 year inspection plan with sufficient flexibility to respond quickly to changing circumstances. This will also allow us to work more effectively with other scrutiny bodies to identify risks, share information and plan and coordinate inspections, particularly those carried out jointly with other scrutiny bodies.

2.4 Risk and Intelligence Framework

The Risk and Intelligence framework will support and inform Corporate, Business Improvement and Operational Planning to ensure that the Care Inspectorate is proportionate, targeted and intelligence led. This will enhance planning activities by enabling more efficient and effective deployment of resources to deliver even greater levels of public assurance and protection.

This framework supports planning by identifying the key intelligence we need, and collect, handle, analyse, interpret and share to plan, carry out and deliver our regulatory and inspection activities. We will use it to identify services that are failing to improve or sustain improvements, or those that pose the greatest risks to people.

2.5 Performance Management

2.5.1 Development of new performance measure outcomes

In August and September 2011 the internal auditors facilitated two sessions with Board members to develop a new set of KPIs. Further work including a Board Development session in June 2012 has now been done to develop refined key performance and quality indicators for implementation in 2013/14. This will provide greater accountability and enable Board members to execute good governance by holding senior management to account for all business activities as well as providing more rigorous and transparent public reporting on the work of the care Inspectorate.

To support more transparent and rigorous reporting of performance, the Care Inspectorate is currently concluding a tender process to develop and implement a robust performance management reporting system that will enable more effective strategic reporting and management information to be produced.

2.5.2 Individual performance management

The implementation of the new structure from 2013 will enable the care Inspectorate to strengthen leadership capacity at all levels, strengthen performance management, clarify decision-making structures and build rigour,

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quality assurance and consistency in all our systems and processes.

All staff transferred into the Care Inspectorate under their existing terms and conditions, which includes the Care Commission Performance Development Review system and the Scottish Government Performance Management system. During 2013 – 14 a new appraisal system will be developed for the Care Inspectorate.

Templates for recording performance and development objectives are used to ensure that a consistent approach is taken to objective setting. Every member of staff will have agreed personal objectives set with their manager at the start of each year. This will enable them to see how they can contribute effectively to the corporate aims and objectives.

Regular 'One to One' Supervision meetings take place in accordance with employees' current terms and conditions. These meetings allow staff to review their objectives and workload and provide support to help them carry out their role effectively.

3.0 RESOURCE IMPLICATIONS

The new approach to planning will be undertaken within current financial resources. It will enable more robust and efficient deployment of all Care Inspectorate resources. Financial and other resource planning alignment is both a fundamental and an integral component to the effective development of new Corporate, Business Improvement and Operational Plans.

4.0 BENEFITS FOR PEOPLE WHO USE SERVICES AND THEIR CARERS

By developing new approaches to planning and more efficient, effective deployment of resources, people who use services and their carers will receive stronger public assurance that the Care Inspectorate targets its finite resources to scrutiny and improvement activities that will improve their quality of care and therefore contribute to a better quality of life.

5.0 CONCLUSION

The new approach to corporate, business improvement and operational planning provides clarity on the vision, values, objectives and outcomes at a strategic, operational and individual level. This will ensure that people who use services and their carers and key partners and stakeholders better understand the work of the Care Inspectorate and enable Board members to hold senior management to account for the performance, delivery and quality of all business activities.

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LIST OF APPENDICES

- Appendix 1 -** Planning diagram
- Appendix 2 -** Business Planning timeline