



# Chief Executive's Report

**Report to:** Board  
**Date:** 28 September 2017  
**Report by:** Karen Reid, Chief Executive  
**Report No:** B-26-2017  
**Agenda Item:** 23

## PURPOSE OF REPORT

This report provides the Board with an update on key developments since the Board meeting in June 2017.

## RECOMMENDATIONS

That the Board:

1. Notes the information contained in this report.

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**Consultation Log**

Who	Comment	Response	Changes Made as a Result/Action
Senior Management			
Legal Services			
Corporate and Customer Services Directorate			
Committee Consultation (where appropriate)			
Partnership Forum Consultation (where appropriate)			
<b>Equality Impact Assessment</b>			
Confirm that Involvement and Equalities Team have been informed	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>	
EIA Carried Out	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>	
If yes, please attach the accompanying EIA and appendix and briefly outline the equality and diversity implications of this policy.			
If no, you are confirming that this report has been classified as an operational report and not a new policy or change to an existing policy (guidance, practice or procedure)	Name: Karen Reid Position: Chief Executive		
Authorised by Director	Name:	Date:	

## **1.0 INTRODUCTION**

This report provides Board members with an update of key developments for the Care Inspectorate since the last report in June 2017. It focuses on the four key leadership themes developed by the Chief Executive.

## **2.0 CONSOLIDATING EXCELLENCE**

**2.1** Following our successful role producing Scotland's new Health and Social Care Standards, the Scottish Government has now asked us to jointly lead the implementation of the Standards with Healthcare Improvement Scotland. Currently, we are raising awareness of the Standards internally and externally in preparation for being rolled-out from April 2018, with copies being issued to all registered services and a communications and engagement plan being agreed.

We are taking a lead agency role across the care sector in external promotion of the Standards and preparing the sector for implementation from April 2018. We have been asked to provide the key input at influential national conferences, such as the keynote address at this year's Children in Scotland conference. Other events include the Care Workforce Conference, Scotland's first Play Convention, the 10<sup>th</sup> Professional Regulation Conference and the annual conferences of Scottish Childminding Association, Care and Learning Alliance and Action on Elder Abuse.

**2.2** Findings from the dementia inspection focus area are being developed, with key learning points to be shared later in the autumn as a follow up to Remember I'm Still Me.

Our Infection Control Consultant is leading on the learning events for care homes involved in the Healthcare Associated Infections European Long-Term Care Facilities study led by Health Protection Scotland.

**2.3** Induction for team managers and senior inspectors has been successful in clarifying expectations around the roles. Further support is being developed to establish a mentoring approach to help define how senior inspectors can encourage a stronger learning experience for inspectors. All senior inspectors will also attend the coaching conversations training to embed the approach further.

**2.4** Building Better Care Homes was developed and published by the Care Inspectorate in 2014. This document has been updated. It refers to regulations, the new Health and Social Care Standards, good practice and guidance. This guidance for the build environment is used by care providers who are designing a care home for adults, or considering applying to register or vary registration conditions of a care home for adults. It also gives guidance to

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applicants seeking to change the legal entity/take over an existing care home. The document will be published later in 2017.

- 2.5** We have continued to work with our information governance consultants to ensure we make improvements in this area of work. We have developed a new business classification scheme, information asset register, and new ways of responding to potential data breaches. This is important preparation ahead of new data protection regulations in 2018.
- 2.6** We have begun to embed our revised approaches to responding to complaints about the Care Inspectorate. This supports issues being examined and, where possible, resolved quickly. We have begun to build feedback processes into this to further improve the process where possible.
- 2.7** Work is underway in developing the Financial Strategy which was approved at Resources Committee on 14 June 2017. It was agreed to establish a members/officer working group. The group will report periodically to the Resources Committee.
- 2.8** Procurement is a significant element of the Scottish Government's Efficient Government Agenda. We have recently received the results of the Scottish Government Procurement health check and Scottish Government have highlighted that our procurement capability has improved and that the Care Inspectorate has plans in place to support further improvement.
- 2.9** In this quarter, we notified six partnerships that we would be conducting a thematic review of adult support and protection arrangements throughout the year. This work is being supported by a reference group comprising a wide range of stakeholders and has been very positively welcomed.
- 2.10** In July, we contributed to a conference around excellence in drug and alcohol services. The Strategic Inspector who led the validated self-evaluation of alcohol and drug partnerships (ADPs) published earlier this year presented on this work, focusing on the report's key findings and our contribution to building capacity for self-evaluation across ADPs by our engagement with 23 associate assessors from ADPs and from addictions services.
- 2.11** I was invited to join the National Child Protection Leadership Forum which was established as a recommendation of the Child Protection Improvement Programme. As a result of the presentation I delivered on the findings from joint inspections of services for children carried out over the last five years. The Care Inspectorate has been invited to contribute to a series of leadership events to be held around the country over the winter/early spring.
- 2.12** Team managers and senior inspectors have been supporting new and existing staff to develop outcome-focussed inspection reports and on supporting improvement. This has highlighted the value in planning some further training

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around our methodology to ensure greater consistency amongst the new inspection teams.

- 2.13** In November 2016 Scottish Government invited the Care Inspectorate to chair a short-life working group to look at the future shape of inspecting for children to commence 1 April 2018 as part of the Child Protection Improvement Programme. A High Level Advisory Group chaired by the Executive Director of Scrutiny & Assurance was established and has met on three occasions since May 2017. As a result, on 23 June 2017 we submitted an outline proposal to Scottish Government on the suggested future scope of a scrutiny model. The intention is to focus on the experiences and outcomes of children in need of protection, within the context of GIRFEC, and those subject to corporate parenting. We are awaiting Ministerial approval to take forward the necessary development work which will continue to involve regular meetings of the High Level Advisory Group.
- 2.14** The registration team manager (adults) has been working with staff from Western Isles Council following the findings of the inspection of services for older people published in March 2016. We are supporting the authority in the development of registered services to support people being discharged from hospital to receive targeted care and support before assessment leads to them returning home or to an alternative suitable care service dependant on their individual identified care and support needs.

### **3.0 CULTURAL CHANGE**

- 3.1** Our internal staff engagement and communication approach continues to grow. Increasingly colleagues are using the 'People Like Us' microsite as well as Yammer and Moodle as methods to share online discussions and documents about issues arising in relation to their scrutiny and improvement work and the progress of key projects. This work is being led by the internal communications and engagement team.
- 3.2** We have completed our third 'temperature check' staff poll which has proven effective in seeking opinions of staff on issues of importance to them. We have asked staff their views on refreshing the Care Inspectorate values, and asked whether colleagues wished the annual staff photography competition to continue – in the past this has been a way of allowing our colleagues work to be featured in illustrating our publications, with their agreement. We will continue to use the pop up polls as they provide a quick assessment of staff mood and thinking towards strategic issues and staff engagement issues.
- 3.3** Our third quarterly 'Engage in Change' forum was held on 23 August 2017. The day was very interactive looking at the importance of emotional intelligence and resilience in leaders. This invited the group to do some more self directed learning outwith the forum to continue their development. Dr Ailsa Cook led an interactive session about the importance of complexity of measuring outcomes at a population, programme and personal level and gave some tips on how we

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could consider this differently. This was followed by a lively session on our Improvement Strategy. This was then followed by 'seven minute updates' on key areas such as risk and intelligence, business transformation and strategic scrutiny.

- 3.4** The next phase of my Chief Executive's breakfast meetings is being scheduled. A summary of the thematic issues and actions arising from the first programme of meetings has been shared with colleagues and has been well received. This is part of my ongoing commitment to be open, accessible and engaged with staff at all levels in our organisation. It has been rewarding to see staff feeling empowered to speak out as well as assuring the workforce that we are listening as well as consulting.
- 3.5** We are continuing to build on our strategy around coaching conversations in the Care Inspectorate. The first cohort of our coaching conversations training programme was delivered early August. Feedback from the 14 members of staff who participated has been very positive. Work is ongoing in parallel with the SMT to ensure that coaching conversations skills are visible and embedded in what we do and how we behave. The project plan will be rolled out shortly to implement the governance framework for coaching and to communicate this widely. This is an important element of supporting empowerment of our colleagues at every level.
- 3.6** The Culture Leads group met in late July 2017 to discuss how they will continue to embed the UGR work that we have been taking forward. A programme of culture change events is being developed which will continue to engage the workforce in how they can change culture from their part of the organisation and how that can collectively shift behaviours overall.
- 3.7** Adult Services and Complaints team managers had a development day to consider organisational culture, positive behaviours and supporting staff to contribute to the Care Inspectorate's purpose and values. An action plan was developed and is being taken forward.
- 3.8** We are embedding the role of senior inspector into teams. This role has been welcomed by staff to support the work of teams offering for the first time a dedicated post that will support and mentor inspectors in their activities.
- 4.0 A COMPETENT AND CONFIDENT WORKFORCE**
- 4.1** Four members of the Improvement Support team are completing their improvement advisor certificate with NHS Education for Scotland (NES) (Scottish Improvement Leader programme). As part of the implementation of the Improvement Strategy work has begun to build capacity and capability in the Care Inspectorate and in the care sector in improvement skills. A workshop took place in August 2017 to develop one team's confidence in improvement support approaches, which has been received well with positive feedback. Others are currently being planned.

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- 4.2** We are continuing to provide SOFI 2 training to new inspectors in Adults teams and in September 2017 the pilot of using SOFI 2 in Early Years will begin. SOFI 2 is a tool which supports inspectors to undertake structured observations of experiences for people.
- 4.3** The Improvement Support team is leading work on speech and language therapy – two workshops have been arranged with the relevant Royal College for inspection staff and care providers based on current good practice for communication, eating, drinking and swallowing difficulties. The outcome will be a guidance document care trigger and a key messages leaflet. Two inspection staff will attend these workshops along with Scottish Care and a care home manager for this collaborative work.
- 4.4** The Senior Management Team (SMT) agreed the key principles for the Learning and Development and Culture Change Strategies. Work is underway now to complete these strategies. These will set out clearly our aspiration to create a strong learning culture which builds on the many talents and skills of our workforce within the sector.
- 4.5** Service managers with responsibilities for regulatory inspection, registration and complaints have worked with the Organisational Development team to develop a new learning and development programme for staff directly involved in scrutiny, and for those who support this. This will be launched later in 2017. The new programme and intranet pages will make it clearer and easier for our staff to access development opportunities.
- 4.6** Work has commenced via the cross working group to develop a new approach to replace the current performance development and review system. The new approach will be less of an annual event and encourage colleagues to source feedback as part of their discussion with their manager. The conversations will be more development focused and identifying early where any support is required where objectives are not being met or are difficult to achieve. Coaching conversations skills will be key to the implementation of the new approach later this year.
- 4.7** We have progressed our new career pathways pilot and were pleased to see 56 applicants for the Practitioner Inspector role and 11 applicants for the Inspection Support Assistant role. Recruitment has concluded and the new posts will be filled by October 2017. The Steering Group will now monitor progress of the pilot through the evaluation model that has been agreed and will be operated in conjunction with SSSC. A fourth Career Pathway will be mainstreamed as a permanent route for development between regulated care inspectors and strategic inspection. This was following a successful pilot which was monitored and evaluated earlier this year.
- 4.8** Work is underway to develop a bespoke development programme for our inspectors who are registered nurses. This follows workshops held earlier this

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year where colleagues met to discuss their development needs. This work is being developed jointly with the Royal College of Nursing and will provide colleagues with CPD points through attending the training.

- 4.9** We have worked with our intelligence team to support them undertaking a Professional Development Award in intelligence analysis. This involves them taking research areas and applying intelligence principles to them. This is supporting our emerging approaches to using intelligence to better inform the application of our scrutiny and improvement resources. We have examined the approaches used to inform analysis of risk in the Security Industry Authority, the CQC, and in some police forces known to lead in this area of work. This will inform an intelligence strategy to be written later in 2017.
- 4.10** Following a successful pilot to train seven employees in Lean Six Sigma for OD (yellow belt) methodology, the Executive Team agreed to progress two further tranches during 2017/18 each with a cohort of seven. The pilot exercise was fully evaluated to identify return on investment and on completion of the next cohort which lasts for 16 weeks. Work will be undertaken to match the benefits of the learning to best value initiatives.
- 4.11** We successfully recruited to the shared service post of Head of Human Resources and I am pleased to advise that Deirdre Joy started work for the Care Inspectorate and SSSC on 14 August 2017.
- 4.12** Proposals to realign the Customer and Business Support function have been consulted on with various groups and all employees affected. Changes are being proposed to streamline and improve support to the new management structure of the Care Inspectorate and to strengthen the focus on customer service to internal and external customers. Individual employees who are affected by the proposals are being consulted at each stage of the process and the Head of Customer Service will continue to work in collaboration with the Partnership Forum. An update will be provided to the Board following consideration by the Resources Committee.
- 4.13** The Strategic Inspection teams for adults and children hosted a visit from colleagues from the Care and Social Services Inspectorate Wales (CSSIW) to share practice and methodology in scrutiny of social work services and strategic partnerships. We agreed to progress plans for a 'job swap' in the next financial year to build on each others' strengths and provide further development opportunities.
- 4.14** The Chief Inspector (strategic scrutiny) has joined an organisational development forum run by Social Work Scotland, aimed at supporting learning opportunities for social workers and raising the profile of the sector.
- 4.15** Adult Services managers have consulted on and developed a training plan for staff that will bring forward learning and development opportunities on adult protection, report writing, methodology and business transformation.

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- 4.16** Child protection training and development has been delivered throughout September to children's services inspectors. The programme will include an element of prior learning and input from support staff to implement consistently the organisations child and adult protection policy. Staff will also be updated on the responsibilities of care services to protect children and young people enabling us to influence appropriate practices within individual services.
- 4.17** Considerable work has been undertaken by the Scrutiny & Assurance Directorate over the past 12-18 months to develop robust and consistent approaches to quality assurance. We finalised a document entitled: Scrutiny & Assurance Directorate - Quality Assuring Our Work – First Steps Towards a Consistent Approach outlining roles, responsibilities of all our staff, including business support staff and the new role of senior inspectors.
- 4.18** On 1 October 2017, from this work we will implement a range of quality control expectations across registration, inspection, complaints and inspection planning functions both at individual care service and strategic scrutiny. The process will be supported with a reporting format which will gather key information to inform how we support staff and provide a range of targeted training and development opportunities and identify how we can improve key processes.

## **5.0 COLLABORATIVE WORKING**

- 5.1** In July 2017 we published the Scottish Borders adults' joint inspection with Healthcare Improvement Scotland (HIS), and the Western Isles Children's services progress report and in August 2017 the West Lothian Children's joint report.
- 5.2** We have completed collaborative work to design and produce with NHS and HIS, a website for practitioners to aid in the reduction of pressure ulcers ([www.pressureulcer.scot](http://www.pressureulcer.scot)).
- 5.3** We are continuing to develop and innovate with regard to our approach to collaboration with partner agencies. With early learning and childcare projects for example, we are reaching out to co-produce practice guidance and forge new partnerships across traditional professional boundaries. We are co-producing 'My Childminding Experience' with the Scottish Childminding Association, which will highlight the benefits of childminding for children and encourage local authorities to commission childminders to provide funded places. 'Our Creative Journey' will share innovative and inspiring experiences of expressive arts. Like the Arts in Care resource for older people, 'Our Creative Journey' is being produced collaboratively with Creative Scotland, as well as voluntary organisations such as the Care and Learning Alliance and Starcatchers alongside provider groups. Although the focus will be on early learning and childcare, we are taking an integrated approach by including

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examples from services for looked after children and young people, social work and other non-registered care.

- 5.4** We are continuing to work collaboratively with Healthcare Improvement Scotland (HIS) on many improvement support interventions. We are developing a joint work plan with HIS to show how we collaborate in these areas.
- 5.5** The CAPA programme has been running for five months and the team have completed all 10 of the first learning events in the partnership areas with very positive feedback and outcomes. Up to 500 delegates attended across the 10 events including the wider health and social care teams and Care Inspectorate staff. The 'action' period is now taking place and the advisers from the programme are out supporting the local services to plan their PDSAs and carry out their improvement work. The internal programme for Care Inspectorate staff will begin in September 2017. The undergraduate module is currently being developed by Glasgow Caledonian University and will be tested with AHP students in the semester beginning in January 2018. The first progress report from UKactive has shown early impact particularly with staff self-efficacy. You can read more about this on the spotlight area on our Hub.
- 5.6** The Care Inspectorate hosted an Always Event in collaboration with HIS and NES during August to scope out improvement ideas related to social care access to out of hours services. This is a quality improvement method which helps to identify ideas and improvement priorities through conversation and gathered evidence. One of the identified areas for further discussion is testing a system for social care staff to access NHS 24 using a proforma which provides specific information to prevent any delay in support an individual may require in an urgent care situation.
- 5.7** We held discussions with Children in Scotland to develop joint activity at this year's Children in Scotland annual conference. This will include a keynote from myself, presentations and workshops. We are also developing joint activity over the coming months, to raise awareness of the new Health and Social Care Standards and about some of our new ELC resources.
- 5.8** In support of the implementation phase on the Health and Social Care Standards, we are working closely with a number of stakeholders across public, private, voluntary and the third sector to develop information materials to raise awareness of the new standards, in terms of our inspection methodology review and our expectation of providers.
- 5.9** We worked in partnership with Scottish Government, the Scottish Futures Trust and other stakeholders on the launch of Space to Grow, new design principles for ELC settings. This was launched at the end of June 2017 and we are continuing to collaborate a further rollout of the resource over the coming months, for example, a workshop at the Education Buildings Scotland annual conference. The resource will support the development of high quality

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environments to support positive outcomes for children by providing advice, guidance and good practice examples on good design principles for early learning and childcare settings. The resource was requested to support the expansion for all eligible children to 1,140 hours free early learning and childcare by 2020.

**5.10** We have concluded our staff consultation on the development of our new corporate plan. The staff consultation was supported by an engagement plan and a range of information, including a questionnaire. We also undertook an external consultation with the public and a broad range of stakeholders, starting with a workshop with our Involving People Group. A more formal consultation will be carried out with statutory partners, with a view to publishing the new corporate plan (2018-2022) by April 2018.

**5.11** We hosted stands at Pride Edinburgh and Pride Glasgow in June and July 2017 respectively.

**5.12** We have supported our young inspectors to be involved in the development of new procurement frameworks for children's residential care operated by Scotland Excel. They have advised on possible terms of the contracts and although they found the documents lengthy and written in a challenging way, they had huge amounts to contribute about what good quality should look like.

We have also worked with the Scottish Throughcare and Aftercare Forum (STAF) to deliver corporate parenting training to our young inspectors.

**5.13** We have been invited to participate in a short life working group to advise NHS Health Scotland on the design and development of a learning programme to raise the awareness of health and social care staff of the needs of individuals who require additional communication support and the different ways of responding to these needs, particularly in response to the British Sign Language Act.

**5.14** We have joined a SSSC project steering group focussed on research into apprenticeships in social services. This work will build upon desk based research on the development of Modern Apprenticeships (MAs) carried out in 2016-17. We have agreed the terms of reference for an operational liaison group between the Care Inspectorate and the SSSC to support areas of mutual interest, reporting to the joint executive teams.

**5.15** We have worked with COSLA, Scottish Care, ISD and other partners to look at the feasibility of developing a nationally-endorsed dependency tool which assists social care providers and social workers in assessing the support required by people. We have provided scrutiny evidence about the benefits and limitations of existing approaches, and are advising on the content of a replacement tool.

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- 5.16** We are working to support the Scottish Government's development of a national workforce plan for health and social care. This is an area where we can bring significant evidence and expertise about recruitment and skills issues across a range of care settings.
- 5.17** We have worked with the Scottish Government following the tragic fire at Grenfell House, London, to better understand where cladding may be used in care services in Scotland, and have worked with a small number of services to ascertain how they intend to respond to the issues raised by the fire.
- 5.18** We have continued to support the Scottish Child Abuse Inquiry. In July we completed and submitted our responses to the formal notices we have received. We are working to identify further relevant materials which the Inquiry may ask us to produce – the Inquiry has advised that we will be asked for further information, albeit it cannot at this stage tell us what that information will be. The second part of Phase 1 of the Inquiry hearings is now scheduled to commence on 31 October and Phase 2 on 28 November 2017. We continue to liaise with the Inquiry as to how we can support its work, and are monitoring carefully all developments in the Inquiry to ensure that the Care Inspectorate's interests are appropriately safeguarded.
- 5.19** We are carrying out a review of the Pay and Grading structure to develop a more modern flexible regime that will support the implementation of Career Pathways and new ways of working. We are working closely with Audit Scotland and the Partnership Forum in developing our plans.
- 5.20** We have successfully re-attained the Silver Award for our Healthy Working Lives programme.
- 5.21** We have been working with colleagues from the Scottish Government's Victims and Witnesses Unit and other partners to develop regulations and guidance to implement new requirements in respect of the provision of Appropriate Adults in police interviews. Legislation places new requirements on police services to use Appropriate Adults in certain circumstances. Regulations will, in turn, place new duties upon Local Authorities to provide suitably trained Appropriate Adults, and to assure the quality of their services.
- 5.22** We have continued to engage with the National Care Review, offering support by way of inspection findings to identify what is working well currently and where change is required and to ensure that we are appropriately sighted on the review's aspirations and priorities as we develop our inspection methodology for both joint inspections and at care service level.
- 5.23** A team manager and a group of inspectors from Adults Services teams have worked with IRISS and a group of care providers to develop a toolkit that seeks to improve the experience of inspection while promoting improvement activity within services.

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- 5.24** Inspectors worked with our Improvement team and a care home to develop a resource called 'Welcome In', which supports and advises people when visiting a care home. Inspectors took part in filming and in supporting residents who were involved in the development of the resource.
- 5.25** We have reviewed and launched the role of a relationship manager and have now assigned team managers and inspectors to take this forward to build positive working relationships with care providers and local authorities.
- 5.26** The Scottish Government published Education Governance: Next Steps - Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children on 14 June 2017. This outlined a range of reforms designed to help us achieve our shared national vision for children and young people: excellence and equity. The review identified that some ELC establishments are subject to inspection by both the Care Inspectorate and Education Scotland and while both Inspectorates have adopted a more joined up approach to inspection, respondents to the Governance Review reported that the current process is unsatisfactory, overly bureaucratic and can lead to confusion for parents. There was a commitment that Education Scotland and the Care Inspectorate will further enhance their single shared inspection model for early learning and childcare and ensure that an institution will only be subject to a single inspection per cycle. A joint Care Inspectorate/Education Scotland working Group has been established to take this work forward under the direction of the Executive Director of Scrutiny & Assurance, and the HM Chief Inspector (interim), Education Scotland both of whom will also co-chair a High Level Advisory/Stakeholder group. The development of a shared inspection framework is to be completed by December 2018.

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