

2017-18
Quarter 3
Performance report



Success measures (key performance indicators)

1: Public assurance and building confidence

Statutory inspections complete. Target 99%
96%
(1,640 statutory inspections completed)

2: Informing policy

People who say our national reports and publications are useful. Target 90%
Aiming to report in 2018/19

Colour code

- Red** significantly below target
- Amber** slightly below target
- Green** target achieved
- Blue** no target, data only
- Purple** data not available

3: Supporting people's understanding of high quality care and making sure their voice is heard

Inspections involving an inspection volunteer.
401 Inspections completed that included an Inspection Volunteer during 2017/18.

Complaints about care that are investigated within the relevant timescales. Target 80%
75%

4: Efficiency and effectiveness, excellence, cultural change, workforce and collaborative working

Registration applications completed within timescales
Target 80%
83%

Staff absence rate
4.2%

Complaints about us completed within SPSO (Scottish Public Services Ombudsman) recommended timescales.
77%



Strategic Objective 1:

We will give public assurance and build confidence that social care and social work in Scotland is rights-based and world class, through robust and independent scrutiny and improvement processes.

Kevin Mitchell, Executive Director of Scrutiny and Assurance

Rami Okasha, Executive Director of Strategy and Improvement

Key priority 1.1: We will deliver an inspection programme across strategic and regulated care scrutiny which focuses our activities in the areas of highest risk, whilst ensuring we inspect all partnerships and care services regularly and robustly. We will register new care services proportionately but robustly to ensure they meet the right standards. Our inspection methodology and business processes in strategic and regulated care scrutiny will develop to support the new National Care Standards, using a human rights and wellbeing based approach to help ensure the highest standards of safe, compassionate care for people using services. We will make sure that the views and experiences of people using services, and their carers, are central to our scrutiny and improvement work.

Care services

We have made good progress in delivering our inspection programme for regulated care services, although staff turnover and sickness absence impacted on performance in Q3. In response, we are continuing to review capacity and to prioritise high-risk services and statutory inspections for the remainder of the year. We have added 176 inspections to our inspection plan so far this year due to changes in risk or as the result of specific intelligence.

In Q3 we continued to apply a proportionate and risk based approach to registering new care services. We registered a total of 637 new care services in Q1 to Q3. Not all applications go on to become registered care services however. For example, an application that was not granted when an existing provider of a nurse agency applied to register a care at home service. The nurse agency was not providing a high quality care service and we had concerns about the knowledge and skill of the applicant. Despite significant support from the registration inspector, we could not support the application and met with the applicant to explain that we were minded to refuse the application, or the applicant could withdraw the application and apply again in the future when they were able to demonstrate that their skill, knowledge and experience had increased.

KPI 1: % first statutory inspections completed

96% (1,640 inspections) completed up to 31 December 2017
(99% [1,712 inspections] in the same period last year)

Total number of scrutiny and improvement interventions to 31 December 2017

11,765
(11,541 in same period last year)
See page 28 for more details.



SO1: Public assurance and confidence

Kevin Mitchell, Executive Director of Scrutiny and Assurance

Rami Okasha, Executive Director of Strategy and Improvement

Key priority 1.2:

We will ensure that our outcome-focused inspections identify how care services contribute to people's wellbeing and reduce health and social inequalities, meaning we can help improve care where people do not experience the standard of care they should. We will use evidence and intelligence to assess risk and plan scrutiny and improvement interventions for both regulated care services and joint strategic inspections of community planning partnerships and joint integration boards. We will assess how well strategic plans and joint strategic commissioning take into account and deliver positive outcomes that meet the needs and choices of people in local communities.

In November we visited the CSSIW in Wales and CQC in England to share our approach to scrutiny in relation to Adult Services, with a particular focus on one national provider, care homes for older people, care at home services and market insight and sustainability. This also provided an opportunity to also consider their staffing structures, job roles and internal approaches to assuring quality.

Strategic scrutiny – children and young people

During Q3, we completed the last two inspections in the current round of joint inspections of services for children and young people, in East Ayrshire and Perth & Kinross. We also gave notice of our intention to return to South Ayrshire in Q4 to conduct a progress review. In Q3, we conducted a review of progress in respect to services in Moray. We have deployed a significant amount of link inspector resource to continue to support partners in Moray to implement their improvement plan. Our activity has been focused on providing support and challenge to the chief officers group and child protection committee, strengthening governance and developing a set of performance measures for child protection activity.

Strategic scrutiny – adults

In our joint inspections of strategic planning (services for adults), we have now completed the first inspection in North Lanarkshire and the fieldwork for the second such inspection, in Renfrewshire. We have announced the third and final inspection of this type for the year which will take place in respect of Clackmannanshire and Stirling Integration Joint Board.

During Q3 we concluded all of the fieldwork for our thematic review of adult support and protection arrangements. This involved inspection activity in six partnership areas across the country – North Ayrshire, East Dunbartonshire, Aberdeenshire, Highland, Dundee and Midlothian. We plan to publish this report in Q4, reporting on each partnership and overarching themes and learning. In Q3 our inspectors supported Her Majesty's Inspectorate of Prisons (HMIP) in their inspection of Greenock Prison.

We have also maintained close links with the health and care partnership in Edinburgh as they plan and deliver improvement activities following our joint inspection report into care for older people, and have worked with some care services providers to support their improvement journey.



SO1: Public assurance and confidence

Kevin Mitchell, Executive Director of Scrutiny and Assurance
Rami Okasha, Executive Director of Strategy and Improvement

KPI 2

% of providers, health and social care partnerships, people who use care services and their carers who tell us that scrutiny interventions help services to improve

In Q3, 98% of staff and 92% of people who experience care thought the quality of the care service would improve following the inspection.

(Staff- 771 respondents, People who experience care- 276 respondents.)

[compared to 98% of staff and 96% of people experiencing care last year]

Methodological developments

During Q3, we have also developed and tested aspects of our new inspection methodology. This takes account of the new care standards and uses an EFQM-based framework to examine the quality of care, and the enablers of that in a care setting. We have piloted the draft quality framework and evaluated this. The feedback we received from providers, people experiencing care, and from our own staff about the pilot approach was positive, with inspectors saying it meant they were spending more time observing practice and speaking with people. Further tests and development were planned for Q4 in poorly performing services.

Work is progressing to develop the shared inspection framework for early learning and childcare. The Care Inspectorate and Education Scotland working group are developing a framework that will take account of the Health and Social Care Standards, Curriculum for Excellence (early stages) and other national guidance including Building the Ambition and Pre-Birth to Three therefore having a strong focus on care and early learning. The framework will follow an EFQM model.

A person-led approach

We supported a number of changes in Q3 to adapt the way care is planned to focus on people's wellbeing, including in response to planned and unforeseen events. These include:

- supporting the Scottish Borders Council's winter plan to increase the bed capacity in care homes by working collaboratively with providers, including agreeing temporary increases in during the winter period where we are confident people will experience high-quality care.
- following a fire in a care home in Fife, we worked effectively with the health and social care partnership and with providers to support the effective transfer of residents to an alternative care home, until rebuilding and refurbishment works are completed.



SO1: Public assurance and confidence

Kevin Mitchell, Executive Director of Scrutiny and Assurance
Rami Okasha, Executive Director of Strategy and Improvement

Key priority 1.3: We will develop and implement an improvement strategy to underpin the Care Inspectorate's role in supporting care services and local partnerships to improve and attain the highest standards of care for people. This will describe how we will support improvement in collaboration with others, what we will do when improvement is too slow, and show how we will share examples of excellent practice in care. This will encourage learning and innovation, help services and the social services workforce to build capacity, and give greater public assurance about high standards of care.

Positive feedback in relation to improvement work

In a daycare of children service, we supported the manager with their quality assurance journey through discussion, signposting and sharing of best practice around early learning and childcare.

Inspectors met with the whole staff team and carried out a learning session on how to improve observations of the children and support their next developmental steps. Staff were encouraged to discuss and identify the stronger and poorer observations and understand what made them effective or how they could be improved.

Our staff supported practitioners to capture learning and planned development in an outcome-focused way, showing how activities would support children's development in numeracy, literacy and creativity. The importance of community links in relation to enhancing children's experiences was highlighted. The staff team positively engaged with us in this work.

Improvement support strategy and activities

Our new improvement strategy was agreed by the Board in Q3. Since then, the Improvement Support Team has been supporting inspection staff to increase their knowledge and understanding of improvement support through improvement workshops. These are also being held with providers, partnerships and other organisations, for example the Scottish Care local leads who work with the independent sector adult care providers.

We are working with Healthcare Improvement Scotland (HIS) and have now agreed a joint work plan around our improvement activities in care. A jointly funded post is in place for three months to test out an improved process for care services to access out of hours services. Joint work is currently taking place in relation to dementia, pressure ulcers, OOHs, strategic inspections, ACP and end of life care.

In Q3, a bid was submitted to Life Changes Trust to run an improvement programme focusing on improved communication and culture change for those living with dementia and experiencing care; this draws from the scrutiny evidence around dementia care (described below on page 8).

Publications informed by evidence

Work continued on the food and fluid resource for early learning and childcare settings. During this period, work began on an online publication showcasing the health and therapeutic benefits of being around animals for children and adults.



Strategic Objective 2:

We will inform local and national policy to contribute to ensuring a world class care system in Scotland, through intelligence-led, risk-based, and evidence-based approaches to scrutiny and improvement.

Rami Okasha, Executive Director of Strategy and Improvement

Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 2.1: Improve the way we collect, analyse, present and use intelligence. This will help us keep pace as the way care is delivered changes. We will develop our systems to be able to better use data and information that is available to us, both to inform our own work and the work of others.

Key priority 2.2: Developing our intelligence together with partner agencies, publishing evidence based reports and promoting examples of validated national and international good practice in the rights based delivery of integrated health and social care. We will develop a programme of evidence based publications to inform local and national policy; these publications will include thematic reviews, statistical information, learning from serious incident reviews and significant case reviews, complaints and public protection work.

We have now produced the Care Inspectorate Intelligence Model and have had a tactical tasking and co-ordinating group meeting monthly since September 2017. The Intelligence Team continue to develop and produce ‘intelligence products’ that are considered and actioned. This process is an important step in the organisational ability to use intelligence to plan scrutiny and improvement interventions.

In order to better understand the intelligence arising from our complaints work, we have appointed an improvement adviser for three months to work across our complaints and improvement support teams. They are helping to identify if there are patterns of complaints, the topics of which might lend themselves to being the subject of improvement support activities. The learning from complaints will help us support the improvement of provision, and potentially prevent future complaints arising.

We continue to take forward the internal intelligence sharing forum we established to strengthen the links between our scrutiny of care services and our scrutiny of strategic partnerships, to better inform inspection planning and improvement activity. In Q3, we started the annual shared risk assessment process for all 32 local authorities, with link inspectors coordinating and leading the Care Inspectorate’s contribution to the process, which informs the national scrutiny plan.

We published and promoted (across digital, press and social media channels) the following publications in Q3:

- Inverclyde children’s services joint inspection report
- Moray children’s services progress review
- Complaints about care services in Scotland
- Staff vacancies in care services in 2016
- Fostering and adoption statistics 2016/17 (see right)
- My life, my care home: the experiences of people living with dementia in care homes in Scotland (see right)
- Annual Report and Accounts 2016/17
- Our Creative Journey: Expressive arts within early learning & childcare and other children’s services

The adoption and fostering report followed extensive engagement with the sector to change how such information is collected and presented.

SO2: Informing local and national policy

Rami Okasha, Executive Director of Strategy and Improvement
Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 2.3: Develop our contribution and exposure to trends, research and innovative practices emerging from national and international partners. We will work together with partner agencies to identify emerging themes, trends, good practice, innovative models and areas of concern across all care service types and in the strategic provision of early learning and childcare, integrated health and social care, social work, and community justice. We will ensure that our activities act as enablers to the development of new and innovative models of care which can support better outcomes for people.

Care about physical activity

The Care About Physical Activity (CAPA) programme is going from strength to strength and we have developed a specific CAPA microsite to share innovation and good practice. We recently had a poster displayed at a national physical activity conference (SPARC) and we have had an abstract accepted for a poster for the Institute of Healthcare Improvement / British Medical Journal international forum in Amsterdam in May. Many innovations are taking place such as work with care homes and nurseries, fishing projects and community engagement activities. Although CAPA is funded for older people we have agreed that some internal work can be done to provide some support to our early years and children and young people's teams so they can support improvements in the services around being active. During Q3, we supported research activities with Glasgow Caledonian University, Stirling University and Glasgow University all around areas relating to promoting being active, and we have been invited to be part of a team providing advice to the SCLD (Scottish Commission for Learning Disability).

National policy

'My life, my care home' presents the findings of dedicated inspection work focused on the care of people living with dementia. It follows a year-long programme of scrutiny in 145 care homes for older people by the Care Inspectorate. Inspectors noted that although more than half of care homes were now delivering good quality care, more could be done to challenge expectations of what living with dementia means and the quality of care that can be provided.

Following the publication in June 2017 of Education Governance: Next Steps – Empowering our teachers, parents and communities to deliver excellence and equity for our children, six Regional Improvement Collaboratives (RICs) have been established. There is an expectation that each of the RICs will have representation from the Care Inspectorate and Education Scotland and we have commenced engagement with them.

Ministerial groups

As part of the National Child Protection Leadership Group, chaired by the Minister for Early Years and Children, we have been asked to lead a group to revise national guidance on roles and responsibilities of Chief Officers, Chief Officer Groups and Child Protection Committees (2005). We attended a meeting of the STEM Strategy for Education and Training – Implementation Group chaired by the Minister for Further Education, Higher Education and Science. We continued to engage in the ELC Strategic Forum chaired by the Minister for Early Years.

Parliamentary engagement

We gave evidence to the Health and Sport Committee who were considering the sustainability of the care home sector. This was prompted by the news that Bield Housing and Care had taken the decision to close their 12 care homes in Scotland.

SO2: Informing local and national policy

Rami Okasha, Executive Director of Strategy and Improvement

Kevin Mitchell, Executive Director of Scrutiny and Assurance

Consultations responded to during Q3:

- Health and Social Committee – Inquiry on the Preventative Agenda and Substance Misuse call for views
- Public Audit and Post-legislative Scrutiny Committee – Consideration of the Social Care (Self-directed Support) (Scotland) Act 2013 call for views
- The Continuing Care (Scotland) Amendment Order 2018 (Scottish Government)
- Health and Sport Committee - Care Home Sustainability call for views
- Extending Children’s Rights - Guidance for education authorities and school staff on assessment of capacity and consideration of wellbeing of children who have attained 12 years of age in respect of additional support for learning in school education (Scottish Government)
- Consultation on measuring the attainment gap and milestones towards closing it (Scottish Government)
- Proposed Draft Police Act 1997 and Protection of Vulnerable Groups (Scotland) Act 2007 Remedial Order 2018 (Scottish Government).

Scottish Government engagement

We continued to engage with the Scottish Government around safe and effective staffing in care, on the reform of adult social care, and on the national workforce plan for health and social care. We have engaged with the Secure Care Strategic Board, which has been formed following the recommendations of ‘Secure Care in Scotland: Looking Ahead’.

Sectoral engagement

We began work on developing a more collaborative approach to regulated services and strategic inspections in the light of the new strategic children’s services inspections beginning from April 2018. This included speaking to providers at a Quality Conversations event on children’s care journeys and the linkages between early intervention, transitions and regulated service provision in good long term outcomes for care experienced young people. We are to become corporate members of the Scottish Throughcare and Aftercare Forum to improve our networking and practice development opportunities at a national level.

Collaborative work

Work is nearing completion in relation to the MOU between the Care Inspectorate and the registrar of independent schools. In Q3 we concluded our updated MOU with the Scottish Housing Regulator. We are working with the SPSO in developing a set of standards and a model whistleblowing procedure in preparation for their new role as the Independent National Whistleblowing Officer for NHS Scotland.

SO2: Informing local and national policy

Rami Okasha, Executive Director of Strategy and Improvement and
Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 2.4: Continue to support a wide range of policy development and ensure that the Care Inspectorate is ready and able to respond to emerging policy agendas. We will co-lead the National Care Standards development in a way which reflects voice, choice and control for people who use services and their carers, regardless of care setting, and ensure that principles around dignity and respect, compassion, inclusion, responsive services, and wellbeing are promulgated so as to be embedded in care service delivery.

National Preventative Mechanism

In October we attended a meeting of the National Prevent Mechanism in Edinburgh. The Care Inspectorate is a member of the National Preventive Mechanism (NPM), a group of organisations designated to monitor the treatment and conditions of those people who have been deprived of their liberty. The aim of an NPM is to prevent torture and other cruel, inhuman or degrading treatment or punishment from taking place.

Funders

We attended a meeting with senior managers of the major banks to discuss matters of mutual interest in the care sector, including around the new care and health standards and updated those present on the Care Inspectorate's developing approaches to scrutiny and improvement activities.

Scottish Child Abuse Inquiry

We continued to engage with the Scottish Child Abuse Inquiry in Q3. We sought and obtained leave to appear at the part of the Inquiry hearing the evidence of Professor Norrie as to the relevant regulatory regimes from 1968 to the present day, and made our opening statement to the Inquiry.

Sharing information and signposting

During Q3, The Hub continued to develop as a mechanism for signposting and sharing good practice and innovation. As well as continuing to populate both the good practice and policy libraries on the site. Work has begun on longer-term restructuring of the Improvement section to better reflect the improvement work of the Care Inspectorate, the launch of the improvement strategy, and to continue to provide a space for good practice examples drawn from, including to support the work around Our Creative Journey.

Care and health standards

The Project Delivery Team responsible for implementing the new Health and Social Care Standards, which we run jointly with HIS on behalf of Scottish Government, has been increasingly active. Alongside an extensive programme of engagement with external organisations and giving presentations at numerous conferences, a toolkit has been published to allow stakeholders to carry out their own engagement and awareness raising within their own networks. We are working closely with the Scottish Social Services Council (SSSC) in leading a workstream of the implementation programme for the Standards not only for SSSC registrants but also for training and qualification providers and other professional regulators.

Internally, we are embedding the Standards in the methodology currently being developed to inspect regulated care. An internal communication and engagement plan for implementing the Standards is also being delivered, with all managers across the Care Inspectorate attending a core briefing session to cascade to their teams. This is being supplemented by online resources for inspectors.

Strategic Objective 3:

We will support peoples' understanding of high quality, safe and compassionate care by promoting standards and quality of service they should expect and help make sure their voices are heard.

Rami Okasha, Executive Director of Strategy and Improvement
Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 3.1: Strengthen how we listen and act upon the views and experiences of people who use services and their carers to inform and continually improve our work, including by more pro-actively seeking their views and acting on them, and co-designing wherever possible. We will continue to involve people with experience of care services in our scrutiny and improvement work and seek to become an inclusive organisation able to help empower people who use services and their carers, so that together we continue to strive for innovation, improvement and excellence in our user focus activities

In Q3 we completed 121 inspections that involved an inspection volunteer, taking our total for the year to 401. In the year to 31 December our inspection volunteers have spoken to 3,681 people who experience care, their relatives and carers and they have spent a total of 1,984 hours supporting inspections.

Early learning and childcare

Inspectors from the early learning and childcare teams have been actively involved in the Short Observational Tool for Inspection (SOFI) pilot for daycare of children's services in Q3. Using the SOFI tool as part of the inspection process has enabled inspectors to take time to focus on interactions and outcomes for children, putting the child very much at the heart of what we do. The pilot is having an impact on the findings at inspection and support inspectors to report confidently on their observations. Some providers have also commented very positively about the experience and have asked for more information. We are working with the improvement team to ensure we are evaluating effectively and successfully measuring success.

Involving adults with experience of care, and their carers

Our adult inspection volunteers have contributed to the new thematic scrutiny approach of strategic inspections for adults. They have attended an information and training session on the new process and also gave their real life experiences to strategic inspectors in this area.

Human rights and equalities

During Q3 we contributed to the Scottish Human Rights Commission consultation day on the progress and conclusion of their SNAP (Scottish national action plan for human rights) project. In Q3 we submitted our evidence portfolio to LGBT Youth (and were subsequently advised that we had been successful).

KPI 4: Inspections involving an inspection volunteer:
401 inspections in Q1 to Q3
(7.4% of all inspections completed)
(Compared to 438 inspections (8.1%) up to Q3 2016/17)

SO3: Promoting standards, ensuring people are heard

Rami Okasha, Executive Director of Strategy and Improvement

Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 3.2: Strengthen our role in executing our responsibilities for vulnerable people, including for those whose ability to make decisions under the Adults with Incapacity Act is restricted, and our new role as a Corporate Parent.

Key priority 3.3: Strengthen our approaches and develop new ways to listen and gather real-time information on the views, opinions and experiences of people using care services and their carers, and use this information to inform and co-design scrutiny and improvement interventions.

MM 9: % services with more than 90% of respondents happy or very happy with the quality of care

95%

(compared to 93% in Q1 to Q3 of 2016/17)

Hearing from children and young people

In Q3 we engaged with young people, putting shape onto our proposals for future joint inspections of services for vulnerable children. Young people's views are influencing proposals made to the high level advisory group on the quality indicator framework, themes for the inspection and the scheduling of activity, ensuring that inspectors meet with young people first and are able to take their views and priorities into the rest of the inspection activity.

During Q3, we worked with Scotland Excel, the procurement agency which works on behalf of local authorities, and which is currently reviewing the contract framework for children's residential services. Our young inspectors lent their expertise to Scotland Excel, advising on tender documents and identifying issues were of significance to them. This insight was warmly welcomed by Scotland Excel, who have reported to us that this experience has prompted material changes in their approach around the framework, and also prompted them to think about how they can increase user insight across a range of their care and non-care procurement activities.

We held a consultation and information session for our Young Inspection Volunteers with a focus on complaints and how to encourage young people experiencing care to get involved and to understand how the complaints process works. Young inspection volunteers gave a presentation around the work they undertake with the organisation on inspection as well as their own life experiences of care services to our delegation visitors from Malta and Sweden.

SO3: Promoting standards, ensuring people are heard

Rami Okasha, Executive Director of Strategy and Improvement

Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 3.4: Develop new approaches to receiving, assessing, considering and responding to concerns and complaints raised by people about care services to ensure that our scrutiny and improvement interventions are effective, proportionate, and coherent across the range of our work

KPI 5: % of complaints about care that are investigated within the relevant timescales

75% of complaint investigations were completed within 40 days
(compared to 77% last year)
[Target 80%]

In November 2017 following Board approval, we implemented a new complaints handling procedure. This process was designed to be open, transparent, risk-based and focused on people's experience. We have developed a risk assessment process that allows us to assess the risk identified by a complaint, taking into account what else we know about the service. This enables us to decide how we will proceed and what action we need to take to achieve the best outcome for people experiencing care.

Our risk assessment process helps us to determine the appropriate action to resolve a complaint, and there are four routes we can take:

- use the information given by the complainant as intelligence about the service, to help inform future scrutiny activity
- frontline resolution, where we contact services and ask them to engage directly with complainants to resolve the complaint
- investigation by the care service, where we contact the service and ask them to investigate the concerns and send us written confirmation of the action taken and resolution
- investigation by the Care Inspectorate; depending on our assessment of risk, we may decide that we need to formally register and investigate the complaint.

In the months of November and December we received 699 complaints, of which 148 were able to be resolved informally. Under the provisions of the new procedure we have referred back 16 complaints for the care provider to investigate themselves. The remainder are being investigated, with 243 now formally concluded.

Strategic objective 4:

We will perform as an independent, effective and efficient scrutiny and improvement body, working to consolidate excellence, deliver cultural change, invest in a competent, confident workforce and work collaboratively with partner agencies to support the delivery of safe and compassionate, rights-based care.

Gordon Weir, Executive Director of Corporate and Customer Services
Rami Okasha, Executive Director of Strategy and Improvement
Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 4.1: Develop a best value approach underpinned by an efficiency saving regime to identify areas for savings, investment, and growth. This will enable us to meet future financial challenges, working collaboratively with our staff and partner bodies to continue to identify ways of reducing duplication and deploying flexible, innovative approaches to evidence public value. We will revise and strengthen our quality assurance processes and practices across all parts of the Care Inspectorate to ensure we deliver the highest quality work in a way that constantly evolves and improves.

MM 8: % of complaints about the Care Inspectorate that are resolved through front line resolution

37% of complaints about the Care Inspectorate completed up to 31 December were resolved through frontline resolution. (compared to 26% last year)

KPI 9: Complaints about the Care Inspectorate completed within SPSO (Scottish Public Services Ombudsman) recommended timescales

77%
(compared to 57% last year)

Recruitment

A pilot is being conducted to measure business-related behaviours through an assessment questionnaire as part of the recruitment of new staff. This helps assess the potential approach to performance of applicants against key competencies/behaviours. If successful, this approach has potential for significant efficiencies in recruitment.

Supporting effectiveness and efficiency in enforcement

We have identified the scope to further improve our approach to enforcement. During Q3, we have delivered:

- learning and development sessions for inspect staff about enforcement, aligned to new enforcement guidance and giving some case study examples for colleagues.
- the introduction of a centralised enforcement support team of business support staff who will co-ordinate the administration of enforcement activity
- enforcement champions, will allows us to quality assure enforcement work and provide a more consistent approach to enforcement across the country.

SO4: independent, effective and efficient

Gordon Weir, Executive Director of Corporate and Customer Services

Rami Okasha, Executive Director of Strategy and Improvement

Kevin Mitchell, Executive Director of Scrutiny and Assurance



Key priority 4.2: Support a programme of cultural change, to deliver an open, transparent and enabling culture which consolidates excellence, engages and empowers staff, prioritises collaboration over compliance, and demonstrates leadership at all levels.

KPI 7: Staff absence rate

4.2%

This is comprised of 0.9% short term, 0.6% medium term and 2.7% long term sickness

(same as the 4.2% in Q3 2016/17)
CIPD average for the public sector is 4.3%.

KPI 8: Staff vacancy rate

Inspector Vacancies - 3.1%
(compared to 2.3% last year)

Non-Inspector Vacancies – 4.7%
(compared to 1.7% last year)

Culture change

We have continued our programme of cultural change throughout Q3, including by:

- supporting two staff to successfully complete their coaching diploma
- delivering coaching conversations training for all managers
- six introduction to coaching information sessions for other staff.

We have also continued work during Q3 to develop a culture change strategy, with clearly defined success measures, which supports culture change in all parts of the organisation.

Performance appraisal

Work has continued to test a replacement approach to appraisal, which will ensure individual development needs are focussed on supporting improved performance. This will also facilitate a closer alignment between performance appraisal and learning and development.

Human resources

Between 1 April and 31 December 2017, there were 4 staff disciplinary cases:

- 1 where formal action was taken
- 2 which were resolved informally
- 1 where the employee resigned prior to a disciplinary hearing taking place

In addition, there was 1 dignity at work case which was not upheld, and 3 grievances of which 1 was upheld.

SO4: independent, effective and efficient

Gordon Weir, Executive Director of Corporate and Customer Services

Rami Okasha, Executive Director of Strategy and Improvement

Kevin Mitchell, Executive Director of Scrutiny and Assurance

Key priority 4.3: Develop effective and efficient ICT systems, digital services, and processes and practices, tailored to the needs of different stakeholder groups, which strive for excellence, putting the internal and external customer at the heart of all our business activities.

KPI 6: Registration applications completed within timescales

83%

of registrations were completed on time in Q1 to Q3
(compared to 90% last year)

Business transformation

During Q3, business transformation work accelerated, including the appointment of external contractors to commence digital delivery using an agile approach. Funding arrangements with the Scottish Government have been agreed, and will allow us to introduce significantly more effective and efficient digital systems to support our work.

The digital development commenced in handling complaints about care, and this involves on-going consultation with users, including people who have raised concerns, providers, administration teams, the intelligence team and inspection colleagues who are using the new complaints process.

The contact centre handled a total of 6,920 calls in Q3.

In addition to receiving calls, the contact centre sent out 240 registration packs in Q3 and are the first point of contact for receiving complaints and responding to queries about our e-forms system.

The most common areas for calls in Q3 were:

Staff contact details – 1560 calls (23%)

General Enquiries - 1211 calls (18%)

E-forms - 1114 calls (16%)

Complaints & Concerns - 782 calls (11%)

Registration - 679 calls (10%)

In Q3 three new full time Customer Support Advisers started employment in advance of the annual return period, which will result in better customer service through lower wait times and quicker response rates for callers. All three staff completed their new start training and were taking calls supported by mentors in December.

Legal support for the Care Inspectorate

Our Legal Team carried out their biennial staff survey seeking feedback on the services it offers. The results were again extremely positive, with staff expressing strong satisfaction with the services they receive, while making a number of suggestions as to improvements or additional services they would like.

SO4: independent, effective and efficient

Gordon Weir, Executive Director of Corporate and Customer Services

Rami Okasha, Executive Director of Strategy and Improvement

Kevin Mitchell, Executive Director of Scrutiny and Assurance



Key priority 4.4: Develop a transformational change programme to further invest in a competent, confident workforce which is empowered to support the delivery of safe, compassionate and rights-based care, including developing new career pathways and supporting the professional development of our staff in their specialisms.

Key priority 4.5: Strengthen our governance arrangements and success reporting so that we are transparent, accountable and open to challenge on how we evidence our success and use of public monies and resources. We will review, in partnership with Scottish Government, our legislative framework to ensure it is fit for purpose and acts as an enabler in delivering our statutory responsibilities of providing protection and assurance for people who use services and their carers.

Legislative framework

We continue to engage with Scottish Government colleagues in relation to potential reform of the legislative regime under which we operate. The Head of Legal Services attended a workshop event in December, involving stakeholders and facilitated by Scottish Government, which began to consider what a reviewed legislative landscape might look like.

Building a confident, competent workforce

Progress was made in developing new processes to ensure we have effective arrangements for identifying, prioritising and reporting on learning and development, including:

- a new training needs analysis process, to inform learning and development priorities
- quarterly learning and development management information, which will report on the allocation of budget, spend and return on investment.

Staff joining the Care Inspectorate have reported positive experiences about their induction. Feedback suggests staff newly joining feel particularly well supported through the mentoring process, team induction and corporate induction.

We continue to make progress to develop and expand the range of opportunities we offer our staff to meet their essential learning and development needs, including by providing more online training. Work has continued to provide a more structured approach to corporate learning events, seeking and responding to feedback from colleagues, and involving operational staff more. This has included training in:

- reporting on outcomes
- writing in an evaluative way
- effective feedback following an inspection
- legislation around social care scrutiny.

Career pathways

The 18 month pilot of the two new roles of practitioner inspector and inspection assistant commenced in Q3. Following successful induction, our new temporary practitioner inspectors and inspection assistants are working within their teams. Work to evaluate the pilot, and the impact of the roles, is on-going against the measures defined in our evaluation framework. The first evaluation report will be presented in Q4.