



BOARD MEETING

27 September 2018

INTERIM CHIEF EXECUTIVE'S REPORT - QUARTER 2 2018/19

1.0 INTRODUCTION

This is my first Report to the Board as Interim Chief Executive. In reviewing the agenda and draft papers for this Board meeting, it became clear that there are a number of interesting and connected issues that emerge from the various performance reports.

Ahead of work to develop a balanced scorecard, I thought I would change the emphasis of the Chief Executive's report and include a brief overview of how we are performing in addition to the usual updates around our four leadership themes.

2.0 REVIEW OF PERFORMANCE

Following previous discussions with the Board, there is general agreement that our performance framework requires further updating. In September 2016, the Board agreed a revised set of success measures comprising key performance indicators and monitoring measures aligned to the revised 2016-18 corporate plan. This was an important first step in moving from measures which emphasise the volume of activity to measures which describe the impact of the Care Inspectorate, albeit with the limitations of our business processes and systems. At the Board Development Event on 16 August 2018, Board members were updated on work that is underway to revise our performance measures in line with our new Corporate Plan objectives and ultimately present them in a balanced scorecard format.

Historically, performance monitoring has focused on quantity of interventions allied to fixed inspection frequency targets, rather than the outcomes of interventions. This produced a culture around activity which could be described as "quantity over quality". The changes made in 2016 were a clear indication from the Board that it wished to move away from this approach to one where we are genuinely targeting our resources to where they will have the greatest impact and assuring ourselves that this is happening. This in turn requires a much enhanced intelligence capacity and a move towards outcomes budgeting.

Version: 3.0	Status: FINAL	Date: 27/09/2018
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Agenda item 8
Appendix 1

Report number
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As noted above, there are a number of interesting issues that emerge from the various performance reports.

Our in-year financial position is relatively positive. We set a budget designed to deliver a targeted reduction in reserves. Our opening balance of reserves was higher than anticipated which has meant we are able to provide additional funding to our business and digital transformation programme. Our forecast budget for inspector staff costs is projected to be very close to the budgeted position.

However, as can be seen from the performance report later in the agenda, we are behind our comparable previous year performance in several areas. For example, the total scrutiny and improvement interventions completed and total number of inspections completed are both behind the comparable Q1 figure for last year as are the numbers of complaints about care that are investigated within the relevant timescales.

We undoubtedly have some capacity issues that are not explained by a simplistic review of the performance measures. For example, our inspector capacity in total for Quarter 1 is improved from the same point last year (down from 8% vacancies last year to 6.1%) and our sickness absence figures are improving. Both of these factors would point to additional capacity this year rather than less.

However, the following points also need to be considered :

- Enforcement activity in regulated care services has increased significantly. We have closed care homes (through application to the courts) in March, April, July, August and September this year. This is very resource intensive and impacts on other planned scrutiny work, but is also an indication that we are addressing very high-risk issues.
- During Q1, we finalised the introduction of a new methodology for the inspection of care homes for older people, which account for a significant number of our statutory inspections. This involved additional 3 day training for inspectors, senior inspectors and team managers.
- Inspectors are undertaking the PDA qualification for the first time this year. This also impacts on capacity and there is a potentially greater future impact if future cohorts run concurrently or are of a greater size.
- Complaints about regulated care services have continued to increase and we have needed to transfer resources from inspection to complaints by way of short-term secondments until we recently filled vacancies – complaints are a “must do” activity.
- Our inspector vacancies are currently 18 FTE. There are 9 new starts expected in September 2018 but new recruits will not be “inspection ready” until January/February 2019. In addition, a further 5 inspectors

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

are seconded to the business/digital transformation programme with no backfill. Over and above this, there is other project and development work relating to the general increase in publications we are producing and specific major pieces of work such as the triennial review – all of which impact on capacity.

- Through the leadership of the Executive Director of Scrutiny and Assurance, we have significantly enhanced quality assurance and have identified and are addressing specific performance issues within teams. Both of these topics affect productivity in the short term but I have confidence will produce longer term productivity benefits.
- Our revised complaints investigation procedures mean that many more simple complaints about care services are being resolved through front-line resolution. This quickly resolves issues to complainants' satisfaction, rather than through formal complaint investigations. Complaints which are investigated formally therefore exclude those which have been resolved quickly, and tend to be more complex.

Due to the timing of the Board meeting, the Q1 performance report is nearly 3 months out of date. I have reviewed the August 2018 monthly performance report and can confirm that the performance gaps are closing but our determination to undertake significant development work and improve the quality of all our activities means we will continue to use our capacity across a much broader range of activities than in the past; this has been discussed by the Audit Committee.

I can assure the Board that organisational performance is a key priority of the Executive Group and we have an ongoing focus on getting the best outcomes from the resources we deploy, including our continued transformation and development work. We are on a journey to a “quality over quantity” approach which will be reflected in our Corporate Plan and clearly defined in our new Transformation Plan and reporting arrangements.

3.0 UPDATE ON KEY DEVELOPMENTS

The following paragraphs provide members with an update on key developments for the Care Inspectorate since the last meeting in June 2018. The update focusses on the four key leadership themes for the Care Inspectorate.

3.1 CONSOLIDATING EXCELLENCE

The Care About Physical Activity (CAPA) conference called Activ8 took place on 11 September 2018 in Perth Concert Hall for over 300 delegates. I am delighted it was such a success and helped to showcase the significant and sustainable impact of CAPA on people across Scotland. I am also delighted that the Scottish Government has approved a bid to extend the CAPA

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

programme and spread it across Scotland. It is a powerful testament to the credibility of the Care Inspectorate to deliver change and improvement in social care. The King's Fund has selected CAPA to be showcased at its Outstanding Social Care Conference later in 2018.

Work on our business and digital transformation progresses well. During the last quarter, we have commenced our new inspections of care services, starting in care homes for older people. The new Quality Framework for Care Homes for Older People was published in July 2018 and the inspections started at the end of that month. This is based on the EFQM approach, with illustrations drawn from the health and social care standards. We have commenced the development work to extend this to other settings.

We have been establishing our new justice team, working with partners to create methodology for both the inspections and validated self-evaluations that we plan to carry out and to develop tools to support them. The team of three Strategic Inspectors is led by a Service Manager and they will be supported by other colleagues as required.

We have agreed a mechanism to evaluate the learning gained by the group of associate assessors who will be embedded in our inspection teams for the forthcoming thematic inspection of self-directed support. This helps us evidence our impact in building capacity for improvement in the sector. We will do this by strategic inspectors working with the improvement team and organisational and workforce development colleagues.

The Children and Young People teams finalised the report on Child Sexual Exploitation (Preventing and responding to child sexual exploitation: evidence from inspections of care services for children and young people) and this was published on 19 June 2018. Following the publication, we have established links with Fearless (part of Scotland Crimestoppers Trust) to support us identify children at risk of exploitation and support staff in their role of prevention and protection of children and young people in their care.

On 3 July 2018 we published our Joint Inspection of adult support and protection which was carried out in collaboration with HMICS and HIS. In the report we evaluate the work of six partnerships across Scotland and identified national themes. This attracted significant interest, not least from the Cabinet Secretary for Health and Sport. We have now been asked by Scottish Government to submit an options appraisal for the future scrutiny of adult support and protection. This work is being co-ordinated by the Executive Director of Scrutiny and Assurance.

The Children and Young People teams were represented at discussion workshops on the review of Part 1 of the Children (Scotland) Act 1995, and compassion and love in residential child care, in July and August 2018, which provided opportunities for us to both influence, and be informed by, practice in

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

these areas.

I attended the launch of our resource, Animal Magic, in Edinburgh on 23 August. The launch was held with Deaf Action Outreach which provides housing support and care at home to people who are deaf or hearing impaired. This resource was developed following a proposal through our employee innovation scheme.

The final draft of the 'triennial review' - children and young people has been completed and is due to be published in October 2018. Work is ongoing in relation to the early years report and on care at home services and we are about to appoint someone to lead on the report on care homes for older people. These three reports will be published separately later this year/ early next year and will help inform and target our future scrutiny and improvement activity.

3.2 CULTURAL CHANGE

We have been taking stock of the achievements and progress against our transformation plan. We have developed a short video animation to show the cultural change journey and how we have worked collectively to transform the organisation and its culture. Through our cultural leads network we have also developed a culture change graphic which will be launched through lunchtime sessions. The purpose of this is to encourage wide discussion amongst the workforce about our culture, its changes and where we are heading next.

We have also developed a strong but simple set of behaviours that underpin our values. These have been developed by our culture representatives group and have been widely consulted on. They set out the expectations of all Care Inspectorate employees and will be built into our new performance management system.

We have started to test the 'Joy at Work' principles for wider roll out; a taster session was delivered at the recent Strategy and Improvement Directorate development day which was well received. Colleagues enjoyed thinking about what matters to them most at work, how they can develop a growth mindset, and how we can get rid of the blocks in the way of experiencing joy at work. We know this leads to a more engaged, productive workforce operating at its peak.

As part of the registration review and the organisation's digital transformation process, staff from the Business Transformation and the Registration team and business support colleagues held provider events during June in Aberdeen, Edinburgh and Glasgow. Following these consultation events small working groups have been established to develop aspects of a new registration process including support for applicants at the pre-application and application stages of the registration process, to continue to take this work forward.

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

3.3 A COMPETENT AND CONFIDENT WORKFORCE

We have recently rolled out a further two tranches of Lean Six Sigma Yellow Belt training, covering another 14 candidates. There are a total of 34 members of staff with this qualification at this stage. This training is proving to be in demand by staff and is viewed upon as a very helpful tool in terms of reviewing processes to meet customer expectation and improve levels of customer satisfaction. The Head of Customer Service continues to report on the level of return on investment and plans to be able to offer the training on a wider basis, dependent on resources.

Human Resources colleagues continue to work with management and employees to reduce our organisational absence levels. In 2017/18, we lost 4.2% of the total working days available due to sickness absence which has fallen from 4.4% in 2016/2017. Reduction in working days lost is in the right direction of travel, particularly within the last quarter when it fell to an all time low of 2.9% (in Q1 of 2017/18 it was 4.2%). We have an action plan to continue this reduction.

We continue to promote and be actively involved in a variety of healthy working lives initiatives. These included the Paths for All Step Count Challenge, with 55 members of staff having taken part in the challenge which ran during May and June 2018. With a total step count of 33,351,578, together they walked 15,791 miles.

Work on setting up the new payroll/HR Management Information System is at a key stage. Currently significant work is being undertaken to migrate data to the new system, user acceptance testing and parallel run checking. The project remains on schedule to ensure staff and Board members are paid at the end of October 2018.

We have undertaken further work on the Professional Development Award required for SSSC-registered scrutiny staff. The first cohort is now in place and progressing well. The Improvement Module of the PDA has been developed by the Improvement Support Team and is underway. Twenty learners have started the module that will link on line and taught resources to the learner's workbooks. Learners will be required to undertake an improvement project through this process further developing their understanding and use of improvement.

Based on initial feedback from the first cohort, we have also agreed to support future cohorts to undertake the award over 18 rather than 12 months. The Executive Group has reviewed the capacity impact of this, as inspectors will have partial remission from scrutiny and improvement activity over an increased time period to undertake the award. In addition, we have strengthened the management capacity to lead the award delivery and

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

associated issues related to the professional practice of our inspectors through creating a post of Head of Professional Practice and Standards (funded through realised savings from deleted posts).

We have continued to publish widely on scrutiny and improvement in social services. Our discussion and research papers set out ideas and concepts which underpin our regulatory activity. The most recent papers published address involvement of people experiencing care, and the development of the new standards and their implications for rights-based care. These have been added to the PDA curriculum and used to share knowledge with and between other regulators.

We have now finalised the new appraisal approach which staff voted to call LEAD, which will replace our older PDRS approach. This will be launched with supportive training and learning resources for all staff at all levels. It has less of a focus on annual and supervision meetings, and more on empowering staff to develop and perform.

The first meeting of the Microsoft Office 365 Working Group has taken place, chaired by the Head of Customer Service and attended by representatives from Capito (Our Microsoft Gold Partner) who provided an overview of the various products and services that are provided within Office 365.

We continue to support our intelligence team to gain a professional development award in intelligence analysis. The course tutor for this work has highlighted the quality of submissions from the Care Inspectorate for the first two units of the award. He has, unprompted, written to advise us that "it is worth mentioning that the consistently high quality submissions from students employed by the Care Inspectorate have been a joy to mark.... it is a luxury to be able to go back and re-read a submission after I have marked it but I find myself doing this with some of their submissions. It behoves me to draw this to your attention. I genuinely believe that if this standard of analysis is maintained then the Care Inspectorate can look forward to many years of high quality analytical products." This is deeply gratifying and a great testament to our team.

3.4 COLLABORATIVE WORKING

One of our Improvement Advisers is mentoring on the NHS Education for Scotland Scottish Improvement Leader Programme (NES ScIL) course and has been invited to contribute as part of the NES faculty to the course itself. One of our Senior Improvement Advisers has worked with NHS24 to develop an Out Of Hours communication tool which has been tested in various care services successfully. This will be available on our Hub as an improvement resource over the coming months.

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

We continue to support and co-chair the Scottish Government's implementation advisory group for the health and social care standards and have worked with a range of partners, including SSSC, to create resources for social service workers about the standards.

We have worked with Aberlour, Includem and Celcis to support a bid to the Life Changes Trust. This aims to look at support for a partnership approach to helping care professionals working with children and young people to think differently about how they put love and relationships at the heart of the care system. Whilst the Care Inspectorate will not be funded, we will work together to support the work, drawing on our scrutiny and improvement knowledge.

An Improvement Adviser and the Intelligence and Analysis Manager are presenting work in September at the NHS conference - Data and Intelligence: The key to good decision making in health and social care. This helps in our objective to better share the data and intelligence we hold about the social care sector and our desire for it to inform local and national policy.

An improvement workshop run by our Improvement Support Team was undertaken with Four Seasons Health Care and was very well received with around 70 attendees, including Care Inspectorate staff.

Our Improvement Advisers are working with external bodies on various projects such as

- NHS Greater Glasgow and Clyde Bowel and Bladder service to develop an information support form to aid better communication between care home services and the Out Patient bowel and bladder clinics.
- the Royal College of Speech and Language Therapists (RCSLT) on developing an Eating, Drinking and Swallowing (EDS) guidance and supporting materials.
- the Scottish Government is working with NHS TEC, leading the test of change in seven care homes in Borders to introduce the use of a video conferencing platform (Attend Anywhere) for use during Out Of Hours for consultations between those needing urgent care and a medical practitioner, when appropriate. This work is in collaboration with Border Council, Borders Care, Borders Emergency Care Service (BECS) and NHS 24.

Creative Scotland, Luminare and the Care Inspectorate have been successful in a bid to Barings Foundation in London for funding to support further implementation of the Arts in Care resource pack through training professional artists to work in a number of care homes across Scotland to then upskill care staff.

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

We have commenced some improvement work with Scottish Prison Service (SPS) and have agreed to work with staff from Edinburgh and Glenochil prisons to provide a learning opportunity to support improvements in health and social care in prisons, focusing particularly on physical activity and older people.

We are working with SSSC, NES and the Improvement Service to design and deliver a workshop to Chief officers and Chief Social Work Officers over the next few months to raise awareness of our individual and collective improvement support roles.

The Scottish model of care standards and scrutiny continues to gain a worldwide reputation, which confirms that this approach is truly radical and transformative. This international interest has involved extending our collaborative working to outwith the UK. We recently hosted inspectors from Hong Kong, and will host colleagues from Malta and Denmark in the coming months who wish to observe the Scottish model of social care scrutiny and improvement. Our Executive Director of Strategy and Improvement has been invited to visit the Danish Patient Safety Authority to share the experience from Scotland as inspectors in Denmark commence a new programme of inspections of care settings in that country.

We have continued to work with CELCIS and Child Protection Committees Scotland to progress implementation of the recommendations from the Child Protection Improvement Programme in relation to developing a shared data set to be used by partnerships and to better embed learning from initial and significant case reviews.

One inspector has worked exceptionally hard with an early learning and childcare service providing support and direction to enable the service to move forward and improve outcomes. The service had been subject to enforcement action in the form of an improvement notice after an inspection identified that provision was weak and unsatisfactory. Support and monitoring visits were carried out over a period of time to support the service to meet the requirements detailed in the improvement notice. Steady and sustainable improvements were observed following each visit and the service was able to improve the experiences of children and young people and address the issues raised in the inspection. The partnership working and ongoing support led to further improvement in the service and the quality was found to be good in most areas at the next inspection of the service. The Care Inspectorate has supported the staff and manager to maintain these improvements and continue to develop their service. This has promoted a more positive, open and trusting relationship with the staff team and enabled improvement work to have a positive effect on outcomes for children. This approach reflects our role as a scrutiny body that supports improvement.

Version: 3.0	Status: FINAL	Date: 27/09/2018
--------------	---------------	------------------

We continue to be involved at a national level in relation to the expansion of early learning and childcare to 1140 hours by 2010. Alongside key partners we are represented on a number of work streams relating to the National Quality Action Plan.

We have reviewed and refreshed our existing MoUs with the Health and Safety Executive, the Office of the Scottish Charity Regulator and the Institute for Research and Innovation in Social Services.

We have continued to support the Scottish Child Abuse Inquiry. In July we completed and submitted our responses to further formal requests for information which we have received. Phase 3 of the Inquiry hearings is scheduled to commence on 23 October 2018. 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.

Our technical ICT staff are working with the Digital Transformation Team, Organisation and Workforce Development, our Microsoft Gold Partner, Capita (the Scottish Wide Area Network contractor) and NHS Education Scotland digital staff to deliver our new network, infrastructure and equipment in an integrated way.