



Monitoring our Performance Q4 2012/13

Report to: Strategy and Performance Committee

Date: 14 May 2013

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Report No: SP-13-2013

Agenda Item: 4

PURPOSE OF REPORT

To present the Q4 2012/13 summary report on performance

RECOMMENDATIONS

That the Board:

1. Discusses the performance against the KPIs for the Care Inspectorate.
Informs the Information Analysts of any changes required to the report
2. Approves the report for submission to the Strategy and Performance Committee and the Board

Version Control and Consultation Recording Form

Version	Consultation	Manager	Brief Description of Changes	Date
	Senior Management		All members ET and other lead officers were consulted.	
	Legal Services			
	Resources Directorate			
	Committee Consultation (where appropriate)			
	Partnership Forum Consultation (where appropriate)			
Equality Impact Assessment				
To be completed when submitting a new or updated policy (guidance, practice or procedure) for approval.				
Policy Title:			NA	
Date of Initial Assessment:			NA	
EIA Carried Out			YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
If yes, please attach the accompanying EIA and briefly outline the equality and diversity implications of this policy.				
If no, you are confirming that this policy will have no negative impact on people with a protected characteristic and a full Equality Impact Assessment is not required.			Name: Ingrid Gilray Position: Policy and Research Officer	
Authorised by Director	Name: Karen Anderson		Date: 10 June 2013	

1.0 INTRODUCTION

This paper presents a summary report of performance against the interim KPIs contained in the Care Inspectorate Corporate Plan 2011-14.

The Care Inspectorate Audit Committee agreed in August 2011 to implement initial baseline key performance indicators to measure progress during 2012/13 which are contained as performance measures within this report.

Further work on identifying new key performance indicators and quality indicators has been approved by the Audit Committee. The revised key performance indicators and new quality indicators will be fully implemented by 1 April 2013.

2.0 SUMMARY OF PERFORMANCE Q1 to Q4 2012/13

2.1 Outcome 1: The quality of services in Scotland is improving

2.1.1 Inspections and inspection findings

2.1.1.1 Care service inspections

In 2012/13 we completed 8,282 of our 8,509 planned inspections which is 97% of our inspection target to date (KPI 2). In 2011/12, we completed 7,489 inspections, which was 99% of the annual target.

In addition to the number of planned care service inspections, we carried out an additional 311 unscheduled inspections, and a further 246 inspections for services that have since cancelled become inactive or proposing to cancel (and do not appear as part of the current target). Therefore we completed a total of 8,839 care service inspections in 2012/13, including additional inspections and inspections for services that have since cancelled or become inactive. We did not inspect 3% of planned services in 2012/13 due to our focus on poorly performing services which takes significantly more inspection time. This year we increased our inspection intensity to cover all four quality themes at every inspection.

Our inspection targets are revised each month to reflect the most up-to-date planned inspections and to remove those services that have cancelled or become inactive throughout the year. As our inspection planning is flexible to react to changes in risk assessments and performance of services, as well as cancellations and services changing between being active and inactive, the number of inspections planned constantly changes throughout the year.

A total of 5,693 care service inspections were carried out as unannounced inspections, which is 64% of all inspections (KPI 4). 2,794

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
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(32%) inspections were made at short notice and 352 (4%) inspections were announced inspections (announced for reasons such as joint inspections with HMIE and some inspections where inspectors had to make sure officers were present). 69% of the 'short notice' inspections were for childminders, where we need to make sure that the childminder and children are available at the planned inspection date. Another 22% of short notice inspections were carried out in Housing Support or Care at Home services where office staff are not always present.

In 2011/12, 5,110 (68%) of the inspections completed were unannounced, 1,924 (26%) were short notice and 450 (6%) were announced.

407 out of 8,839 (4.6%) care service inspections involved one or more lay assessors during 2012/13 (KPI 13). This is an increase compared to the 4% of inspections involving lay assessors in 2011/12. This is a specific focus area of the Involvement Plan and actions are underway to increase the numbers of lay assessors available for inspection as well as ensuring that every inspector involved lay assessors in inspection whenever possible.

Lay assessors spoke with 3030 service users and 1061 carers during these 407 inspections.

(Note: Inspections completed figures were revised on 10th June to reflect end of year data cleaning).

2.1.2 Initial Scrutiny Level Assessments (ISLA's) and follow up scrutiny

In 2012/13 we published eight scrutiny reports of Local Authorities.

We have completed scrutiny of all of the 32 local authorities in Scotland. One report remains to be published.

We continued to involve people who use services and their carers in 86% of scrutiny sessions (KPI 13). This includes involvement in focus groups and supporting the inspection process.

2.1.3 Registrations

At 31 March 2013 there were 14,231 registered care services. This is a slight decrease from the 14,328 services at 31 March 2012. An analysis of the cancellation and registration data shows the changing patterns of care service provision continuing, with childminding increasing and children's daycare decreasing. Care homes and housing support are also decreasing and support services increasing.

By 31 March 2013 we had completed 893 new registrations, 645 of which were childminders and 258 other service types. This represents a

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

decrease in new service registrations when compared with 2012/13, when we completed 1165 registrations (686 childminders and 479 other service types).

The decrease since last year is partly explained by the unusually high number of care home registrations in 2011/12 arising from the collapse Southern Cross and the re-registration of Highland Council care services with the NHS. Although the volatility in the care home market has continued, this has been at a lower rate than last year.

Putting the unusual nature of care home registrations the previous year aside, in 2012/13 we registered fewer services in all other service types compared to the previous year. Looking further back, the number of new registrations in 2012/13 is at its lowest level for five years – the previous low over this period was 1,101 new registrations in 2009/10.

The number of cancellations of services in 2012/13 is also at its lowest point over the last five years.

In 2012/13, 965 registered services cancelled their registration. As with the new registrations, this is fewer than the 1313 services that cancelled in the same period in 2011/12. This decrease is in part represented by the collapse of multiple large providers such as Southern Cross and Choices, where a large number of services cancelled and were subsequently registered under new ownership in 2011/12).

The registration team has continued to deal with a high volume of registration applications efficiently and effectively. For 2012/13, 645 childminders were registered, with 90% completed within the 3 month target. This compares to last year, when 686 childminders were registered with 87% within the KPI. 258 non childminding services were registered, with 92% completed within the 6 month target (KPI 17). This compares to last year, when 479 non childminding services were registered with 90% within the KPI.

The registration team completed 1586 variations during 2012/13. The performance against the internally set target for completing variations has fallen during the course of the year, with only 71% being completed within the 3 month target. This compares to a performance of 85% last year. This is due to an increase in variations, vacancies, staff absence and assisting with the completion of this year's inspections. As part of the KPIs for 2013/14 appropriate formal targets need to be established.

The registration team has continued to refuse a relatively high rate of applications for registration and variation compared to predecessor bodies. Recent registration refusals include a housing support application due to inadequate separation of care and accommodation, a care home due to the applicant's lack of knowledge and skills, and a childminding registration due to fitness issues. Variation refusals include care homes

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

due to concerns about the environment and staff. The registration team has continued to provide an important role along with other agencies in monitoring the financial viability of care services and responding to high profile cases when providers have been taken into administration. For example, during Quarter 4 the Registration Manager convened the National Contingency Group, which was set up following the collapse of Southern Cross and is attended by Scottish Government and COSLA, regarding Oakview Estates Ltd and Castlebeck Care Group. This has ensured that the Care Inspectorate has co-ordinated a joint multi-agency response to protect vulnerable service users, maintain continuity of care and provide assurance to Ministers, commissioners and relatives.

2.1.4 Complaints

Between 1 April 2012 and 31 March 2013 we received 3234 complaints. This is an increase of 13% compared to the 2855 complaints that we received in 2011/12. We registered 1763 as formal complaints and completed 1814 complaint investigations, which is 14% more than the 1586 investigations completed in 2011/12.

98% of complaints were acknowledged within three working days. A slight improvement from 97% last year. A new procedure is being implemented to ensure that all complaints are acknowledged timeously. Of the 3234 complaints received, 608 were anonymous or requested no correspondence and 1379 cases were withdrawn. As part of the revisions to our complaints procedures, we will now aim to complete complaint investigations within 20 working days instead of 28 working days. The 20 day target takes effect for all complaints received since 08 October 2012. For complaints received **before** 8th October 2012 (1760 cases); 765 complaint investigations (60%) were completed within 28 working days, 510 cases (40%) were completed with an extension to the timescale notified to the complainant. 5 complaints (0.4%) were completed in over 28 days without an extension being notified to the complainant.

For complaints received **on/after** 8th October 2012 (1474 cases); 304 complaint investigations (59%) were completed within 20 working days, 201 cases (39%) were completed with an extension to the timescale notified to the complainant. 11 complaints (2%) were completed in over 20 days without an extension being notified to the complainant.

Reasons for extensions included staff leave, complexity of the investigation, awaiting information from external agencies, availability of witnesses and PMS downtime.

Overall (combining both the 20 day and 28 day targets) 99% of complaints investigations were completed within the timescale (or with an extension notified to the complainant). At the same point in 2011/12, we completed 99% of complaints within timescale (KPI 17).

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

The following table shows the actual number of complaints completed, **including** those where extensions were notified, by the days taken to complete them. It shows that, overall 38% were completed within 20 days, and 63% within 28 working days.

Complaints completed 1 April 2012 to 31 March 2013

time to complete (working days)	number of cases	%	cumulative %
20 or less	690	38.0%	38.0%
21 to 28	456	25.1%	63.2%
29 to 35	183	10.1%	73.3%
36 to 45	186	10.3%	83.5%
46 to 55	120	6.6%	90.1%
56 to 65	66	3.6%	93.8%
66 to 75	38	2.1%	95.9%
76 to 85	21	1.2%	97.0%
86 to 95	17	0.9%	98.0%
96 to 100	7	0.4%	98.3%
over 100	30	1.7%	100.0%
Total	1814	100.0%	

The Complaints Committee met seven times in 2012/13 to review seven complaint cases. In all of the cases the findings of the original complaint investigations were supported.

We received 64 complaints against the Care Inspectorate in 2012/13, 13 were completed, 29 were withdrawn and 22 remain in progress. We partially upheld four complaints, eight complaints were not upheld and one case is completed pending an outcome decision.

In eight of the in progress complaint cases we are awaiting a response from the complainant, in another two cases the investigation is delayed due to staff illness and a further four of the in progress cases were received in late March.

In 2011/12, we received 55 complaints against the Care Inspectorate and completed 25 of these.

There were seven complaint review requests received between 1 January 2013 and 31 March 2013. In Q4 we completed 9 reviews (including cases carried over from Q3). Seven reviews were supported or partially supported and two were not supported.

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

The research project into the impact of making a complaint (i.e. does making a complaint make a difference for the service user, complainant, the provider and the service) commenced late December 2012. The first draft report is currently with ET.

An alternative expenditure bid has been agreed by ET to fund the purchase of digital recording equipment for the national complaints team. Training and guidance for staff was delivered in March 2013. The introduction of the digital recording equipment was fully implemented on the 1 April 2013. This will enable better clarity of note-taking for complaints evidence gathering.

An in-depth review of registration and complaints internal work practices will commence in 2013/14. The purpose of this review will be to achieve more efficient, effective ways of working to further develop our customer focus; review roles and responsibilities for inspection and admin colleagues; and provide opportunities akin to those available to inspection staff for CPD and contribution to policy /development working groups. The first meeting is scheduled to take place on 22 April 2013.

2.1.5 Other scrutiny activity

2.1.5.1 Enforcements

The number of enforcement notices that we issued in 2012/13 is summarised by area in the table below.

Non-Technical enforcements 2012/13

(Note: this table excludes 'technical' enforcements which are not related to the quality of the service.)

Area	Number of Notices 1 April 2012– 31 March 2013	Total Number of Services
Central & West	13	11
East	17	17
North	14	14
South	15	13
Scotland	59	53

This shows a decrease in comparison to 2011/12, when we issued a total of 72 non-technical enforcements.

This year we issued slightly more Section 62 Improvement Notices (37 compared to 35 up to the same point last year) but fewer Section 66 Condition Notices (6 compared to 16 up to the same point last year). A Section 62 Improvement Notice is issued where there is evidence of a breach of regulations or conditions. A Section 66 Condition Notice is a

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

proposal to impose an additional condition or to vary an existing condition of registration.

3.0 OUTCOME 2: PEOPLE UNDERSTAND THE QUALITY OF SERVICE THEY SHOULD EXPECT AND HAVE A GOOD EXPERIENCE OF SERVICES CENTRED ON THEIR NEEDS, RIGHTS AND RISKS

Summary of Q1 to Q4 progress and main achievements

3.1 Grading

Overall, 4.9% of graded care services have grades of 3 or less for all quality themes assessed by 31 March 2013 (KPI 1). This is a 1.1% increase compared to 3.8% of graded services at 31 March 2012. 76% of these services are services in the private sector. 14% are voluntary or not for profit services and 10% are local authority services. We are rigorously monitoring these services to support improvement but where improvement is not demonstrated within a reasonable timescale we will not hesitate to take formal action.

58% of all care services graded at 31 March 2013 received a grade 5 or 6 for Involving People quality statements. This means that over half of all care services inspected demonstrated very good or excellent quality practices in involving people who use care services in the delivery of the service. This is an improvement on the 52% of services with grades 5 or 6 for Involving People statements at 31 March 2013.

Most of the remainder had a mix of grading levels for involving people statements, with only 36 services (less than 1%) having all statements graded at 1 and 2. 31 of these services had recommendations and/or requirements made at an inspection and five services had enforcement action taken in 2012/13.

The following tables present a breakdown of the services that have grades of 3 or less for all involving people statements, by service type and by sector:

**Services with all Involving People Statements graded at 3 or less
by Care Service at 31st March 2013**

Care Service	All Involving People statements graded 3 or less	
	Number of graded services	% of graded services
Adoption Service	7	17.9%
Adult Placement Service	5	17.2%
Care Home Service	217	14.9%
Child Care Agency	3	12.0%
Child Minding	299	6.2%
Day Care of Children	237	7.0%
Fostering Service	5	8.8%
Housing Support Service	96	9.4%
Nurse Agency	5	14.3%
Offender Accommodation Service	1	11.1%
School Care Accommodation Service	5	8.6%
Secure Accommodation Service	0	0.0%
Support Service	130	10.1%
All Care Service types	1010	8.3%

Sector	All Involving People statements graded 3 or less	
	Number of graded services	% of graded services
Health Board	6	14.0%
Local Authority	192	8.0%
Private	648	9.1%
Voluntary or Not for Profit	164	6.2%
All Sectors	1010	8.3%

A breakdown of grading by theme at 31 March 2013 and care service is presented in the following tables:

Breakdown of grading for Quality of Care and Support theme by Care Service at 31st March 2013

Quality of Care & Support Care Service	Number of graded services	Grade		
		1 or 2	3 or 4	5 or 6
Adoption Service	39	0.0%	43.6%	56.4%
Adult Placement Service	36	0.0%	36.1%	63.9%
Care Home Service	1474	5.2%	49.6%	45.2%
Child Care Agency	30	0.0%	43.3%	56.7%
Child Minding	5308	0.6%	29.0%	70.4%
Day Care of Children	3700	1.4%	32.5%	66.1%
Fostering Service	60	1.7%	36.7%	61.7%
Housing Support Service	1008	2.0%	36.5%	61.5%
Nurse Agency	35	5.7%	34.3%	60.0%
Offender Accommodation Service	9	0.0%	22.2%	77.8%
School Care Accommodation Service	65	3.1%	36.9%	60.0%
Secure Accommodation Service	5	0.0%	40.0%	60.0%
Support Service	1254	2.2%	36.8%	61.0%
All Care Service types	13023	1.6%	33.9%	64.5%

Breakdown of grading for Quality of Environment theme by Care Service at 31st March 2013

Quality of Environment Care Service	Number of graded services	Grade		
		1 or 2	3 or 4	5 or 6
Care Home Service	1469	4.3%	53.4%	42.3%
Child Minding	5269	0.5%	40.1%	59.4%
Day Care of Children	3617	1.7%	44.0%	54.3%
Housing Support Service	3	0.0%	33.3%	66.7%
Offender Accommodation Service	7	0.0%	42.9%	57.1%
School Care Accommodation Service	65	1.5%	38.5%	60.0%
Secure Accommodation Service	5	20.0%	20.0%	60.0%
Support Service	514	1.2%	47.1%	51.8%
All Care Service types	10949	1.4%	43.5%	55.1%

Breakdown of grading for Quality of Staffing theme by Care Service at 31st March 2013

Quality of Staffing	Number of graded services	Grade		
		1 or 2	3 or 4	5 or 6
Care Service				
Adoption Service	39	0.0%	56.4%	43.6%
Adult Placement Service	36	0.0%	50.0%	50.0%
Care Home Service	1473	3.5%	51.8%	44.7%
Child Care Agency	30	0.0%	36.7%	63.3%
Child Minding	5345	4.2%	35.8%	60.1%
Day Care of Children	3630	1.4%	44.7%	53.9%
Fostering Service	60	0.0%	36.7%	63.3%
Housing Support Service	1000	1.6%	45.9%	52.5%
Nurse Agency	36	5.6%	38.9%	55.6%
Offender Accommodation Service	9	0.0%	22.2%	77.8%
School Care Accommodation Service	65	0.0%	40.0%	60.0%
Secure Accommodation Service	5	0.0%	20.0%	80.0%
Support Service	1249	1.8%	45.2%	53.0%
All Care Service types	12977	2.8%	41.9%	55.3%

Breakdown of grading for Quality of Management & Leadership theme by Care Service at 31st March 2013

Quality of Management & Leadership	Number of graded services	Grade		
		1 or 2	3 or 4	5 or 6
Care Service				
Adoption Service	39	2.6%	51.3%	46.2%
Adult Placement Service	36	0.0%	52.8%	47.2%
Care Home Service	1470	5.5%	55.8%	38.7%
Child Care Agency	30	3.3%	50.0%	46.7%
Day Care of Children	3590	3.2%	47.9%	48.9%
Fostering Service	60	1.7%	46.7%	51.7%
Housing Support Service	998	1.9%	49.2%	48.9%
Nurse Agency	34	5.9%	41.2%	52.9%
Offender Accommodation Service	9	0.0%	55.6%	44.4%
School Care Accommodation Service	65	1.5%	32.3%	66.2%
Secure Accommodation Service	5	0.0%	60.0%	40.0%
Support Service	1248	2.6%	51.4%	46.0%
All Care Service types	7584	3.4%	50.1%	46.6%

3.2 Satisfaction with care services

The Care Standards Questionnaires are completed by people who use services and their relatives and carers. We analysed questionnaires from 2811 services in 2012/13. In 91% of care services, 90% or more respondents were satisfied or very satisfied with the overall quality of the service (KPI 8). This is slightly lower than the 94% of respondents who were satisfied or very satisfied with the overall quality of service in the same period in 2011/12. Work has commenced to review Care Standards Questionnaires as part of the Intelligence and Risk programme.

3.3 Publication of inspection reports

Of the 8140 draft care service inspection reports issued between 1 April and 31 March 2013, 84% were issued within 20 working days (KPI 11). This is slightly lower than the 87% in the previous year, but still exceeding our 80% target. The remaining 16% of draft care service inspection reports not issued within timescale were mainly due to protracted discussion with providers and staff absences.

A total of 7127 care service inspection reports were finalised between 1 April and 31 March 2013. 95% of final inspection reports were published within 13 weeks (matching the 95% in 2011/12), exceeding our target of 80% (KPI 11). The main reasons for delays included awaiting provider feedback and staff absences.

In 2012/13, scrutiny reports were published for eight Local Authorities. Four of these were published within the prescribed timescales. Two reports were published outwith timescale due to a delay in finalising the findings with the local authority. Another two reports were delayed due to the election period.

3.4 New Publications

22 new documents were published in Q4:

Printed and Published Electronically

- Our Health Team – Who We Are and What We Do
- The Care Inspectorate is changing: what you need to know
- Make Every Moment Count Resource and DVD
- Preventing Infection in Care DVD
- Connect Issue 5
- Vision and Values Posters
- Inspection Report Writing Guidance
- Application to add, vary or remove conditions of registration

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

- Annual Report
- Change of relevant individual
- Declaration and consent to contact others
- Questionnaire requesting information from local authority social work services regarding individual applications to register care services

Published Electronically only

- Board meeting papers
- Inspection Plan Summary and Frequency of Inspection
- Management Statement and Financial Memorandum
- Renfrewshire Council Scrutiny Report
- Serious Incident Reviews Guidance
- Guidance for the regulation of guardianship arrangements in boarding schools
- Guidance for providers of regulated care services
- How we inspect and what goes into our inspection reports
- Corporate Plan 2011-14 revised
- Corporate Health and Safety Policy Equality Impact Assessment

Surveys (internal and external)

We sent out the following internal and external surveys during Q4:

- Equality Reports Consultation (still running)
- Staff Conference Survey
- Equalities Monitoring Form
- National Administration Development Day
- Procurement Strategy
- Inspection team induction event evaluation
- Complaints team induction event evaluation
- Consultation on the child and adult protection procedures
- Staffing Schedules
- Connect Staff Survey
- Inspection planning events staff evaluation
- Inspection planning event – pre event survey
- Proposed HR Policies consultation
- Proposed Recruitment and selection policy consultation

3.5 Translations/Alternative formats

We received 30 Translation/alternative format requests in Quarter 4 with a total of 337 copies produced. This included:

- 159 inspection reports in Russian, Mandarin, Bengali, Polish, Urdu, Swahili, Chinese, French, Spanish, Arabic, Audio, Easy Read, Braille
- 152 Unhappy about a care service in Audio, Gaelic, Chinese, Urdu, Punjabi, Bengali, Arabic, Hindi
- 5 Who We are, What we do in Easy Read
- 60 Joint inspection of nursery report in Mandarin and Cantonese
- 5 Housing Support Service/CAH CSQ in Polish
- 2 What to expect when we inspect in Polish
- 18 CSQ Daycare of Children in Punjabi, Spanish and Urdu
- Application to register a care service – Polish

3.6 Policy Analysis

The Care Inspectorate's online policy/research hub website has been delivered by the appointed developers. Based on external and internal surveys conducted last year, the Policy Analysts have coordinated with the developers and relevant internal staff on the design and structure of the website. A period of functionality testing will now be undertaken in the coming months. Discussions are also underway with professional staff within the organisation in relation to the identification and approval of relevant content for the site.

In a project commissioned by the Care Inspectorate and coordinated by the Policy Analysts, the Centre for Excellence for Looked After Children in Scotland (CELCIS) has delivered research on child sexual exploitation, focusing on children and young people in care. A strategy for the publication and communication of the results will now be developed in discussion with CELCIS. This will be issued to all Board members as part of the publication plan.

The CELCIS research is particularly pertinent against the backdrop of the Public Petitions Committee's inquiry into tackling child sexual exploitation in Scotland. In addition, the Education and Culture Committee has published an interim report and announced its approach to its ongoing inquiry into decision making on whether to take children into care.

The Policy Analysts have continued to provide support in relation to parliamentary matters.

The Policy Analysts have supported colleagues in responding to a range of recent consultations, including the WithScotland consultation on a refresh of child protection guidance.

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

3.7 Events

We exhibited at the following conferences in Quarter 4

- Holyrood Conferences – Child Protection (January 2013)
- Nursing in Practice Conference (February 2013)
- Social Services Expo (March 2013)
- COSLA (March 2013)

3.8 National Enquiry Line

The National Enquiry Line received 6287 calls over the months of January, February and March 2013.

22% of calls received (1361 calls) were transferred to duty inspectors. Over the course of the three months, this works out at a rate of 5.5 calls per duty inspector per working day.

Category	Number of calls received in Quarter 4
Complaints/Concerns	922
Registrations	923
E-forms/website	714
Registered services	484
All other enquiries	3244
Total	6287

Calls in the category 'other enquiries' included; requests for staff and office details, finance, Information Governance, publications, disclosure enquiries, SSSC and qualifications and the National Care Standards.

4.0 OUTCOME 3: CARE INSPECTORATE PERFORMS EFFECTIVELY AND EFFICIENTLY AS AN INDEPENDENT , SCRUTINY AND IMPROVEMENT BODY AND WORKS WELL IN PARTNERSHIP WITH OTHER BODIES

Summary of Q1 to Q4 progress and main achievements

4.1 Developing new approaches to inspection planning

The Operational Planning Group (OPG) chaired by the Director of Strategic Development (Depute Chief Executive) has continued to meet on a monthly basis.

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

The Inspection Plan for 2013/14 received formal Ministerial approval on 29 March 2013.

Inspection planning events were held in each area in January 2013. Over the quarter, the Inspection Planning Team's work on creating and amending individual inspection plans for each inspector, and creating an overall inspection plan that maximises use of capacity has taken place.

Changes to the staff structure, and availability of ICT developments have made this work challenging. By 29 March 2013, the first full draft of the national inspection plan for 2013/14 was published.

Planning for the joint inspections of children's services and care and health for adults commencing with older people, together with the criminal justice supported self-evaluation has been finalised. Inspection plans have also been finalised for a follow through inspection of looked after children in States of Jersey (full cost recovery) and a child protection inspection in Isle of Man (also full cost recovery).

4.2 Development of Joint Inspections for Older People

A model for joint inspection of health and care services is currently being developed which includes an EFQM based quality indicator framework and evaluative illustrations similar to that developed for joint inspections of services for children.

The model is being tested in 3 local authority and related community health partnership areas. Once testing is complete the quality indicator framework and illustration will be consulted upon publicly.

The first 2 pilot inspections, each testing a proportion of the key areas of evaluation are underway and on schedule. The third pilot was delayed to allow for a full test of all areas for evaluation. This pilot inspection is now underway.

4.3 People are confident that scrutiny improves the service

The Care Inspectorate continues to use Inspection Satisfaction Questionnaires to assess the quality of care service inspections. This is measured as the satisfaction of care service staff and service users with the inspection and whether they think the service quality will improve following inspection.

In 2012/13, 92% of staff and 88% of service users told us they think that the quality of their care service will improve following the inspection (KPI 12). This is similar to the situation at the same point last year, when 94% of staff and 83% of service users thought that their services would improve following the inspection.

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
--------------	--------------------------------	------------------

An independent and co-produced analysis of the impact of additional user focus time, agreed by Strategy & Performance as part of this year's inspections, will be provided at a future date, following completion of the inspection year 2012/13.

4.4 Involvement of people who use services and carers

Two job share lay assessor coordinators were recruited to the involvement team in Q4. We now currently have 55 lay assessors, 5 lay assessors in the process of completing shadow inspections, 6 people who will be training in May 2013 and a further 3 will be interviewed soon. We are currently developing an ongoing recruitment campaign and induction programme. A group of lay assessors were involved with members of the team in co-producing a revised inspection evidence gathering tool for lay assessors which will be piloted in 2013 - 14.

An Involve Newsletter was distributed in March, with details of all our involvement activities and events from 2012/13.

There were a number of activities for involved people in Q4. We held an Involving People Group in Dundee on 27 March to consult on our new Care Inspectorate leaflet for people who use care services and their carers, which received very positive feedback.

Two of our involved people have been participating in our recruitment centres as assessors on the presentation exercise panel. This has been a great learning experience for the involved people and the other assessors. To expand upon this and prepare more of our involved people to become assessors we will be offering training on interview skills and assessment centres in 2013/14.

Work on proposals for a single involvement team has been ongoing in Q4. A report will be submitted to the ET in May 2013 for consideration alongside other resource proposals.

A Young Peoples Event has been confirmed for Sunday 30 June 2013 in Ratho Edinburgh Indoor Climbing Arena. Board members will be asked to note their interest in attending. A full programme will be made available shortly.

4.5 Public Reporting

- During Q4 we received 67 Freedom of Information requests. At 31 March there were 3 requests on hold awaiting a request for clarification from the enquirer. Of the 67 responded to all were completed within the statutory time period of 20 working days.
- We received 28 Data Protection requests in Q4, and responded to all of these within the 40 day deadline.
- We received 19 Parliamentary Questions in Q4 and all 19 were responded to.

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
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4.6 Intelligence and Risk Programme

The Board received an update on the Intelligence and Risk programme which has progressed mainly according to plan. Significant areas progressed in Q4 include:

- Finalised the Care Inspectorate adult and child protection procedures, which were consulted upon with staff, and reported on to the ET, S&P committee and the Board during the quarter. The final phase of this work is to implement and embed these procedures across the organisation.
- Developed mechanisms and procedures for capturing information about large provider groups, that will enable us to routinely report on performance of large groups of providers, and in particular will support our contact manager/link inspector relationships
- The Intelligence Network was instrumental in identifying key information required for risk assessment and inspection planning from the annual returns. The Intelligence Team have now developed this into a useful, easy to use utility for inspectors, and initial tests have indicated that this could save considerable amounts of pre-inspection planning time for inspectors.
- Made use of CI intelligence about care services to inform our new national inspection plan

The Board approved the 2013/14 Key Deliverables at their March meeting that will progress the Intelligence and Risk programme.

4.7 Access to Care Inspectorate Information

The Intelligence Team respond to a wide variety of internal and external requests for information each year.

During 2012/13, the team dealt with 107 external and 289 internal requests - 396 in total.

The external requests mainly comprise FOIs (which come in via the Information Governance Team and will be included in the FOI statistics presented in this paper), press enquiries, Scottish Government information requests and PQ/MSP enquiries. They have included requests about trends in grades and numbers of services in specific areas compared with averages; summaries of selected annual returns and notifications information; maps of the spread of services across Scotland; information about our staff workload and statistical summaries of complaints and enforcements.

Internal requests come from all areas of our business and all levels of staff across the organisation. Inspectors, admin staff, professional advisors, managers and senior managers have sought information to help us improve how we work, better understand the sector in which we operate, and to identify key messages to share externally. Examples of internal

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
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requests include: focussed analysis of annual returns data (eg on nutrition, medication, absconding and restraint); information about national providers' performance compared with averages to inform the dialogue contact managers have with providers, and to help the registration team evaluate new providers; work to collect and analyse staff skills information, diary exercise data and values data to help inform the development of the CI; updates for operational teams on inspections still to be completed at several points in the year to ensure that we remain focussed on delivering our agreed inspection plan; statistical summaries of ISLA and CP2 inspections; developing and deploying data-based models to inform the national inspection plan.

4.8 Equalities and Human Rights

During Q4 the equality project group made significant progress in achieving the deliverables set out within the project plan, demonstrating how we meet the public sector equality duty and the specific duties for public authorities in Scotland

At the ET meeting on 7 March 2013, the ET noted the work of the equality project and agreed to an on-going programme of work to monitor progress and ensure Care Inspectorate equality duties are met over subsequent years. The ET agreed to the draft mainstreaming equality report, and equality outcome statements being circulated to staff, Involved people, scrutiny partners and equality groups for consultation before progressing to the Board. Early indications are of a positive response to the consultation from a full range of stakeholders.

The Board meeting on 21 March 2013 agreed to the finalising and publication of the mainstreaming report, equality outcome statements, and employment information by 30 April 2013.

A full contribution was made to the Scottish Human Rights Commission consultation on a draft Scottish National Action Plan for human rights (SNAP) based on dignity in care. The professional adviser Equalities and Involvement will join the drafting group to ensure the interests of people using care and social work services are prioritised within the Plan.

4.9 Variance from planned budget

For the period between 1 April and 31 March 2013, there was less than 1% projected variance (0.24% underspend) from the planned budget (KPI 16). Work is on-going to finalise the annual accounts and it may be that the actual financial position for the year to 31 March 2013 differs from this projected position.

The accounts are not due to be completed till 30 June 2013 and then will be subject to audit.

Version: 5.0	Status: <i>Final - Amended</i>	Date: 21/06/2013
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4.10 Absence reporting

For the period between 1 January and 31 March 2013 the overall percentage of sickness absence was 4.2%, 1.7% was short term sickness and 2.5% was long term sickness (KPI 14). This is lower than the 4.7% sickness absence (2.9% long term and 1.8% short term) in the same period last year.

The Chartered Institute of Personnel and Development (CIPD) reported that the average absence rate for the public sector for 2012 is 3.5%.

Targeted action is being taken by managers supported by HR to support colleagues back to work wherever possible.

4.10 Carbon Management

The Care Inspectorate has completed a carbon management plan as part of its environment agenda. The Carbon Trust recognised this work by presenting the organisation with a “Cutting Carbon Emissions” Award in recognition of the effort in the field of carbon management, emission reduction and the mitigation of climate change during 2012. The environment agenda will further develop with an environmental strategy and campaigns to reduce the Care Inspectorate’s carbon footprint.

5.0 SUMMARY OF PERFORMANCE AGAINST KPIS Q4 2012/13

Unless otherwise indicated, all figures are cumulative totals for the year

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes																								
KPI 1: % of regulated care services with grades of 3 or less for every graded quality theme	To be established	4.8%	4.9%	3.8%	Of 7772 registered and graded care services (other than childminders) 415 services (5.4%) have grades of 3 or less for all quality themes. Of 5350 registered and graded childminders 219 services (4.1%) have grades of 3 or less for all applicable quality themes.																								
KPI 2: % of inspections completed against planned number of inspections	100% for care service inspections	5659 care service inspections completed (91% of target to date, 64% of annual target)	8282 care service inspections completed (97% of annual target)	7489 care service inspections completed (99% of annual target)	<table border="1"> <thead> <tr> <th></th> <th>Inspections completed</th> <th>Target for Q1 to Q4</th> <th>% target to date</th> </tr> </thead> <tbody> <tr> <td>Central & West</td> <td>1953</td> <td>1956</td> <td>99.8%</td> </tr> <tr> <td>East</td> <td>2792</td> <td>2831</td> <td>98.6%</td> </tr> <tr> <td>North</td> <td>1832</td> <td>1930</td> <td>94.9%</td> </tr> <tr> <td>South</td> <td>1705</td> <td>1792</td> <td>94.9%</td> </tr> <tr> <td>All Areas</td> <td>8282</td> <td>8509</td> <td>97.3%</td> </tr> </tbody> </table>		Inspections completed	Target for Q1 to Q4	% target to date	Central & West	1953	1956	99.8%	East	2792	2831	98.6%	North	1832	1930	94.9%	South	1705	1792	94.9%	All Areas	8282	8509	97.3%
	Inspections completed	Target for Q1 to Q4	% target to date																										
Central & West	1953	1956	99.8%																										
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South	1705	1792	94.9%																										
All Areas	8282	8509	97.3%																										

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes
		Seven Local Authority Scrutiny Inspections completed	Seven Local Authority Scrutiny Inspections completed	15 Local Authority Scrutiny Inspections completed 12 CP2 inspections completed	In addition to the number of planned care service inspections we carried out an additional 304 unplanned inspections and 251 inspections for services that have since cancelled, proposing to cancel or become inactive (and therefore do not appear as part of the current target).
KPI 3: % of non-programmed additional inspections completed against planned number of inspections		2.0% (119 additional inspections)	4.0% (352 additional inspections)	6% (429 additional inspections)	Our planned inspection target for 2013/14 was 8509 inspections. 352 inspections of the total 8839 inspections completed were unplanned additional inspections

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes		
KPI 4: % of unannounced inspections as % of inspections completed		67% (3777 inspections)	64% (5693 inspections)	68% (5110 inspections)	Number of inspections		
					Unannounced	5693	64%
					Announced (short notice)	2794	32%
					Announced	352	4%
					Total	8839	100%
KPI 5: % of requirements in 2011/12 that were met in 2012/13	Monitor trend	N/A (reported annually)	68%	77%	1057 services that received requirements at their final inspection in 2011/12 were inspected again in 2012/13, and 68% of the requirements made across all services were met at the first inspection in 2012/13.		
KPI 6: % of LA receiving positive reports for Child Protection Inspections	To be established	All CP2 inspections now completed.	All CP2 inspections now completed.	100% (9 inspections completed)			

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes
KPI 7: % of local authorities receiving minimum number of scrutiny sessions following ISLA		23%	23%	19%	The ISLAs were all completed by Q2 2012/13. 26 Local authorities had their ISLA level assessed. 6 of these were assessed as level 1 scrutiny, meaning that they will receive the minimum number of scrutiny sessions.
KPI 8: % services with greater than 90% of respondents happy or very happy with the overall quality of the service they receive	Monitor trend	92% (n = 1858)	91% (n =2811)	94% (n=3162)	In 2012/13, 91% of care services had 90% or more respondents who were satisfied or very satisfied with the overall quality of the service.

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes														
<p>KPI 9: % of services with 5/6 grades for involving people quality statements</p>	Monitor trend	56% over all themes	58% over all themes	50% over all themes	<table border="1"> <tr> <td colspan="2">KPI 9: % of services that received a 5 or 6 grade for quality statement Involving People</td> </tr> <tr> <td>Care & Support</td> <td>69%</td> </tr> <tr> <td>Environment</td> <td>65%</td> </tr> <tr> <td>Staffing</td> <td>62%</td> </tr> <tr> <td>Management & Leadership</td> <td>58%</td> </tr> <tr> <td>Information</td> <td>42%</td> </tr> <tr> <td>Over all themes</td> <td>58%</td> </tr> </table>	KPI 9: % of services that received a 5 or 6 grade for quality statement Involving People		Care & Support	69%	Environment	65%	Staffing	62%	Management & Leadership	58%	Information	42%	Over all themes	58%
KPI 9: % of services that received a 5 or 6 grade for quality statement Involving People																			
Care & Support	69%																		
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Staffing	62%																		
Management & Leadership	58%																		
Information	42%																		
Over all themes	58%																		
<p>KPI 10: % of child protection and local authority reports that identify positive multi-agency working</p>				New KPI															

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes
<p>KPI 11: % of final regulated care service and child protection inspection reports and ISLA scrutiny reports published within specific timescales</p>	<p>Care service draft reports- 80% 13 weeks for care services, 14 weeks for CP2 inspections</p>	<p>Draft care service inspection reports (20 days):86% Final care service inspection reports (13 weeks): 96% Final CP2 inspection reports (14 weeks): 100% 8 Local Authority scrutiny reports published in Q1 to Q3, 4 of these published with a delay</p>	<p>Draft care service inspection reports (20 days):84% Final care service inspection reports (13 weeks): 95% Final CP2 inspection reports (14 weeks): 100% 8 Local Authority scrutiny reports published in Q1 to Q4, 4 of these published with a delay</p>	<p>Draft care service inspection reports (20 days):87% Final care service inspection reports (13 weeks): 95% Final CP2 inspection reports (14 weeks): 100% Local Authority scrutiny reports: 100%</p>	<p>8140 draft care service inspection reports issued 7127 final care service inspection reports published</p>

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes
KPI 12: % of people who use services and their carers who are confident that scrutiny improves the service	Monitor trend	Staff 92% (n = 526) Service users 86% (n = 177)	Staff 92% (n = 698) Service users 88% (n = 221)	Staff 94% (n = 809) Service users 83% (n = 433)	This information only covers care service inspections
KPI 13: % of inspections/scrutiny sessions that involve people who use services and their carers		5.6% care service inspections involved Lay Assessors 100% of scrutiny sessions involved people and their carers.	4.7% care service inspections (involved Lay Assessors 86% of scrutiny sessions involved people and their carers.	4.0% care service inspections involved Lay Assessors 100% of scrutiny sessions involved people and their carers.	

Agenda item 4

Report Number
SP-13-2013

Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes
KPI 14: % of staff sickness absence	To be established	5.5%	4.2%	4.7%	1.7% was short term absence and 2.5% was long term absence.
KPI 15: % of efficiency savings achieved	To be established		The 2012/13 budget was funded by efficiencies and savings of £2.2m. This was after absorbing £317k of growth (detail in the efficiencies report). These efficiencies are anticipated to be achieved in full this financial year.	Not reported	A report on the 2012/13 efficiencies position will be presented to the Resources Committee early in 2013/14.

<p>KPI 16: % of variance from planned budget</p>	<p>+/- 2%</p>	<p>-1.97% (underspend)</p>	<p>-0.24% (underspend, projected)</p>	<p>-4.91% (underspend, projected)</p>	
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Key Performance Indicator 2012/13	Target	Q3 2012/13	Q4 2012/13	Q4 2011/12	Notes
<p>KPI 17: Composite measure: % of registration and complaints activities completed within specific timescales (complaints acknowledged within 3 days; complaints completed within 28 days; registrations completed within 3 months for childminders and 6 months for other care services)</p>	<p>Complaints target-100%</p> <p>Registrations target-80%</p>	<p>Complaints acknowledged in 3 days: 98% (n = 705)</p> <p>complaints completed within 28 days: 99.9% (n = 896)</p> <p>complaints completed within 20 days*: 98% (n = 171)</p> <p>CM registered within 3 months: 91% (n= 540)</p> <p>Other services registered within 6 months: 94% (n= 195)</p>	<p>Complaints acknowledged in 3 days: 98% (n = 1247)</p> <p>complaints completed within 28 days*: 99.6% (n = 1280)</p> <p>complaints completed within 20 days*: 98% (n = 516)</p> <p>CM registered within 3 months: 90% (n= 645)</p> <p>Other services registered within 6 months: 92% (n=258)</p>	<p>Complaints acknowledged in 3 days: 97% (n = 1202)</p> <p>complaints completed within 28 days: 99% (n = 1586)</p> <p>CM registered within 3 months: 87% (n= 686)</p> <p>Other services registered within 6 months: 90% (n=479)</p>	<p>Further work to be undertaken on the potential to combine this into one measure.</p> <p>* Complaints received on or after 8 October 2012 are subject to the 20 day completion target. Those received before this date fall under the 28 day target.</p>

Version: 5.0 Status: Final - Amended Date: 21/06/2013

Agenda item 4

Report Number
SP-13-2013

Key Performance Indicator 2012/13	Target	Q3 2012/13	<u>Q4 2012/13</u>	Q4 2011/12	Notes
<p>KPI 18: Memorandum of Understanding agreements in place with relevant bodies and measures identified to review their efficiency in practice</p>	<p>New KPI</p>			<p>13 Memorandum of Understanding agreements</p>	<p>Awaiting 2012/13 information.</p>

6.0 RESOURCE IMPLICATIONS

There are no additional resource implications arising from this report.

7.0 BENEFITS FOR PEOPLE WHO USE SERVICES AND THEIR CARERS

This report relates to the monitoring of performance against the Care Inspectorate Corporate Plan 2011-14 that has clearly stated benefits for people who use care service and their carers.