

## Progress on Inspection Plan 2013/14

**Report to:** Board  
**Date:** 20 March 2014  
**Report by:** Robert Peat, Director of Inspection  
**Report No:** B-05-2014  
**Agenda Item:** 13

### **PURPOSE OF REPORT**

To provide board members with a projection of the shortfall in the achievement of the 2013/14 Inspection Plan.

### **RECOMMENDATIONS**

That the Board:

1. notes the projected position regarding our performance in achieving the 2013/14 Inspection Plan.

**Version Control and Consultation Recording Form**

Version	Consultation	Manager	Brief Description of Changes	Date
	Senior Management		All members of ET were consulted.	
	Legal Services			
	Resources Directorate			
	Committee Consultation (where appropriate)			
	Partnership Forum Consultation (where appropriate)			
<b>Equality Impact Assessment</b>				
To be completed when submitting a new or updated policy (guidance, practice or procedure) for approval.				
Policy Title:			N/A	
Date of Initial Assessment:			N/A	
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: Robert Peat Position: Director of Inspection	
Authorised by Director	Name: Robert Peat		Date: 21 March 2014	

## **1.0 INTRODUCTION**

The total number of inspections that we held resource capacity for as at 1 April 2013 was 9093. Of these as at 1 April 2013, 8389 were inspections 'must do by time and quality'. Throughout 2013/14 1201 of these services have become inactive or cancelled. This means we have 7188 inspections which must be done by time and quality.

The current inspection year has been challenging as we have operated in the context of introducing a new structure, centralised inspection planning and specialist inspection teams.

The new structure and new teams have become embedded as the year has progressed.

As in any given year there are issues of sickness and absence, staff changes and staff performance, which have to be managed on an on going basis.

There is a sense however that teams are becoming well established and centralised inspection planning is coordinating the preparation of the inspection plan for 2014/15. We have also undertaken a number of mitigative actions to ensure we have better alignment and knowledge of skills across specialist teams.

## **2.0 CURRENT SITUATION**

It is anticipated that in early years services and in the young people and criminal justice service we will achieve the key performance indicator, i.e. 99% of the inspections completed of the total number of inspections planned.

We anticipate there is a potential projected shortfall of fewer than 200 inspections on our must do by time and quality inspections. These are across adult and older people services and are services which have been assessed as being at lower risk. Every attempt has been made to meet the target with the use of locum staff across services and with assistance from within the older people's teams.

### **2.1 Impact of Re-Structuring**

April 2013 saw the introduction of the new structure, centralised inspection planning and specialist inspection teams.

At the time, it was acknowledged that we did not always have all the right people with the right skills in the right place and although we knew this would present some challenges in terms of workforce and workload management, the policy position was that we would adhere to specialist team working wherever possible. We proposed that as vacancies arose we would begin to align the

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staffing profile to better meet our inspection responsibilities. For example, staff in the children's team would not be able to undertake inspections in the adult's teams and vice versa. However, some cross-working between adults and OP teams and early years and criminal justice/young people's (CJ/YP) teams was permissible.

The initial central allocation of inspections was in the main based on geographical considerations. In practice, this meant that a range of services, including care homes for older people, were allocated between the Older People and Adults teams depending on where inspectors lived and where services were located. This created a number of operational and practise challenges, including inspectors being responsible for the inspection of services outwith their specialism.

The challenges of not having staff with the necessary skills in the right place became apparent towards the end of Q1. The Older People (OP) and Adults teams worked with the Inspection Planning Team (IPT) to better balance services and resources across the specialist teams in order to manage risks and make the best use of skills and experience.

## **2.2 Mitigative Action**

Essentially, high risk / poorly performing services were prioritised by realigning care homes to the OP teams. This transfer was not without impact as the majority of poorly performing services nationally are within the care home sector however we were aware that grades in these services were reducing, there was enforcement action and therefore more resources, and specialist skills, were required to support improvement. During this time, a number of high profile cases proved to be very resource intensive at all levels and media and public attention remained high.

Following on from this initial activity we continued to progress the phased realignment, with housing support/care at home services transferring to the right specialist team, Adults, during the Q2 period. This meant that those services clearly registered to provide exclusively to older people were transferred to the OP teams and those services clearly registered to provide to adults were transferred to the Adults teams. The moves potentially meant more travel for some inspectors but better supported our agreed specialist team approach.

The Inspection Planning Team (IPT) undertook a review of the inspection hours required to meet our planned inspection programme, across all inspection teams. The review identified excess capacity in children's teams and not enough capacity in adult's teams, in terms of inspection hours to meet the plan. During the summer some significant changes were made to the Children's Services inspection structure. It was agreed by the Executive team in September 2013 to recruit additional inspectors to address staffing requirements.

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This paper sets out for the Board the background to why we are projecting that we will not complete all of the targets in the Inspection Plan for 2013/14. The Chief Executive will advise the Sponsor Branch at a time agreed with Board members, if necessary. A position statement and key messages is being developed to provide public information on the impact of the details within this report on 2014/15 inspection planning and reputational risk.

### **3.0 RESOURCE IMPLICATIONS**

While there is no immediate additional resource implications arising from this report, work will continue to align workforce planning to the inspection plan.

### **4.0 BENEFITS FOR PEOPLE WHO USE SERVICES AND THEIR CARERS**

This report relates to the performance against the Care Inspectorate Plan for 2013/14. This report notes that those services that may not be inspected are of lower risk. We have prioritised inspection of high risk services to make sure vulnerable people are protected.

### **5.0 CONCLUSION**

This report has noted the reasons for the projected non completion of the 2013/14 Inspection Plan, and some of the mitigative action undertaken over the course of 2013/14 to maximise capacity and meet our inspection plan.

Given the ongoing intense activity, an up to date verbal briefing will be provided to Board members at their meeting on 28 March 2014.

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