



Monitoring our Performance Q3 2012/13

Report to: Board

Date: 21 March 2013

Report by: Karen Anderson, Director of Operations (Planning, Assurance, Public Reporting)
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Report No: B-02-2013

Agenda Item: 6.1

PURPOSE OF REPORT

To present the Q3 2012/13 summary report on performance.

RECOMMENDATIONS

That the Board:

1. Notes and considers the performance against the interim KPIs for the Care Inspectorate.

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)	S&P	Considered at S&P. Some further breakdown added to complaints section, and amendments to lay assessor figures.	5Mar13
	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: 07/03/13

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 Q3 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

Between 1 April and 31 December 2012 we completed 5,659 of our 6,200 planned inspections which is 91% of our inspection target to date. In Q1 to Q3 of 2011/12, we completed 5,395 inspections, which was 93% of our target to date. Compared to last year, we have completed more inspections but on the other hand our planned inspection target is also higher, which results in the slight decrease in the % completed against target.

In addition to the number of planned care service inspections, we carried out an additional 119 unscheduled inspections, and a further 90 inspections for services that have since cancelled or became inactive (and do not appear as part of the current target).

We did not inspect 9% of planned services in Q1 to Q3 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. However, we remain on target to complete all planned inspections by 31 March 2013.

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 became 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

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between being active and inactive, the number of inspections planned constantly changes throughout the year.

A total of 3,777 care service inspections were carried out as unannounced inspections, which is 67% of all inspections. 1,685 inspections (30%) were made at short notice and 197 inspections were announced inspections (3%) (announced for reasons such as joint inspections with HMIE and some inspections where inspectors had to make sure officers were present). 72% 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 21% of short notice inspections were carried out in Housing Support or Care at Home services where office staff are not always present.

In Q1 to Q3 of 2011/12, 3564 (66%) of the inspections completed were unannounced, 1477 (27%) were short notice and 354 (7%) were announced.

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

Between 1 April and 31 December 2012 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 100% of scrutiny sessions. This includes involvement in focus groups and supporting the inspection process.

2.1.3 Registrations

At 31 December 2012 there were 14,327 registered care services. This is a slight increase from the 14,296 services at 31 March 2012.

By 31 December 2012 we had completed 725 new registrations, 530 (73%) of which were childminders and 195 (27%) were other service types. This represents a decrease in new service registrations when compared with Q1 to Q3 of 2011/12, when we completed 861 registrations (506 Childminders, 355 other service types).

In Q1 to Q3, 693 registered services cancelled their registration. As with the new registrations, this is fewer than the 868 services that cancelled in the same period in 2011/12 (the increased registration and cancellation activity last year represents 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).

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We have dealt efficiently with registrations, exceeding our target of 80% as follows:

- 91% of childminding registrations completed within three months
- 94% of registrations of other service types completed within six months

This is an improvement compared to last year when we met our target for 85% of childminders and 88% of other service types.

In addition to registering and cancelling services, we make variations to their conditions of registration. The volume of work associated with variations depends on their nature and complexity.

In total we completed 1780 variations in Q1 to Q3 (755 childminder variations and 1025 variations from other service types). This number includes variations that we received before April 2012 but were completed between 1 April and 31 December 2012.

Of all variations completed, 78% of childminder variations and 69% of other service type variations had been completed within three months.

We closely monitor service providers where we have concerns for their financial viability. In particular, we are currently monitoring two providers which both appear to be in financial difficulties.

2.1.4 Complaints

Between 1 April 2012 and 31 December 2012 we received 2483 complaints. This is an increase of 21% compared to the 2048 complaints that we received in 2011/12. We registered 1486 as formal complaints and completed 1396 complaint investigations, which is 18% more than the 1180 investigations completed in 2011/12.

98% of complaints were acknowledged within three working days. A slight improvement from 97% last year. 954 complaints were acknowledged within three working days, 446 were anonymous or requested no correspondence, 1065 cases were withdrawn and 18 complainants did not receive an acknowledgement within the three working days.

Reasons for withdrawing a complaint include: complaints made against well performing services that we will investigate through the inspection process (23%); complainant does not wish to proceed with the complaints (18%); complaints are outwith the CI remit(17%); complaint cannot be investigated because it is anonymous and further information cannot be obtained (11%); complaints about adult and child protection issues that are being investigated by the relevant agency(4%); complainants wishing

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to use the provider's complaints process first (2%); and complainants not responding to our requests for further information (2%).

Reasons for not sending an acknowledgement within three days include a delay in forwarding a concern that was received in the Enquiries email mailbox to the complaints team and where similar complaints against the same service were combined into one case and this required additional time to contact all complainants.

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 (1739 cases); 760 complaint investigations(62%) were completed within 28 working days, 462 cases (38%) were completed with an extension to the timescale agreed with the complainant. 3 complaints (0.2%) were completed in over 28 days without an extension agreed.

For complaints received **on/after** 8th October 2012 (744 cases); 130 complaint investigations(76%) were completed within 20 working days, 36 cases (21%) were completed with an extension to the timescale advised or agreed with the complainant. 5 complaints (3%) were completed in over 20 days without an extension agreed.

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

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

The following table shows the actual number of complaints completed, **including** those where extensions were agreed, by the days taken to complete them. It shows that, overall 38% were completed within 20 days, and 65% within 28 working days.

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Complaints completed 1 April 2012 to 31 Dec 2012

time to complete (working days)	cumulative		
	no	%	%
20 or less	528	37.8%	37.8%
21-28	384	27.5%	65.3%
29-35	134	9.6%	74.9%
36-45	139	10.0%	84.9%
46-55	94	6.7%	91.6%
56-65	53	3.8%	95.4%
66-75	26	1.9%	97.3%
76-85	13	0.9%	98.2%
86-95	13	0.9%	99.1%
96-170	12	0.9%	100.0%
Total	1396	100.0%	

The Complaints Committee met five times in Q1 to Q3 to review four complaint cases. In all of the cases the findings of the original complaint investigations were supported.

We received 48 complaints against the Care Inspectorate between 1 April 2012 and 31 December 2012, five were completed, 15 were withdrawn and 28 remain in progress. All of the five complaints completed were not upheld. In Q1 to Q3 of 2011/12, we received 46 complaints against the Care Inspectorate.

There were ten complaint review requests received between 1 October 2012 and 31 December 2012. Eight reviews were brought forward from Q2. Eleven reviews were completed, seven were either supported or partially supported and four were not supported. Seven reviews were carried forward into Q4.

We have revised the Care Inspectorate's complaints processes and implementation of these changes began on 08 October 2012. Work is ongoing with ICT colleagues to build the specification for the new RMS complaints system.

The draft revision of the complaints process for complaints made against the Care Inspectorate has been consulted on. Further consultation is required to finalise the complaints process.

A group set up to examine and improve the way the Care Inspectorate progresses incidents at work vis-a-vis conducting complaint investigations

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had their final meeting at the end of August 2012. A report of their findings is ready for submission to ET.

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. A progress report is going to ET.

An alternative expenditure bid has been agreed by ET to fund the purchase of digital recording equipment for the national complaints team. The proposed implementation of this equipment will be 1 April 2013, once training and guidance for their use has been delivered to all staff. 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; learn from complaints themes and trends to improve quality of care; 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.

2.1.5 Other scrutiny activity

2.1.5.1 Enforcements

The number of enforcement notices that we issued in Q1 to Q3 of 2012/13 is summarised by area in the table below.

Non-Technical enforcements Q1 to Q3 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 December 2012	Total Number of Services
Central & West	11	11
East	14	14
North	13	11
South	15	14
Scotland	53	50

This is a slight decrease in comparison to the same period in 2011/12, when we issued a total of 60 non-technical enforcements.

This year we issued more Section 62 Improvement Notices (35 compared to 28 up to the same point last year) but fewer Section 66 Condition Notices (5 compared to 20 up to the same point last year).

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

From 2013/14 onwards we will be able to report in more thematic detail of the nature and compliance with enforcement action.

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 Q3 progress and main achievements

3.1 Involvement Plan

Proposal for a single involvement team within the new structure have been submitted to the Executive Team. The proposals set out the business case and recommendations for expanding the Involvement team in order to meet the objectives of the Involvement Plan. Resource implications will be contained within budget.

We held two Involving People Events in Q3. The first was an Involving People Group (IPG) meeting held in Perth on 15 November which was well attended by 28 service users and carers. The focus was on the Involvement Plan and Charter, the new organisational values and opportunities for involvement.

The second was on 10 December when 60 Carer Inspectors, Young Inspectors, Lay Assessors and IPG members met together for the first time to hear about each other's roles and to think about the greater impact a bigger team of involved people can have for service users and carers.

We received excellent feedback from Involved People for both events. Plans for IPG meetings in the North and Borders and a Young Peoples event are underway.

A new Involvement Coordinator for the North has been appointed. We recruited 4 new Lay Assessors who all successfully completed the recruitment, training and shadow process.

In quarter 3 alone, Lay Assessors were involved in 142 inspections, speaking with 1049 people who use a service and 338 family carers and friends.

Between 1 April and 31 December 2012, lay assessors were involved in 327 inspections (5.6% of all inspections), an increase of 116 (55%) compared to the same period last year when lay assessors were involved

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in 211 inspections (4% of all inspections).

Involvement Charter posters have been distributed to all offices. A single recruitment process and experience audit has been established for all involved people. Involved People supported recent assessment centres for Head of Service posts, attended the strategic Board event in December and Young Inspectors have been active in strategic inspections in Edinburgh and Orkney.

3.2 National Enquiry Line

The National Enquiry Line received 5711 calls over the months of October, November and December 2012.

A quarter of calls received (1411 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 3
Complaints/Concerns	1067
Registrations	1046
E-forms/website	723
Registered services	550
All other enquiries	2325
Total	5711

Calls in the category 'other enquiries' included; requests for staff and office details, finance, Information Governance, publications, disclosure enquiries, SSSC and qualifications, National Care Standards, services in England, contact details for services, necessary insurances or callers looking for other organisations.

3.3 Grading

Overall, 4.8% of graded care services have grades of 3 or less for all quality themes assessed by 31 December 2012. This is a 1.2% increase compared to 3.6% of graded services at 31 December 2011. 77% of these services are services in the private sector. 13% are voluntary or not for profit services and 9% 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.

56% of all care services graded at 31 December 2012 received a grade 5 or 6 for Involving People quality statements, which 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 December 2011.

Most of the remainder had a mix of grading levels for involving people statements, with only 35 services (less than 1%) having all statements graded at 1 and 2. This is slightly higher than the 23 services with all involving people statements graded at 1 or 2 at 31 December 2011.

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:

Care Service	All Involving People statements graded 3 or less	
	Number of services	% of graded services
Adoption Service	7	17.9%
Adult Placement Service	5	17.2%
Care Home Service	235	16.0%
Child Care Agency	3	13.0%
Child Minding	320	6.7%
Day Care of Children	268	8.2%
Fostering Service	5	8.8%
Housing Support Service	105	10.5%
Nurse Agency	2	5.4%
Offender Accommodation Service	1	11.1%
School Care Accommodation Service	6	10.7%
Secure Accommodation Service	0	0.0%
Support Service	129	10.3%
All Service types	1086	9.1%

Service Type	All Involving People statements graded 3 or less	
	Number of services	% of graded services
Health Board	4	13.8%
Local Authority	201	8.7%
Private	690	9.8%
Voluntary or Not for Profit	191	7.4%
All Sectors	1086	9.1%

A breakdown of grading by theme at 31 December 2012 and care service is presented in the following tables:

Quality of Care and Support	Grade		
	1 or 2	3 or 4	5 or 6
Care Service			
Adoption Service	0.0%	35.9%	64.1%
Adult Placement Service	0.0%	34.3%	65.7%
Care Home Service	5.9%	47.8%	46.3%
Child Care Agency	0.0%	48.4%	51.6%
Child Minding	0.5%	29.3%	70.3%
Day Care of Children	1.2%	32.8%	66.0%
Fostering Service	1.7%	33.3%	65.0%
Housing Support Service	2.3%	34.6%	63.1%
Nurse Agency	0.0%	46.2%	53.8%
Offender Accommodation Service	0.0%	22.2%	77.8%
School Care Accommodation Service	4.6%	35.4%	60.0%
Secure Accommodation Service	0.0%	33.3%	66.7%
Support Service	2.2%	35.4%	62.4%
All Care Service types	1.6%	33.5%	64.8%

Quality of Environment	Grade		
	1 or 2	3 or 4	5 or 6
Care Service			
Care Home Service	5.0%	51.4%	43.6%
Child Minding	0.4%	41.9%	57.7%
Day Care of Children	1.4%	45.7%	52.9%
Housing Support Service	0.0%	50.0%	50.0%
Offender Accommodation Service	0.0%	42.9%	57.1%
School Care Accommodation Service	1.5%	43.1%	55.4%
Secure Accommodation Service	16.7%	33.3%	50.0%
Support Service	1.0%	49.6%	49.4%
All Care Service types	1.4%	44.8%	53.8%

Quality of Staffing	Grade		
	1 or 2	3 or 4	5 or 6
Care Service			
Adoption Service	0.0%	59.0%	41.0%
Adult Placement Service	0.0%	47.1%	52.9%
Care Home Service	4.1%	51.8%	44.1%
Child Care Agency	0.0%	48.4%	51.6%
Child Minding	4.4%	36.3%	59.3%
Day Care of Children	1.4%	48.4%	50.2%
Fostering Service	0.0%	38.3%	61.7%
Housing Support Service	1.9%	47.2%	50.9%
Nurse Agency	2.5%	45.0%	52.5%
Offender Accommodation Service	0.0%	44.4%	55.6%
School Care Accommodation Service	1.5%	38.5%	60.0%
Secure Accommodation Service	0.0%	33.3%	66.7%
Support Service	2.0%	46.5%	51.5%
All Care Service types	3.0%	43.4%	53.6%

Quality of Management & Leadership	Grade		
	1 or 2	3 or 4	5 or 6
Care Service			
Adoption Service	2.6%	53.8%	43.6%
Adult Placement Service	0.0%	54.3%	45.7%
Care Home Service	5.5%	57.2%	37.4%
Child Care Agency	3.2%	54.8%	41.9%
Day Care of Children	3.3%	49.8%	46.8%
Fostering Service	0.0%	53.3%	46.7%
Housing Support Service	2.4%	49.6%	47.9%
Nurse Agency	0.0%	56.8%	43.2%
Offender Accommodation Service	0.0%	55.6%	44.4%
School Care Accommodation Service	6.2%	35.4%	58.5%
Secure Accommodation Service	0.0%	50.0%	50.0%
Support Service	2.9%	52.5%	44.6%
All Care Service types	3.5%	51.7%	44.8%

Across most service types and sectors, distribution of grading has remained fairly steady in the last 12 months, with a few exceptions;

- For all service types and sectors, in each of the Quality of Environment, Quality of Staffing and Quality of Management and Leadership themes, there is a 2% increase in the number of services with grades 5 or 6 compared to the same time last year.
- In contrast to this, services with grades 5 or 6 for the Quality of Care and Support theme has decreased by 1.3%.

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- In the voluntary sector overall, there are small increases (between 1.5 and 3.5%, depending on quality theme) in the number of services with grades 5 or 6.
- In Care Home services across all sectors, there has been a decrease in the number of services with grades 1 or 2 and in those with grades 5 or 6 for the Quality of Care & Support theme. Private Care Home services have the largest decrease in percentage of services with grades 5 or 6, at almost 6%.
- In Local Authority operated Care Home services, there has been an almost 7% increase in services with grades 5 or 6 for the Quality of Staffing theme.

3.4 Satisfaction with care services

The Care Standards Questionnaires are completed by people who use services and their relatives and carers. We analysed questionnaires from 1858 services in Q1 to Q3. In 92% of care services, 90% or more respondents were satisfied or very satisfied with the overall quality of the service. 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.

3.5 Publication of inspection reports

Of the 5387 draft care service inspection reports issued between 1 April and 31 December 2012, 86% were issued within 20 working days, the same percentage in Q1 to Q3 2011/12, and exceeding our 80% target. The remaining 14% of draft care service inspection reports not issued within timescale were due to protracted negotiation with providers and staff absences.

A total of 4382 care service inspection reports were finalised between 1 April and 31 December 2012. 96% of final inspection reports were published within 13 weeks (slight improvement on the 95% published Q1 to Q3 2011/12), exceeding our target of 80%. The additional 4% were delays due to awaiting provider feedback and staff absences.

Between 1 April and 31 December 2012, scrutiny reports were published for eight Local Authorities. Five of these were published within the prescribed timescales. One report was 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.

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3.6 New Publications

16 new documents were published in Q3:

Printed and Published Electronically

- Care News – Issue 4
- Connect Magazine - Issue 4
- Preventing infection in care leaflet
- Unhappy about a care service

Published Electronically only

- Board meeting papers
- Aberdeen City Council Scrutiny Report
- West Dunbartonshire Scrutiny Report
- Annual Returns information
- Tips and advice on how to get the best of; Preventing Infection in Care
- Emergency relaxation of condition of numbers: Residential care homes for children for children and young people
- Childminder registration pack documents
- Interim policy on peripatetic managers in daycare of children services
- Policy on dispersed services and peripatetic managers
- South Ayrshire Council Scrutiny report
- Childcare statistics 2011
- Childcare statistics 2010: Results from feedback survey

Surveys (internal and external)

We sent out the following internal and external surveys during Q3:

- 'How well are we improving the lives of children and young people? A guide to evaluating services using quality indicators' External consultation (Consultation still running)
- Induction Programme Evaluation – Internal only (24 responses)
- Online Policy Research Hub – External (105 responses)
- Online Policy Research Hub – Internal (106 responses)
- Proposed organisation structure – Internal and External (106 responses)
- Health and Wellbeing survey – Internal (320 responses)
- Environment policy EIA – Internal and External (45 responses)
- CSQ Development survey – Internal (46 responses)
- Staff conference survey – Internal (300 responses)

3.7 Translations/Alternative formats

34 Translations and alternative formats were issued in Q3, in the following categories;

- Application to register a care service
- CSQ - Daycare of Children
- CSQ comments translated into English
- Inspection reports
- Registration Certificate
- Unhappy about a care service leaflet

Into the following languages/formats;

Arabic, Audio, Cantonese, Czech, Easy Read, Hindi, Lithuanian, Polish, Portuguese, Punjabi, Swahili, Urdu, English from Mandarin, English from Urdu.

3.8 Policy Analysis

Plans to develop an online policy/ research hub are progressing. Online surveys – both internal and external – were undertaken for a month over December/January. Information gained from these will be used by our web developers to inform the build of the site and by the Policy Analysts to inform content.

Discussions are also ongoing with Social Services Knowledge Scotland (SSKS) around possibilities for joint working. The hub is due to be built by end of March, with a launch date of summer.

CELCIS have been commissioned to undertake research on child sexual exploitation, particularly as it relates to children and young people in care. This research will be delivered by end of March. The Policy Analysts are coordinating this, working with colleagues from across the organisation. This important piece of work will inform a multi-agency project in focussing on mental health, resilience, addiction and exploitation for children and young people aged 13 to 25.

We will also be supporting colleagues in responding to the new Scottish Government consultation on redesigning the community justice system. This consultation opened in December and will run until 30 April.

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3.9 Events

We exhibited at the following conferences in Quarter 3

- SPPA Annual Conference
- Children in Scotland Annual Conference
- Scottish Older People's Assembly
- Older People – The future of care in Scotland
- Scottish Care Conference and AGM
- CCPS Annual Conference

Improving children's services – Care Inspectorate Consultation Events

The Communications Team delivered the planning, coordination, content and materials for the stakeholder consultation events on joint inspection of services for children and young people held in October and November 2012. This included:

- coordination and planning of the event
- Audio Visual support
- briefing and assisting the speakers before and during the conference
- working with speakers to produce content, including run-throughs and visual presentations
- designing and producing the consultation documents, programme and event evaluation.

3.10 Health Team Activity

- Make Every Moment Count - Collaborative piece of work to support everyone involved in any care setting to see activity as something you do from the moment you wake up till the moment you go to bed at night. To be launched 19th Feb by Michael Matheson the Minister for Public Health and issued to all care homes across Scotland for older people.
- Falls resource pack and DVD for care homes for older people - implementation continuing with support from local health and social care areas. Some good examples of the change fund being used to employ support staff to do this work with positive effect.
- Allied Health Professionals student practice placements in care homes for older people. A new development is physio placements with a very positive outcome for residents, staff and students - 3 completed and 1 out on placement at the moment. The work is ongoing with OT and diagnostic radiography with a pilot of 1st year radiography students taking place early 2013 in Aberdeen.

- Go For Gold - active ageing work across Scotland. This work is progressing and now sits within some of the key strategic documents nationally. Events planned for summer this year and work progressing with the Scottish network to engage more care services. Very positive outcomes from last year's work with many areas having events and involving communities and other partners.
- Development of norovirus advice for staff with Health & Safety and HR.
- Winter preparedness messaging: Partnership working with the Scottish Government and Health Protection Scotland in raising awareness of norovirus i.e. review of our top tips; frequent New Today updates for CI staff and service providers; local media messaging with press release through Holyrood PR.
- Senior Professional Advisor and Professional Advisor Health presented to Stirling University students, on the role of the Care Inspectorate / regulation/ student placement expectations and where they fit on the wider public protection agenda. This was arranged through contacts within the CHEF's network (care home education facilitators). Invited to a future meeting of curriculum planning to discuss the role of CI / Student placement's in care homes and setting up a communications network.
- Development - Work is progressing on guidance for choking for babies and children. Consultation with the National Day Nurseries Association and the Scottish Childminding Association has taken place and once finalised this publication will be endorsed by both organisations alongside the Care Inspectorate.

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 Q3 progress and main achievements

4.1 Joint Inspections of Services for Children

The draft Self-Evaluation Framework of Quality Indicators 'How well are we improving the lives of children, young people and families?' was launched on 24 October at 3 National Events in Edinburgh, Aberdeen and Glasgow attended by over 250 representatives of Community Planning Partnerships and strategic planning officers, scrutiny partners and key stakeholders. The audience also received a presentation on the inspection model for the pilot phase of the joint inspections. The framework document is subject to a 3 month consultation period until 31

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January 2013 after which a report on the key messages from the consultation responses and a finalised version will be published.

The first pilot inspections were announced in September 2012 on schedule. These pilots are taking place in Orkney and Edinburgh and due to complete in February 2013.

A further 2 pilot inspections were announced in November giving 12 weeks notice to North Ayrshire and Argyll and Bute community planning partners and briefings underway.

The pilots are successfully resourced as multi-disciplinary teams with contributions from Education Scotland and Healthcare Improvement Scotland. The first 2 pilots have successfully included young inspectors in the inspection team, HIS has recruited 16 Associates specifically for these joint inspections and a successful induction event was hosted by HIS and the Care Inspectorate on 8 Jan 2013.

A staff development day was held on 10 January with over 60 staff participating from the Care Inspectorate, Education Scotland, HIS and HMICS. This included all staff contributing to the pilot inspections.

A review of the early phases of the inspections has resulted in a decision to reduce the 'foot print' of the inspection saving 21 inspection days for each inspection, further review and evaluation is planned to reduce the resource investment further. The reduced foot print has been derived as a result of a focus on efficiency savings and more effective ways of working. Key efficiency gains have been made through the introduction of an electronic case file reading tool to gather evidence and through more effective gathering and sharing of information and intelligence to identify risk within the Care Inspectorate and with scrutiny partner bodies.

The Steering Group for children's services met in December to devise an updated work plan to ensure the successful delivery of the inspection programme beyond March 2013 and plans to continue to meet monthly until September 2013.

The plan for 6 joint inspections in 2013/14 is at an advanced stage of development through the work of the Inspection Planning Team.

4.2 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.

Work on developing the Care Inspectorate's Inspection Plan for 2013/14 is at an advanced stage and proposals were discussed at the board

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development days in December. Following this, a report outlining these proposals was presented to the Strategy and Performance Committee on 21 December 2012, the Resources Committee on 11 January 2013 and ratified by the full board on 18 January 2013. A summary inspection plan has now been submitted to ministers.

The Inspection Planning Coordination Team has been working closely with the Internal Stakeholders Reference Group (ISRG) to develop inspection planning guidance. The team have also delivered presentations on the revised approach to inspection planning to each of the 4 area management teams which have been well received.

Four regional staff events have been planned to take place between 29 January and 7 February 2013 to provide staff with an opportunity to learn more about the revised approach to inspection planning and how that will be implemented from 1 April 2013.

The task of identifying the new the inspection teams as part of the organisational restructuring and the staff who will be deployed to these is nearing completion and it is anticipated that staff will be informed of this before the end of January 2013. The next step will be to identify team leaders.

Work is ongoing to develop individual inspection plans for those inspectors who will be involved carrying inspections of regulated services in the coming year and to schedule the joint inspections of children's services and care and health for adults.

4.3 Public reporting

- During Q3 we received 75 Freedom of Information requests. At 31 December there were 13 requests still in progress (but within target timescale). Of the 62 responded to all were completed within the statutory time period of 20 working days.
- We received 40 Data Protection requests in Q3, and responded to 29 of these within the 40 day deadline. 11 requests are in progress as we are awaiting identification or clarification on information being sought.
- We received 22 Parliamentary Questions in Q3 and all 22 were responded to.

4.4 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.

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In Q1 to Q3 2012/13, 92% of staff and 86% of service users told us they think that the quality of their care service will improve following the inspection. This is similar to the situation at the same point last year, when 94% of staff and 84% of service users thought that their services would improve following the inspection.

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.

4.5 Involvement of people who use services and carers

414 out of 5868 (7.1%) care service inspections involved one or more lay assessors during Q1 to Q3 2012/13. This is an increase compared to the 4% of inspections involving lay assessors in the same period of 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. During every ISLA, service users and carers are consulted and are also part of the ISLA inspection teams.

4.6 Variance from planned budget

For the period between 1 April and 31 December 2012, there was less than 1% variance (0.38%) from the planned budget. December budget monitoring projections show that £131k is available to fund Alternative Expenditure Proposals submitted by budget managers. This is 0.38% of the agreed budget.

Further projects with an estimated cost of £167k have been identified and will be considered and prioritised for approval by ET to address the projected underspend.

4.7 Absence reporting

For the period between 1 April and 31 December 2012 the overall percentage of sickness absence was 5.5%, 2.2% was short term sickness and 3.3% was long term sickness. This is higher than the 4.8% sickness absence (2.5% long term and 2.3% 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.

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4.8 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 Q3 2012/13
Unless otherwise indicated, all figures are cumulative totals for the year

Key Performance Indicator 2012/13	Target	Q2 2012/13	Q3 2012/13	Q3 2011/12	Notes																								
KPI 1: % of regulated care services with grades of 3 or less for every graded quality theme	To be established	4.5%	4.8%	3.6%	Of 7703 registered and graded care services (other than childminders) 404 services (5.2%) have grades of 3 or less for all quality themes. Of 5370 registered and graded childminders 223 services (4.2%) 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	3395 care service inspections completed (87% of target)	5659 care service inspections completed (91% of target to date, 64% of annual target)	5395 care service inspections completed (93% of target)	<table border="1"> <thead> <tr> <th></th> <th>Inspections completed</th> <th>Target for Q1 to Q3</th> <th>% target to date</th> </tr> </thead> <tbody> <tr> <td>Central & West</td> <td>1466</td> <td>1545</td> <td>95%</td> </tr> <tr> <td>East</td> <td>1818</td> <td>1982</td> <td>92%</td> </tr> <tr> <td>North</td> <td>1233</td> <td>1423</td> <td>87%</td> </tr> <tr> <td>South</td> <td>1124</td> <td>1241</td> <td>91%</td> </tr> <tr> <td>All Areas</td> <td>5659</td> <td>6200</td> <td>91%</td> </tr> </tbody> </table>		Inspections completed	Target for Q1 to Q3	% target to date	Central & West	1466	1545	95%	East	1818	1982	92%	North	1233	1423	87%	South	1124	1241	91%	All Areas	5659	6200	91%
	Inspections completed	Target for Q1 to Q3	% target to date																										
Central & West	1466	1545	95%																										
East	1818	1982	92%																										
North	1233	1423	87%																										
South	1124	1241	91%																										
All Areas	5659	6200	91%																										

Key Performance Indicator 2012/13	Target	Q2 2012/13	Q3 2012/13	Q3 2011/12	Notes
		Five Local Authority Scrutiny Inspections completed	Five Local Authority Scrutiny Inspections completed	13 Local Authority Scrutiny Inspections completed Nine CP2 inspections completed	In addition to the number of planned care service inspections we carried out an additional 119 unplanned inspections and 90 inspections for services that have since cancelled or became 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		0.9% (31 additional inspections)	2.0% (119 additional inspections)	3.0% (163 additional inspections)	119 inspections of the total 5868 inspections completed were unplanned additional inspections

Key Performance Indicator 2012/13	Target	Q2 2012/13	Q3 2012/13	Q3 2011/12	Notes															
KPI 4: % of unannounced inspections as % of inspections completed		64% (2187 inspections)	67% (3777 inspections)	66% (3564 inspections)	<table border="1"> <thead> <tr> <th></th> <th>Number of inspections</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>Unannounced</td> <td>3777</td> <td>67%</td> </tr> <tr> <td>Announced (short notice)</td> <td>1685</td> <td>30%</td> </tr> <tr> <td>Announced</td> <td>197</td> <td>3%</td> </tr> <tr> <td>Total</td> <td>5659</td> <td>100%</td> </tr> </tbody> </table>		Number of inspections	%	Unannounced	3777	67%	Announced (short notice)	1685	30%	Announced	197	3%	Total	5659	100%
	Number of inspections	%																		
Unannounced	3777	67%																		
Announced (short notice)	1685	30%																		
Announced	197	3%																		
Total	5659	100%																		
KPI 5: % of requirements in 2011/12 that were met in 2012/13	Monitor trend				Update in Quarter 4															
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)																

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Key Performance Indicator 2012/13	Target	Q2 2012/13	<u>Q3 2012/13</u>	Q3 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 = 1086)	92% (n = 1858)	94% (n=1208)	In Q1 to Q3, 92% 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	Q2 2012/13	Q3 2012/13	Q3 2011/12	Notes														
<p>KPI 9: % of services with 5/6 grades for involving people quality statements</p>	Monitor trend	53% over all themes	56% over all themes	52% 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>68%</td> </tr> <tr> <td>Environment</td> <td>63%</td> </tr> <tr> <td>Staffing</td> <td>60%</td> </tr> <tr> <td>Management & Leadership</td> <td>55%</td> </tr> <tr> <td>Information</td> <td>40%</td> </tr> <tr> <td>Over all themes</td> <td>56%</td> </tr> </table>	KPI 9: % of services that received a 5 or 6 grade for quality statement Involving People		Care & Support	68%	Environment	63%	Staffing	60%	Management & Leadership	55%	Information	40%	Over all themes	56%
KPI 9: % of services that received a 5 or 6 grade for quality statement Involving People																			
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Over all themes	56%																		
<p>KPI 10: % of child protection and local authority reports that identify positive multi-agency working</p>				New KPI															

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Key Performance Indicator 2012/13	Target	Q2 2012/13	Q3 2012/13	Q3 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%</p> <p>13 weeks for care services, 14 weeks for CP2 inspections</p>	<p>Draft care service inspection reports (20 days):85%</p> <p>Final care service inspection reports (13 weeks): 96%</p> <p>Final CP2 inspection reports (14 weeks): 100%</p> <p>5 Local Authority scrutiny reports published in Q1 and Q2, 3 of these published with a delay</p>	<p>Draft care service inspection reports (20 days):86%</p> <p>Final care service inspection reports (13 weeks): 96%</p> <p>Final CP2 inspection reports (14 weeks): 100%</p> <p>8 Local Authority scrutiny reports published in Q1 to Q3, 3 of these published with a delay</p>	<p>Draft care service inspection reports (20 days):86%</p> <p>Final care service inspection reports (13 weeks): 95%</p> <p>Final CP2 inspection reports (14 weeks): 100%</p> <p>Local Authority scrutiny reports: 100%</p>	<p>5387 draft care service inspection reports issued</p> <p>4569 final care service inspection reports published</p>

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Key Performance Indicator 2012/13	Target	Q2 2012/13	Q3 2012/13	Q3 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 = 287) Service users 81% (n = 96)	Staff 92% (n = 526) Service users 86% (n = 177)	Staff 94% (n = 611) Service users 84% (n = 205)	This information only covers care service inspections
KPI 13: % of inspections/scrutiny sessions that involve people who use services and their carers		185 care service inspections (5.4%) involved Lay Assessors 100% of scrutiny sessions involved people and their carers.	327 care service inspections (5.6%) involved Lay Assessors 100% of scrutiny sessions involved people and their carers.	211 care service inspections (4.0%) involved Lay Assessors 100% of scrutiny sessions involved people and their carers.	

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Key Performance Indicator 2012/13	Target	Q2 2012/13	Q3 2012/13	Q3 2011/12	Notes
KPI 14: % of staff sickness absence	To be established	4.7%	5.5%	4.3%	2.2% was short term absence and 3.3% 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.
KPI 16: % of variance from planned budget	+/- 2%	-1.97% (underspend)	0.0%	Refer to the Resources Committee report	

Key Performance Indicator 2012/13	Target	Q2 2012/13	Q3 2012/13	Q3 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>CM registered within 3 months: 91% (n= 374)</p> <p>Other services registered within 3 months: 96% (n= 133)</p>	<p>Complaints acknowledged in 3 days: 98% (n = 972)</p> <p>complaints completed within 28 days*: 99.8% (n = 896)</p> <p>complaints completed within 20 days*: 98% (n = 171)</p> <p>CM registered within 3 months: 91% (n= 530)</p> <p>Other services registered within 3 months: 94% (n= 195)</p>	<p>Complaints acknowledged in 3 days: 96% (n = 823)</p> <p>complaints completed within 28 days: 99% (n = 1157)</p> <p>CM registered within 3 months: 85% (n= 506)</p> <p>Other services registered within 3 months: 88% (n= 355)</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>

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Key Performance Indicator 2012/13	Target	Q2 2012/13	<u>Q3 2012/13</u>	Q3 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>Will be reported in Quarter 4</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.