



# Reviewing the quality of integrated health and social care, social work, early learning and childcare, and criminal justice social work in Scotland

Scrutiny and Improvement Plan 2016/17

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## **1.0 INTRODUCTION**

Each year, in accordance with Section 54 of the Public Services Reform (Scotland) Act 2010, Social Care and Social Work Improvement Scotland (the Care Inspectorate) must prepare a plan for carrying out inspections in line with best regulatory practice and the agreed budget. The plan must set out arrangements for inspections to be carried out (including inspections of those services subject to self-evaluation (S.54 (2) (a)). It may make different provision for different purposes (S. 54(2) (b)). In preparing the plan, the Care Inspectorate must have regard to any guidance issued by Scottish Ministers. The plan must be kept under review and may, from time to time be revised, to reflect risk. The plan should be subject to appropriate consultation and agreement by Scottish Ministers.

### **1.1 Scotland's National Performance Framework and the 15 National Outcomes**

The Care Inspectorate's work stretches across areas such as health and social care integration, social work, public protection, early learning and childcare, criminal justice social work, youth justice, community justice, and public service reform. We regulate some 14,000 care services and provide strategic scrutiny to every local authority and integrated joint board in Scotland.

Reviewing the quality of care, social work and criminal justice social work in Scotland directly supports fourteen of the fifteen National Outcomes set by the Scottish Government. High-quality regulation and effective scrutiny can support improvement and help us to ensure that:

- we live our lives safe from crime, disorder and danger
- we realise our full economic potential with more and better employment opportunities for our people
- we live in well-designed, sustainable places where we are able to access the amenities and services we need
- we are better educated, more skilled and more successful, renowned for our research and innovation
- we have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect others
- we live in a Scotland that is the most attractive place for doing business in Europe
- our young people are successful learners, confident individuals, effective contributors and responsible citizens
- we value and enjoy our built and natural environment and protect it and enhance it for future generations
- our children have the best start in life and are ready to succeed
- we take pride in a strong, fair and inclusive national identity
- we live longer, healthier lives

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- we have tackled the significant inequalities in Scottish society
- our public services are high quality, continually improving, efficient and responsive to local people's needs
- we have improved the life chances for children, young people and families at risk.

## 1.2 A new approach

The Care Inspectorate is committed to ensuring its work aligns to the 2007 Crerar review, which urged scrutiny bodies to ensure activities are targeted, proportionate, intelligence-led and risk-based.

The Scrutiny and Improvement Plan for 2016/17 takes an approach which is developed from, but different to, previous inspection plans. While retaining a focus on providing assurance and protection for care services, and supporting improvement, it signals a move towards more outcomes-focused, improvement-based and risk and intelligence-led work, for all inspections, including those for which we have a minimum statutory requirement to undertake. It also reflects additional requests from Scottish Government policy teams, as well as joined up scrutiny with other partners under the Duty of Co-operation, outlined in Section 114 of the Public Services Reform (Scotland) Act 2010.

The approach taken in this Plan takes into account discussions with staff and extensive involvement with Scottish Government policy colleagues and extensive discussion with the Care Inspectorate Board, through a development event held on 30 October 2015, prior to formal Board approval.

The Board noted the implications of both forthcoming legislative and policy changes which will impact on the work of the Care Inspectorate in the coming year. As well as this, the Board noted the significant volume of additional requests received from Scottish Government colleagues to support the achievement of national priorities within a context of ever finite resources.

Previous plans focused their proposals on a specific number of inspections to be undertaken by service type, within a rigid frequency framework. Our Scrutiny and Improvement Plan for 2016/17 sets out a broader approach which will support an expanded range of work which impacts positively on people who use care services and their carers, ensuring that we are responsive to their needs and aspirations. The Care Inspectorate will continue to deliver rigorous, robust scrutiny activity whilst adhering to our duty to support continuous improvement in services where this is required.

This renewed approach to our plan for 2016/17 will enable the Care Inspectorate to not only deliver on its Corporate Plan 2014 – 2018, but also to better tell the story of what we do to ensure the protection of people who use care services in Scotland and also provide ongoing public assurance about the

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quality of care in Scotland while also focussing on outcomes for people.

## 2.0 OUR ONGOING ROLE AND FUNCTION

Since 2011, the Care Inspectorate has provided protection and assurance regarding the quality of care services that are delivered in the context of public spending challenges, increasing public expectations and reforms in public sector service delivery. Against this backdrop, care services' performance has increased with 84% of services achieving grades of 'good' or better in 2010 and this figure increasing to 88% in 2014/15.

During the past year, the Care Inspectorate has continued to deliver inspections of regulated care services in accordance with the statutory minimum frequency and those identified in the inspection plan 2015/16 agreed by Scottish Ministers.

In all our work, we are advised by our lay Involving People Group, who discuss our policies, approaches, and take part in our scrutiny activities as inspection volunteers. We will expand the number of involved people who take part in scrutiny work including young people with care experience and, for the first time, people with a diagnosis of dementia.

Working with Healthcare Improvement Scotland, we have continued to develop a model for the joint inspection of integrated health and social care for adults.

In the past year, we have continued to work closely with our scrutiny partners, not just in the delivery of more integrated models of strategic inspection, but also in the delivery of regulated care service inspections for children and early years services, for example, with Education Scotland.

We will continue to find ways of ensuring that our regulated care service inspections inform our strategic scrutiny, and vice-versa.

We continue to work closely with other organisations to share information and intelligence, assessment of which helps plan our inspection programmes. The Care Inspectorate continues to work closely with the Strategic Scrutiny Group, led by Audit Scotland, to develop and deliver the annual national scrutiny plan for Scotland. Cognisance is taken of the work undertaken by local area networks (LANs) which involve our staff, and the shared risk assessments for each community planning partnership area.

We have continued to develop our inspection planning which provides scrutiny partners and ourselves with a single point of contact to identify risks, share information and plan and coordinate inspections better, particularly those which are carried out under a duty of cooperation.

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## 2.1 Achievements from the Scrutiny and Improvement Plan 2015/16 to date

We will report on our activities during 2014/15 through our annual report and accounts which will be laid before the Scottish Parliament, but significant work has been undertaken. Throughout 2015/16, we have inspected registered services as per our statutory requirement and to our current frequency framework and have also introduced a programme to support a new methodology which has included tests of change to support improvement in care services and our way of working.

We have progressed our joint strategic inspections of services for adults and for children, including publishing progress reviews following supportive interventions, where areas for development had been previously identified. We continue to review the deaths of looked after children, criminal justice serious case reviews and have embarked on reviewing initial case reviews and significant case reviews.

We have published a major thematic review of the Multi Agency Public Protection Arrangements (MAPPA) with HMICS. We have assisted in inspections of prisons with HMIP. We continue to review Criminal Justice Serious Incident Reviews, and published a biennial report on them.

We will also undertake a full-cost recovery follow-through Joint Strategic Inspection of Children's Services in the Isle of Man in March 2016, following a previous commissioned piece of work in 2013/14.

## 3.0 FACTORS IMPACTING ON THE SCRUTINY AND IMPROVEMENT PLAN 2016/17

The Care Inspectorate's Scrutiny and Improvement Plan 2016/17 must be flexible and responsive to the changing scrutiny and improvement landscape, as well as taking account of financial circumstances. As well as the Scottish Regulators' Strategic Code, the following legislative and policy contexts will impact on our role.

### 3.1 Legislative and policy contexts

#### *Integrating Health and Social Care*

The Public Bodies (Joint Working) (Scotland) Act 2014 changes the ways in which health and social care partnerships will work for the public to deliver agreed national outcomes and services across their areas. The Care Inspectorate continues to inspect the strategic provision of health and social care services for adults with our partners in Healthcare Improvement Scotland to provide independent assurance on the quality of care received by service users, the protection of vulnerable people, and to support improvement. We will also jointly progress our new statutory responsibility to inspect the planning,

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organisation and co-ordination of integrated services and our role in scrutinising strategic commissioning by integration authorities.

*More support for children and young people*

The Children and Young People (Scotland) Act 2014 enshrined phased additional responsibilities on local authorities and community planning partnerships, beginning in August 2014 with an increase in free early learning and childcare; a legislative process for identifying wellbeing indicators and undertaking integrated children's planning; with additional responsibilities being enacted in 2015, including extending the support available for young people up to the age of 26 through expanded provision for care leavers and the introduction of a new category of "continuing care" to support young people aged 16 -21 to remain in a stable care environment. The Act also imposed a number of specific duties on the Care Inspectorate, including reporting on its responsibilities within the United Nations Convention on the Rights of the Child; and our responsibilities as a Corporate Parent.

All of this directly impacts on the registration and scrutiny and improvement of regulated care services for children and young people, as well as our strategic joint inspections and specific work undertaken by our strategic inspectors. Working together with relevant partners such as Education Scotland, we have responded to these changes and continued to provide assurance on the quality of care for children and young people.

*National Care Standards*

The Care Inspectorate co-chairs, with Healthcare Improvement Scotland, the national working group reviewing and developing the new National Care Standards. The consultation on the overarching principles has recently been published. We have seconded a Head of Inspection to be Lead Officer from the Care Inspectorate to take forward this work with our partners in Healthcare Improvement Scotland. He will be supported within the Care Inspectorate by a development officer and a project officer (part time secondment).

As the overarching principles are consulted on, developed and agreed, we will continue to support this development and review our registration, scrutiny and improvement activities in line with the new nationally agreed standards when they are rolled out from April 2017. This is a critical development in allowing the Care Inspectorate to develop a new inspection methodology which is outcome-based, supports improvement, and provides public protection and assurance.

*More focus on and support for carers*

The Carers Bill was introduced in March 2015 by the Cabinet Secretary for Health, Wellbeing and Sport. It sets out to make provision about carers, including the identification of carers' needs for support through adult carer

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support plans and young carer statements; the provision of support to carers; the enabling of carer involvement in certain services; the preparation of local carer strategies; and the establishment of information and advice services for carers. We will continue to monitor the development of this Bill and its enactment into legislation, reviewing with Scottish Government any associated changes, responsibilities and resource requirements we may have as a result.

### **3.2 Our changing context and resources**

The Care Inspectorate's work in 2016/17 will continue during a period of further potential change, as clarity emerges over future public sector finances and spending plans, developing policy across a range of topics, and the May 2016 Scottish Parliamentary elections. Throughout this, the Care Inspectorate must continue to meet its statutory duties to assure and protect people who use care services of a high quality and standard of care across Scotland, and to do so in a way which is responsive to any emerging policy development.

### **4.0 DEVELOPING OUR METHODOLOGY**

We will continue to build on the changes introduced through our Review of Scrutiny and Improvement, focusing on our methodologies for inspection, strategic inspection, complaints and registration. Changes which came into effect in April 2015 will continue, and tests of change introduced during that year will be developed and mainstreamed, pending evaluation. These changes are aimed at moving from a compliance model to a collaborative model of inspection which supports improvement but remains rigorous and capable of protecting vulnerable people when necessary.

We will:

- continue with a revised approach to making requirements, award grades, and use information from providers' self assessments
- evaluate the test of change thematic inspections in services for those with a learning disability
- continue to test our approach of follow-up inspections where poor performance is identified
- continue to test our approach of validation inspections in some highly performing services
- continue to test and evaluate focused inspection in Early Years' services around the wellbeing indicators

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- continue to test new, proportionate and efficient ways of responding to complaints, ensuring there is a good link between complaint and inspection activity.
- ensure our registration process and practice is efficient and supportive of innovative types of services.

We will review our approach to the use of quality themes and statements, ensuring that our approach to inspection and inspection intensity is targeted against known or possible risk. Our approach will be to increase intensity in poorly performing or risky services, and maintain a proportionate approach in services we believe to be performing well.

We will continue to work together with a range of agencies to share information and develop collaborative approaches to scrutiny and improvement.

#### 4.1 Supporting improvement

Developments in our methodology are also designed to support improvement in the quality of care. A new Improvement Strategy will set out the strategic principles of how we will support improvement in the care sector in Scotland, what the boundaries and focus of our role should be, and how we will do this in partnership with other scrutiny and improvement partners, the sector, and people who use services and their carers. This approach will support the Scottish Regulators' Strategic Code.

Our scrutiny and improvement activity will increasingly reflect the shift towards even greater integration of health and social care services, further implementation of self-directed support across children's and adults' services and a greater focus on improving outcomes for services users.

#### 5.0 THE CARE INSPECTORATE'S RESOURCES AND CAPACITY

It is critical that, in preparing a balanced budget and managing the efficiencies needed to meet the public sector financial arrangements, we do not compromise on the public protection and public assurance our scrutiny and improvement work provides. At the same time, we want to increase transparency and openness about our performance as a public body in receipt of significant resources from the public sector. We will review our Key Performance Indicators and Quality Indicators to ensure we are accountable for all the work that we do, not just reporting on the number of inspections completed.

We continue to review, on an annual basis, our workforce planning assumptions for regulated care services, to take account of new and emerging scrutiny and improvement methodologies to ensure that we continue to make

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the best use of our resources and maximise the impact we make on improving services.

Leading up to and during 2016/17, we will reassess how we plan inspections across inspector caseloads, maintaining the approach to specialist teams so inspectors are, in so far as possible, working with services in which they have a practice background. This approach will enable inspectors to make professional judgements about appropriate and risk-based scrutiny of the care services on their caseload.

## **6.0 INTELLIGENCE-LED AND RISK-BASED APPROACHES TO SCRUTINY AND IMPROVEMENT**

During 2016/17, we anticipate and have planned for undertaking around 12,000 – 14,000 scrutiny and improvement interventions. These will comprise statutory inspections, inspections in services not subject to a statutory minimum inspection frequency, follow-up inspections, strategic inspections, link inspector activities, complaint activity, registration activity, variation activity, and improvement interventions where the scrutiny suggests this is necessary. These will be prioritised within broad frequency guidelines, based on risk, intelligence and service type. These broad frequency guidelines are set out in the appendix.

The Care Inspectorate, as directed by Scottish Government, is required to undertake, as a minimum, a unannounced inspection each twelve months of all registered services in the following 3 categories of service:

- Care homes
- Support services – care at home
- Secure accommodation.

Some of these care services are highly performing services with grades of 'very good' or better in all four quality themes, and require to be inspected at least once each 12 months. Other care service types that are performing well and not in these categories may be inspected less frequently or with a mix of inspection approaches. For all well-performing services we want to ensure we are proportionate in our approach to scrutiny. Therefore for those that fall into the statutory category, and are well performing, we propose to take a proportionate approach similar to other categories, within the required frequency. This approach, based on risk assessment, will allow us to choose different types of inspection methodology best suited to the individual service.

This means that whilst still adhering to the statutory minimum frequency for our scrutiny and improvement interventions, the specific focus, breadth and depth of each intervention will be driven more by the risk profile for that service type and the specific information and intelligence we hold about individual services, including past performance and robust self-assessment.

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This will support us to:

- make the best use of our finite resources by targeting them to where they can have the greatest impact;
- demonstrate our commitment to taking a more targeted and proportionate approach and incentivise and support service providers to carry out regular and robust self-evaluation for improvement;
- give greater and more effective attention to our statutory duty to further improvement;
- demonstrate a more risk-based, intelligence-led approach to all of our scrutiny and improvement work; and
- demonstrate previously unrecorded work undertaken by inspectors to support improvement in services.

A risk-based approach supports us to allocate resources to where we believe harm is most likely to occur. It requires us to have effective intelligence and risk assessment tools in place. Work is being implemented following the Care Inspectorate's 2014 review of how we gather and review intelligence from a wide range of sources to inform our scrutiny and improvement activities.

We will continue to commit to being open and transparent in reporting all our scrutiny and improvement activities and in doing so being very clear about the different types of activities we have undertaken. This will present a more comprehensive picture of the work of the Care Inspectorate than ever before

## **6.1 Specific proposed changes to the broad frequency guidelines for 2016/17**

On the basis of low risk, high performance, risk assessment and confident intelligence, we propose to change the frequency of scheduled scrutiny activity in two service types: fostering and adoption services and secure care services.

### *Fostering and Adoption*

We propose to change the frequency of inspection of these services from 1 in every 12 months, which we do currently, to 1 in every 24 months where the quality of care is evaluated as being good, very good or excellent and where the risk is assessed to be low. We will seek to align the inspection of local authority fostering and adoption services where there is a joint inspection of children's services in the same community planning partnership.

We regulate 62 fostering services and 39 adoption services nationally. Fostering services are delivered by all 32 local authorities and 30 services which are delivered by the independent or private sector. Adoption services are

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delivered by all 32 local authorities and 7 services which are delivered by the independent sector. Our inspections look at the performance of the service itself, not the individual family placements for children.

In 2014/15, 85% of fostering and adoption services were considered to be good or better across all 4 quality themes. Of these, 39% were very good or excellent; 2 services were considered to be 'excellent'. Only 4 fostering and adoption services were graded 'adequate' or below.

In 2014/15, we received 23 complaints against fostering and adoption services: these complaints led to 6 complaint investigations; 17 were not within our remit. Five were upheld. They mainly related to services' policies/procedures and record keeping. The low level of complaints received and upheld is indicative of a well performing sector overall.

During 2016/17, we will continue to refine and change our inspection methodology for fostering and adoption services, so there is a much stronger link to our strategic scrutiny work and our joint inspections of children's services. Using intelligence from regulated service and strategic inspections, we will produce a public report on permanency in 2016/17.

#### *Secure Care*

Despite our statutory requirement to inspect secure care services once in every 12 months, we currently undertake 2 inspections within every 12 month period. We propose to change this frequency to reflect our statutory requirement of 1 in every 12 months in respect of services that are found to be performing well and where we have assessed the risk as low. There are only 5 secure care services in Scotland: four are operated by the voluntary or not-for-profit sector and one is operated by a local authority, All were found to be 'good' or better across all four quality themes in 2014/15.

In 2014/15, we received 4 complaints across the five secure care services, only one of which was upheld in part; this related to communication and healthcare.

## **7.0 SCRUTINY AND IMPROVEMENT ACTIVITIES 2016/17**

This section sets out detailed proposals for activities in 2016/17.

### **7.1 Our strategic scrutiny responsibilities**

#### *Joint strategic scrutiny of children's services*

Of the original programme of Joint strategic Inspections of Children's Services, 9 community planning partnership remain to be inspected. We propose for 2016/17 to undertake 5 joint inspections and anticipate publishing progress reviews in at least 3 community planning partnership areas. We continue to

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liaise with Scottish Government colleagues to clarify whether the ambit of our joint scrutiny work should be narrowed, and deepened, to reviewing services for children for whom there are corporate parenting responsibilities; we currently review services for all children in a community planning partnership area.

We will continue to undertake our ongoing link inspector work and fulfil our statutory duties regarding criminal justice serious incident reviews, significant case reviews and reviews of the deaths of looked after children. We will review the way in which we examine the deaths of looked after children and report on our findings. We will change our processes to reflect recent changes which require the reporting of deaths of young people aged 16 – 26 years who are entitled to increased through care and after care provision and young people who are receiving continuing care.

The Care Inspectorate has a statutory responsibility to provide scrutiny of social work services for adults and older people. Where appropriate and efficient to do so, we work closely with Healthcare Improvement Scotland to fulfil our joint statutory responsibilities.

By 2016/17, we will have concluded our review of our future approach to joint strategic inspections of adult health and social care with colleagues from Healthcare Improvement Scotland. This review will take into account learning from previous inspections and develop and test our approach to scrutiny of joint strategic plans, focused on the impact on outcomes for people. This will reflect the new joint responsibilities for the Care Inspectorate and Healthcare Improvement Scotland arising from the Public Bodies (Joint Working) (Scotland) Act 2014.

We anticipate both piloting revised joint inspections and following through into fuller inspections during 2016-17. The precise number of inspections is subject to change pending the outcomes of a joint review of the methodology for these inspections and the need to pilot and test any significantly changed approaches. We have already made some changes to methodology and further changes may require significant alterations to the planned footprint.

We will continue to undertake our link inspector role, with increased link inspector support in at least 1 community planning partnership area.

During 2016/17, we will work with Healthcare Improvement Scotland to consider our approach to examining the impact of community level GP hubs on care homes and care at home services, developing approaches for implementation in future years in the context of policy changes around out of ours care.

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## 7.2 Our statutory responsibilities – regulated care services

The Care Inspectorate's statutory responsibility around the inspection of care services is to undertake one inspection every twelve months in care homes, care at home, and secure care. Other services may be inspected as determined by the Care Inspectorate, in accordance with the arrangements in this plan.

## 8.0 NEW SCOTTISH GOVERNMENT SCRUTINY REQUESTS

Scottish Government colleagues have requested we undertake a significant volume of additional work in the 2016/17 inspection year in order to support achievement towards national priorities. Some work will require a minor modification to existing programmes of work; other requests will require new scrutiny interventions and consideration of deployment of resources and reprioritising plans.

### 8.1 New scrutiny requests – strategic

#### *Thematic Report on Joint Inspections of Children's Services*

Scottish Government has requested that we produce an annual thematic report on Joint Inspections of Children's Services. We will produce a short thematic summary report based on published joint inspection reports during the course of the year.

#### *Letter to Chief Social Work Officers*

The Chief Social Work Advisor has requested that we produce an annual letter to Chief Social Work officers identifying key lessons for social work departments. We will do this, linked to the above report, based on published evidence of findings from joint strategic inspections and other scrutiny work.

#### *Response to Scrutiny, Regulation and Self Directed Support*

Scottish Government has requested we consider our approach to scrutiny, regulation and self directed support. During 2016/17, we will examine the feasibility and desirability of supporting informed choice through a new voluntary accreditation scheme, and do so in partnership with people use services, their carers, the sector, and SSSC.

#### *Validated self assessments of Alcohol and Drug Partnerships (ADPs)*

We will undertake a programme of work to find out the extent to which ADPs are embedding the quality principles and their impact on improving experiences and outcomes for people who use drug and alcohol services, and their families. This will continue until December 2016. The Scottish Government has

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indicated that it will fund costs arising from this work.

*The Carers' Bill and Support for Young Carers*

Scottish Government requested we gather evidence about the impact of the Carers' Bill and provide information about support for young carers. In the 2016/17 year, and as the Bill progresses into legislation, we will work with Scottish Government colleagues to consider our approaches to the assessment of the impact of this, involving carers to ensure our approach to this is informed by their experiences. We will identify the scope of future scrutiny, subject to additional resources being available.

*Thematic Work around Child and Adolescent Mental Health services (CAMHS)*

In our joint inspections of services for children we comment on issues in relation to CAMHS when these arise. In 2014/15, we undertook work in partnership with the Mental Welfare Commission in secure care settings which focussed on mental health and CAMHS. We will have further discussion with MWC to look at how we can continue to work in partnership and will extend this discussion to include Healthcare Improvement Scotland.

*Support for Young people with a Parent in Prison*

If Scottish Government considers this an area of priority, we would be able, with appropriate resources, to consider an approach to review this policy area in partnership with relevant agencies such as HMIP.

*Community Justice*

Scottish Government has requested that we develop a self evaluation framework for community justice and has indicated that it will fund costs arising from this work.

**8.2 New scrutiny requests – regulated care services**

*Child Sexual Exploitation and Child Neglect*

Scottish Government requested we report on approaches to preventing child sexual exploitation and child neglect. We will undertake this work, drawing on information we already know from existing scrutiny approaches across regulated and strategic inspections.

*Continuing Care*

Scottish Government requested we report on progress around Continuing Care as outlined in the Children and Young people (Scotland) Act 2014 (part 11). While it will be too early to test the impact of this during 2016/17, we will

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support the policy by updating and issuing new guidance, including on registration issues, to providers to support them to discharge their responsibilities in relation to continuing care, and provide professional advice as appropriate.

*Thematic work on Dementia*

Scottish Government has requested we:

- report on compliance with Commitment 11 of the National Dementia Strategy 2013-2016 which sets out plans for extending the work on quality of care out with health-based settings, including care homes
- report on progress regarding recommendations made following the Mental Welfare Commission for Scotland report 'Dignity and Respect: Dementia Continuing Care Visits'.

We will develop a focus area for our inspections of older people's services for the 2016/17 inspection year which supports scrutiny of the National Dementia Strategy, including Commitment 11. During 2016/17, we will undertake the scrutiny necessary to publish a follow-up report to 'Remember, I'm Still Me', the joint report from the Care Commission and the Mental Welfare Commission (2009). We will also ensure that our inspection guidance for 2016/17 makes appropriate reference to the 2014 MWC report.

We will also deliver study events for care service staff to promote the 'Promoting continence for people with dementia' resource; design an online resource to raise awareness of what it means to live with advanced dementia; and launch a dementia self assessment tool to support service providers meet the recommendations in the National Dementia Strategy.

## **9.0 NEW IMPROVEMENT REQUESTS**

Scottish Government colleagues have made a number of requests which would entail changes or additions in terms of the work we do supporting improvement.

### **9.1 New improvement requests – strategic**

*Guide to Chronologies*

We will provide a refreshed practice guide on the use of chronologies, as a review of the guide previously undertaken by the Social work Inspection Agency (SWIA). This will support improved practice around child protection practice in care services and local authority social work departments.

*The Training of Chief Officers re Named person:*

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We already work with lead officers responsible for Getting it right for every child (GIRFEC) to highlight our inspection findings with regard to the implementation and roll-out of GIRFEC and will continue to work with Scottish Government and partners to share our scrutiny findings to inform appropriate training around the named person.

## 9.2 New improvement requests – regulated care services

### *The Impact of Sensory Impairment on the Care Environment*

Scottish Government has requested we consider the impact on sensory impairment in care environments for older people. We already use the Short Observational Framework for Inspection (SOFI) in regulated care service inspections of older people's services and will continue this. As part of our planned focus area supporting implementation of the National Dementia Strategy, we will assess how good the service environment is in supporting and meeting the needs of those with sensory impairments. We will also promote evidence-based assessment tools to support services to ensure environments are dementia-friendly.

### *Gathering Information on Restraint*

Scottish Government has requested that we gather information regarding restraint practice in secure care. At each inspection of all residential care services for children and young people we review case records and incident records including those of restraint. We will review our notifications and annual returns information and consider the preparation of new notification guidance for service providers about the recording and reporting of notifications in regard to restraint incidents during the 2016/17 year.

### *FRAME (Framework for Risk Assessment Management and Evaluation)*

Scottish Government requested that we ensure that the care and risk management process for young people who display high risk behaviours and offending is included in the inspection model. The Care Inspectorate will review its approaches to both strategic joint inspections of services for children and regulated care services for children in light of FRAME, particularly in relation to care environments in which children and young people display concerning, challenging and high risk behaviour. We will also ensure that our inspectors are up to date in this model.

### *Regular reports*

Scottish Government has requested that we publish reports like the Triennial Review on a more focussed and more regular basis. Ahead of the 2016/17 inspection year, we will review our dynamic plan forward for publications, so that the Care Inspectorate regular contributes to the evidence base for those

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charged with developing public policy.

*The Work of the Care Inspectorate in relation to improvement*

Scottish Government has requested that we develop more clarity and transparency regarding our work around improvement. We are developing an Improvement Strategy which will outline how the Care Inspectorate will support improvement in care service delivery for the 2016/17 year. We have also reviewed how we deliver health professional advice regarding improvement and will begin to embed changes to our health improvement team.

*Social Services in Scotland: A Shared Vision and Strategy 2015-2020*

The Chief Social Work Officer has requested we contribute to the vision and strategy. Our current intelligence gathering through scrutiny, thematic reports and improvement work can contribute significantly to all strands of the strategy. Working with SSSC, we will establish a programme board to provide exemplars of effective practice around safer recruitment.

*Healthcare Acquired Infection Standards (HAI) 2015*

The Chief Nursing Officer has requested that we consider the use of HAI standards in our inspections. We will work with Scottish Government and NHS Health Protection Scotland to provide a source of expert advice for care settings and will review the applicability of, and changes required for, NHS HAI standards in care settings.

*The Keys to Life Strategy*

Scottish Government has requested that we report on the findings from the Keys to Life focus area. After completion of the 2015/16 inspection year, we will be publishing a report on our findings from the Keys to Life focus area.

## **10.0 ADDITIONAL COMMITMENTS**

Aside from new policy requests, the Care Inspectorate has already begun, or is about to embark on, the following pieces of additional activity.

*Follow up Inspection in Isle of Man*

A strategic inspection of children's services will take place in the Isle of Man in March 2016, following a commissioned piece of work in 2013/14. This will be on a full cost recovery basis.

*Delayed Discharge*

We will develop and further improve interventions to support improvements in

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delayed discharges to community settings. We will refine information and data for chief officers in partnerships, support better assessments of need, and support improvement in a targeted way in specific partnerships where delayed discharges require attention.

*Early Learning and Childcare*

In response to the Scottish Government's Early Learning and Childcare and Out of School Care Workforce Review, the Care Inspectorate will undertake work to support the policy agenda. We will continue to consider the specific needs of 2, 3 and 4 year olds in relation to their free entitlements, to inform policy development. Our scheduled inspections of early learning and childcare services will enable us to present information on how such children's needs are being met in a service in receipt of funding, regardless of setting and how local authorities are commissioning funded places. The Care Inspectorate will share the findings from shared inspections with Education Scotland, SQA, SSSC and initial training providers, in order to improve training and qualification development.

We will also work with SSSC to consider how to develop better and relevant intelligence about the Early Learning and Childcare workforce. We will continue to work with Education Scotland to promote the 'Building the Ambition' guidance, which sets out a clear definition of early learning and childcare for practitioners working with babies, toddlers, pre-school and school age children. This partnership approach will help to ensure that this landmark publication gains currency and credibility across the early learning and childcare sector.

Will continue to review and refine our approach to shared inspections with Education Scotland.

We will review our work in out of school care services to inform a thematic picture of provision across Scotland. We will continue to work with a wide variety of agencies to streamline and improve data gathering around early learning and childcare.

*Personal Planning and Best Practice Guide*

We will undertake or commission resources that support high-quality personal planning in services in order to support better outcomes for people who use services. This will be an on line resource with examples of good practice and will be published in 2016/17.

*Self Assessment / Evaluation*

We will develop resources to support regulated service providers to undertake self assessment and development planning.

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*Supporting physical activity*

We will review our 2011 resource 'Preventing Falls and Fractures in care Homes for Older People' and launch this in 2016/17. We will support the Going for Gold Scotland programme with newsletters to services promoting physical activity in care services and national learning events. We will produce guidance on physical activity in settings for people with learning disabilities.

*Health guidance and triggers*

Our newly-reorganised Health Improvement Team will review all existing Care Inspectorate guidance and tools to support better health outcomes for people using care services. We will publish these during 2016/17.

*Arts in Care Services*

We will undertake an 'Arts in Care' Project, working in partnership with Luminare and Creative Scotland and, in the 2016/17 inspection year, publish a resource for service providers to promote the therapeutic and community benefits of the arts.

*National Prevention Mechanism (NPM)*

The NPM seeks to strengthen the protection of people in detention through independent monitoring. We have already supported the work of NPM through our work around single room separation in secure units in our 2015/16 inspections. We will continue to take account of NPM priority areas in our work during 2016/17 across all services where the work of NPM is considered relevant, and work in partnership with the MWC as necessary.

*Supporting innovation in care at home delivery*

In 2016/17, we will consult with others to review our approaches to scrutiny and improvement in care at home settings, considering models such as the NHS Highland commissioning model.

*Supporting Childminding Services*

We will use the 2016/17 year to consider our future models of scrutiny of childminding services, working with Scottish Government and the Scottish Childminding Association to develop a new induction quality standard for new childminders. We are currently discussing the resource implications for this piece of work.

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*Use of data*

Scottish Government has requested that we improve the ways data is collected as part of the Care Home Census. Specific areas for improvement have not been requested, however, in the 2016/17 year, we can review our collection of this data, in partnership with Scottish Government.

We will work with NHS ISD to improve ways of sharing intelligence about the health outcomes for people using care services.

**11.0 RESOURCE IMPLICATIONS**

The overall Care Inspectorate budget position for 2016/17 is under significant pressure. Currently savings are targeted towards delivering the 2016/17 budget at 2015/16 funding levels (a cash standstill budget). Indications are a cash standstill budget may be optimistic so scenario plans for further budget reductions are being worked on.

As far as possible the resources required to deliver the Scrutiny and Improvement plan will be protected from budget reductions but the plan may need to be revised dependent on confirmation of the Care Inspectorate's funding position for 2016/17 from the Sponsor Department. This confirmation is expected late January / early February 2016.

The draft Scrutiny and Improvement Plan at this stage has been prepared on the basis that the resources required to deliver it remain broadly similar to 2015/16.

There is an upward pressure on inspecting resources through the findings of time recording analysis but the work on quantifying the planned compensatory efficiencies and savings is not completed. There is therefore a significant risk to our ability to deliver the required compensatory savings.

Should insufficient budget reductions be identified from other areas of the budget then the Scrutiny and Improvement Plan will need to be revised to deliver savings to balance the budget. Minimising any loss of public protection and assurance will be the key objective when considering Scrutiny and Improvement Plan linked savings.

The level of budget reduction required means the number and type of staff the Care Inspectorate employs will inevitably be affected. As stated previously, the front line staff responsible for delivering the Scrutiny and Improvement Plan will be protected as far as is possible. However, it is difficult to envisage any significant savings being derived from workforce change at this late stage without transitional funding being available from the Scottish Government.

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The position is further complicated as the Scrutiny and Improvement Plan is not only dependent on the number of inspectors but also having the right number of Inspectors with the required skills and specialisms.

Changing planned inspection hours whether through the outcome of time recording analysis, use of different scrutiny interventions, changes to reporting, re-allocation of activity between types of staff or changes to frequency will have an impact on the planned skills and specialism balance of the front line workforce. It is likely that the Care Inspectorate will commence the 2016/17 inspection year with a workforce that is not ideally synchronised to the delivery of the Scrutiny and Improvement Plan.

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

This scrutiny and improvement plan is designed to ensure that the work of the Care Inspectorate aligns to public policy, and is firmly focused on providing public protection and assurance, while supporting improvement. If enacted, it will improve the quality of care and support experienced by people who use care services and social work services, and their carers. It will guide the Care Inspectorate's work to ensure it is resourced, well-focused and of significant benefit to people who use care services.

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