



Care Inspectorate's Draft Scrutiny & Improvement Plan 2019-22

Report to: Board
Date: 18 December 2018
Report by: Kevin Mitchell, Executive Director of Scrutiny and Assurance
Report No: B-72-2018
Agenda Item: 11.2

PURPOSE OF REPORT

To allow the Board to consider the first draft of the Care Inspectorate's Scrutiny and Improvement plan for 2019-22, noting that further revisions may be required depending on the 219/20 budget settlement.

RECOMMENDATIONS

1. Agrees the Care Inspectorate's Scrutiny and Improvement plan for 2019-22 subject to any amendments.

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1.0 INTRODUCTION

The Care Inspectorate is the national scrutiny body supporting improvement across integrated health and social care, social work, early learning and childcare and justice. We are a non-departmental public body which is independent from, but accountable to, the Scottish Government. This plan sets out how we will deliver on our statutory responsibilities for scrutiny and improvement across social care and social work and contribute to the Scottish Government's national outcomes. It also explains how we use the essential diagnosis provided by modern forms of scrutiny to offer public assurance about what works well, and what needs to improve so that people living in communities enjoy high quality, safe and compassionate care that enables them to experience good outcomes. Our scrutiny and assurance approach includes identifying and disseminating good practice to support continuous improvement locally and nationally.

Change in social care and social work, particularly around health and social care integration, the expansion of early learning and childcare, child and adult protection, education governance reform, changes within justice and broader public sector reform continues. Inevitably, this means that the Care Inspectorate approaches must remain flexible and responsive to such changes to ensure that we continue to provide robust scrutiny and assurance that supports improvement and innovation, making sure that central to our work is an unswerving focus on the rights, needs and choices of people who experience care and their carers.

Our approaches scrutiny and improvement take cognisance of the health and social care standards; My Support My Life published in June 2017. We began to take account of these in our work from April 2018 and will continue to do so in the coming years.

This document sets out our approach to scrutiny and improvement over the next three years from 2019-2022. Part 1 provides the context to our work and a broad overview of our scrutiny and improvement approaches over the next three years. Part 2 outlines our specific commitments for 2019/20. The Care Inspectorate will seek ministerial approval for updates to this plan annually.

PART 1

Scotland's National Performance Framework and the 11 National Outcomes

The Care Inspectorate's work focuses on scrutiny and supporting improvements to the quality of care for people at all ages and stages of their lives. Uniquely, we are well placed to provide professional evaluation and insight into the quality of life experienced by people in our communities given our extensive responsibilities across integrated health and social care, social care that is not integrated, social work, public protection, early learning and childcare, justice and public service reform. We regulate some 13,500 care services and provide strategic scrutiny of every local authority, community

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planning partnership and Health and Social Care Partnerships in Scotland.

Our unique broad scrutiny and improvement role means that we directly contribute to 5 of the 11 National Outcomes (2018) set by the Scottish Government. High-quality regulation and effective scrutiny can support improvement and help us to ensure that:

- We grow up loved, safe and respected so that we realise our full potential (including indicators such as Quality of children’s services, child wellbeing and happiness)
- We are healthy and active (including indicators such as Quality of care experience)
- We respect, protect and fulfil human rights and live free from discrimination (including indicators such as Public services treat people with dignity and respect and Quality of public Services)
- We are well educated, skilled and able to contribute to society (including indicators of resilience of children and young people and educational attainment)
- We live in communities that are inclusive, empowered, resilient and safe (including indicators such as loneliness and, crime victimisation)

We also contribute indirectly to others.

2.0 DEVELOPING WORLD-CLASS APPROACHES TO SCRUTINY AND IMPROVEMENT

The Care Inspectorate is committed to ensuring its work aligns to the Crerar review, which urged scrutiny bodies to ensure activities are targeted, proportionate, intelligence-led and risk-based. We have moved from a compliance-based approach to a collaborative model of working. In developing world-leading approaches to scrutiny, we will use intelligence from strategic and service-level care to plan modern scrutiny interventions designed to provide public assurance, improve the quality of life for people who experience care and help support improvement.

In developing our scrutiny and improvement interventions we are focused on reducing inequalities and working collaboratively based on the principles within the Christie report on public service reform (people; prevention; partnership; and, performance). We have an essential contribution to make in empowering communities and supporting public services to be agile, flexible and design and deliver services based on need and what works well. We know that leadership is central to this, as it is to improving care quality and the experiences of individuals. At the core of our scrutiny approach is a belief that external scrutiny is best applied in conjunction with robust, evidenced-based self-evaluation by those providing care, so that managers and leaders consider their own evidence about the extent to which their services are meeting people’s needs and rights and those of communities, supported by constructive challenge from care inspectors and other specialists.

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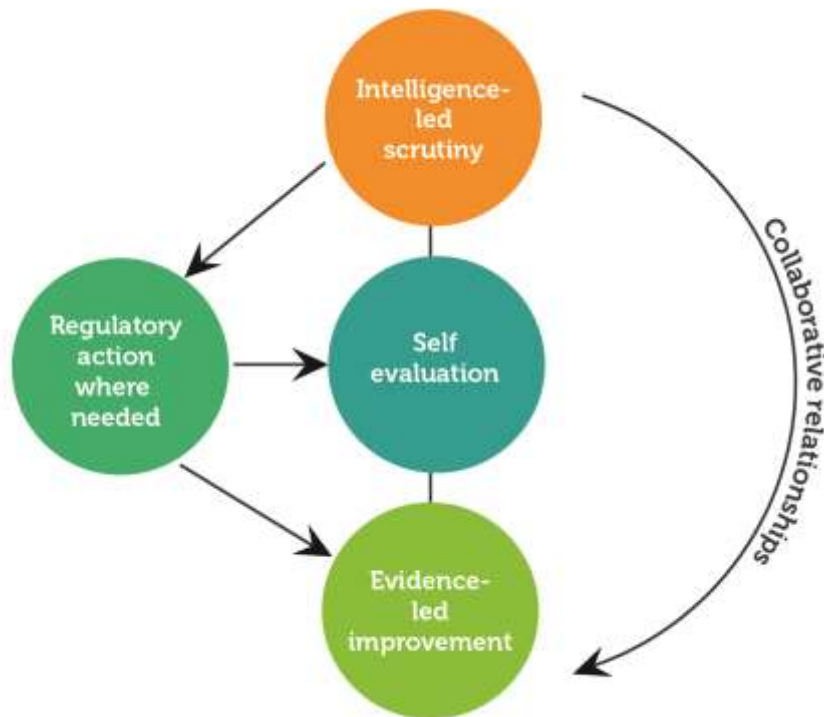
These approaches are underpinned by proportionality, using the Care Inspectorate’s statutory flexibility, in preparing its scrutiny plan “to make different provision for different purposes”. Rather than a one-size approach to inspection, our strategy is to focus our activities on areas of concern and where risk is identified and/or greatest.

As well as contributing to rising standards and better experiences for people, the Care Inspectorate’s combination of the most modern thinking about scrutiny and improvement interventions helps to empower care leaders to develop innovative models of care, whilst retaining the capability for a robust regulatory response when care is failing.

Ensuring that inspection primarily focuses on evaluating experiences, outcomes and impact, rather than a disproportionate emphasis on checking inputs, is a central feature our approach. Past thinking suggested a false tension between scrutiny and improvement, often based on the misunderstanding, or perhaps experience, that an inspection is little more than a checklist of inputs which stifles innovation. The Care Inspectorate believes that approaches which are outcomes-based, proportionate and intelligence-led help to shift the debate. The value of scrutiny, in this context, is realised by the extent to which inspectors add value to care services and local partnerships throughout a cycle of self-evaluation, scrutiny, and improvement support (or regulatory action where required). In this context, robust, evidence-based scrutiny acts as both diagnosis and an improvement support tool. Successfully realised, this approach has placed Scotland at the forefront of care scrutiny, and may help analogous debates in education and health scrutiny too.

This diagram shows how we will be a scrutiny body which supports improvement.

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We recognise that the delivery of this approach requires a confident workforce versed in the skills and techniques necessary to provide public assurance and support improvement. The Care Inspectorate is the first regulator in the UK to become an accredited delivery centre for a degree-level Professional Development Award. Over time, all our inspectors – who must already be registered with the appropriate professional body and have substantial sectoral experience – will achieve this award.

Being a scrutiny body which supports improvement, we will continue to target support to services, based primarily on our inspection findings, to guide and support innovation and improvement. This improvement work may be carried out by ourselves or in partnership with other scrutiny and delivery partners. This means that day in, day out our inspectors are working with scores of managers and staff in care services to identify what works well and help them improve if necessary. Where skilled and resourced to do so, we both provide and support national improvement programmes to raise quality. With finite resources and increasingly challenging financial constraints, we will target our resources proportionately to our scrutiny findings and to where the need is greatest and we can make the greatest impact on supporting improvement.

We will share our scrutiny findings with a range of local and national improvement support partners, and ensure our inspectors are confident and skilled in supporting improvement at a local level where scrutiny shows this is necessary.

In January 2018, we published our first Improvement Strategy, setting out the different ways in which we support improvement in the quality of care and

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articulating the relationship between quality assurance and quality improvement.

Developing our methodology

We will continue to embed the changes made to our inspection methodology and develop these further to take account of the developing strategic partnerships and significant changes in how services are being planned, commissioned and delivered. During 2019/20 we will have completed our phased approach to aligning our inspection methodologies to the health and social care standards, which we began to roll out from 1 April 2018. We have already built these in to our scrutiny of all care home services from April 2018. Additionally, they will form the basis of an approach to self-evaluation in 2019/20. This will support and underpin our current approaches to evaluating experiences of, and outcomes for, people who experience care and their families and carers. This new methodology and more meaningful approach to self-evaluation will be used to support improvement and target our scrutiny and assurance work more effectively. The voice and experience of people who experience care and their families and carers will be critical in all of this work.

As we continue to develop our scrutiny approaches we will continue to improve our inspection reports ensuring as far as possible that these continue to focus on experiences of and outcomes for people who experience care and provide evidence which identify inequalities and can help to close outcome gaps. This means that people who experience and choose care services will be even better informed about the quality and type of care being delivered within a setting.

We are committed to improving the experience of providers when they register with the Care Inspectorate and as part of our new approach we are continuously reviewing, improving and where possible streamlining our registration processes and the underpinning regulations in conjunction with Scottish Government to ensure that these support new ways of designing, delivering and commissioning care.

Almost uniquely amongst health and social care regulators, the Care Inspectorate is responsible for investigating complaints about registered care services. We will continue to embed the new complaints process we introduced in 2018/19 aimed at supporting rapid improvements in care quality. This streamlines our processes for investigating complaints by achieving early resolution where possible and appropriate, or failing that through a formal complaint investigation or an inspection.

To underpin our approach to scrutiny that is intelligence led and evidence based and supports improvement work, we commenced a business transformation programme of work in 2018/19 to ensure our systems, processes and practices are supported by modern fit for purpose digital technologies. We embarked upon agile development in partnership with another public sector body to achieve this. Our primary focus is on enhancing the customer experience so that we provide information and quality of service

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necessary to support world class scrutiny and improvement activities. This work will continue and conclude in 2019/20

Responding to a changing landscape

The Public Services Reform (Scotland) Act 2010 means the Care Inspectorate has a particular and lead responsibility for providing scrutiny and assurance of social work and social care services, including criminal justice social work. In discharging our statutory responsibilities for this we may undertake scrutiny and assurance activities on our own or, as is increasingly the case, in partnership with others scrutiny and delivery bodies.

Increasingly, that work focuses on the health and social care partnerships, as well as the local authorities and community planning partnerships, for those services and functions that have been delegated by the local authority and health board to the Health and Social Care Partnerships. Most partnerships have delegated responsibility for children's health. Many have also delegated criminal justice social work and children's social care services. A few have delegated responsibility for acute health services.

The publication in June 2017 of Education Governance: Next Steps: Empowering our teachers, parents and communities to deliver excellence and equity for our children, signalled further change towards a head teacher led approach to professional learning and improvement in education, including early learning and childcare. The creation of six regional improvement collaboratives was announced with an expectation that that these include representation from both Education Scotland and the Care Inspectorate. It also committed the Care Inspectorate and Education Scotland to develop a shared Inspection approach for early learning and childcare (ELC). The Shared framework for ELC was developed during 2018/19 and will be implemented in 2019/20.

We work continue to work closely with Education Scotland strategically and operationally to add value to the public sector landscape, but more importantly to ensure that children and young people have the best possible life chances making Scotland the best place to grow up.

The Public Bodies (Joint Working) (Scotland) Act 2014 gave the Care Inspectorate and Healthcare Improvement Scotland (HIS) new joint responsibilities from 1 April 2017 to inspect the planning, organisation or co-ordination of the services that health boards and local authorities delegate, as set out within their integration schemes, to integration authorities. The Care Inspectorate and HIS must also review and evaluate the effectiveness of the integration authority's strategic plan, and encourage improvement in the effectiveness of that plan if necessary. These are joint responsibilities placed on both bodies. We will continue to develop or approaches to discharge these responsibilities in 2019/20 and, over time, increasingly focus on experience of and outcomes for people.

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Having responsibility for the scrutiny of some 13,500 regulated care services and lead responsibility for children's services, child protection and criminal justice social work means that the Care Inspectorate is uniquely positioned to report on the impact of strategic level planning and commissioning at a service level and on the experiences of, and outcomes for, people who use services and their families and carers. Increasingly, scrutiny evidence can help inform early intervention and prevention initiatives to reduce health and social inequalities. It also has a critical role to play in influencing and advising on the impact of national policy.

Like most public services, the Care Inspectorate has undergone significant restructuring in response to budgetary pressures, but our prioritisation of frontline scrutiny means we are committed to, and enthusiastic about, delivering robust scrutiny and assurance which supports innovation and improvement and national policy planning, development and implementation.

In order to continue to meet and exceed the expectations and responsibilities placed on us in this challenging operating environment, we are committed to further strengthening our focus on experiences of, and outcomes for people who experience care and their families and carers in our various approaches to scrutiny and assurance, and the extent to which our scrutiny and assurance is intelligence led, targeted, proportionate and risk based. This plan takes into account extensive discussions with a range of stakeholders.

In addition, in developing this plan we have taken account of the implications of:

- the continuing integration of health and social care
- the Scottish Government's Vision and Strategy for Social Services
- the continuing reform of adult social care
- safe and effective staff and the new legislation to introduce workload and workforce planning
- the educational governance reforms and the expansion of early learning and childcare
- the implementation of the Carers (Scotland) Act 2016 which came into force on 1 April 2018
- the independent care review
- the new National Standard for Funded ELC Providers by the end of 2018 (to be introduced from 2020)
- the health and social care social care standards (2017).
- our own scrutiny evidence and improvement experience
- A blueprint for 2020: The Expansion of Early Learning and Childcare, Quality Action Plan

Taking an intelligence-led, risk-based approach

Prior to 2016/17, for the 13,500 or so regulated care services, previous inspection plans focused our proposals on a specific number of inspections to be undertaken by service type, within a rigid frequency framework. We now

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prioritise inspections according to current legislative requirements and increasingly though taking an intelligence-led, risk-based approach.

Since 2011, and for the time being at least, the Care Inspectorate, as directed by Scottish Ministers, is required to undertake, as a minimum, an unannounced inspection each twelve months in care homes, care at home, and secure accommodation. For other services the frequency of inspections is determined by the Care Inspectorate through annual revision of the frequency framework forming part of the scrutiny and assurance plan, and increasingly through taking an intelligence-led , risk based approach. .

Our Scrutiny and Improvement Plan for 2016/17 signalled the beginning of a shift to a very different approach, one which will consider inspections in a much broader context of scrutiny, assurance and improvement interventions determined predominantly by an assessment of risk and intelligence gathered internally and from a range of external sources.

We will continue to develop this approach through strengthening our risk assessment process gearing it to the inherent risk in individual service types or care settings and what we know about strategic risks at a CPP/ Health and Social Care Partnership level.

We will also strengthen our approaches to gathering and analysing intelligence to inform those risk assessments and determine the scrutiny, assurance and improvement response required thereby being more intelligence led, targeted, proportionate and risk based. As part of our approach to strengthening our intelligence, we will identify and implement improvement to the ways in which we gather the views of people who experience care and their families and carers in 'real time', those involved in commissioning services in the local authority or Health and Social Care Partnerships and intelligence from other scrutiny and delivery partners.

This will lead to a wider range of scrutiny, assurance and improvement interventions that will be deployed which might involve an inspection, but may be very different, for example a review of a better performing low risk service which focusses on progress on making improvements through self-evaluation.

Inspectors will exercise greater professional judgement around the timing and focus of particular scrutiny, assurance and improvement interventions.

This will enable the Care Inspectorate to continue to provide robust public assurance on the effectiveness of services and the difference they are making to the lives of people who use them and their families and carers, including those who are most vulnerable and in need of protection.

3.0 WORKING COLLABORATIVELY ACROSS THE PUBLIC SECTOR

We 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,

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with Education Scotland. Working with Healthcare Improvement Scotland, we have developed a model of joint inspection of integrated health and social care for adults, which includes an approach for evaluating the effectiveness of integration authority's strategic plans. We also worked with Healthcare Improvement Scotland on other work programmes, for example on strategic inspections of services for children and on targeted improvement support, including a contribution to the activities of the ihub in local partnerships.

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 are actively expanding the number and range of people who are involved in our work. This includes supporting people with a personal diagnosis of dementia to participate as inspection volunteers, bringing their own personal experiences to the scrutiny process in care services which they do not directly use but are uniquely qualified to understand and assess. We have also commenced approaches whereby inspection volunteers are involved with inspectors when they investigate complaints about care. We have expanding the number of care experienced young people who join our inspections as inspection volunteers, and also expanded the ways in which we involve them in decision-making and advice.

We continue to work closely with other organisations to share information and intelligence, which helps plan our inspection programmes. The Care Inspectorate works closely with the Strategic Scrutiny Group, led by the Accounts Commission, 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 will continue to work with our scrutiny partners, Integration Joint Boards and Regional Improvement Collaboratives to share appropriate information and intelligence to identify risk and promote good practice leading to better outcomes, improved attainment and reducing inequalities for people in our communities.

We are an important partner in the national Sharing Intelligence for Health and Social Care Group which brings together health and social care scrutiny bodies to share intelligence at NHS Board level. Our strategic link inspectors / relationship managers make important contributions to the sharing of intelligence and supporting of improvement and innovation in the various established and developing strategic partnerships detailed above.

4.0 INTELLIGENCE-LED APPROACHES IN CARE SERVICES

Each year we will plan to undertake scrutiny, assurance and improvement interventions. These comprise statutory inspections, inspections in services not subject to a statutory minimum inspection frequency, follow-up inspections, strategic inspections, strategic link inspector / relationship manager activities, complaint activity, registration activity, variation activity, and improvement support activities where the scrutiny suggests this is necessary. These activities are prioritised within broad frequency guidelines, based on risk, intelligence and service type.

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Mindful of the phased approach to aligning our inspection methodologies to the new health and social care standards and the development and implementation of our business/digital transformation strategy detailed above, we will maximise the number of scrutiny, assurance and improvement interventions relative to the resources we have available based on intelligence. We will target our finite resources on those areas of highest risk and where improvements are required.

Cognisance will continue to be taken of that fact that the Care Inspectorate, as directed by Scottish Ministers, is for the time being 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, 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 scrutiny, assurance and improvement approaches.

For all well-performing services we want to ensure we are more proportionate in our approach to scrutiny. Therefore for those that fall into the statutory category above, and are well performing, we propose to take a proportionate approach within the required frequency. This approach, based on risk assessment, will allow us to choose different types of inspections best suited to the individual service. It is important to note that whilst the purposed of an ‘inspection’ is defined by Section 53(1) of the Public Services Reform (Scotland) act 2010 the format of an inspection is not.

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. 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 continuing 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;

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- 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 enables us to allocate resources more effectively to target our scrutiny against those services which are most likely to need scrutiny and improvement. It requires us to have effective intelligence and risk assessment tools in place. Work is on-going to review how we gather and use intelligence from a wide range of sources to further strengthen our approaches to assessing risk in individual services and applying proportionate, risk-based scrutiny. This means that, we will continue to apply scrutiny in, provide assurance about, and support improvement in:

- all care homes for older people, adults with disabilities, and children and young people
- all care at home services
- Support services (these include care at home, but some are adult daycare services)
- all secure accommodation
- childminders
- early learning and childcare, including nurseries, playgroups and out of school care groups
- housing support
- nurse agencies, adult placement and childcare agencies
- fostering and adoption services
- school care accommodation
- offender accommodation

Our activities in these areas will include acting as a gateway to the market by registering new such services, considering variations to their conditions of registration where they wish to undertake new types of care, inspecting these services and reporting publically on the quality found, investigating complaints and concerns about them, supporting improvement where that is needed, and taking enforcement or other regulatory action where that is necessary to protect people from harm.

We are 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 allow us to present a more comprehensive picture of the work of the Care Inspectorate. With this in mind we have already reviewed and made significant changes to our Key Performance Indicators and Quality Indicators. We will review and develop these further to ensure that 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, to ensure that we continue to make the best use of our resources and maximise the impact we make in improving care.

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PART 2

5.0 SCRUTINY 2019/20

Joint strategic scrutiny of services for children and young people

From April 2018, Scottish Ministers asked the Care Inspectorate to lead another programme of joint inspections of service for children and young people, with scrutiny partners Education Scotland, Healthcare Improvement Scotland (HIS) and Her Majesty's Inspectorate of Constabulary in Scotland (HMICS). They have asked us to provide assurance about how community planning partners are protecting and meeting the needs of children and young people who have experienced, or at risk of, abuse and neglect, and how they are working together to improve outcomes for children and young people who are subject to corporate parenting requirements.

This new model focuses on the experiences of and outcomes for children in need of care and protection within the context of GIRFEC (Getting it Right for Every Child). This includes those who are looked after at home, those in residential and secure care, those in kinship care and those using through care and aftercare services.

In 2018/19 we implemented this new approach and carried out three joint inspections. We also carried out one progress review in an area where the need for improvement was identified during a previous inspection of services for children.

In 2019-20 we propose to carry out a further four joint inspections of services for children. We will report to the public on findings in each community planning partnership area, with more detailed feedback to each partnership with the aim of supporting improvement. Areas for inspection will be decided following an agreed assessment process which will be based on, but not restricted to, identified risks and other intelligence. We will use a wide range of information to determine risks, including nationally agreed data; recent scrutiny findings conducted by the partners involved in the joint inspection or other relevant bodies; information from review and analysis of significant case reviews; scrutiny of self-evaluation activity and other relevant documentation. We will work with our scrutiny partners to agree the amount and focus of scrutiny activity required.

Depending on the outcome of inspections undertaken in 2018/19 we may need to carry out one or more progress reviews

In August 2016, at the request of Scottish Government, we published a report on the findings of our joint inspection of services for children 2014-16. This covered those inspections completed up to June 2016. In November 2018, we published a further report reviewing the difference made by services working with children and young people through the findings of the full programme of joint inspections 2012-2017.

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In 2020/21 we will publish a report on the first six joint inspections of services for children and young people undertaken during the period 2018-20 focussing on children in need of care protection.

Significant case reviews – children and young people

In August 2016 we published a retrospective review of relevant reports completed in the period between 1 April 2012 and 31 March 2015. In December 2018, we will publish our second report covering the period 1 April 2015 to 31 March 2017.

In 2019/20 we will continue to discharge our responsibilities to gather Initial Case Reviews (ICRs) and review Significant Case Reviews (SCRs) with a view to publishing our 3rd report in 2019/2020 covering the period 1 April 2017 to 31 March 2019 in line with developments around a new national child death review process.

On 3 March 2017 the Scottish Government published a report on the child protection systems review undertaken by Catherine Dyer: [Protecting Scotland's Children and Young People: It is Still Everyone's Job](#) which made 12 recommendations, including recommendations in relation to Initial and Significant Case Reviews. In a statement to Parliament, the then Minister for Childcare and Early Years announced plans to expand the role of the Care Inspectorate to analyse Significant Case Review findings and share learning at a national level.

It was recognised that the Care Inspectorate currently receive copies of all Significant Care Reviews (SCRs) and the Systems Review Group recommended that Care Inspectorate's role be extended to act as a central repository for all Initial Case Reviews (ICRs) as well, and that the Care Inspectorate should explore development of a 'Community of Practice' portal to support better sharing of learning.

Further, it was recommended that the Care Inspectorate should hold an annual learning event to disseminate findings from ICRs and SCRs at a national level; and reports should provide anonymised case studies to emphasise the learning points.

We submitted a business case to Scottish Government on 2 May 2017 for additional resources to enable us to undertake these additional responsibilities and are awaiting a response. Fulfilment of these additional responsibilities is contingent on additional resources being identified or capacity otherwise being freed up. On 6 May 2018 we received confirmation from Scottish Government of funding to cover 'start-up costs' and the first two years 2018-19 and 2019-20.

Deaths of looked after children and young people

Where a child who is looked after dies, the local authority must inform the Care Inspectorate of his/her death. The Care Inspectorate examines the

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circumstances of the death to determine if there is any learning which can improve social work or care practice. The Children and Young People (Scotland) Act 2014 also requires local authorities to contact the Care Inspectorate in the event of a death of a person who is being provided with advice, guidance or assistance in relation to 'after care' or a person who is being provided with continuing care.

In 2019/20, we will continue to discharge our responsibilities in this area and discuss improvements to the processes and systems for doing so with the Scottish Government and local authorities in line with developments around a new national child death review process.

Inter-country adoptions

In 2019-20 we will continue to discharge our responsibilities in relation to quality assuring social work practice with a view to identifying and disseminating good practice.

Early Learning and Childcare

The Scottish Government's commitment to the expansion of the early learning and childcare entitlement for every three and four year old and eligible two years olds from 600 to 1140 hours by 2020 will result in an increase of the registration function of the Care Inspectorate. It is anticipated that there will be a large increase in the number of services and an extension to many existing services. We will work in partnership with providers, commissioners and policy makers to support the expansion. Our approach will be to support expansion and innovation and ensure a high quality experience for young people because of that.

To support the expansion of Early Learning and Childcare (ELC) from 600 to 1140 hours funded ELC for all three and four year olds and eligible two year olds by 2020, the Scottish Government has published a [Quality Action Plan](#). This is the first plan to support the implementation of the vision of A Blueprint for 2020: the Expansion of Early Learning and Childcare in Scotland. Two of the actions within the blueprint have already been delivered by the Care Inspectorate during 2017/18. In September 2017 the Care Inspectorate launched [Your Childminding Journey](#) – an online learning and development to help support childminders to reflect on their service and identify training and development needs. We also launched [My Childminding experience](#) – which shares good practice examples of how childminding experiences can benefit children. Last year we also led the development work on the Scottish Government's publication 'Space to Grow' (June 2017) which provides guidance on the provision of high quality environments, including outdoor spaces for ELC and Out of School Care (OSC) settings. Throughout 2019/20, we will use these seminal resources to champion effective practice and support improvement throughout the sector.

The Scottish Government have committed to providing an additional graduate – either a graduate practitioner with a relevant degree award or a teacher with early years expertise nurseries in the most deprived areas of the country by August 2018. It is estimated that 435 additional teachers or graduates will be

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required to deliver the commitment - based on Care Inspectorate data, and the latest SIMD, showing nurseries located in the 20% most deprived postcode areas.

During our inspections of ELC services in 2019/2020 we will gather evidence of the impact of this policy initiative on the experiences of children. In particular, from April 2019, the Care Inspectorate will include a specific focus in their inspections of early learning and childcare to assess the extent to which graduate-level practitioners are leading pedagogical practice and improving outcomes for children. This accord with Action 7 of A Blueprint for 2020: The Expansion of Early Learning and Childcare in Scotland Quality Action Plan. In 2018/19 we will plan to implement this in 2019/20

We will continue to play a key role in the delivery ELC and through our network of around 80 early years inspectors we will raise awareness of national policy developments to support the delivery of high quality, flexible, accessible and affordable provision by 2020 that gives young children the best start in life. As the quality action plan develops we will provide regular updates to staff. We will continue to be represented on many of the working groups; this will provide development opportunities for our own staff and support our role of delivering high quality scrutiny that supports innovation and improvement.

Shared Inspection Framework for ELC

The Scottish Government published 'Education Governance: Next Steps - Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children' on 14 June 2017. This outlined a range of reforms designed to help us achieve our shared national vision for children and young people: excellence and equity.

The review made the following key point and recommendation in relation to early learning and childcare inspection:

Some establishments are subject to inspection by both the Care Inspectorate and Education Scotland and while both Inspectorates have adopted a more joined up approach to inspection, respondents to the Governance Review reported that the current process is unsatisfactory, overly bureaucratic and can lead to confusion for parents. We believe that there is more that can be done to bring these two inspection processes more closely together.

The report committed Education Scotland and the Care Inspectorate to further enhance their single shared inspection model for early learning and childcare and ensure that an institution will only be subject to a single inspection per cycle.

During 2018/19 both organisations committed to developing a single shared inspection framework by December 2018. This first draft of the framework was circulated to the External Reference Group in September 2018.

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In 2019/20 along with our scrutiny partners Education Scotland we will implement the new single shared inspection framework.

Care Homes for Older People From August 2018 we implemented a revised approach to inspecting care homes for older people using an EFQM based framework and taking account of the new health and care standards.

Joint Strategic Inspections of Strategic Planning (Adults)

From April 2017, the Care Inspectorate and Healthcare Improvement Scotland have a joint duty under the Public Bodies (Joint Working)(Scotland) Act 2014 to assess and report on the effectiveness of integration authorities' strategic plans. In these early stages of the integration of health and social care, we will report on the progress which integration authorities are making towards a more collaborative culture and integrated approaches to planning and delivering services which should deliver improved outcomes for people in communities.

In 2018/19 we carried three joint inspections. We also carried out two progress reviews in areas where the need for improvement was identified during a previous inspection of services for older people.

In 2019-20 we propose to carry out a further three joint inspections. We will report to the public on findings in each area, with more detailed reporting to each Integration Joint Board (IJB) with the aim of supporting improvement. Areas for inspection will be decided following an agreed assessment process which will be based on, but not restricted to, identified risks and other intelligence. We will use a wide range of information to determine risks, including nationally agreed data; recent scrutiny findings conducted by the partners involved in the joint inspection or other relevant bodies; information from review and analysis of significant case reviews; scrutiny of self-evaluation activity and other relevant documentation. We will work with our scrutiny partners to agree the amount and focus of scrutiny activity required.

Depending on the outcome of inspections undertaken in 2018/19 we may need to carry out one or more progress reviews in 2019/20

Adult support and protection

The Care Inspectorate has a specific duty to inspect social work services, and whilst social work services have a key role to play in adult support and protection other services also have a statutory duty in this area of work, in particular police and health services.

In July 2018 we published a thematic review of Adult Support and Protection, carried out across six partnership areas in collaboration with HMICS and HIS. We are working with some of those areas and more widely to encourage partnerships to use the learning from this review to inform their own practice and strengthen their response to concerns.

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We are currently working with Scottish Government to determine any further scrutiny of adult support and protection that may be required in 2019/20 and beyond.

Thematic review of self-directed support implementation

This remains a key Scottish Government policy. The Care Inspectorate has a specific duty to inspect social work services that play a key role in planning, commissioning and delivering self-directed support.

During 2018/19, the Care Inspectorate is undertaking a thematic review of self-directed support in six areas across Scotland building on the findings of the Audit Scotland report published in early 2018. A particular aim of our thematic review is to explore the ability and confidence of front line staff to implement self-directed support legislation by offering choice and control and making decision with people about their support

We will provide feedback on each area and publish an overview report which will be disseminated more widely, with the expectation that all areas will then use these findings to evaluate their own practice and make improvements where necessary.

During 2019/20 we will take account of the findings and provide necessary support to individual; partnerships or more widely through our link inspectors depending on the findings of the 2018/19 review. We will also discuss with Scottish Government to determine any further scrutiny that may be required.

Outcomes and experiences of people in custody

Since 2015 the Care Inspectorate has supported the inspections of prisons led by Her Majesty's Inspector of Prisons in Scotland (HMIPS) in line with our responsibilities for reporting on the quality of social work services, including services to people in secure settings. . This joint work with HMIP is helpful in identifying how well prison-based services are working with those in the community to support better transitions and to meet the aims of reduced reoffending and greater community safety.

In 2018/19 we continued to support the work of HMIPS and supported four inspections strengthening our contribution to these in the context of the development of a new model for community justice and an increase in the proportion of older prisoners.

In 2019/20 will continue to support the work of HMIP and plan to commit to four inspections and strengthen our contribution to these inspections in the context of the development of a new model for community justice and criminal justice social work scrutiny and increased integration of health and social care.

Significant case reviews - adults

Since April 2015, the Care Inspectorate has had responsibility reviewing the quality of initial case reviews and significant case reviews about children and young people. We are currently in discussion with Scottish Government about undertaking a similar role in respect of Significant Case Reviews (SCRs) for adults and the resources that would be required to do so.

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Criminal Justice Social Work Services – Serious Incident Reviews (SIRs)

Serious Incident Reviews (SIRs) are subject of guidance issued by Scottish Government and together with Multi-Agency Public Protection Arrangements sets out responsibilities of services to conduct a SIR when a registered sex offender or offenders subject to statutory supervision are involved in a serious incident in the community. In effect, local authorities are required to submit an SIR to Scottish Government in respect of any such offenders who commit serious offences whilst subject to supervision (e.g. on parole or community payback orders). The Care Inspectorate reviews these Serious Incident Reviews, looking at decision-making and quality of practice when the offender became involved in a serious incident, and providing feedback to Scottish Ministers and the local authorities themselves.

In October 2018 we published our 2nd overview of themes arising from notifications submitted between February 2015 and December 2017.

In 2019/20 we will continue to discharge our responsibilities to quality assure SIRs. Our third report will be due for publication in 2020.

Community Justice

The Care Inspectorate has statutory responsibility for inspecting standards and furthering improvement of social work and social care in Scotland, including criminal justice social work.

In 2017/18 The Scottish Government asked the Care Inspectorate to lead on scrutiny and assurance activity of community justice and criminal justice social work in Scotland. This is to help support the implementation of community justice and provide up to date scrutiny of criminal justice social work.

A new strategic scrutiny team is in now place within the Care Inspectorate.

During 2018/19 we developed two strands to this work. One strand focussed on supporting and validating self-evaluation of community justice in Scotland and the other focussed on inspection of criminal justice social work services, with particular attention on community payback orders. Our intention is to provide a transparent and robust approach to scrutiny and inspection.

In 2018-19 we carried out two supported self-evaluations of community justice and 2 inspections of criminal justice social work.

In 2019/.20 we propose to build on this work and carry out two supported self-evaluations of community justice and three inspections of criminal justice social work.

Depending on the outcome of inspections undertaken in 2018/19 we may need to carry out one or more progress reviews in 2019/20.

Link Inspectors and Relationship Managers

For a number of years our strategic inspectors have been 'linked' to Community Planning Partnerships (CPPs), local authorities and relevant

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strategic planning groups and these are aligned to health board areas to pool expertise. In addition, relationship managers (Team Managers) are allocated to all local authorities and large national providers to conduct liaison concerning the regulation of care services.

Following the implementation of new management arrangements in the Care Inspectorate in April 2017 and a realignment of responsibilities, we wrote to Chief Executives of local authorities and IJBs./Health & Social Care Partnerships in October 2017 and to Chief Executives of Health Boards in November 2017 to let them know of action we have taken to confirm and strengthen our linking arrangements with them. We know from feedback collected in a number of different ways, that chief officers and their staff, and the chairs and lead officers of strategic partnerships, greatly value having identified individuals in the Care Inspectorate with whom they can maintain regular contact and meet routinely to discuss emerging issues. Our aim is to ensure that we provide them with designated contacts who can build knowledge of their area and the services they provide and commission to support the design, delivery and commissioning of high quality, safe and compassionate care that meets the needs, rights and choices of individuals.

Our link teams will consist of:

Strategic link inspector - Strategic inspectors help the Care Inspectorate to fulfil our responsibilities in monitoring the performance and quality of social work services. Their main links are therefore likely to be the chief social work officer and, given the context of the delivery of health and social care, the chief officer of the integration authority. Strategic inspectors encourage improvement in social work services through regular support and constructive challenge and helping to build capacity for self-evaluation. Strategic inspectors are responsible for scrutiny carried out at authority or strategic partnership level and coordinate the Care Inspectorate's contribution to the Accounts Commission-led shared risk assessment process and input to the Sharing Intelligence for Health and Care Group.

Relationship Managers

Our team managers carry out the role of relationship manager. We have assigned a relationship manager from our adult services team and one from our children's team to each council area/integration authority. Relationship managers will be a point of contact for identified managers in the area with whom they will establish and maintain a positive, collaborative relationship. This will involve sharing information and intelligence on the performance of regulated care services and supporting improvement and innovation.

The breadth of the Care Inspectorate's regulatory, scrutiny and quality assurance functions also requires us to engage with a range of strategic partnerships, including child, adult and public protection committees. Our role as an independent scrutiny body makes it inappropriate for us to be full members of such committees but it is helpful for us to participate in meetings on occasion, either by invitation or request. Our link team will consider with

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partnerships the most appropriate person to attend meetings, depending on the agenda for discussion.

They also have a role in the new education governance regional improvement collaboratives (RICs) or other strategic partnerships that may evolve over time

Regional Improvement Collaboratives

As noted earlier, the publication in July 2017 of Education Governance: Next Steps led to the establishment of six regional improvement collaboratives (RICs) with an expectation that that these include representation from both Education Scotland and the Care Inspectorate. The role and responsibilities of the RICs will continue to develop and for most collaboratives are expected to cover a wide range of children’s services with a particular focus from the outset on early learning and childcare.

In November 2017 we wrote to the improvement leads of each RIC to advise them of these new arrangements and the contact details of their relationship manager. In 2018/19 we will continue to use our strategic link Inspectors and relationship managers in this way and implement our improved approach.

6.0 IMPROVEMENT SUPPORT ACTIVITY

The Care Inspectorate has a statutory function to further improvement in the quality of social services. Our approach to scrutiny, described above, means that we provide extensive diagnosis showing what works, and what requires to improve. Where improvement is needed, it is the responsibility of the service provider and leaders to ensure improvement happens. The Care Inspectorate is one of a number of partners to support this improvement, but we play a unique role in assessing the extent to which it has satisfactorily occurred and by taking enforcement action where a failure to make improvements places people at unacceptable risk.

Local improvement support

Every day, our inspectors support improvement at a local level. Scrutiny done well is an improvement activity. Inspectors work with managers to spread good practice, discuss sectoral developments, and signpost to knowledge, resources, and examples of good practice. Our direct involvement at the point of service delivery is an effective and cost-effective way of ensuring that scrutiny supports improvement. Historical approaches to scrutiny suggested a tension between scrutiny and improvement. We have not found evidence to suggest that an inspector cannot support improvement during, and outwith, inspections and we have extensive evidence of this relationship working well. During 2019/20 we will continue this approach developing capability in our workforce to further support improvement and pay heed to the Scottish Regulators’ Strategic Code of Practice.

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Knowledge Hub

The Care Inspectorate's online knowledge Hub is an extensive and edited resource to support improvement and promote innovation in care. It brings together key resources for managers to plan service delivery and support staff development and training. During 2019/20, we will continue to expand the site's content and streamline the structure of it to be simpler for care staff to access and search. We will also continue to promote resource materials on specific areas which support improvement, including around safer recruitment and dementia care.

Improvement Support Team

As well as our inspection staff supporting improvement daily, the Care Inspectorate has an Improvement Support Team (IST) which consists of improvement advisors and consultants who lead and support improvement locally and nationally. The IST support improvement in many ways including developing guidance, providing advice, supporting providers and their services to focus on specific improvements and working with partner organisations to develop educational solutions for the care sector and contribute to strategic improvement activity.

Care Inspectorate-led improvement programmes

During 2019/20, we will undertake a wide range of national improvement programmes which are designed to support improved experiences of, and outcomes for, people.

We will complete the Care About Physical Activity programme which supports partnerships, care homes, care at home and housing support services to enable older people to become and remain physically active. With funding from Active Scotland, we have a team of improvement advisors supporting up to 8 partnerships who work with around 160 care services.

During 2019/20, we will continue to work with the Life Change Trust and other partners to run an improvement programme to support better ways of communication with and between people who live with dementia and experience care. We will combine this with evidence from our scrutiny to support care services and partnerships to improve their provision for people living with dementia.

During 2019/20, we will continue to develop our Arts in Care partnership with Creative Scotland and Luminare, seeking to facilitate new ways of ensuring people experiencing care can access high-quality creative arts.

During 2019/20, we will continue to provide improvement support in relation to continence care to embed tested and effective practice in care homes and care at home care services.

During 2019/20, we will continue to work with a range of partners to provide improvement support around the administration of medication in care homes spreading tried and tested change ideas.

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During 2019/20, we will continue to work with a range of ELC providers and local partnerships to support improvement in identified areas, including around outdoor play, artistic creativity, physical activity, gender-neutral play, and early nutrition.

Supporting improvement with a range of partners

We will continue to work with a range of partners, including the Improvement Service, COSLA, Scottish Care, CCPS, Education Scotland and Healthcare Improvement Scotland. We will continue to support the ihub, playing a major role in improvement programmes in care services. Our staff will support the delivery of ihub programmes around tissue viability, dementia care, and living well in communities. We will continue to work with the national improvement group of organisations providing improvement support and shared services to local partnerships. We will continue to work in partnership with Healthcare Improvement Scotland and other partners to support the redesign of local out of hours care services, focusing on the local care pathway and the recommendations from the Lewis Ritchie report.

7.0 BENEFITS FOR PEOPLE WHO EXPERIENCE CARE

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 experiences by people who experience care, support and social work. It will guide the Care Inspectorate's work to ensure it is resourced, well-focused and of significant benefit to people who experience care and their families and carers.

8.0 CONCLUSION

This is a time of significant change across integrated health and social care, early learning and childcare, social work, and criminal justice social work. This plan sets out an ambitious approach to supporting improved outcomes for people experiencing care during this time. The Care Inspectorate's programme of work offers assurance and protection for people who use services, appropriate improvement support where that is required, support for innovation, and the opportunity to create an evidence base to inform the development of public policy which supports Scottish Government ambitions and supports people to experience a better quality of care.

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