| CARE INSPECTORATE |
| PROFESSIONAL ASSURANCE FRAMEWORK |

1. INTRODUCTION

This professional assurance framework sets out how the Care Inspectorate supports the professional regulation and development of care service scrutiny and improvement staff and other staff groups who have a contractual requirement to hold and maintain professional registration as a core requirement of their role. The framework provides internal and external assurance that our professionally registered staff hold and maintain their required registration with the relevant professional regulator.

Implementation of this framework provides evidence of the structures and processes in place to provide the necessary level of internal scrutiny and assurance across all of our professionally registered staff. This framework covers all Care Inspectorate staff employed on the basis of their professional registration in a health, nursing, social work, social care or education related fields.

2. WHY IS THIS PROFESSIONAL ASSURANCE FRAMEWORK NECESSARY?

The qualifications, skills, competencies and professional registration of our care scrutiny and improvement staff are fundamental to our effectiveness as an independent regulator and scrutiny body. We need to ensure that our staff engaged in direct scrutiny and improvement roles have a clear understanding of their role and function, reporting lines, professional lines of support and accountability. We need to ensure that we have processes in place to understand our workforce capacity against demand, along with what skills we need and how we support our staff to retain those skills and competencies. This framework assists the Care Inspectorate with that assurance by describing how our staff who are registered are supported to remain so.

All of our health, nursing, social work, social care and improvement staff are employed by virtue of their qualification. Those who are employed in the role of Inspector, also have to evidence competence and skill in relation to the National Occupational Standards for Inspectors of Health & Social Care, along with evidence of competency in relation to their core professional qualification.

3. HOW WE WILL USE THIS PROFESSIONAL ASSURANCE FRAMEWORK

We will use our professional assurance framework to support the following activities:

- To confirm there is a system of assurance in place to ensure registration requirements are met and maintained
- To review and strengthen existing arrangements to monitor and support practice, governance and reporting arrangements for our professionally registered staff
- To highlight and act on areas for improvement to support the professional registration of our staff
- To reinforce the importance of professional conduct and competence within LEAD and our supporting personal development and review processes
- To ensure all professionally registered staff are competent, skilled and supported to maintain and develop their professional registration and work in line with their professional code and the Care Inspectorate code of conduct
- To ensure that we have the right staff with the right knowledge and skills to meet our responsibilities as a regulator and scrutiny body within a dynamic regulatory and scrutiny landscape.

4. PROFESSIONAL REQUIREMENTS

All registered professionals have professional accountability to their respective codes of practice, while being contractually accountable to the Care Inspectorate as their employer. They are also accountable for their actions and decision making.

The primary accountability for maintaining professional registration lies with the individual registrant and this is specified in the relevant Care Inspectorate contracts of employment. This is also confirmed by the requirements of professional regulators.

As an employer, the Care Inspectorate is also responsible for supporting staff to maintain their professional registration through learning, development, supervision and reflective practice.

5. SCOPE OF PRACTICE

It is the responsibility of all health, nursing, social work, social care and other registered staff to be aware of their own competency and capability, working within the parameters of their role and professional code of practice. As an employer, the Care Inspectorate will also ensure we have appropriate governance arrangements in place to assure that all health, nursing, social work, social care and other professionally registered staff have the right skills and competencies to undertake their role.

The relevant professional codes of practice define specific expectations for registered members as summarised below.

For nurses and midwives, the NMC Code is structured around four themes – prioritise people, practise effectively, preserve safety and promote professionalism

and trust. Professional standards of practice and behaviour for nurses and midwives, include the following key requirements:

- Must maintain the knowledge and skills you need for safe and effective practice.
- Must work within the limits of your competence.

For social workers and social care registered staff, the SSSC has clear Codes of Practice that set out the standards of professional conduct and practice required, including:
- must be accountable for the quality of their work and take responsibility for maintaining and improving their knowledge and skills.
- This specifically includes meeting relevant standards of practice in a lawful safe way, clear and accurate recording, seeking appropriate assistance if you are uncertain about how to proceed in a work matter and undertaking relevant training.

For AHPs, the Health and Care Professions Council has the Standards of Conduct, Performance and Ethics; in which duties as a registrant are stated clearly. In particular:

- You must keep your professional knowledge and skills up to date.
- You must act within the limits of your knowledge, skill.

For teachers, the GTC Scotland has the Code of Professionalism and Conduct that set out the standards of professional conduct and practice required, including:

- You should maintain and develop your professional practice to ensure you continue to meet the requirements of the Standard for Full Registration which comprise:
    − Professional knowledge and understanding
    − Professional skills and abilities
    − Professional values and personal commitment.
- You should refresh and develop your knowledge and skills through Continuing Professional Development and maintenance of reflective good practice.

6. APPLICATION OF THE ASSURANCE FRAMEWORK

This framework applies to all health, nursing, social work, social care, education and other professionally registered staff within the Care Inspectorate, to help support them in their role and development. The framework also supports our managers and leaders to meet their responsibilities to support and understand the role and framework that Care Inspectorate health, nursing, social work, social care and other professionally registered staff work within. As an organisation we are committed to ensuring that our professionally registered staff are fully equipped, supported and supervised in their roles. The framework sets out what is needed in relation to this in

the form of a 'Driver' Diagram, providing clarity and explains how to provide assurance that systems are in place and that these systems are working effectively.

CARE INSPECTORATE PROFESSIONAL ASSURANCE FRAMEWORK

Aim: To ensure that we have a skilled and competent workforce who provide scrutiny and improvement support to services with information, guidance and ideas for sustainable improvements that lead to high quality care.

Aim	Assurances	Signposting / supporting information
All registrants are competent, skilled and maintain a current and valid registration.	• Staff with the right skills and values are recruited in line with organisational requirements. • Staff receive a comprehensive induction upon commencement. • Staff undertake mandatory qualifications and training. • Staff receive formal supervision where professional support and development take place in line with the LEAD Policy. • Staff have agreed objectives to support professional development. • Staff have access to professional support. • All staff are aware of their responsibilities in regard to upholding the principles of the Health and Social Care Standards. • All practitioners have regular supervision that enables opportunities for reflective practice including peer discussions.	• Recruitment Policy and Procedures: scrutiny staff must have qualification, skills and be professionally registered (📄 RS Policy-2013.pdf) • Person specification and job description for scrutiny role • Care Inspectorate Code of Conduct, the Code of Practice of SSSC and other relevant professional regulators • Induction Programme and mentor. Inspection Ready – 3 months • Inspector skills matrix • Employee development model • PDA Learning Outcomes, curriculum and assessment • National Occupational Standards for Inspectors of Health and Social Care • Professional Register • Mandatory training programme for each specialist team in place and currently being reviewed • LEAD Policy and guides (📄 LEAD Policy v1.2 (1).pdf) • Learning and development Policy (📄 Learning and Development policy V1.pdf) • Improvement Strategy (📄 Improvement Strategy 2019 2022.pdf) • NES Quality Improvement Zone on TURAS • Health and Social Care Standards (HSCS) • Care Inspectorate's Code of Conduct • Corporate Plan (📄 Corporate Plan 2019-2022.pdf) • Strategic Workforce Development Plan 2019–2022 (📄 Strategic Workforce Development Plan 2019.pdf) • Practice development groups.

Aim	Assurances	Signposting / supporting information
All registrants are enabled and supported to maintain and develop their professional registration and work to their professional code.	• All staff work within their level or sphere of competency, knowledge & skill. • Our staff, systems and processes take account of evidence-based practice at all times. • All staff are accountable to maintain their own knowledge and practice within their specialist field.	• Induction programme and mentor. Inspection Ready 3 months or sooner. • Person specification and job description for scrutiny role • Care Inspectorate Code of Conduct, the Code of Practice of SSSC and other relevant professional regulators • PDA Learning Outcomes, curriculum and assessment • National Occupational Standards for Inspectors of Health and Social Care • NES Quality Improvement Tools on TURAS • Scottish Patient Safety Tools • Through regular 1-1s and objective setting through LEAD managers are aware of the staff members competencies, abilities & area of practice. • Managers support staff to increase competencies and abilities through objective setting, support and shadowing. LEAD Policy v1.2 (1).pdf • All managers support re-validation/ registration processes for staff in their teams • Up to date practice resources are readily available and staff are up-dated on changes to practice. HUB and inspection tool box (The HUB, Self-evaluation for improvement – your guide and Inspections). • All staff understand they are accountable and responsible for their own learning and practice, and to maintain this. People are aware of own professional code requirements. • Scrutiny policies and procedures (Inspection Guidance), (Complaints Procedure), (Registration Guidance) • Scrutiny and Assurance Quality Assurance • Coaching programme (Coaching Strategy) • Capability policy to support staff to meet professional standards (Capability Policy)

Aim	Assurances	Signposting / supporting information
		- Practice development groups - Whistleblowing policy (Whistleblowing Policy) - Disciplinary policy (Disciplinary Policy) - Grievance policy (Grievance Policy)
Ensure that we have the right staff with the right skills to meet our responsibilities as a regulator and scrutiny body within a dynamic regulatory and scrutiny landscape.	- Workforce strategy is up to date and informed by demand and intelligence. - Recruitment is planned strategically and is informed by the needs of teams to do what we are funded to do and linked to resources.	- Strategic Workforce Plan 2019 – 2022 (Strategic Workforce Development Plan 2019.pdf) - Scrutiny and Assurance Staffing and Capacity Meeting and Minutes chaired by Director of Scrutiny and Assurance, held monthly - Recruitment Strategy (RS Policy-2013.pdf) - Performance monitoring of KPIs and work. - Workload management tools and diary exercise for monitoring time to do work and how this meets resources. - OLT - SLT - Board Audit Committee