

## **DUNDEE CITY COUNCIL**

**REPORT TO: SOCIAL WORK COMMITTEE –19 November 2001**

**REPORT ON: REGISTRATION AND INSPECTION ANNUAL REPORT**

**REPORT BY: DIRECTOR OF SOCIAL WORK**

**REPORT NO: 752 - 2001**

### **1.0 PURPOSE OF THE REPORT**

The report informs members about the operation of the Registration and Inspection Unit from 01 April 2000 to 31 March 2001.

### **2.0 RECOMMENDATIONS**

It is recommended that the Social Work Committee:-

- 2.1 Notes and approves the content of the Annual Report.
- 2.2 Instructs the Director of Social Work to forward the report to the Scottish Executive.
- 2.3 Instructs the Director of Social Work to make the report publicly available.

### **3.0 FINANCIAL IMPLICATIONS**

None

### **4.0 LOCAL AGENDA 21 IMPLICATIONS**

None

### **5.0 EQUAL OPPORTUNITIES IMPLICATIONS**

The annual report is available to all care groups, their carers and representatives.

### **6.0 MAIN TEXT**

- 6.1 This is the fifth annual report on the registration and inspection work carried out by the Social Work Department. The main duties of this service are to regulate a range of care provision through the processes of registration and inspection. A system of public reporting is provided to ensure that detailed information is available to any agency or individual with an interest in the quality and performance of residential and day care services operating in Dundee. The service also maintains and publishes a live register of the care provision which is regulated.
- 6.2 The main regulatory responsibilities of the service are to register and inspect residential and day care services for vulnerable children and adults . This includes establishments which provide support to older people and other vulnerable adults. Residential services for children who are looked after are also inspected.  
  
The regulation service further extends to day care provision for children under 8 years old including nurseries, playgroups and childminding. The registration and inspection service also has a duty to investigate any complaints received regarding registered services.

- 6.3 The service is organised across two teams. The Community Care registration and inspection team was established in April 1991 as an “arms length” unit within the Social Work Department through the implementation of the National Health Service and Community Care Act 1990. The Early Years registration and inspection team was established in 1997 under the Children Act 1989 and was originally located within the Quality Assurance Unit before transferring to the Social Work Department Childrens’ Services section. This year the Early Years part of the regulatory service was integrated into the arms length Registration and Inspection Unit which is now located at Harefield House in Lochee.
- 6.4 This report details the work carried out by the Registration and Inspection service for the year 2000–2001. The report is published at a time of major national changes in the system of regulation which will directly impact the local arrangements in Dundee.
- 6.5 As from April 2002 the function of registration and inspection will transfer out of the Local Authority to the Scottish Commission for the Regulation of Care. The Commission will be a national independent body which will register and inspect an expanding range of social care provision across Scotland. This range will include services provided by Local Authorities and these will have to be registered for the first time. The new arrangements will be implemented under the requirements of the Regulation of Care (Scotland) Act 2001. These reforms are welcome and will aim to provide a fair and consistent regulatory service throughout Scotland.
- 6.6 The Social Work Department is currently involved in the preparatory work necessary to ensure a smooth transition of the service to the Commission. Throughout these changes the priority of the Registration and Inspection service remains the safeguarding of vulnerable service users in Dundee. It is essential that this remains the focus of all decisions and actions and this report outlines the activities undertaken during the year 2000–2001.
- 6.7 Copies of the annual report are available for members to read in the members lounge.

## **7.0 CONSULTATION**

- 7.1 Consultation has been held with the Director of Support Services and the Director of Finance in the preparation of this report.

## **8.0 BACKGROUND PAPERS**

No background papers, as defined by Section 50D of the Local Government (Scotland) Act 1973 (other than any containing confidential or exempt information), were relied on to any material extent in preparing the above report.

## **9.0 SIGNATURE**

Director of Social Work

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Date

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9 November 2001

## LIST OF ESTABLISHMENTS IN DUNDEE

Name of Facility	Registration Category	No of Places	Provider Status	Address
Alpin Road Young People's Unit	C	3	LA	5 Alpin Road Dundee
Balgowan Avenue Young People's Unit	C	5	LA	57/59 Balgowan Avenue, Dundee
Duncan Place Young People's Unit	C	5	LA	7 Duncan Place, Dundee
Fairbairn Street Young People's Unit	C	5	LA	7 Fairbairn Street, Dundee
The Elms, Close Support Unit	C	5	LA	317 South Road, Dundee
Gilburn Road Residential Respite Unit	C	6	LA	Gilburn Road, Dundee
Strathcarron Young People's Unit	C	5	LA	20 Strathcarron Place, Dundee
NCH Cowan Grove	C	6	V	5 Cowan Place, Dundee
Parview Residential School	C	24	P	309 Blackness Road, Dundee
Craigie at Douglas	OP	36	LA	8 Balunie Drive, Dundee
Janet Brougham House	OP	45	LA	Robertson Street, Dundee
Menzieshill House	OP	40	LA	Dickson Avenue, Dundee
Turriff House	OP	39	LA	4 Rannoch Road, Dundee
Duneaves Residential Home	OP	23	V	7 Claypotts Road, Broughty Ferry, Dundee
Ferry House Residential Home	OP	16	V	8 Gray Street, Dundee
St Anne's Cottage	OP	8	V	30 Lawside Road, Dundee
St Joseph's Wellburn	OP	24	V	118 Liff Road, Dundee
St Margaret's Home	OP	32	V	Victoria Road, Dundee
The Cedars	OP	15	P	303 Perth Road, Dundee
Helenslea	OP	26	P	14 Fairfield Road, West Ferry, Dundee
Inverellen	OP	16	P	2/4 Ellen Street, Dundee
Redwood House	OP	30	P	53 Seafield Road, Broughty Ferry, Dundee
Balcarres	OP	40	P	64 Albany Road, West Ferry, Dundee
Brae Cottage	OP	17	P	89 Queen Street, Broughty Ferry, Dundee
Forebank Residential & Nursing Home	OPD	8	P	26 Forebank Street, Dundee
Gowrie Care, Tullideph Network	LD	5	V	41 Tullideph Place, Dundee
Gowrie Care, Canning Place	LD	10	V	6 Canning Place, Dundee
Gowrie Care, Hillbank Road	LD	4	V	1 Hillbank Road, Dundee
Gowrie Care, Martingale Gardens	LD	3	V	Flat 8, 1 Martingale Gardens, Dundee
Gowrie Care, David Street	LD	10	V	27 David Street, Broughty Ferry, Dundee
Springhill Gardens	LD	3	V	9 Springhill Gardens, Dundee
DCL, Coniston Terrace	LD	4	LA	39-41 Coniston Terrace, Dundee
DCL, Douglasfield	LD	2	LA	18 Douglasfield Crescent, Dundee
DCL, Lochee Road	LD	5	LA	167 Lochee Road, Dundee
DCL, William Barclay Square	LD	3	LA	16 William Barclay Square, Dundee
DCL, St Fillans Road	LD	3	LA	82 St Fillans Road, Dundee
Elmgrove House	LD	9	LA	315 South Road, Dundee
Maryfield House	LD	24	LA	20B Mains Loan, Dundee
Strathmore Cottages Respite Unit	LD	3	LA	296B Strathmore Avenue, Dundee
Westport House	PD/LD	5	V	Temple Lane, Dundee

Mackinnon Centre	PD/LD	12	LA	491 Brook Street, Broughty Ferry, Dundee
Whitetop Centre	PD	3	LA	Westfield Avenue, Dundee
Dundee Supported Unit Project (SAMH)	MH	8	V	16B Fleming Gardens, Dundee
Dundee Cyrenians Night Shelter	DAM	15	V	2 Sugarhouse Wynd, Dundee

REGISTRATION KEY

C	Children
OP	Older People
OPD	Older People with Dementia
LD	Learning Disabilities
PD	Physical Disabilities
MH	Mental Health
DAM	Drugs/Alcohol/Mental Health

PROVIDER STATUS KEY

LA	Local Authority
P	Private
V	Voluntary

## APPENDIX 2

### LIST OF ESTABLISHMENTS IN DUNDEE EARLY YEARS

Name of Facility	Provider Status	Max No. of children	Age (Years)	Address
Abacus	P	15	0-2	4 St Peter Street, Perth Road Dundee
Abacus	P	35	2-8	
Abacus	P	8	2-5	8 Lethnot Street, Dundee
Balgillo Nursery	P	30	2-5	56 Torridon Road, Broughty Ferry, Dundee
Buttons & Bows Nursery	P	30	2-5	3-5 Raglan Street, Dundee
Coringa Nursery	P	30	0-5	137 Strathern Road, West Ferry, Dundee
Daisies Kindergarten	P	(no more than 12)	under 2	
		14	0-2	Olde Mill Complex, Brown Street, Dundee
		46	2-8	
Dundee University	V	40	2-5	Balfour Place, Dundee
Gate Nursery	P	24	2-5	Springfield Primary School, Tranent Grove, Whitfield Dundee
Happy Days Nursery	P	9	0-2	2 Old Claverhouse Road, Dundee
		45	2-8	
Kiddycare Nursery	P	60	2-5	112 Cowgate, Dundee
Langlea Nursery	P	28	2½-5	Balgillo Road, Broughty Ferry, Dundee
Little Butterflies	P	24	2-5	Northern College, Gardyne Road, Dundee
Nursery Rhymes	P	18	2-5	333 Brook Street, Broughty Ferry, Dundee
Oranges & Lemons	P	50	2-5	Block 1a Dunsinane Avenue, Dunsinane Industrial Estate, Dundee
Oranges & Lemons II	P	43	0-5	Block 1a Dunsinane Avenue, Dunsinane Industrial Estate, Dundee
Oranges & Lemons Nursery	p	(no more than 21)	under 2	
		50	0-5	2 Clement Park Place, Dundee
		(no more than 35)	2-5	
		(no more than 15)	under 2	
Oranges & Lemons Nursery	P	50	0-5	60-68 Constitution Street, Dundee
Rosebank I		(no more than 15)	under 2	
Organes & Lemons Nursery	p	50	0-5	60-68 Constitution Street, Dundee
Rosebank II		(no more than 15)	under 2	
The Teddy Bear Club	P	50	0-5	Thomas Wise Place, Dundee
		(no more than 16)	under 2	
'Tinies' (Meadowside St Paul's)	P	24	2-5	118 Nethergate, Dundee
Wonderland Private Nursery	P	4	under 2	71 Simpson Court, Ninewells, Dundee
		18	2 & under 3	
		or		
		4	under 2	
		22	3-8	
Wonderland Nursery	P	49	0-8	1a Thistle Street, Dundee
		(no more than 7)	under 2	
		22	2 & under 3	
Fitness First Creche	P	18	2-8	Main Street, Hilltown, Dundee
Dundee Sitter Service	V		0-8	101 Whitfield Drive, Dundee
Ardler PLYgroup		24	2½-5	Ardler Neighbourhood Centre, Turnberry Avenue, Dundee
Barnhill Playgroup	V	24	2½-5	Barnhill Clinic, Campfield Square, Barnhill, Dundee
Cleington Playgroup	V	18	2½-5	Cleington Primary School, Eliza Street, Dundee
Fintry Community Playgroup	V	24	2½-5	Findcastle Street, Dundee
Grove Playgroup	V	24	2½-5	Grove Academy, Camperdown St, Broughty Ferry, Dundee
Jolly Bears Playgroup	V	24	2½-5	Menzieshill Community Centre, Orleans Place, Dundee
Little Lodgers Playgroup	V	18	2½-5	21 South George Street, Dundee
Menzieshill Church Playgroup	V	24	2½-5	Charleston Drive, Dundee
St Margaret's Playgroup	V	24	2½-5	St Margaret's Church Hall, Dalhousie Road, Barnhill, Dundee
Sunshine Playgroup	V	24	2½-5	Douglas Community Centre, Balmoral Avenue, Dundee

West End Playgroup	V	24	2½-5	Menzieshill Community Centre, Orleans Place, Dundee
Barnhill OOSCC	V	20	5-8	Barnhill Primary School, 5 Falkland Crescent, Dundee
B.J's Fun Club	V	24	5-8	Blackness School, Hawkhill, Dundee
B.J.s Fun Club	V	14	5-8	St Joseph's Primary School, Bellefield Avenue, Dundee
Boomerang Club	V	24	5-8	Douglas Neighbourhood Resource Centre, Balmoral Avenue, Dundee
Cherry Drop Club	V	24	5-8	Mid Craigie Primary School, Pitairlie Road, Dundee
Craigie OOSC	p	16	5-8	Northern College, Gardyne Road, Dundee
Downfield OOSC	V	22	5-8	Downfield Primary School, East School Road, Dundee
Finlathen Playtime	LA	16	5-8	Leisure and Recreation, Fountainbleau Drive, Dundee
The Fun Factory	V	16	5-8	Park Place Primary School, Park Place, Dundee
Forthill OOSC	V	40	5-8	Forthill Sports Centre, Fintry Place, Broughty Ferry, Dundee
Glebelands OOSC	V	48	5-8	Glebelands Primary School, Baffin Street, Dundee
Happy Hour OOSC	V	30	5-8	Ardler Primary School, Turnberry Avenue, Dundee
Hilltown OOSC	V	21	5-8	Rosebank Primary School, Rosebank Street, Dundee
Kids Fun House	V	16	5-8	St Luke's & St Matthew's Primary School, Longhaugh Road, Dundee
Kirkton Playtime	LA	16	5-8	Lochee Park Pavillion, Ancrum Road, Dundee
Menzieshill OOSC	V	40	5-8	Menzieshill Neighbourhood Centre, Orleans Place, Dundee
Schools Out	V	40	5-8	Halls of East Church, Queen Street, Broughty Ferry, Dundee
Bardardos Out and About	V	6	4-8	14 Dudhope Street, Dundee
King's Sports Camps	V	64	5 & under 8	Northern College, Gardyne Road, Dundee
Ormiston Holiday P Layscheme	V	30	5-8	Ormiston People's Community Lounge, The Square, Ormiston Crescent, Dundee
Youth Deaf Club	V	16	5-8	Tayside & The Western Isles Association for the Deaf, 36 Roseangle, Dundee
173 Registered Childminders	P	Variable	0-8	City Wide – addresses on request.

KEY	LA	Local Authority
	P	Private
	V	Voluntary
	OOSC	Out Of School Club
	OOSCC	Out of School Care Club

# **DUNDEE CITY COUNCIL REGISTRATION AND INSPECTION SERVICE**

## **ANNUAL REPORT 2000–2001**

### **1 INTRODUCTION**

This is the fifth annual report on the registration and inspection work carried out by the Social Work Department. The main duties of this service are to regulate a range of care provision through the processes of registration and inspection. A system of public reporting is provided to ensure that detailed information is available to any agency or individual with an interest in the quality and performance of residential and day care services operating in Dundee. The service also maintains and publishes a live register of the care provision which is regulated.

The main regulatory responsibilities of the service are to register and inspect residential and day care services for vulnerable children and adults. This includes establishments which provide support to older people and other vulnerable adults. Residential services for children who are looked after are also inspected. The regulation service further extends to day care provision for children under 8 years old including nurseries, playgroups and childminding. The registration and inspection service also has a duty to investigate any complaints received regarding registered services.

The service is organised across two teams. The Community Care registration and inspection team was established in April 1991 as an “arms length” unit within the Social Work Department through the implementation of the National Health Service and Community Care Act 1990. The Early Years registration and inspection team was established in 1997 under the Children Act 1989 and was originally located within the Quality Assurance Unit before transferring to the Social Work Department Childrens’ Services section. This year the Early Years part of the regulatory service was integrated into the arms length Registration and Inspection Unit which is now located at Harefield House in Lochee.

This report details the work carried out by the Registration and Inspection service for the year 2000–2001. The report is published at a time of major national changes in the system of regulation which will directly impact the local arrangements in Dundee.

As from April 2002 the function of registration and inspection will transfer out of the Local Authority to the Scottish Commission for the Regulation of Care. The Commission will be a national independent body which will register and inspect an expanding range of social care provision across Scotland. This range will include services provided by Local Authorities and these will have to be registered for the first time. The new arrangements will be implemented under the requirements of the Regulation of Care (Scotland) Act 2001. These reforms are welcome and will aim to provide a fair and consistent regulatory service throughout Scotland.

The Social Work Department is currently involved in the preparatory work necessary to ensure a smooth transition of the service to the Commission. Throughout these changes the priority of the Registration and Inspection service remains the safeguarding of vulnerable service users in Dundee. It is essential that this remains the focus of all decisions and actions and this report outlines the activities undertaken during the year 2000–2001.

### **2 THE REGISTRATION AND INSPECTION UNIT**

On 25 September 2000 the Early Years service moved from the social work offices in Kirkton and the Community Care service moved from the leased premises at Yeaman Shore in the Nethergate Centre. Both teams relocated to Harefield House which is situated in Clement Park Place and was formerly a residential home for older people.

The Social Work Committee approved the relocation of the Early Years Registration and Inspection service in March 2001. The management arrangements were reviewed to ensure a more integrated approach and help prepare for the future transfer of the regulatory function in 2002. Both the Community Care and the Early Years services were brought together under one management structure.

The service is managed by the Head of Registration and Inspection who reports regularly to the Director of Social Work and the Advisory Committee. These reporting mechanisms and the "arms length" nature of the service are important in ensuring that an even handed approach is maintained when inspecting local authority services. Under the current legislation the regulatory arrangements require that services provided by the independent sector register with the local authority. Services provided by the social work department are exempt from this requirement.

These services are therefore inspected but not registered. Following the implementation of the Regulation of Care (Scotland) Act 2002 services provided by the social work department will be required to register.

Registration criterion are set out in legislation and applied in Dundee in accordance with statute and the national guidance issued by the Scottish Executive in 1998. The inspection of services is conducted through the application of locally agreed standards which have been developed by Dundee City Council following a process of consultation with a wide range of stakeholders. These standards will be superseded in April 2002 by the national care standards developed through the work of the National Care Standards Committee. All providers of registered care services including local authority services will be required to meet national standards. The current range of standards applied in Dundee is wide and reflects the range and diversity of the services provided. The services regulated at the time of reporting are detailed in Appendices 1 and 2.

### **3 REGISTRATION AND INSPECTION STAFF**

There has been a change to the overall staffing complement of the registration and inspection service as well as further changes within the staff groups.

The Community Care and Early Years services are managed by the Head of Registration and Inspection. The Community Care team has 2 full time Inspection Officers supported by an Admin Officer. A temporary appointment was made to cover a period of maternity leave which began in February 2001. There are 2 part time WP Operators and a part time Clerical Assistant post within the team. The service experienced a total of 206 days of staff absence which included a prolonged period of long term sick leave (133 days). This figure excludes a period of maternity leave which was timeously covered by temporary staff.

The Early Years team is line managed by a Senior Resource Worker and there are 2 Resource Worker posts. The staffing compliment did alter during the year when a part-time resource worker vacancy was frozen. The team are supported by a full time Clerical Assistant. Since the move to Harefield House the Admin Officer is also able to offer direct support. There were 76.5 days lost from this service through staff absence during the year.

During the year there were 3 resignations from within the support staff group. All moved on to take up other posts within Dundee City Council. The relocation to Harefield House was a major factor in these moves. These vacancies were filled during the year.

### **4 COMMUNITY CARE**

#### **i) Inspection Activity**

The performance target applied to the Community Care service is the completion of 2 inspections per year for each establishment on the register. Once again this target was met and in many instances exceeded. Every care home received a full annual inspection which was announced in advanced and resulted in the publication of a detailed inspection report together with any action plan needed to address the findings of the inspection. At least one unannounced inspection visit was also conducted and reported on for each establishment.

Additional visits are sometimes conducted where there is a need to provide support and guidance to providers or as part of a monitoring programme where there are concerns about the standards of care. These visits do not always result in a public report and are therefore not included in the formal performance targets.



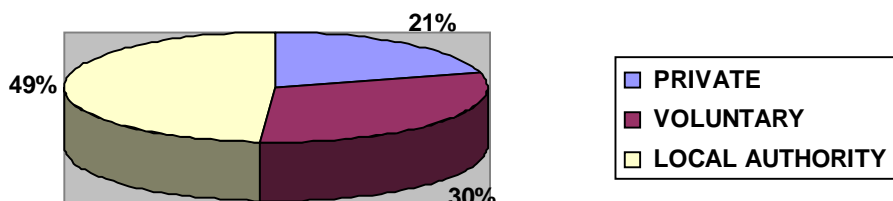
## COMMUNITY CARE INSPECTIONS 2000-2001

SECTOR	TOTAL NUMBER OF INSPECTIONS	AVERAGE NUMBER OF INSPECTIONS
PRIVATE	19	2.1
VOLUNTARY	26	2.0
LOCAL AUTHORITY	40	2.0
<b>TOTALS</b>	<b>85</b>	<b>2.0</b>

### ii) The Pattern and Levels of Provision for 2000–2001

There were no significant changes to the overall pattern or level of the provision inspected during the year. There is a mixed economy of care provision in Dundee. The majority of care for children and young people is provided by the local authority whilst provision for older people and other adults is shared relatively evenly between the independent and local authority sectors.

### BALANCE OF CARE



Previous Levels 1999/2000 Private 20%, LA 49%, Voluntary 31%

### UNIT PLACES

Resident Category	Private Sector		Voluntary Sector		Local Authority	
	Units	Places	Units	Places	Units	Places
Older People	6	144	5	103(+1)	5(-1)	200(-42)
Older People with Dementia	1	8			Nil	Nil
Adults with Learning Disabilities	1	28	4	29	8(+1)	58(-10)
Adults with Mental Illness	Nil	Nil	1	8(+1)	Nil	Nil
Adults - Other	Nil	Nil	2(-1)	20(-5)	Nil	Nil
Adults with a Physical Disability	Nil	Nil	Nil	Nil	1	3

Adults with a Physical and/or Learning Disability	Nil	Nil	Nil	Nil	1*	12
Supported Accommodation	Nil	Nil	Nil	Nil	1	3
Children and Young People	1	35	1	6	7(+1)	36(+3)
<b>Totals</b>	9	215	13(-1)	166(-3)	23(+1)	312(-49)

### iii) Inspection Findings

#### Residential Services for Older People

Following the reduction of 54 residential places in the previous year there was a further drop in the number of residential places available to older people during this period. The closure of a local authority care home was monitored by the registration and inspection service and the closure programme was completed on 13 September 2000. On 31 March 2001 there were 12 independent and 5 local authority establishments providing a total of 455 places.

Inspections found that the overall compliance rate with Dundee City Council standards was generally high at an average 93%. This ranged from a maximum of 99% compliance to the lowest rate of 80%. Findings indicate that there are no qualitative differences between the care sectors although there is a concern that some independent providers are failing to use formal supervision as a management tool. Some training has been accessed by the independent sector through European funding. There was a general finding through inspection that the level of understanding and implementation of effective care planning and risk assessment needs to be raised across the sectors.

#### Residential Services for Adults

There is a range of residential and respite provision for adults operating within Dundee (see Appendix 1) with a balance of 9 registered and 9 local authority establishments. The total number of places is 161. The average compliance rate with required standards was 89%, but there was a considerable spread within this figure indicating varying levels of performance. The highest compliance rate of 99% was achieved by 6 establishments (5 from the independent sector) whilst the lower levels began at 72% with a need for significant improvement. A series of unannounced inspections conducted during the year resulted in positive findings and an improvement in staffing levels was noted.

The closure programme associated with a large local authority unit continues to be monitored. The voluntary de registration of a project resulted in individuals acquiring tenancies at a new location.

#### Residential Services for Children and Young People

The total number of residential and respite places available to children in Dundee was 36 (local authority) reflecting some changes to the 4 existing residential units and the opening of a new establishment which provides secure care and close support for young people. This unit will also be inspected by HMI and SWSI regulatory bodies. A custom built respite facility was also opened this year. The voluntary sector provide a further 6 places to young homeless people and there is also a private residential school providing 35 places.

The local authority establishments met on average 78% of the required standards (this figure excludes the inspection findings of the 2 new units which did not receive full annual inspections within this business year). The findings indicate some improvement on the previous year although the performance of one of the homes remained unacceptably low at 61%. Details of the urgent remedial actions required were issued to the local authority.

General ongoing concerns included poor physical standards and an unacceptable level of refurbishment; evidence of overcrowding; little evidence of therapeutic work; poor recording practices. The Head of Registration and Inspection met with the independent reviewer to discuss inspection findings.

(Update: at the time of issuing this report significant improvements had been noted by the Registration and Inspection service in relation to the concerns reported. The fabric of the Young People's Units has been much improved and there has been significant developments in other areas such as procedures and recording practices. Inspection reports during the year 2001 comment on these achievements and consider overall practice to be meeting standards).

#### **iv) Registration Activity**

Under the Social Work (Scotland) Act 1968 local authority social work departments are responsible for the registration of care homes for adults and children in the independent sector. Inspections are conducted in accordance with the locally developed standards which are issued by the local authority. There is also an expectation that day care for adults in the independent sector will be registered although this has not been achieved in Dundee and no local standards have been developed. The Registration and Inspection service intends to provide support to both independent and local authority day care services as they prepare for the implications of the Regulation of Care (Scotland) Act 2001.

During the year 2000–2001 the registration service continued to provide detailed advice and guidance to existing and prospective care providers within Dundee. Whilst there were no registrations of new services during the 12 month period a number of registration tasks were completed including the provision of a pre registration advisory service to providers involved in the re settlement programme. There is an expectation that a number of new projects will be established in the next business year and the Registration and Inspection service have issued a draft guide to registration for consultation with a view to publishing in April 2001. This guide will provide to support to new and existing registration applicants next year.

An application was submitted to the registering authority by a large independent care provider wishing to operate a number of residential places for older people within a Dundee based nursing home. The nursing home is currently registered with Tayside Health Board. This application was suspended on the 12 December 2000 due to ongoing concerns regarding the quality of the existing provision. A renewed application was received from the company in March 2001 and the registration process has been re activated.

There were a number of changes in registration details during the year and each one was submitted for approval by the Social Work Committee. These included 4 changes of certificates of registration and 3 changes in the number of places provided by projects. The Registration service approved 7 new managers following the completion of the fit person procedures. There was one voluntary de registration.

#### **v) Complaints**

During the year 2000–2001 the Registration and Inspection service received and investigated 5 complaints regarding registered services. This excludes any complaints which arise regarding local authority services which are dealt with under the Social Work department's complaints procedures. Of the 5 complaints received 3 investigations were completed whilst this was not possible for one complaint. Another complaint was withdrawn. The 3 completed investigations resulted in 2 being upheld in part and 1 being not upheld. The concerns raised included issues regarding care practices and routines, standards of cleanliness and management practices. Where findings are upheld action plans are developed which aim to improve specified areas of concern.

### **5 EARLY YEARS**

#### **i) Inspection Activity**

The Early Years Registration and Inspection Team have maintained the core functions of safeguarding children under 8 years through the process of registration and inspection. The Children Act 1989 requires Local Authorities to register persons, who provide day care for children under 8 years, for more than

2 hours per day. The range of registered daycare provision for young children regulated in Dundee includes private nurseries, after school care clubs, holiday playschemes, playgroups, crèches and childminders.

As part of its commitment to ensure the welfare of children Dundee City Council in consultation with other stakeholders undertook the task of revising and updating the day care standards. The principles previously established in revising the residential standards were carried through to the day care standards for children under 8. The standards require that the child's perspective is at the centre of all practice. The work which commenced in October 1999, continued throughout the year. Draft standards were presented to Committee in May 2000 and became operational in November 2000.

The application of the revised standards involved a considerable amount of work for both inspectors and service providers. The Registration and Inspection Unit developed new methods of reporting, and for the first time reports for childcare for the under 8's became publicly available. There was widespread agreement that open reporting would be of benefit to parents seeking childcare. The Early Years Team are continuing to monitor and evaluate the implementation of the revised standards and the impact on service providers.

The introduction of the revised standards necessitated considerable developmental work and the loss of a part-time Inspection Officer, together with the move of premises, resulted in delays in the inspection programme from October 2000. As at 31 March 2001, inspections were running approximately 8 weeks behind schedule.

Number of Registered Facilities as at the 31 March 2001:

Provider	Nursery	Play-groups	Out of School Care	Holiday Play - schemes	Creches	Child-minders	
Number	23	11	18	5	1	167	Total 225

A new report format was introduced after the revised standards were implemented. The inspection reports became publicly available from December onwards. The report format is subject to continuous evaluation.

## ii) Pattern and Level of Provision for 2000-2001

The system of government funding of pre-school education for three and four year olds in both the public and private sectors continues to have an impact on the pattern of childcare in Dundee where there is a high provision of nursery schools and classes within the Education Department. Private sector nurseries continued to expand and voluntary sector playgroups were under pressure in some areas of the City. All four year olds and the majority of three year olds can access a part-time pre-school place and Dundee City Council is well on target to achieve 100% provision by August 2001. This expansion of the private sector has increased the work of the Registration and Inspection Unit not only in supporting new nurseries but also in increased vetting of staff to work in childcare.

The number of Out of School Care Clubs supported by Partnership funding remained stable and one club changed location. Two holiday playschemes moved premises and one holiday provision for children with special needs changed management from voluntary sector to Local Authority.

Overall the number of childminders in the City continues to decline, from 173 in April 2000 to 167 in March 2001. However the number of applications processed by the registration and inspection service remains unchanged. The national trend is that numbers of childminders are decreasing as additional funded places in non domestic settings become available to 3 and 4 year olds.

In Dundee childminders are increasingly caring for children age 0 - 3 years and children of school age before and after school. Many childminders provide the valuable service of delivering and collecting children from nurseries, playgroups and from primary schools as working parents continue to find that their working hours are incompatible with nursery and school hours.

### iii) Registration Activity

#### Non-domestic Day-care

Funding support to existing registered providers, and partnership funding in the provision of pre-school care and education has led to continued interest in the expansion of private sector child care. Requests for registration advice and site visits continue and during the year two new nurseries of fifty places each were registered by Dundee City Council. Further registration work included a number of changes to existing premises.

There were three de-registrations due to relocations and one sessional private nursery closed due to the owners retirement. One group changed management from voluntary sector to Local Authority.

Consultation with interested parties resulted in new requirements being set for outdoor play areas which dovetailed with the requirements of Planning and Transportation Department. This enables a more consistent approach which helps applicants to comply with the varying requirements of different departments and agencies. It also removes past anomalies and raises standards for children.

In order to support the expansion of Out of School Care Clubs in the City the partnership supported voluntary parent's committees to apply for New Opportunities Funding. The Early Years team worked closely with the Out of School Care Co-ordinator providing registration advice and visiting and reporting on the suitability of a variety of premises.

#### Domestic Day-Care

During the period April 2000 till March 2001 the registering authority received 44 new childminding applications which resulted in 28 new registrations. Over the same period there were 34 de-registrations of childminders. This represents a high level of registration activity despite an overall decrease in the number of registered childminders operating in Dundee. The function of providing training for childminders transferred from the Early Years Team in August 2000 to Dundee College marking the end of 8 years of development work and paving the way for the transition into the Scottish Commission for the Regulation of Care in April 2002.

### iv) Complaints

All registered childcare providers (except childminders) are required to have a clearly stated complaints procedure which is made available to parents/carers using their service. Complaints will be investigated and the majority will be resolved directly between service users and service providers. If the complainant is not happy with the outcome of the investigation or with the manner of its investigation an approach can be made to the Registration and Inspection Team to instigate further enquiries. The remit of the Unit is to investigate any matter relating to registration requirements and in particular any issue relating to children's welfare. Disagreements concerning contracts or fees are not within the remit of Registration and Inspection.

The number of complaints against registered providers investigated during the year more than doubled from 9 last year to 19 in 2000/2001.

There were twelve complaints concerning private nurseries, four concerning childminders, two concerning after school clubs and one concerning a holiday playscheme. There were no complaints regarding playgroups.

The categories of complaints received were are follows:-

Staffing Ratios	13
Care of Children	10
Health and Safety	4
Premises	3
Registration Conditions	3
Procedures	2
Equipment	2
Records	2
Confidentiality	1
Discrimination	1
Food	1
Owner	1

Of the nineteen complaints investigated, nine were partially upheld, one was unsubstantiated, five were upheld and four were not upheld.

Where complaints were upheld, enforcement activity and/or monitoring was implemented until such times as the Registering Authority was satisfied that standards were met.

There were three investigations of unregistered childminding of which two were upheld.

## **6 ADVISORY COMMITTEE**

The Advisory Committee met regularly throughout the year. One member resigned during the year and a recommendation was made for a representative of the advocacy services in Dundee to join the Committee to strengthen the service user perspective. The Advisory Committee received regular updates from the Head of Registration and Inspection regarding the provision of care services in Dundee and have been fully appraised future developments which will arise from the new regulatory arrangements in April 2002. The role and future of Advisory Committees have been discussed and consultation responses have raised concerns regarding the possible lack of a local dimension in the future regulatory arrangements.

## **7 CONCLUSION**

The merging of the Community Care and Early Years registration and inspection teams has been a welcome development which has resulted in a valuable exchange of ideas and practices within the service. This has brought benefits to the service and the staff group although there have been a number of challenges to meet throughout the year.

Inspection schedules have been impacted by staff sickness; the development and application of revised standards for Early Years services ; and the disruption of moving to different premises. The service has also lost 3 valuable and experienced colleagues as a result of changing location and the uncertainties regarding the implications of transferring out of the Local Authority.

The targets for inspection have nevertheless been met and support and development work has continued with local providers. There have been no formal enforcement actions undertaken this year and the standard of service provision has generally met the requirements of Dundee City Council. The uptake rate of inspection reports remains disappointing and strategies are being considered to improve this area of the regulatory process. The effective provision of information regarding services is an important means of empowering people who use those services and it is considered an area which requires improvement. Inspection methodologies and reporting protocols are under continuous review and a number of developmental initiatives will be implemented next year.

The Registration and Inspection service are required to address the implications of the Regulation of Care (Scotland) Act 2001 and to support service users, providers and commissioners through the changes ahead. This process began in the year 2000–2001 with a number of consultations including the first draft national standards to be issued by the National Care Standards Committee.

A policy position paper "The Way Forward For Care" was issued by the Scottish Executive in July 2000 which clearly outlined the future regulatory arrangements and the year ended with the Regulation of Care (Scotland) Act nearly completing its passage through parliament.

Dundee City Council have supported the recommendations for a new regulatory framework and the Social Work department will continue to provide safeguarding services to vulnerable service users in Dundee through the processes of registration and inspection. This remains the priority of the service for the final year in which the regulatory responsibilities are held by local authorities.