

DUNDEE CITY COUNCIL

REPORT TO: SOCIAL WORK COMMITTEE – 20 November 2000

REPORT ON: REGISTRATION AND INSPECTION ANNUAL REPORT

REPORT BY: DIRECTOR OF SOCIAL WORK

REPORT NO: 730-2000

1.0 PURPOSE OF REPORT

The report informs members about the operation of both the Registration and Inspection Unit (known as the Quality Assurance Unit) and the Early Years Registration and Inspection Unit from 01 April 1999 to 31 March 2000.

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 The Social Work Department has a statutory responsibility to register and inspect residential and day care services. The Registration and Inspection Unit registers and inspects independent sector residential establishments for adults and young people. In addition all local authority residential establishments are inspected. The Early Years Registration and Inspection Team registers and inspects all domestic and non-domestic day care for under 8's.
- 6.2 In accordance with Circular SWSG/9/90 issued by the Social Work Services Group on 30 October 1990 the Director of Social Work should make a written annual report on the work of the registration and inspection unit.

- 6.3 The Annual Report highlights the level and range of registration and inspection activity undertaken by the two teams. General trends in the care provision and the main issues arising from complaints are identified. It is also noted that the Registration and Inspection Unit met the performance indicators set by the Scottish Executive of two inspections per establishment per year.
- 6.4 In the White Paper "Aiming for Excellence," the Scottish Executive developed a framework for the future of regulation in Scotland. The responsibility for regulation will no longer lie with the local authorities but will be the responsibility of the independent Scottish Commission for the Regulation of Care. The Commission will expand the scope of regulation, registering and inspecting residential care homes, nursing care homes, day care for adults, domiciliary care, supported accommodation, adoption, fostering, secure accommodation and day care for children.
- 6.5 Local authority residential and day care establishments will be required to register with the Commission for a licence to operate. Social Work Department Services will be regulated by an external agency. Dundee City Council welcomes this move and the added protection to service users that this will bring.
- 6.6 The Scottish Commission for the Regulation of Care is currently developing national care standards and Dundee City Council is contributing to this process through direct membership of the care standards sub-group and through the consultation process. Dundee City Council's care standards for residential homes for young people have been identified by the standards group as the model on which to base national standards for residential care for young people and children. The first consultation document of Draft National Standards is expected in June 2000.
- 6.7 It is anticipated that the Scottish Commission for the Regulation of Care will come into force on 01 April 2002 following the passing of new primary legislation. In the interim period, the registration and inspection teams of Dundee City Council will continue to ensure safe care for vulnerable people by maintaining a high quality service when registering and inspecting care for adults and children.
- 6.8 Copies of the annual report are available in the members' lounge and with group secretaries.

7.0 CONSULTATIONS

- 7.1 Consultation has been held with the Director of Support Services and the Director of Finance.

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

Date

DUNDEE CITY COUNCIL

REGISTRATION AND INSPECTION

ANNUAL REPORT

1999 – 2000

CONTENTS

INTRODUCTION

PART ONE

REGISTRATION AND INSPECTION

<i>Section 1</i>	<i>Page 4</i>	<i>UNIT ACTIVITY</i>
<i>Section 2</i>	<i>Page 5</i>	<i>STAFFING AND TRAINING</i>
<i>Section 3</i>	<i>Page 5</i>	<i>INSPECTION ACTIVITY</i>
<i>Section 4</i>	<i>Page 7</i>	<i>INSPECTION FINDINGS</i>
<i>Section 5</i>	<i>Page 8</i>	<i>REGISTRATION</i>
<i>Section 6</i>	<i>Page 8</i>	<i>COMPLAINTS</i>

PART TWO

EARLY YEARS

<i>Section 1</i>	<i>Page 10</i>	<i>UNIT ACTIVITY</i>
<i>Section 2</i>	<i>Page 12</i>	<i>STAFFING TRAINING</i>
<i>Section 3</i>	<i>Page 12</i>	<i>INSPECTION ACTIVITY</i>
<i>Section 4</i>	<i>Page 12</i>	<i>REGISTRATION</i>
<i>Section 5</i>	<i>Page 14</i>	<i>ENFORCEMENT ACTION AND COMPLAINTS</i>
<i>Section 6</i>	<i>Page 14</i>	<i>REVIEW OF STANDARDS</i>

PART THREE

CONCLUSION

DUNDEE CITY COUNCIL

REGISTRATION AND INSPECTION

ANNUAL REPORT

1999 - 2000

INTRODUCTION

This is the fourth Annual Report on the work carried out by the Dundee City Council Social Work Department's registration and inspection teams. There are two teams concerned with safeguarding the interests of service users through the regulation of services. The Registration and Inspection Team (sometimes referred to as the Quality Assurance Unit) and the Early Years Registration and Inspection Team.

The Registration and Inspection Unit was established as an "arms length" service in April 1991 through the implementation of the National Health Service and Community Care Act 1990. Operating at arms length from the Social Work Department helps ensure an even handed approach when inspecting local authority services as well as those services provided by the independent sector.

The unit's main activities are the registration and inspection of residential services for older people and other vulnerable adults and children who are being looked after. The unit is also responsible for the investigation of complaints regarding registered services. Complaints concerning any aspect of the services provided by the Social Work department are monitored by the unit.

The registration and inspection of day care facilities for children under 8 years old is carried out by the Early Years Registration and Inspection Team. This team is part of the Social Work Department's Children's Services and was established in 1997.

At the time of publication of this report there are major national changes being formulated to establish a Scottish Commission for the Regulation of Care. These changes will follow new primary legislation which will reform the regulatory framework. It is intended that by April 2002 arrangements for a national body will be in place to ensure an efficient and effective registration and inspection service. This body will be independent of any care provider organisations. Local Authority residential and day care services will be required to register and their inspection functions will transfer to the Commission.

Whilst Dundee City Council welcomes the establishment of the Commission the local registration and inspection teams continue to provide a high standard of service which informs service users, providers and commissioners about the standards of care expected and the measures required to continually improve the quality of care provision in Dundee City. This system of inspection and public reporting provides an important safeguard to vulnerable people who use social care services. The contents of this report provide details of the work carried out by the teams for the year 01 April 1999 to 31 March 2000.

PART ONE THE REGISTRATION AND INSPECTION UNIT

SECTION 1 UNIT ACTIVITY

The key aim of the Registration and Inspection service is to safeguard the interests of service users through the process of inspecting all residential services at least twice a year. Local service providers from all sectors are given clear information regarding the standards expected by Dundee City Council. Following an extensive consultation exercise a revised version of all the residential care standards was launched and implemented on 01 April 1999.

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 aspects of their inspection and reporting systems to ensure a smooth transition to the revised standards. Work has continued throughout the year to develop reporting styles which best meet the needs of a wide and varied readership.

It is the practice of the Unit that two reports are issued following each annual inspection. A full technical report is issued to the Managers and Owners of all inspected establishments. This report details the performance of the unit in relation to each standard and indicates where action is required to ensure a standard is met.

A further narrative report is issued which combines summary text with evaluative comments. The aim of this report is to provide succinct and clear information regarding the inspection findings and to highlight areas of good practice as well as specific areas where there are concerns. Those areas of service which need to improve are detailed in an Action Plan which is attached to the published report.

All these reports are public documents and are available to anyone interested in the standard of care provided. Copies are issued to all inspected establishments where they can be accessed by service users, relatives, staff or any interested member of the public. The reports are also issued to Social Work Headquarters in Tayside House as well as the main social work offices in Kirkton and Douglas where they are available to the public. Service users and their families, social workers and care managers can access inspection reports to assist in making placement decisions.

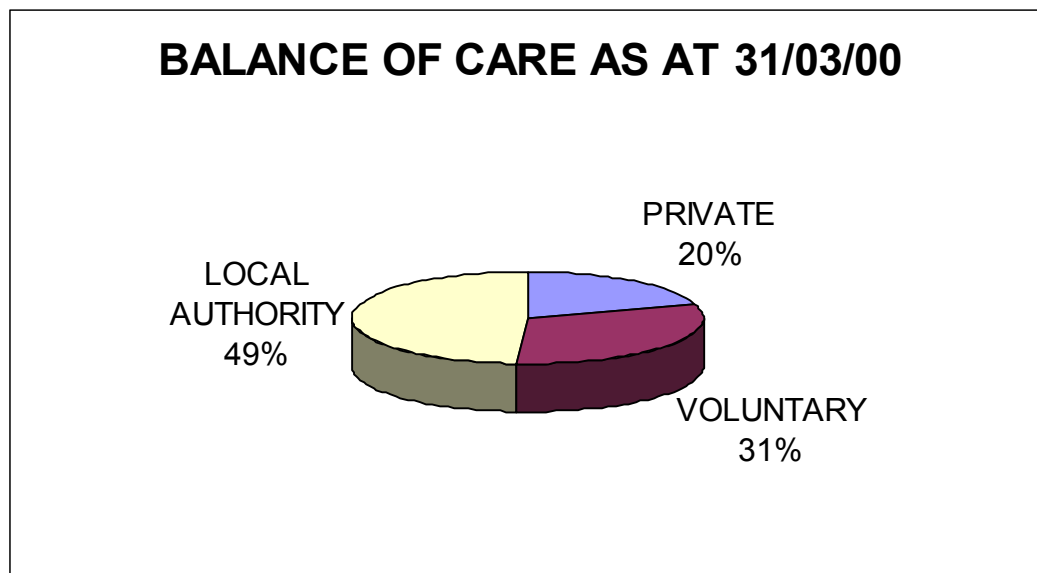
The work of the unit during the year was further impacted by the need to plan for the Millennium to ensure services continued to meet the needs of vulnerable people during that uncertain period. The Head of Registration and Inspection was tasked with co-ordinating the preparations of the Social Work Department 's Millennium planning. This work was ongoing from September 1999 and was supported by the Admin Officer of the Inspection Unit. This resulted in the early part of the year 2000 proving particularly busy with a very intense level of inspection and reporting activity being carried out to ensure adequate safeguarding and that the unit continued to meet the statutory duties.

SECTION 2

STAFFING AND TRAINING

Pattern and Level of Provision

The mixed economy of care provided in Dundee City remains relatively unchanged. The Local Authority provides the majority of care for Children and Young People whilst provision for adults is fairly evenly shared between the Independent and Local Authority sector.



Whilst the number of establishments remained relatively unchanged there was a net reduction of 42 residential places giving an overall provision of 745 residential places in Dundee.

UNITS/PLACES AS AT 31/03/00						
Resident Category	Private Sector		Voluntary Sector		Local Authority	
	Units	Places	Units	Places	Units	Places
Older People	6	144	5(-1)	102(-32)	6	242(-22)
Older People with Dementia	1(+1)	8(+8)	Nil	Nil	Nil	Nil
Adults with Learning Disabilities	1	28(+3)	4	29	7	68(+1)
Adults with Mental Illness	Nil	Nil	1	7	Nil	Nil
Adults - Other	Nil	Nil	3	25	Nil	Nil
Adults with a Physical Disability	Nil	Nil	Nil	Nil	2	15
Supported Accommodation	Nil	Nil	Nil	Nil	1(+1)	3(+3)
Children and Young People	1	35	1	6	6(-1)	33(-4)
Totals	9(+1)	215(+11)	14(-1)	169(-32)	22(+1)	361(-22)

SECTION 4

INSPECTION FINDINGS

Residential Services for Older People

The level of residential provision for Older People reflected the continuing trend of a decreasing service with a reduction of 54 places compared to the previous year. This was due to the closure of a voluntary sector establishment together with a reduction in the number of places within the 6 Local Authority homes. This reduction in the number of places was introduced in late 1999 by the Social Work Department in response to two main factors: lower occupancy levels and the increasingly high levels of care required to meet the needs of the service users.

There are 17 establishments accommodating 488 service users in residential homes for Older People. The overall compliance rate (the number of standards which are met) remains high with an average of 95% of registration standards being met across the service. Compliance rates range from 100% (2 Local Authority homes met all the required standards) to the lower rate of 86% (3 Independent Sector homes).

Residential Services for Adults

There are a range of establishments in Dundee City which provide accommodation to meet the varying needs of 175 adults. Again the average compliance rates with registration standards was high at 96%. Of the 19 establishments providing residential services six of the group homes met all the required standards. At the lower end of the range the compliance rate was 90%.

Residential Services for Children and Young People

There are six Local Authority establishments providing residential or respite services, one voluntary sector establishment and one private Residential school which accommodate or look after a total of 74 children and young people in Dundee. The average compliance rate of establishments for this service user group is relatively lower at 90%. This figure excludes one respite care facility which failed to meet virtually all the required standards (this unit has subsequently closed and the respite care services have transferred to a new custom built facility). Two of the Local Authority homes which look after children were cause for concern with compliance rates of 71% of the required standards. Details of the urgent remedial action required for all these units has been issued to the Local Authority.

General Findings

In general terms the inspection findings indicate a wealth of good practice operating within residential services in Dundee. However many providers have still not fully embraced the concept and practice of risk assessment to ensure service users live in a safe environment whilst exercising choice and control to determine their own preferred life styles. This is central to high quality care services and recommendations are made for an increase in staff support and training in this area.

Previous concerns regarding safe water and radiator temperatures have largely been remedied and standards of care planning are steadily improving throughout the services. The practice of recording the strengths and abilities of service users needs to improve together with supporting the individual choices and preferences of each service user. This will hopefully improve through the noted increase in consultation between providers, service users and relatives.

SECTION 5 **REGISTRATION**

The unit provides detailed guidance and advice throughout the year to existing and prospective providers regarding registration requirements.

Services provided by the voluntary and private sectors are required by statute to register with the Local Authority for a license to operate. Within Dundee City there are 23 establishments registered to provide residential services.

During the year 1999/2000 there was one closure and one new registration for the provision of eight residential places for Older People with Dementia. This new facility is located within a Nursing Home currently registered with Tayside Health Board. The Inspection Unit works jointly with the Health Board Inspection Team to regulate this provision.

There are a number of routine variations to registration conditions including one change in the number of places registered within an establishment, nine changes of manager and three changes to registration certificates. Each variation requires a careful reappraisal of the registration position prior to any recommendations being made for approval by the Social Work Committee.

SECTION 6 **COMPLAINTS**

The unit has a responsibility for ensuring that all complaints against registered establishments are properly investigated. Each establishment is required to have their own complaints procedure and most minor complaints are investigated by providers. Where an internal investigation is not appropriate or satisfactory the Registration and Inspection Service will carry out the investigation. When a complaint is upheld the provider is required to submit an Action Plan detailing the remedial action to be taken.

The level of complaints investigated by the unit rose from 2 in 1998/99 to 5 in the current year. The nature of the concerns included serious issues of staff conduct, standards of care planning and other care practices, and hygiene standards. Of the complaints investigated 3 were not upheld, 1 was part not upheld and part not substantiated and 1 was upheld resulting in disciplinary procedures.

The registration and Inspection Team also assist in the investigation of complaints against Social Work services. The Head of Inspection holds responsibility for monitoring the Social Work Department Complaints Procedure and a separate report on the operation and effectiveness of the statutory procedures for the year 1999/00 has been approved by the Social Work Committee.

PART TWO

EARLY YEARS

SECTION 1

UNIT ACTIVITY

The introduction of the Government's Childcare Strategy and its "Aiming for Excellence" policy to modernise social care services have driven a steady increase in childcare provision across Scotland.

Dundee City has high levels of publicly funded pre-school provision and a wide range of private and voluntary childcare services. These services have been steadily expanded and developed during 1999 to meet local needs using Government finance specifically earmarked for increased childcare provision.

The main responsibility of the Early Years Registration and Inspection Team is to register and inspect day care facilities (both domestic and non-domestic) for children under eight years of age who are looked after for two hours or more per day by persons other than their relatives.

The childcare provision which is registered in Dundee City includes: Private Nurseries, Voluntary Sector Playgroups, After School Care Clubs, Holiday Playschemes and Childminders.

As at 31 March 2000 the number of Registered Childcare Facilities:

Category of Providers	Nurseries	Playgroup	Out of School Care	Holiday Play Schemes	Crèches	Child-minders
Number	22	11	18	5	1	173

The overall number of registered childcare providers shows a slight drop on the previous years' figures (189). However, closer examination shows that the pattern of childcare and age ranges cared for are changing significantly.

The figures do not reflect the actual workload of the Team. The vetting procedures constitute the largest part of the work. This is due mainly to staff changes and staff not being appointed (for a variety of reasons), after vetting has taken place. The number of new registrations, de-registrations and variations to existing registrations are as follows: -

	NDDC	Childminders
Number of Applications Received	8	45
Number of new registrations	8	27
Number of De-Registrations	9	40
Number of variations processed	29	32
Number of SCRO checks completed	368	125*

Key: NDDC *Non Domestic Day Care*

(* *Approximate Figure*)

Enquiries, Information and Advice to Parents and Carers

From April to December 1999 the Registration & Inspection Team continued to issue lists of registered day-care providers and childminders to parents/carers looking for childcare. This function transferred to the Early Years and Childcare Partnership in January 2000, when the Childcare Information Service was launched. The Registration Team continues to supply the data for the lists (including new registrations and de-registrations) to the Partnership Information Officer, via electronic mail. Parents can access these lists locally through "pinpoint", a system of touch screen computers, by fax or telephone, or through the National Childcare Information Service web site.

Other more specific advice and information about choosing childcare continues to be available from the Early Years Registration team. While registration staff cannot recommend an individual facility or childminder, accurate and up to date information can be given in relation to types of childcare in any area of the City. Parents are advised that Registration ensures that staff and premises have been vetted, and that minimum standards have been met. There are considerable differences between childcare providers, and parents are encouraged to visit several facilities before making a choice. Parents are also encouraged to request from providers, a copy of the Annual Inspection report.

Information to Applicants and Registered Providers

Advice and information on all aspects of opening a registered childcare facility, whether domestic or non-domestic is available to prospective applicants. Pre-registration meetings for childminders were held monthly throughout the year and continue to be an effective method of sharing information with groups of people. Established providers regularly contact the unit for advice and information. In particular they value help in handling complaints or managing children's behaviour.

SECTION 2

STAFFING AND TRAINING

From April 1999 until February 2000, the team has been fully staffed with a Manager, Team Senior, 2.5 Resource Workers and clerical/WP support. The Early Years Registration and Inspection Team report to the Director of Social Work. The Manager of the Early Years Registration and Inspection Service acts as decision-maker in respect of new Registrations, and as enforcer when difficulties are encountered.

The Team Senior is responsible for managing the team and allocating the inspection workload; and for the registration of all new non-domestic provision, from the initial site visit to the point of registration. Applicants are supported throughout the complex process of Registration to ensure they can meet the requirements of the Children Act 1989, and Dundee City Council's standards.

Resource Workers are responsible for registering and inspecting childminders, and for delivering pre-registration training. This induction training consists of four, two and a half hour sessions. The role of resource workers also includes the inspection of non-domestic childcare under the guidance of the Team Senior. Staff now inspect the whole range of registered childcare in the city.

Specialist Early Years Registration and Inspection training was commissioned from Ann Davies Associates for two days in February 2000. Colleagues from Angus, Perth & Kinross and Fife shared the costs and benefits. The event was hosted by Dundee Social Work Department and staff found the two days to be challenging, stimulating and extremely worthwhile.

SECTION 3

INSPECTION ACTIVITY

With a full staff complement in place it was possible to fulfil 98% of annual inspections. The 2% not achieved were attributed to providers, mainly holiday playschemes, not operating a service.

SECTION 4

REGISTRATION ACTIVITY

Throughout 1999 there has been a steady increase in the range and quantity of registerable childcare in Dundee, in response to Partnership Initiatives and the Government's Childcare Strategy.

Non-Domestic Day-care

In April 1999 a national voluntary organisation opened a respite day-care facility, for children with special needs operating from two premises.

Dundee City Council entered into partnership with the private sector to fund a part-time place for every 4-year-old and the majority of 3-year-olds. Dundee City Council is ahead of Government targets for pre-school education provision. The overall increase in childcare provision and additional requirements for childcare staff has resulted in a steadily increasing Registration & Inspection workload. Over the year approximately 450 adults were vetted to work with or to be in close proximity to children.

A national charity providing sports camps nationwide, during school holidays sought registration on a voluntary basis. These holiday playschemes cater for over 100 children and provide both sports and general activities for children aged 5 – 13 years. This was a new category of registration, requiring careful consideration of the procedures being set and appropriate conditions to be imposed.

There continues to be increased interest in opening private nurseries, with plans to introduce purpose built facilities. There is a considerable time-lapse between gaining Planning permission and completing the building work. Registration processes can be carried out simultaneously with building work to ensure an earlier opening date.

Three private nurseries were taken over by new owners in October and November 1999. Substantial refurbishment work has been undertaken, requiring liaison with Planning Department, Building Control and Environmental Health. Three new nurseries (150 places) were refused planning permission, but 2 of these have secured new premises with planning permission.

Domestic Registration

The overall number of childminders in Dundee fell from 189 as at March 1999 to 173 as at March 2000. This reflects national trends and the movement of 3 and 4 year olds into funded places. The Registration & Inspection activity remained high with 56 new applications received and processed resulting in 37 new registrations. There were 42 de-registrations over the same period. Pre-registration training continued to be delivered by the team, stretching resources significantly.

When the Childcare Partnership Team was formed in January 2000 negotiations took place to transfer the childminder training function from the Registration & Inspection Team to the Partnership. This will be consistent with the Governments' intention to establish an independent regulatory body in April 2002.

SECTION 5

ENFORCEMENT ACTION and COMPLAINTS

Enforcement Action

No action was taken during the period April 1999-March 2000 to cancel the registration of a provider. Enforcement activity took the form of requiring providers to take action to meet the set standards of the Council.

Complaints

During the year there were 9 complaints made in respect of registered providers.

Five complaints were made against private nurseries/crèches. The categories of complaint were care of children (x4), registration conditions (x1), discrimination (x1), staffing (x3), activities (x1) and lack of complaint procedures (x1). Of the 4 complaints 2 were fully upheld and 3 were partially upheld.

Four complaints were made against childminders, in respect of care of children (x4) and conditions of registration (x2). Two complaints were upheld; one was partially upheld; and one was not upheld.

SECTION 6

REVIEW OF STANDARDS

A commitment was made by Dundee City Council in its Children's Services Plan to review and update Day Care Standards for Children under 8 years in consultation with childcare providers.

A working group was established in October 1999 which represented a wide range of organisations involved in childcare. There were representatives from the Scottish Pre-School Play Association, the Scottish Childminding Association, the private sector, Local Authority nursery schools, Family Centres, the Out of School Care Network, Registration & Inspection and the Childcare Partnership. The UN Convention on the Rights of the Child was used to inform the principles underlining the standards, and outcomes for the child were paramount.

Standards were identified specific to each setting, in proportion to the vulnerability of children. There was wider consultation with registered and non-registered childcare providers to determine 2 different levels of standards:- one being registration requirements and the other, good practice standards. The former are compulsory and the latter, standards which providers should aspire to achieve.

The working group met from October 1999 to February 2000, and within an extremely tight timescale produced new draft standards which were approved by Social Work Committee in May 2000. The intention is to implement them before the end of the year. Although National Standards will soon be developed, it is hoped that Dundee Standards will influence national developments.

PART 3

CONCLUSION

The inspection targets set by the Scottish Executive were met again this year despite the overall number of inspections completed and reported on being somewhat less than the previous year. This is due in part to the additional workload generated by the application of the revised standards and the time committed to millennium planning.

It is encouraging to note the high levels of compliance achieved by most residential providers in Dundee. As providers become more familiar with the revised standards it is hoped that more establishments will increasingly meet the standards for best practice to ensure a high quality of life for service users. Those establishments which have given cause for concern will be monitored and their progress noted through the ongoing inspection and reporting systems. Whilst a process of continuous improvement should be sought by all establishments there is a particular need for improved compliance in residential and respite services for children and in a number of private sector homes for older people.

The Advisory Committee has continued to meet throughout the year to consider the work and progress of the Unit. The level of joint inspection work carried out with Tayside Health Board has increased following the joint registration of another Nursing/Residential Home for Older People.

As the plans for transferring regulation from the Local Authority to the Scottish Commission progress there is an increasing need for the Scottish Executive to provide more detailed information regarding how the Commission will be set up and implemented by April 2002. It will be essential that the Registration and Inspection Unit prepare for change and meet the challenges ahead. Meantime throughout the transitional period Dundee City Council is committed to continuing to safeguard service users throughout the City through a fair and robust system of regulation.