

**NORTH LANARKSHIRE COUNCIL**

**REPORT**

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| TO: Social Work Committee                   | Subject:  |
| FROM: Jim Dickie<br>Director of Social Work | <b>NORTH LANARKSHIRE COUNCIL<br/>REGISTRATION AND INSPECTION<br/>UNIT</b> |
| DATE<br>OF COMMITTEE: 24 May 2001           | <b>ANNUAL REPORT</b>  |
| REPORT AUTHOR: Dennis O'Donnell             | <b>1 APRIL 2000 - 31 MARCH 2001</b>                                       |

**1 CONTENT AND PURPOSE OF REPORT**

- 1.1 The Annual Report for the year 2000 - 2001 mainly outlines findings from inspection activity undertaken in relation to residential and day services across all provider sectors.
- 1.2 The report highlights that, whilst the majority of services operate to a satisfactory standard, providers, including the local authority itself, are finding compliance with standards aimed at property improvements and certain administrative and practice changes difficult to achieve. Consequently, a trend has emerged where recommendations are repeated and lessen in impact.
- 1.3 Compliance with standards in direct care were satisfactory across all sectors. Lowest levels of compliance were again identified in local authority children units where measures taken to address property, staffing and care management concerns had still to impact.
- 1.4 The range and patterns of residential provision and places available is similar to the previous year, there being a good diversity across all client services. Levels of shared bedroom accommodation, particularly in residential services for older people, remains high.
- 1.5 The Annual Report is attached as Appendix One for consideration by members. The comments of the Advisory Committee on Inspection will be submitted separately to the committee.

**2 BACKGROUND**

- 2.1 Scottish Office Guidance sets out the requirement for an Annual Report on the inspection function of the Department to be prepared and presented to the relevant local authority committee. Guidance indicates that the report should be published and circulated widely.

### 3 SUMMARY OF MAIN FINDINGS

#### 3.1 Members attention is drawn to:

- 4 the Council's current responsibilities for regulation of registration and inspection being transferred to a Scottish Commission for the Regulation of Care as from April 2002.
- 4 two independent sector establishments for older people closing due to design and viability concerns and to there being a deceleration in past closure rates.
- 4 initiatives in use of lay persons and joint inspection work with Lanarkshire Health Board being difficult to sustain.
- 4 the target of two inspections annually being exceeded for the fourth consecutive year.
- 4 the majority of inspected services operating to acceptable standards and main areas of concern again relating to building standards and care management recording as distinct from practice and care issues.
- 4 compliance to standards being at levels very similar to those found the previous year and this being reflected in an increased level of repeated recommendations.
- 4 compliance being best in residential services for older people and for other adult groups; poorest in local authority services for children.
- 4 officer/member groups taking measures to review and address concerns identified in local authority day services and in residential services for children.
- 4 a reduction in enforcement action taken against registered providers with close monitoring deemed necessary in 3 independent sector services for older people.
- 4 the continued need, across all sectors and types of provision, to devise procedures to better address the management of challenging behaviors.
- 4 further improvements in care management recording in services for older people but continuing difficulties in that area for day and children's services.
- 4 continued high incidence of shared bedroom accommodation with 190 (22%) of the 853 places available being shared.

### 4 RECOMMENDATION

- 4.1 Members are asked to endorse the findings and actions set out in the Annual Report, and approve its wider circulation.

*K Semers*

*PP*

**Jim Dickie**  
**Director of Social Work**  
**17 May 2001**

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**DRAFT**

**NORTH LANARKSHIRE COUNCIL**

**SOCIAL WORK DEPARTMENT**

**REGISTRATION AND INSPECTION UNIT**

**2000 - 2001**

**ANNUAL REPORT ON INSPECTION**

# **North Lanarkshire Council - Annual Report on Inspection**

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# **ANNUAL REPORT ON INSPECTION**

## **1. Introduction**

This is the fifth Annual Report on the inspection work carried out by the Social Work Department's Registration and Inspection Unit.

The main regulatory responsibilities of the Unit are to register and inspect residential and day services for older people, other vulnerable adults and children and young people being looked after. Responsibility for Under 8s service lies with the Education Department.

Publication of this report coincides with major changes in regulatory arrangements nationally. As from April 2002 local authority regulatory responsibilities for registration and inspection of independent sector care services will transfer to a Scottish Commission for the Regulation of Care. At the same time local authority services will themselves become subject to registration and inspection by the Commission.

Proposals to reform and expand regulatory arrangements are welcomed. Staff are currently involved in preparatory activity for these changes and discussions are taking place regarding staff and resource transfers, national care standards and future operational frameworks for the new Commission.

## **2. Locus of the Inspection Unit**

The Unit operates at arms length from the operations of the Social Work Department. This helps ensure objectivity and an even-handedness in approach which is critical as the Unit's remit includes inspection of local authority homes and day services for older people, other adults and children.

## **3. Staffing**

Although there have been changes to clerical support, registration and inspection staffing has remained stable for the past twelve months.

There has been a vacuum in training opportunities during this transitional period. Apart from one Internet based opportunity, anticipated national training initiatives have not been established. Training taken up by officers has mostly focused on the implications of forthcoming changes in regulation.

Recent restructuring of staffing within the Social Work Department will lead to a streamlining in inspection staffing in coming months. An equivalent streamlining of the inspection process is intended. It is anticipated that there will be some staffing upheaval during the build up to the Commission and measures to minimise the impact are under consideration.

#### **4. General Information**

- ◆ There have been 134 inspections carried out in 2000/2001.
- ◆ 100% of inspections have been carried out on an unannounced basis.
- ◆ The internal target of distributing a proposed report within 20 days of inspection was achieved in 109 from 134 instances. (81%)
- ◆ Three meetings were separately held for groupings of service managers from all main day and residential client sectors. These meetings were used to share information about practice and developments.
- ◆ Guidance was issued to all providers on care management; hot water temperatures; senior staff criteria and use of shared rooms for respite.
- ◆ 63 Post Inspection Questionnaires were received from providers, of which 4 made criticism.

#### **5. Lay persons**

Research into the use of lay persons on inspections in North Lanarkshire was published and widely distributed in May 2001. Findings were sufficiently favourable to merit maintaining work in this area, with all 4 lay persons agreeing to continue. In addition, a fifth lay person, who had, herself, been looked after and accommodated, was included as a lay person on inspections of services for children.

In the year 2000/2001 Lay Persons participated in 14 residential and 4 day service inspections. Inclusion in day service inspections had, until then, not previously been undertaken.

In general lay persons have been well received on inspections. Feedback has indicated that the lay persons' inspection input has continued to focus on service users' views. On balance inspectors have found this to be helpful, if sometimes duplicative of their own professional role.

At 1 April 2001 three from five lay persons have indicated that they do not wish to continue. Further recruitment measures are under consideration.

## **6. Joint Inspection with Lanarkshire Health Board**

It was originally envisaged that joint inspection would provide grounding for the forthcoming regulatory changes. Officers have worked jointly with Health Board colleagues on **5** inspections of residential and nursing homes. The number of joint inspections has, as was anticipated, reduced.

Differences in the nursing and residential care standards applied by the Board and Social Work Department, and in inspection approach and in reporting processes, limited the benefits of joint inspection activity in the past 12 months. These differences are illustrative of the task facing the new Commission in combining future regulatory arrangements for nursing and residential homes.

In the run up to the Commission a decision has been taken to limit joint inspection activity to those services which are jointly registered.

## **7. Inspectable Services in North Lanarkshire**

### Residential services

The number of residential services subject to inspection has been fairly static, there having been two closures of independent sector homes for older people, and reconfiguration of one service for vulnerable homeless young people, in the past year. New developments have

tended to be in services, such as supported living, which do not fall within the scope of registration and inspection.

The local authority and the private sector continue to share a fairly even spread of Homes for older people, but the local authority provides more than twice the number of places; the voluntary sector is the major provider in services to vulnerable adults, and the local authority the main provider of residential childcare. On 31 March 2001 there were 48 inspectable residential services in North Lanarkshire.

Table 1a illustrates the patterns of residential provision across all provider sectors over the past 3 years. A previously identified downward trend in residential provision, due to the development of community-based alternatives such as extra-home care and supported living services appears to have levelled out.

**Table 1a Residential Provision in North Lanarkshire 1998-2001 by Provider Sector**

|                        | <b>199811999</b> | <b>199912000</b> | <b>200012001</b> |
|------------------------|------------------|------------------|------------------|
| <b>Local Authority</b> | 19               | 18               | 18               |
| <b>Voluntary</b>       | 25               | 22               | 21               |
| <b>Private</b>         | 11               | 10               | 9                |
| <b>Total</b>           | <b>55</b>        | <b>50</b>        | <b>48</b>        |

Table 1b illustrates the spread in type of provider and client residential services currently subject to inspection.

**Table 1b Current Residential Provision in North Lanarkshire by Client Sector**

| <b>Type</b>            | <b>Older People</b> | <b>Adults</b> | <b>Children</b> | <b>Total</b> |
|------------------------|---------------------|---------------|-----------------|--------------|
| <b>Local Authority</b> | 10                  | 3             | 5               | 18           |
| <b>Private</b>         | 7                   | 2             | 0               | 9            |
| <b>Voluntary</b>       | 0                   | 20            | 1               | 21           |
| <b>Total</b>           | <b>17</b>           | <b>25</b>     | <b>6</b>        | <b>48</b>    |

### Inspectable places

The past trend of sharp reduction in residential service places available (140 places lost between 1997/2000, from 1017 to 877) is less marked than previously found, but continues.

|                        | <b>199811999</b> | <b>199912000</b> | <b>200012001</b> |
|------------------------|------------------|------------------|------------------|
| <b>Local Authority</b> | 471              | 464              | 460              |
| <b>Voluntary</b>       | 269              | 241              | 230              |
| <b>Private</b>         | 179              | 172              | 163              |
| <b>Total</b>           | <b>919</b>       | <b>877</b>       | <b>853</b>       |

Table 2b illustrates that proportionately the highest shift in placement availability has been in adult care services and through reconfiguration of services to unregistered models of care in the areas of mental health services and services for vulnerable young people.

**Table 2b Residential Places in North Lanarkshire by Client Sector**

| <b>Type</b>              | <b>Older People</b> | <b>Adults</b> | <b>Children</b> | <b>Total</b> |
|--------------------------|---------------------|---------------|-----------------|--------------|
| <b>Local Authority</b>   | 386                 | 24            | 50              | <b>460</b>   |
| <b>Private</b>           | 151                 | 12            | 0               | <b>163</b>   |
| <b>Voluntary</b>         | 0                   | 192           | 38              | <b>230</b>   |
| <b>Total 2000/01</b>     | <b>537</b>          | <b>228</b>    | <b>88</b>       | <b>853</b>   |
| <b>Total 1999/00</b>     | 561                 | 226           | 90              | 877          |
| <b>Total 1998/99</b>     | 568                 | 261           | 89              | 918          |
| <b>Loss over 3 years</b> | <b>31</b>           | <b>33</b>     | <b>1</b>        | <b>65</b>    |

### Day services

There were 19 day services subject to inspection providing a total of 860 places. Day services which are solely for social care purposes, such as lunch clubs, are not subject to inspection.

Day services cater for a wide range of client groupings including older people, people with learning disabilities, people with physical disabilities and people with mental health problems.

## 8. Findings from Inspection

### Residential services

A picture similar to recent years has re-emerged in residential services. Within services for older people and other adults, compliance with standards is at an acceptable level having settled between the 80% -90% of total standards being met. The position is less satisfactory in services for children where a 78% compliance rate was found. Areas of non-compliance tended not to be in direct care standards, but in areas of building design/standards, care planning and policy development.

In presenting findings on residential services an emphasis has been given to identifying where recommendations have been restated and where providers appear to have long-standing difficulties in achieving improvements.

### Residential Services for Older People

17 establishments accommodate 537 service users in residential services for older people, Overall levels of compliance with standards remains high. Independent sector services subject to close monitoring reduced from 4 to 3. Notably, such activity was necessary for short periods only, with required improvements usually quickly achieved.

Staffing arrangements were satisfactory in the majority of services inspected. In a small number of local authority homes concerns over night staffing levels continue to be identified. In several independent sector homes, scope for improvement in training was identified. In general good attention is given to personal care standards, but wide variations are still evidenced in attention given to social opportunities and activities. Major investment has been made in addressing health and safety concerns about excessively hot water temperatures across all homes in this sector. The local authority has invested in improving building fabric but building design issues compromise performance against standards, Levels of shared bedroom accommodation remain high. Work is ongoing to devise contracts and written information for users of local authority services. An officer member group has, for the past year, been considering all issues relevant to the future of residential services for older people,

In the **independent sector** the most commonly repeated recommendations related to:

- operational procedures - devising policies on challenging behaviours,
- staffing issues - excessively long working hours; reliance on informal communication; lack of formal supervision and training.

In the **local authority sector** the most commonly repeated recommendations related to:

- providing contracts and devising policies on challenging behaviours;
- refurbishment issues: toilets/bathrooms and showers;
- double to single room ratios.

Residential Services for other Adult Groups - learning disabilities, physical disabilities, mental health & addiction

Adult services generally tend to be small in scale. As a result services tend to be more individualised. Twenty-five residential units accommodate 228 adults, mainly with learning disabilities or mental health problems. Over the past 4 years compliance against standards in this sector has consistently levelled out between 85% - 90%. That position has not altered. In 8 from the 25 establishments inspected there were no recommendations made. There has been no necessity for enforcement action being taken across this sector in the past year.

Voluntary sector organisations are the main providers in the learning disability and mental health fields. Three providers run 12 from the total 20 units for vulnerable adults. Two from three of these organisations had previously outlined an agenda for changes in services delivery, the third has recently given such a commitment.

As in services for older people, unmet standards often related to fabric and building design problems, as distinct from care standards. The local authority has two residential units accommodating **22** residents. Staffing arrangements and fabric standards in one of two local authority services require to be urgently improved upon. Current staff restructuring within the local authority is intended to better target and develop its work in this area. Again, a few providers are reconfiguring parts of their services into supported living services. These initiatives are considered beneficial in that service users have greater influence and control over their lifestyles and the support provided. Specialist services such as four respite units and a small unit for those recovering from drug/alcohol dependencies are included in the

adult grouping. In these services difficulties with accommodation standards and care management recording persist.

In the **independent sector** the most commonly repeated recommendations related to:

- inaccuracies in essential records;
- developing policies and procedures for managing challenging behaviours;
- addressing issues of independence in relation to residents' finances and future accommodation needs.

In the **local authority** sector the most commonly repeated recommendations related to:

- developing policies and procedures in management of challenging behaviours;
- staffing: training records; cook/domestic arrangements; ancillary staffing; outstanding staffing reviews;
- poor building standards .

### Residential Services for Children and Young People

This sector comprises of five local authority residential units and one independent sector residential school, together accommodating and looking after 90 children and young people. Previously around 80% of total standards have been complied with and this position is unchanged. The needs of young people cared for in this sector are increasingly complex. Many looked after and accommodated young people are in the older age bracket 14- 17 years, many are challenging in their conduct and the majority are not in mainstream education.

Levels of compliance were comparably lower in the local authority managed services in contrast to those in the large residential school setting. Inspectors have consistently commented on lack of individual time spent with young people; staffs' responses appearing reactive and unplanned, and property standards and design features in some units being unacceptably poor. Several recommendations applicable to local authority services for children are long-standing.

In response to concerns an officer member group has undertaken a review of services. In the past year specific measures have been initiated to address issues within children's units,

although the impact of these has still to be assessed. Improved links with Construction Services, a review of catering and cleaning services, reductions in temporary staffing and provision of additional staff cover to allow for increased staff training opportunities were positive measures noted. Developments in relation to education and throughcare were also evident. Turnover of managers has decreased and discussions are underway to review staffing structure and administrative support provided. Developments are currently being progressed to address prevailing problems in managing the complex needs and behaviours of troubled young people in residential units.

In the **local authority sector** the most commonly repeated recommendations related to:

- shortcomings in essential administration: written information, complaints, medication, fire,
- inadequate individual care planning,
- the management of challenging behaviours,
- poor property and maintenance standards.

### Day Services

The two main sectors of provision are for adults with learning disabilities and older people. Other provision for people with physical disabilities, addiction problems and mental health problems are also subject to inspection. Day services are mixed in terms of provider: the local authority provide 15 services, the independent sector 4 services. General findings illustrate high levels of compliance with standards (between 86% and 89%), in day services.

For a minority of users, day services for adults with learning disabilities are slowly moving away from traditional centre-based models of provision. Improvements have been noted in the assessing, planning and appropriateness of individual day opportunities being provided in and from Centres, but there is still room for progress. Issues of poor building design, location and lack of adaptation to accommodate users with high dependency levels continue to be concerns. A working group has been established to devise guidance on managing challenging behaviours for day service staff but has still to report. In general, there remains scope to improve care management arrangements, particularly where users have high dependency on staff.

Day services for older people generally achieve high levels of compliance to standards, albeit the accommodation standards are mixed. The majority of people using these services do so as part of a planned programme of care to prevent isolation or to provide respite to carers. Whilst most services are in a position to provide personal care assistance, social care tends to be more central to services inspected. Major changes have taken place in this sector with new specialist services for people with dementia recently becoming fully operational and the upgrading and adaptation of two former local authority residential homes to provide day facilities.

Arrangements for day services, both for older people and people with learning disabilities, are currently subject of major review by the local authority. The staff restructuring exercise within the Social Work Department will allow a more targeted approach to development of day services. There is no consistent pattern to recommendations. In both client sectors issues of accommodation suitability were prominent. In relation to day services for adults with learning disabilities this second phase of inspection has identified a need for greater clarity about service purpose and its relevance for users; for greater clarity on levels of service use; and a need for more focused care management measures.

## **9. Performance Indicators**

The Scottish Executive sets out two indicators against which inspection performance is measured: inspection frequency of two inspections annually, and year on year reduction in the proportion of shared rooms within residential accommodation.

### Inspection Frequency

For the third consecutive year the statutory inspection target of two inspections annually has been met.

### Shared accommodation

Quantifying levels of shared accommodation provides one of the firmest indicators of whether privacy standards are achieved. Currently of 853 places available, 190 (22.2% of total places) are in shared bedrooms. This reduction of 5% on last years figure largely arises from two home closures. Overall, levels of shared bed space in residential services remains

unacceptably high. Levels of shared bedrooms in local authority and independent sector homes for older people are unchanged over the past year.

## 10. Registration

Registration is the statutory process whereby services in the private and voluntary sectors are licensed to operate by the local authority and thereafter regulated. In North Lanarkshire there are currently 30 registered residential services and 5 registered day services.

Routine registration work relates to variations to registration conditions, such as capacity, changes to premises, or changes in management or ownership arrangements. Each episode results in careful reappraisal of the registration position prior to changes being approved.

**Table 3** illustrates the registration workload undertaken in the past year. There have been no new registrations. There has again been a reduction in registered services through closures and reconfiguration of services.

### Registration Workload 2000/2001 (Table 3)

| Current No. of Registered Establishments | New Registration 2000/2001 | Closures/ Reconfiguration 2000/2001 | Variations Processed (Category /Nos) | Changes to Organisations Processed | Changes of Manager Processed | Enforcement Action Taken |
|--|----------------------------|-------------------------------------|--------------------------------------|------------------------------------|------------------------------|--------------------------|
| 30 residential;<br>5 day services        | 2                          | 3                                   | 4                                    | 8                                  | 10                           | 0                        |

## 11. Advisory Committee on Inspection

This Committee continues to meet on a quarterly basis.

In the past 12 months the membership of the Committee has altered to include wider representation from service managers.

The Committee has continued to make contributions to the inspection function through consideration of formal reports and hearing representations at Committee by service users

and managers. A recent initiative has been the arrangement of visits by members to respite and day services to directly receive users' views and gain insight into inspection activity

The Committee has taken an interest in wider developments taking place towards the establishment of the new Commission but has also maintained its focus on the routine work of the Unit and on inspection findings and approaches.

## **12. Summary**

Unit staffing has remained stable over the past year. Staffs' performance has been satisfactory but reporting time-scales have deteriorated. In recent months joint work with the health board and use of lay persons on inspection have become difficult to sustain.

Targets for inspection of at least two inspections annually by the Scottish Executive have been met for the fourth successive year. Performance indicators in relation to shared bedrooms show modest improvement. In the main this is due to closures rather than positive action and levels of shared bedroom accommodation in North Lanarkshire residential units remains very high.

The pattern of residential provision remains relatively unchanged from the previous year. Two closures of independently run homes for older people took place early in the year and thereafter there were no new services established or registered. There has been additions to inspectable day services, particularly specialist services for people with dementia

Most services comply with the majority of inspection standards set and are prepared to cooperate towards improvement. The need for enforcement action has been lower than in previous years. It is positive that the majority of providers meet required standards in relation to service delivery and notable that compliance with principles relating to choice, rights and users inclusion in decision making is generally well established across all services

Care standards in residential and day services appear to have levelled out and inspection is having a limited influence upon improving levels of compliance with unmet standards.

This is illustrated in high levels of repeat recommendations in relation to property, staffing and care management recording. A range of factors are behind repeat recommendations including costs, differences in prioritisation, scale and complexity of change sought. Consultative processes and working party approaches taken by larger providers can lead to delays in acting on recommendations but equally illustrate the need for well considered solutions to complex problems.

Highest levels of compliance with standards were found in voluntary sector adult residential services and local authority services for older people. Private residential services and day services were next best. Poorest levels of compliance were found in local authority services for children. The local authority's review of its residential services for children and its day services had still to be concluded, Distinct measures taken to address concerns in local authority units for children had still to be consolidated and to impact on service problems in that area.

Transitional upheaval is anticipated as registration and inspection services transfer to the new Scottish Commission for Regulation in April 2002. Measures are being taken to commit resources to ensure the Council's statutory obligations to inspect residential and day services will be met.