

Update on developing our new approach to inspection

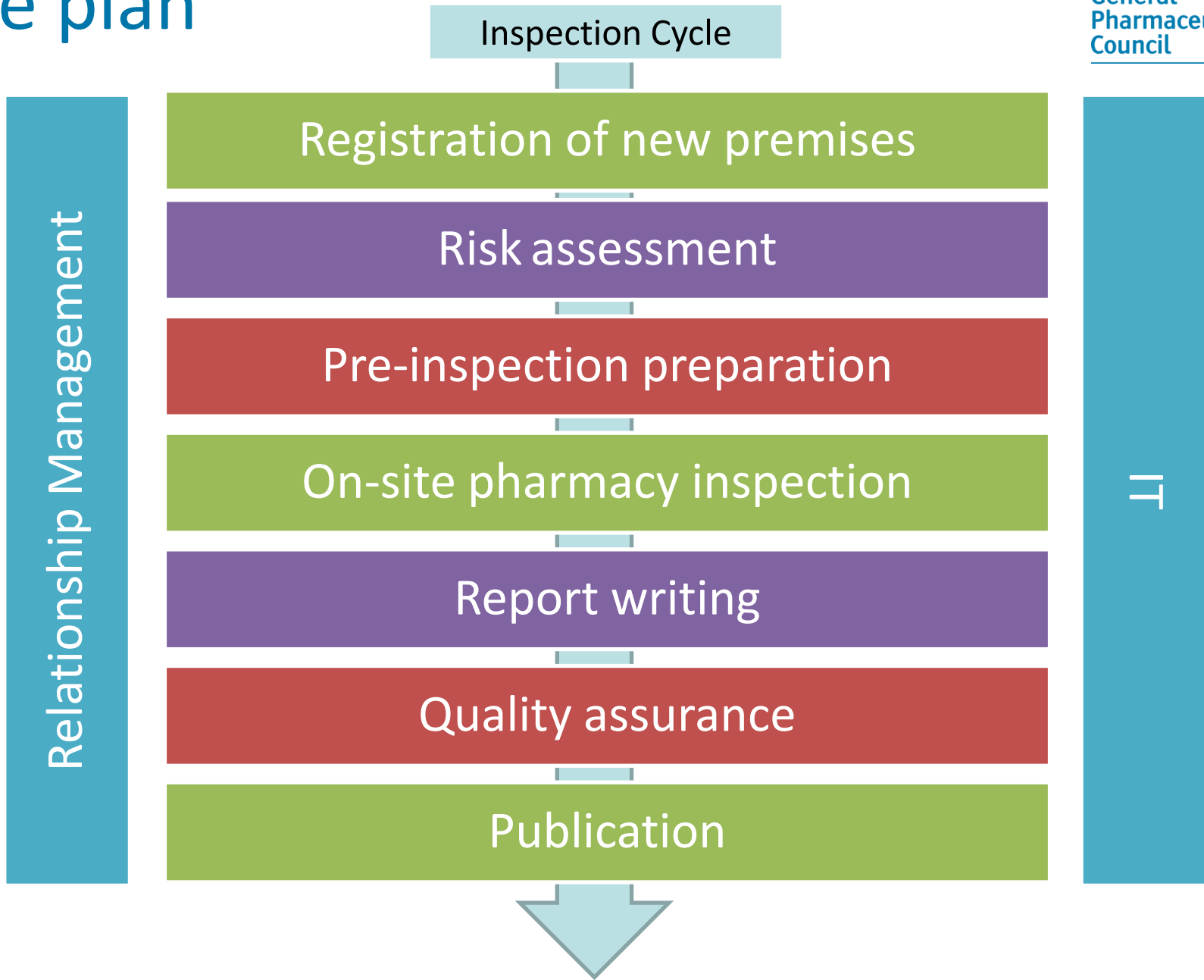
March 2013

Re-cap from last time



- Vision
- The plan
- Proportionate regulation
- Inspection decision framework
- Relationship management
- Our development approach

The plan



Registration of new premises

- 2 stage process drafted
- Draft application form developed
- Decision framework drafted for inspectors
- Engagement with NHSCB, Health Boards, sounding boards etc
- Ready for testing

Proportionate regulation

- Extensive engagement to understand what info is out there
- Pragmatic approach to start with, utilising:
 - Inspectors knowledge
 - Available and accessible information from others
- Testing risk assessment
- Testing varied frequencies

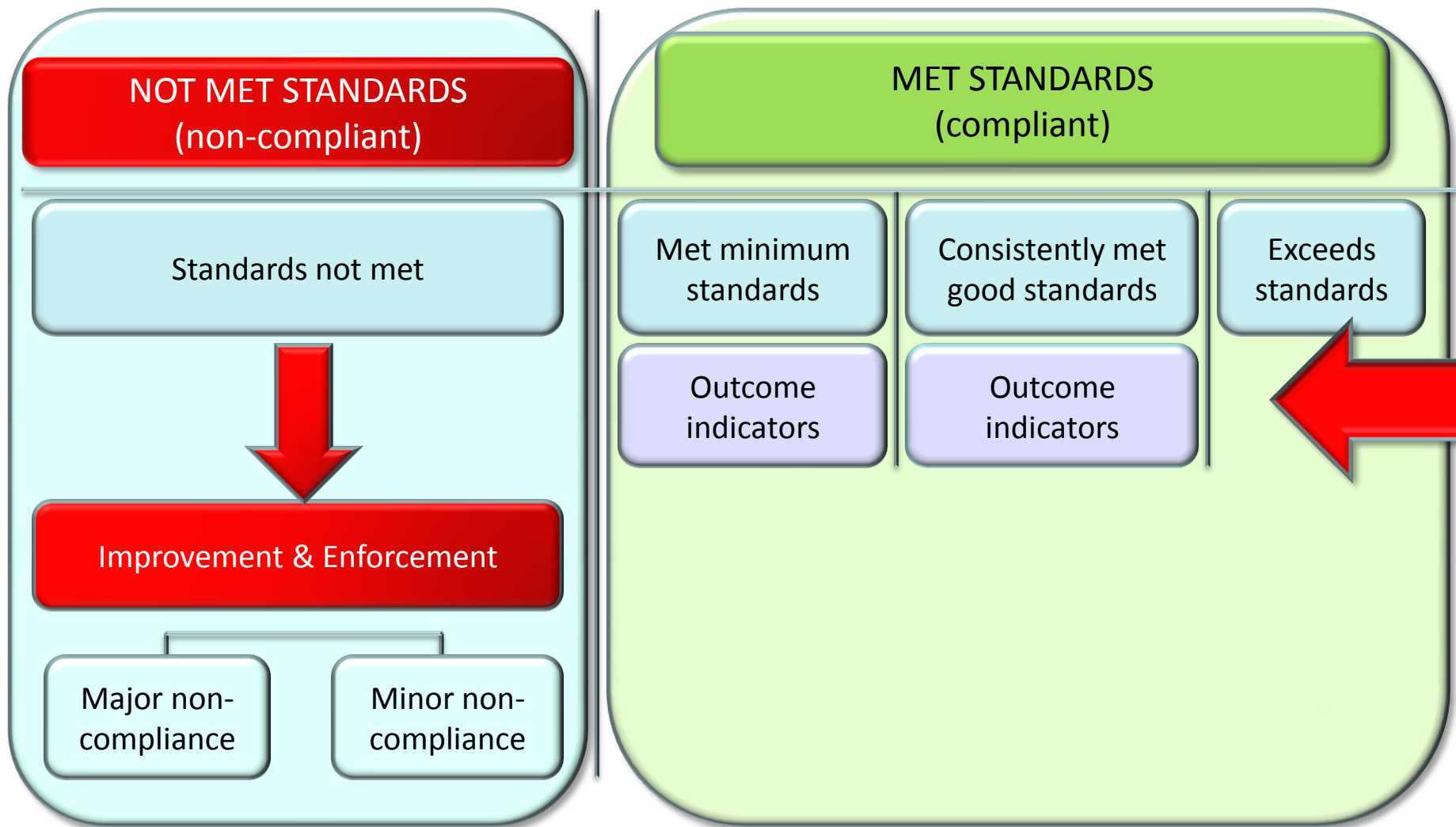
Pre-inspection prep

- Identified information that could be reviewed beforehand
- Tasks considered that could be carried out beforehand
- Ready for testing

On-site inspection

- Inspection decision framework
- Examples of outcome focussed indicators under minimum and good standards
- Extensive input from sounding boards
- Ready for testing

Inspection Decision Framework



Minor non-compliance

- 'Critical' standards are met and there is evidence of most other standards being met
- Most 'minimum standard' outcome indicators are being demonstrated
- Where standards are not met, the risks to patient or public safety are low (unlikely to occur and/or relatively low impact)
- Likely to be a range of issues, which taken together demonstrate non-compliance, e.g. Procedural weaknesses in record keeping, monitoring or review arrangements

Major non-compliance

- Evidence of a major breach of one or more of the 'critical' standards and/or significant regulatory responsibilities
- Number of standards are not being met
- Range of 'minimum standard' outcome indicators are not being demonstrated
- Risks to patient and public safety are moderate to high (likely to occur and/or with significant impact)
- Likely to be cases where we have identified systematic weaknesses

- 2 reports
 - High level public facing plain English summary report
 - Report for owner
- Engaged with public and patient groups
 - Content & format – key findings, summary upfront, overall rating, clearly documented improvement plan if required
 - Tone & style – short, concise wording without jargon, with bullet points
 - Judgement terminology – overall judgement and 3 sub categories terminology resonated
 - Dissemination – results displayed with date of last inspection, available internet, hard copy on request
- Engaged with sounding boards
- Prototype reports in draft
- Feedback from patient & public groups

Quality assurance

Investment in skills & knowledge
of inspectors

Use of professional
inspectors

QA
checks

Relationship Manager

- Job profile drafted
- Review of corporate documents / arrangements by single person
- Formalised structured meetings – 3 a year
- Testing sites lined up