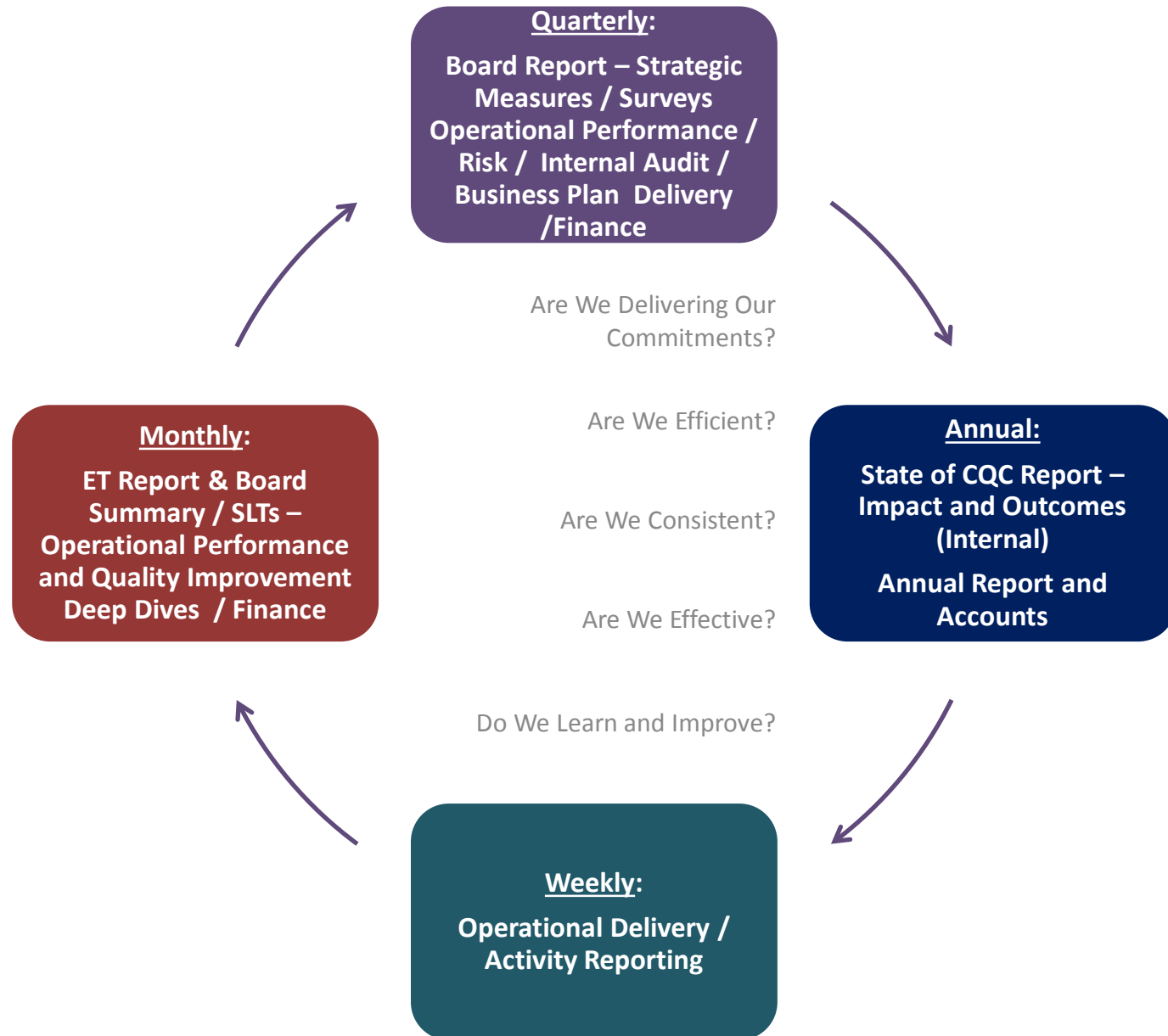




Performance Report: May 2018



Reporting Our Performance – Audiences

	SLTs	ET	ACGC	RCG	Board
Annual Performance Products		<ul style="list-style-type: none"> State of CQC Report – Impact and Outcomes 	<ul style="list-style-type: none"> State of CQC Report /Governance statement Management assurance process – summary 		<ul style="list-style-type: none"> State of CQC Report – Impact and Outcomes (Private) Annual Report and Accounts
Quarterly Performance Products	Operational Performance and Surveys	<p>Performance report: Operational performance and Impact (products as for Board see last column)</p> <ul style="list-style-type: none"> ‘Deep dives’ on performance 	<ul style="list-style-type: none"> Risk Report Internal Audit Report NAO/PAC Action Plan and Progress Report <ul style="list-style-type: none"> ‘Deep Dives’ on Risk 	<ul style="list-style-type: none"> Risk Report covering those within RCG remit (e.g. Consistency) (to be agreed) 	<p>Performance report: Operational Performance and Impact:</p> <ul style="list-style-type: none"> Strategic Measures and Surveys Operational Performance Risk Internal Audit Business Plan Delivery Finance
Monthly Performance Products	<p>Monthly performance report</p> <ul style="list-style-type: none"> Operational performance 	<p>Monthly performance report to ET (and summary to Board)</p> <ul style="list-style-type: none"> Operational performance 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> Summary report on Operational performance
Purpose	<ul style="list-style-type: none"> Operational Performance Management (includes delegation of improvement priorities to Operational improvement groups – eg: CIG) 	<ul style="list-style-type: none"> Assurance on Operational performance management (and focus on improvement priorities) Assurance on Strategic Change delivery 	<ul style="list-style-type: none"> Assurance regarding risk management and assurance processes 	<ul style="list-style-type: none"> Assurance regarding regulatory risk management processes 	<ul style="list-style-type: none"> Assurance on CQC overall performance

Performance Annex - Legend



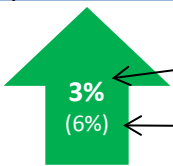
Illustrates the operating model component

Commonly Used Acronyms

ASC – Adult Social Care; **PMS** – Primary Medical Services; **HSP** – Hospitals; **MH** – Mental Health; **NCSC** – National Customer Service Centre; **IH** – Independent Health; **YTD** – Year To Date (Financial Year); **KPI** - Key Performance Indicator; **Enf** – Enforcement; **RI** – Requires Improvement; **Fac Acc** – Factual Accuracy; **SLT** – Senior Leadership Team;

Arrow colour measures YTD performance against target

Arrow direction measures trend against previous month performance

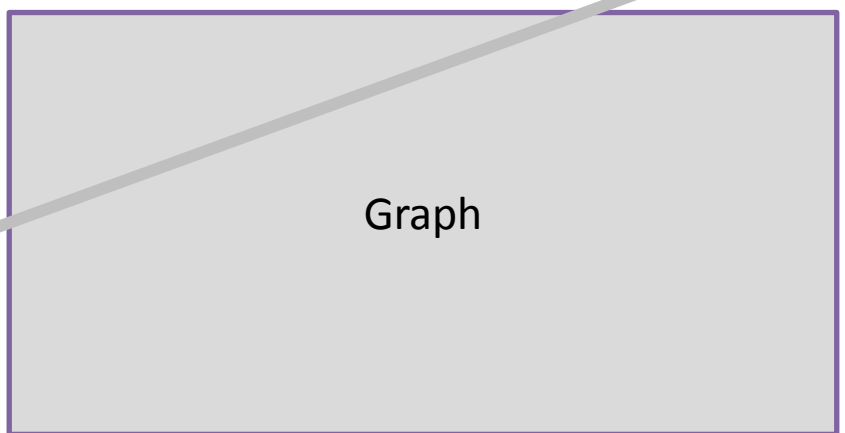


YTD performance

Monthly performance

C= The Slide gives **context**
M= The slide is a performance **measure** (KPI)
Trend:
improving;
deteriorating;
or no change

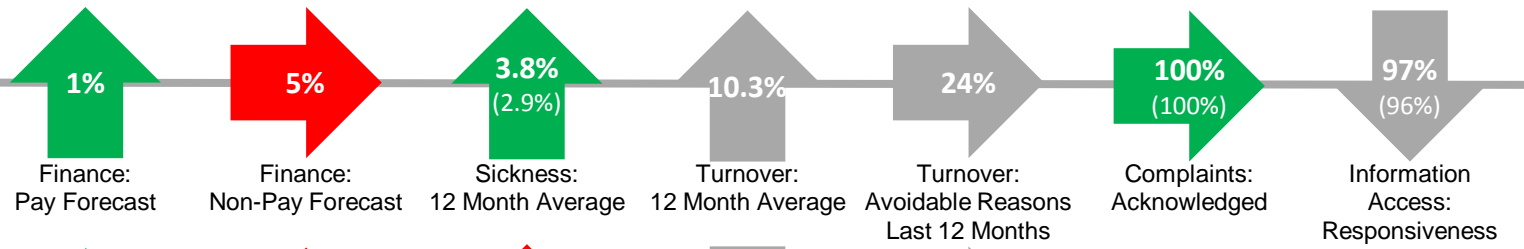
C **Title & Content**
Information about the timescales of the data



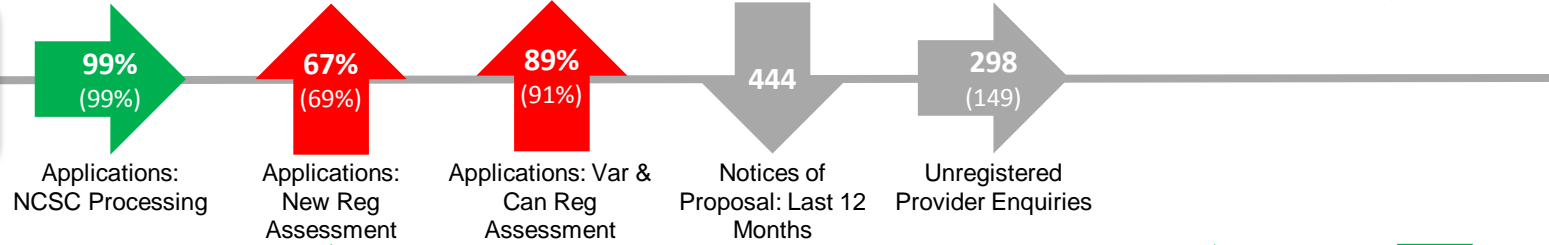
Performance:
green or red only. Measures with no target will have a white background

Additional information relevant to the content of the graph

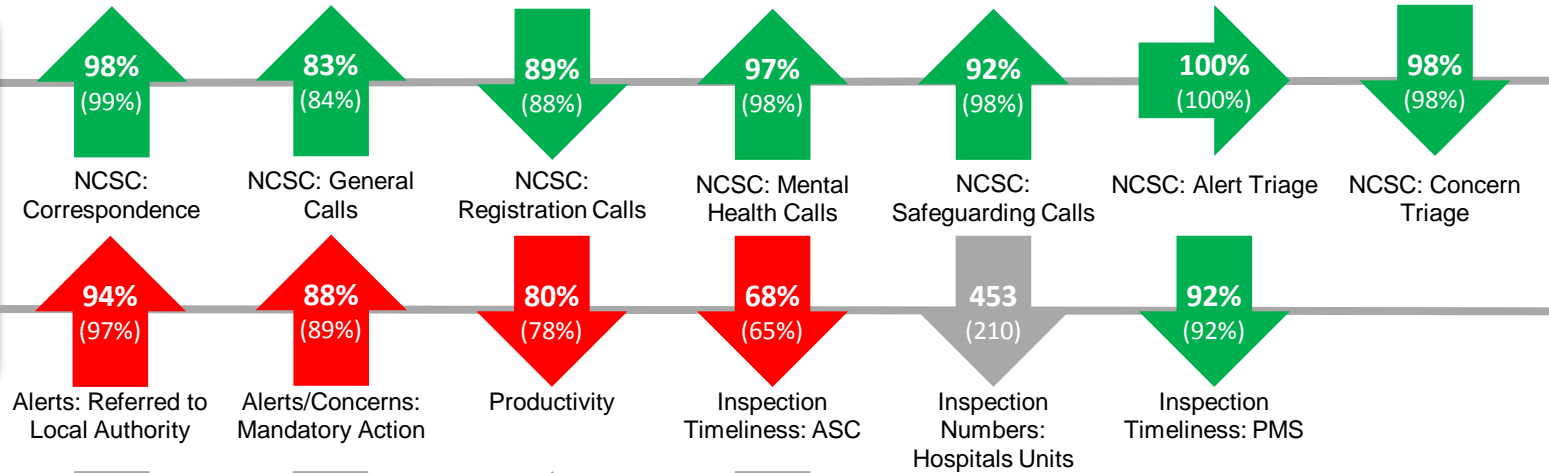
Manage Our Resources



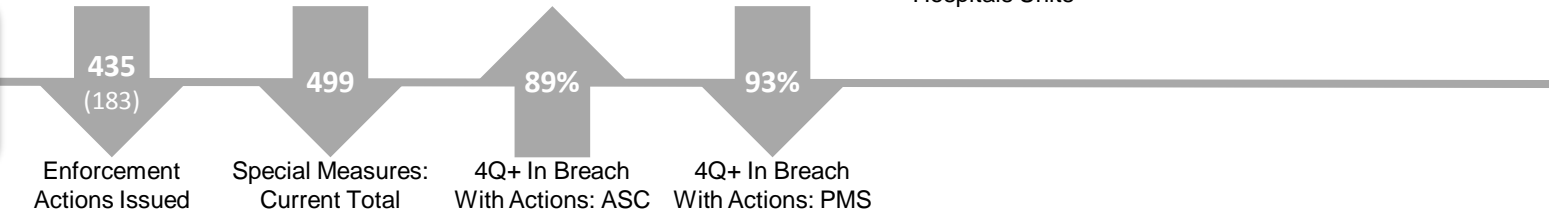
Register



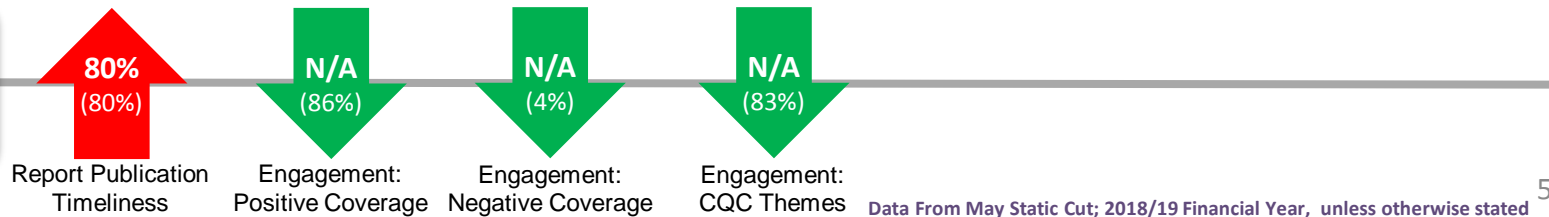
Monitor, Inspect & Rate



Enforce



Independent Voice



Manage Our Resources

Finance: Pay Forecast
KPI: 2% variance

Finance: Non-Pay Forecast
KPI: 2% variance

Sickness: 12 Month Average
KPI: Below 5%

Turnover: 12 Month Average
No current benchmark in place

Turnover: Neg Reasons Last 12 Months
Incl. work life balance, lack of opportunities, better reward package.

Complaints Acknowledged
KPI: 3 Days
Target: 95%

Information Access Responsiveness
Benchmark: 90%
Based on statutory time limits of diff. legislation

Register

Applications: NCSC Processing
KPI: 5 days
Target: 90%

Applications: New Reg Assessment
KPI: NOP/NOD sent in 50 days
Target: 80%
Includes all reg applications

Applications: Var/Can Reg Assessment
KPI: NOP/NOD sent in 50 days
Target: 90%
Includes all reg applications

Notices of Proposal Last 12 Months
Most cases of NOPs are where we are refusing an application.

Unregistered Provider Enquiries
Alerts of services not assessed to ensure they are safe to operate

Monitor, Inspect & Rate

NCSC: Correspondence
KPI: 3 days
Target: 90%

NCSC: General Calls
KPI: 30 seconds
Target: 80%

NCSC: Registration Calls
KPI: 30 seconds
Target: 80%

NCSC: Mental Health Calls
KPI: 30 seconds
Target: 90%

NCSC: Safeguarding Calls
KPI: 30 seconds
Target: 90%

NCSC: Safeguarding Alerts Triage
KPI: 1 day
Target: 95%

NCSC: Safeguarding Concerns Triage
KPI: 1 day
Target: 95%

Safeguarding Alerts: Referred to Local Authority
KPI: 1 day
Target: 90%

Safeguarding Alerts/Concerns: Mandatory Actions
KPI: 5 day
Target: 90%

Productivity ASC/PMS KPI: 2 inspections (any type) a month
HSP KPI: average of 238 units a month
Target: 100%

Inspection Timeliness: ASC
RI/I Returns: 90%
G/O Returns: 80%
1st Inspections: 80%

Inspection Numbers: Hospitals Units
A unit is equivalent to 1 independent location or 1 core service

Inspection Timeliness: PMS
Target: 90%

Enforce

Enforcement Actions Issued
Includes Warning Notices, Civil Actions and Criminal Actions. Actions may still await outcomes.

Special Measures: Current Total
Services enter and exit during the month

4Q+ In Breach With Actions: ASC
Inspections in progress or scheduled and current/recent enforcement

4Q+ In Breach With Actions: PMS
Inspections in progress or scheduled and current/recent enforcement

Independent Voice

Report Publication Timeliness
KPI: 50 days
Except HSP 3+ Core Services: 65 days
Target: 90%

Engagement: Positive Coverage
Target: >70%

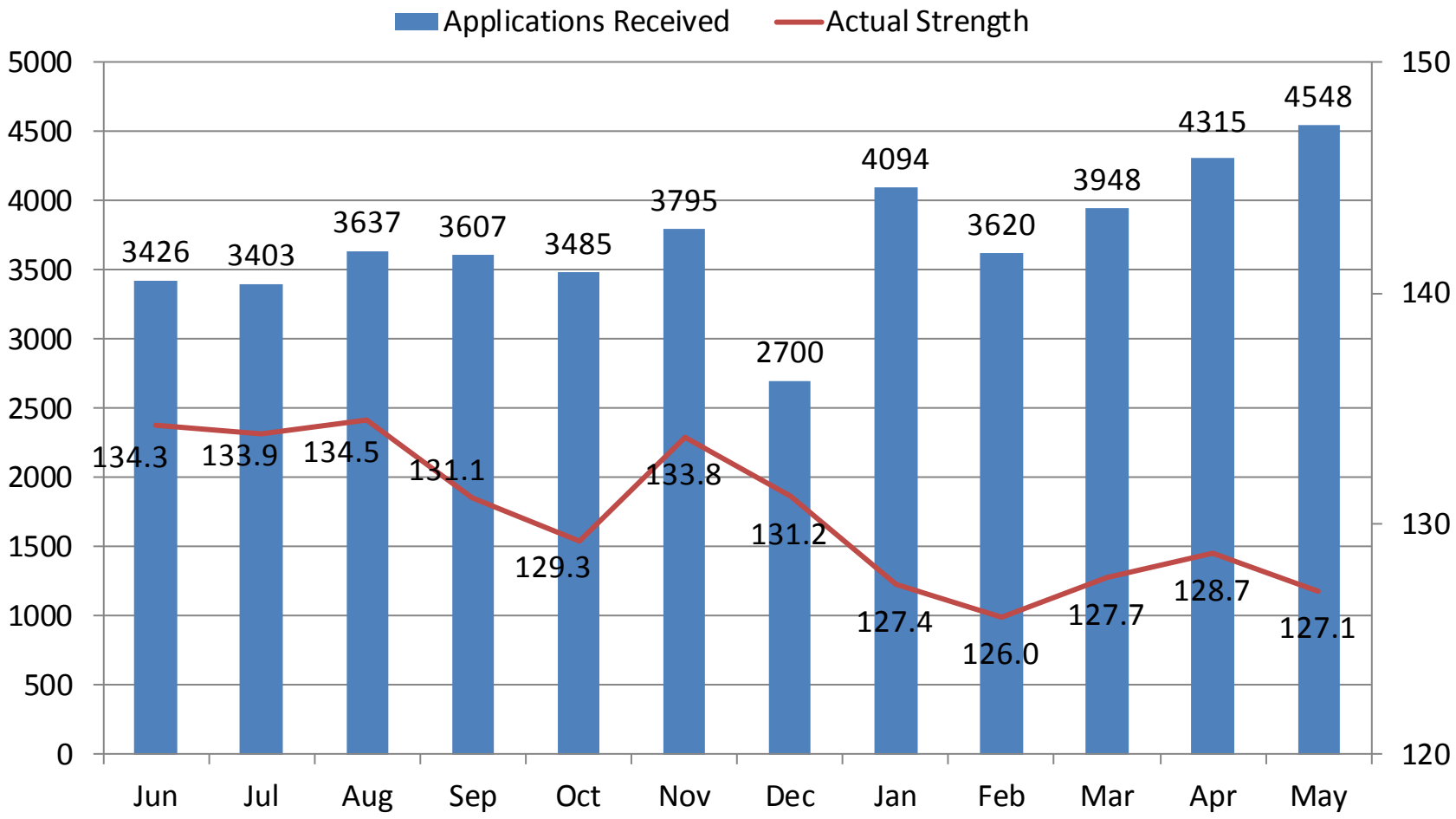
Engagement: Negative Coverage
Target: <10%

Engagement: CQC Themes
Target: >80%

Applications: Volumes Received

Register Monitor, Inspect & Rate Enforce Independent Voice

C *Volume of applications received and Actual Inspector Strength*
44,578 applications have been received in the last 12 months



Rolling 12 months; Data from May cut *Actual Strength is the number of FTE in post, discounting those that are out of the business, which includes those on long-term sick, on parental leave, suspensions, and external secondments.

Are Our Registration Assessments Timely?

M

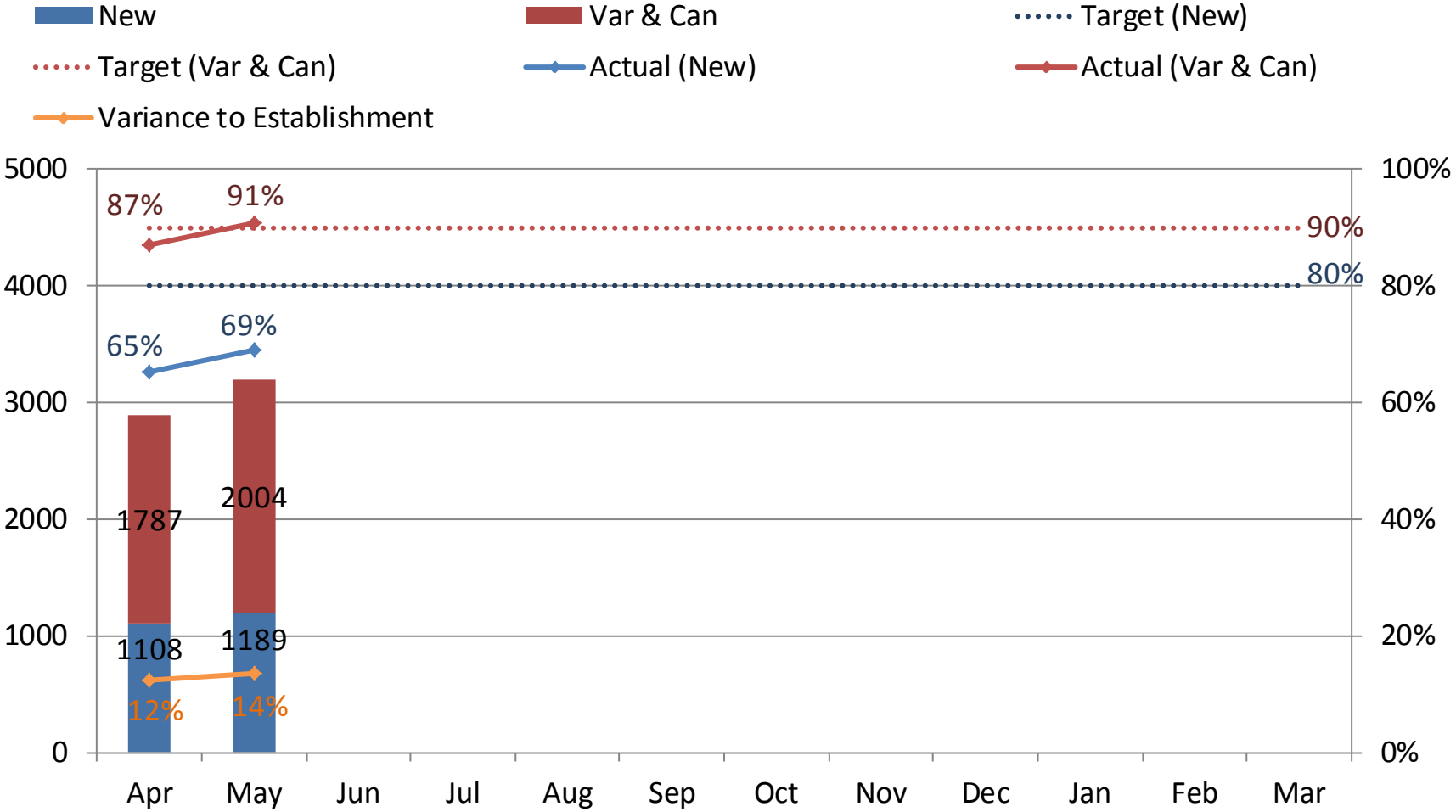
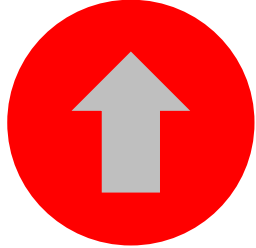
Register

Monitor, Inspect & Rate

Enforce

Independent Voice

① *Volume and timeliness for completion of Registration processes by month**
 Year to date, **67%** of New Registration applications and **89%** of Variations and Cancellations have been completed within KPI, compared with **77%** and **89%** respectively in 2017/18

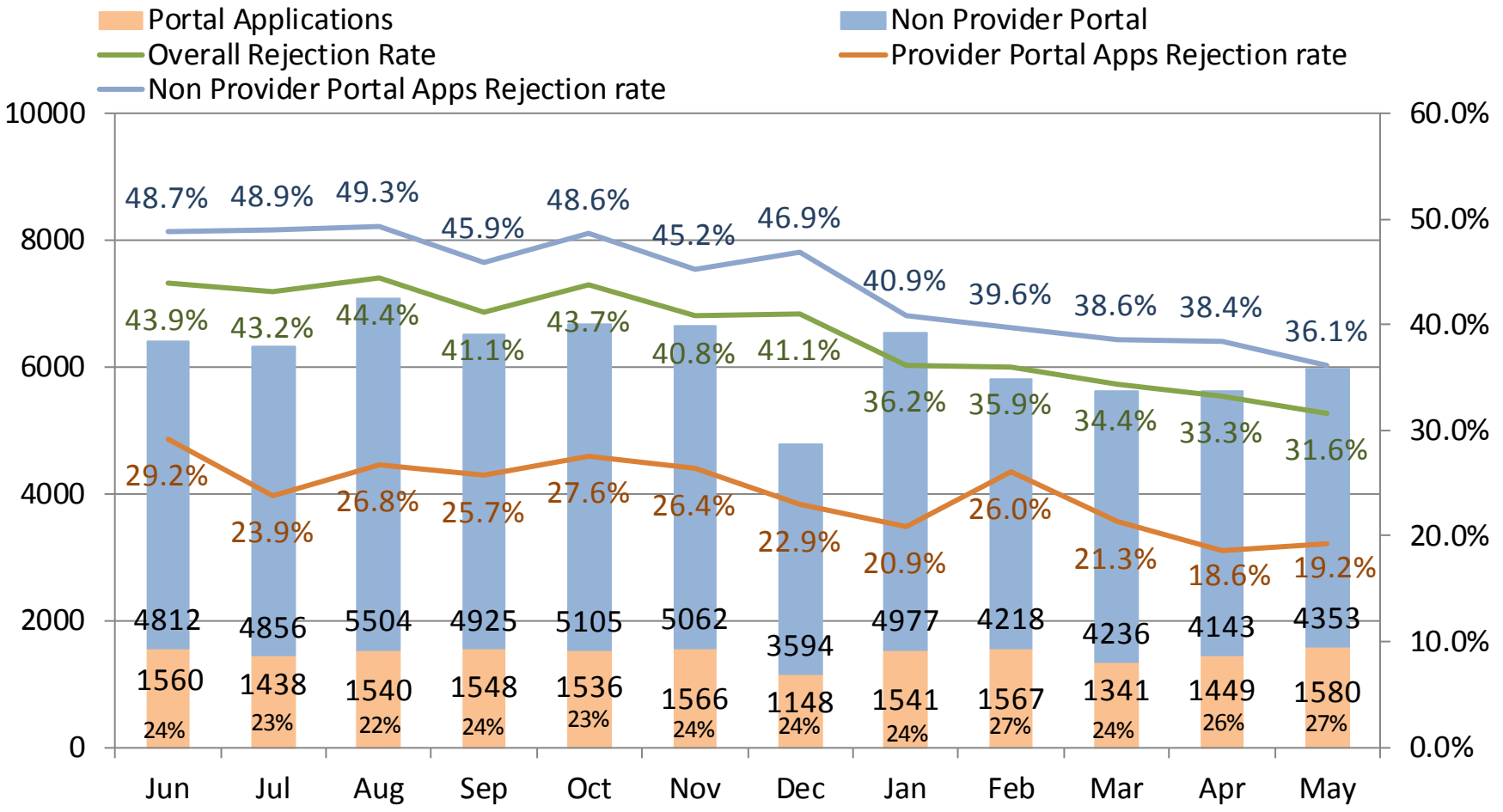
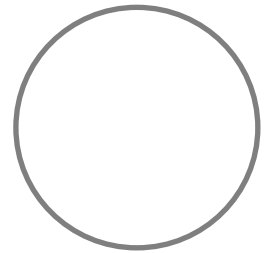


Rejection Rate for Applications

M

Register Monitor, Inspect & Rate Enforce Independent Voice

① *Volume of applications received by type and rejection rates*
 In the last 12 months, **24%** of applications have been received via the provider portal, with the rejection rate for provider portal applications being **24%** compared with **44%** for applications received by other methods in the last 12 months.



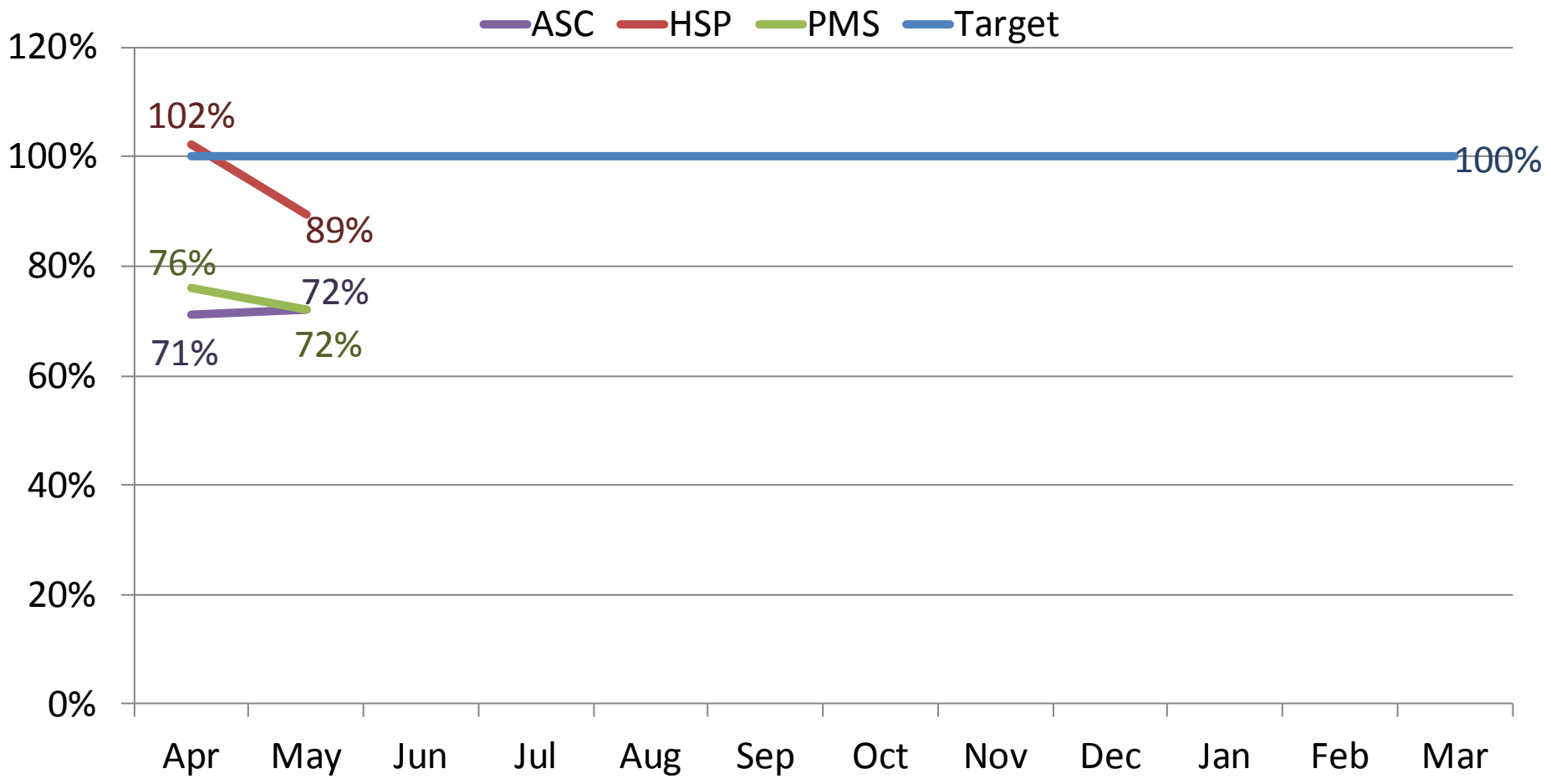
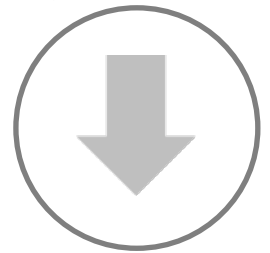
Rolling 12 months; Data from May cut

Inspections: CQC Productivity

M

Register **Monitor, Inspect & Rate** Enforce Independent Voice

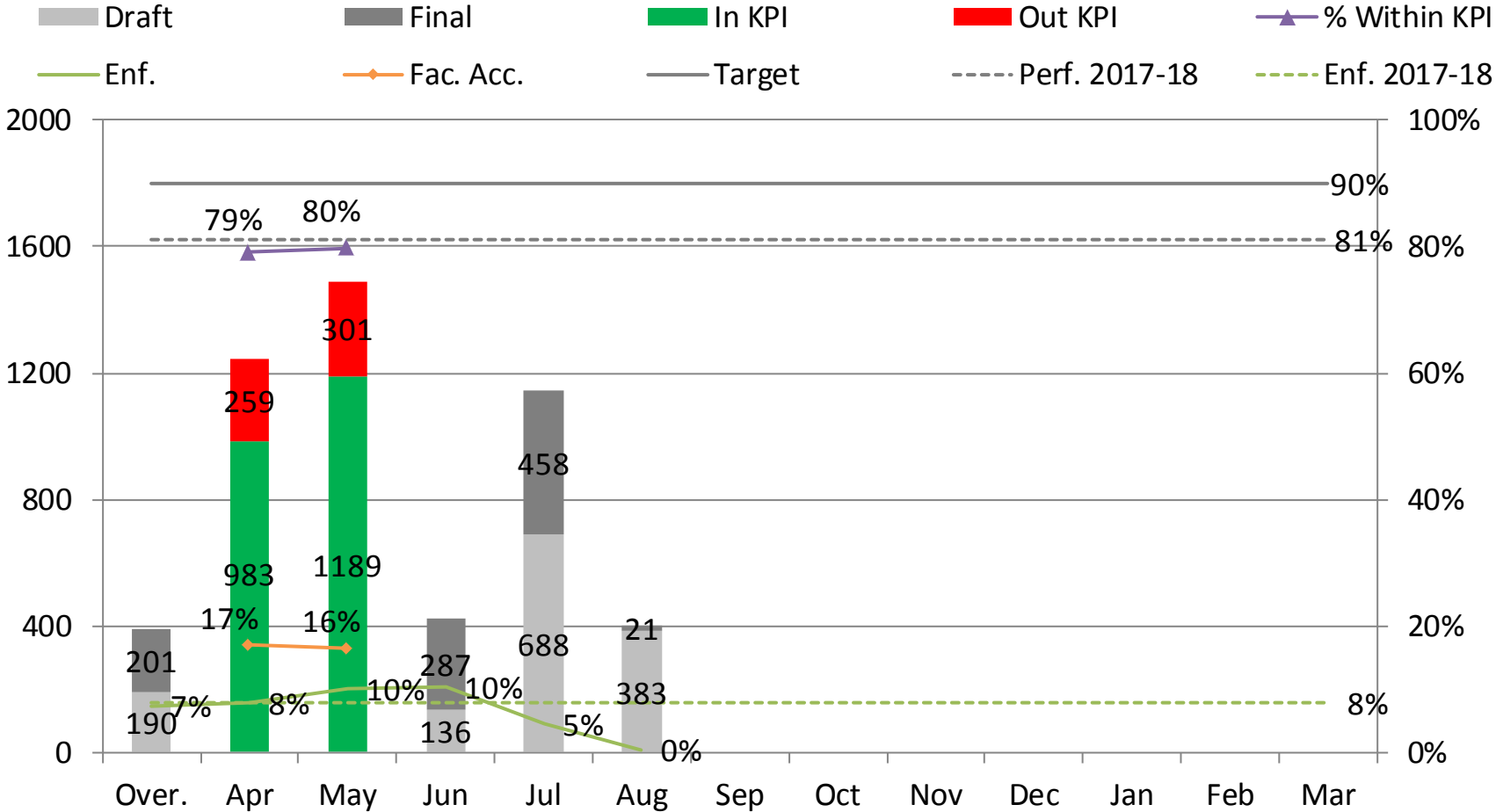
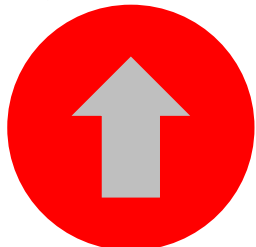
ⓘ Average inspections undertaken by available inspectors against target
 Year to date, CQC has achieved an average productivity rate of **80%**



Published Reports: CQC Timeliness & Influences

Register | Monitor, Inspect & Rate | Enforce | Independent Voice

M *Proportion and volume of reports published within timescales*
 Year to date, **80%** of reports have been published within KPI



2018/19 Financial Year; Data from May cut

KPI: ASC, PMS & HSP 0-2 Core Services – 50 working days after last visit date; HSP 3+ Core Services – 65 working days after last visit date; Enf.: where the report involved enforcement; Fac. Acc.: number of reports where we have received a Factual Accuracy challenge. Draft/Final: shows reports that are overdue or due and whether they are at draft of final stage.

Days to Publish Reports: CQC

M

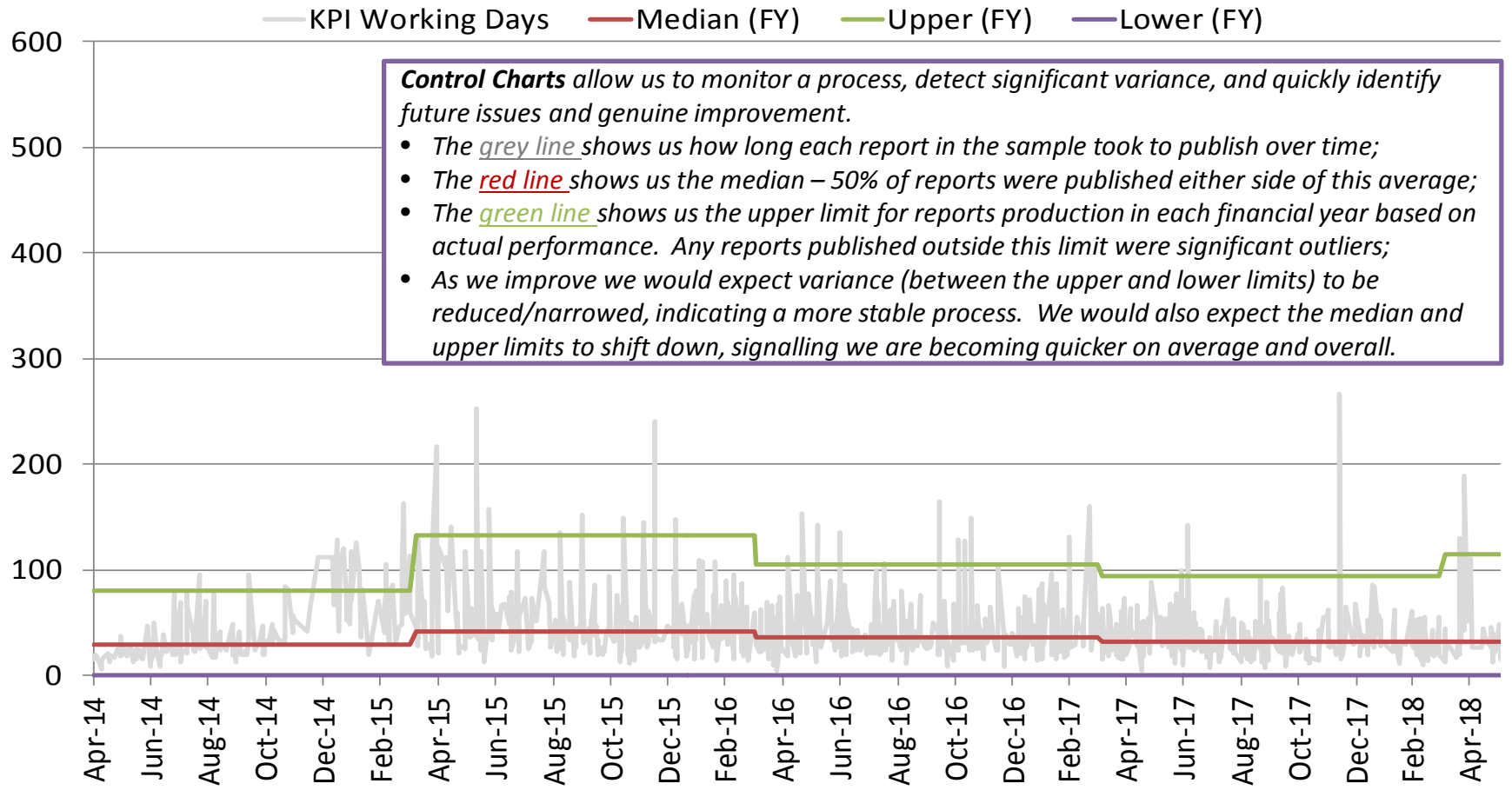
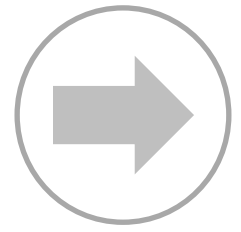
Register

Monitor, Inspect & Rate

Enforce

Independent Voice

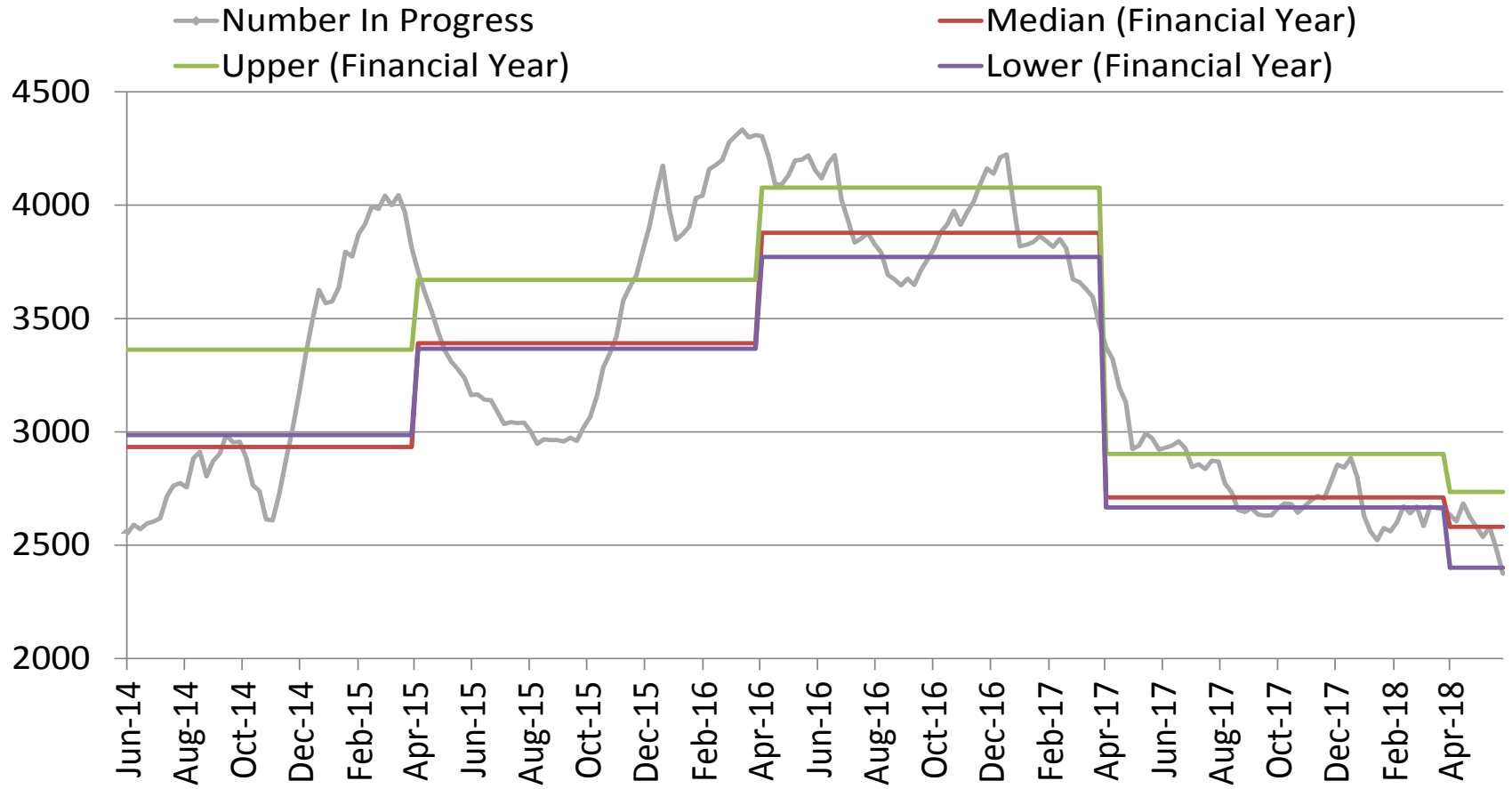
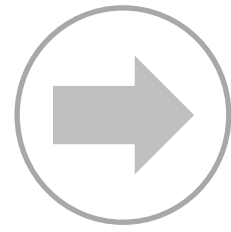
📄 *Days to publish reports April 2014 to May 2018, variance and median by financial year*



Reports In Progress: CQC

Register Monitor, Inspect & Rate Enforce Independent Voice

M *Number of reports in "queue" per week over time April 2014 to May 2018*



Changes in Quality Over Time

C

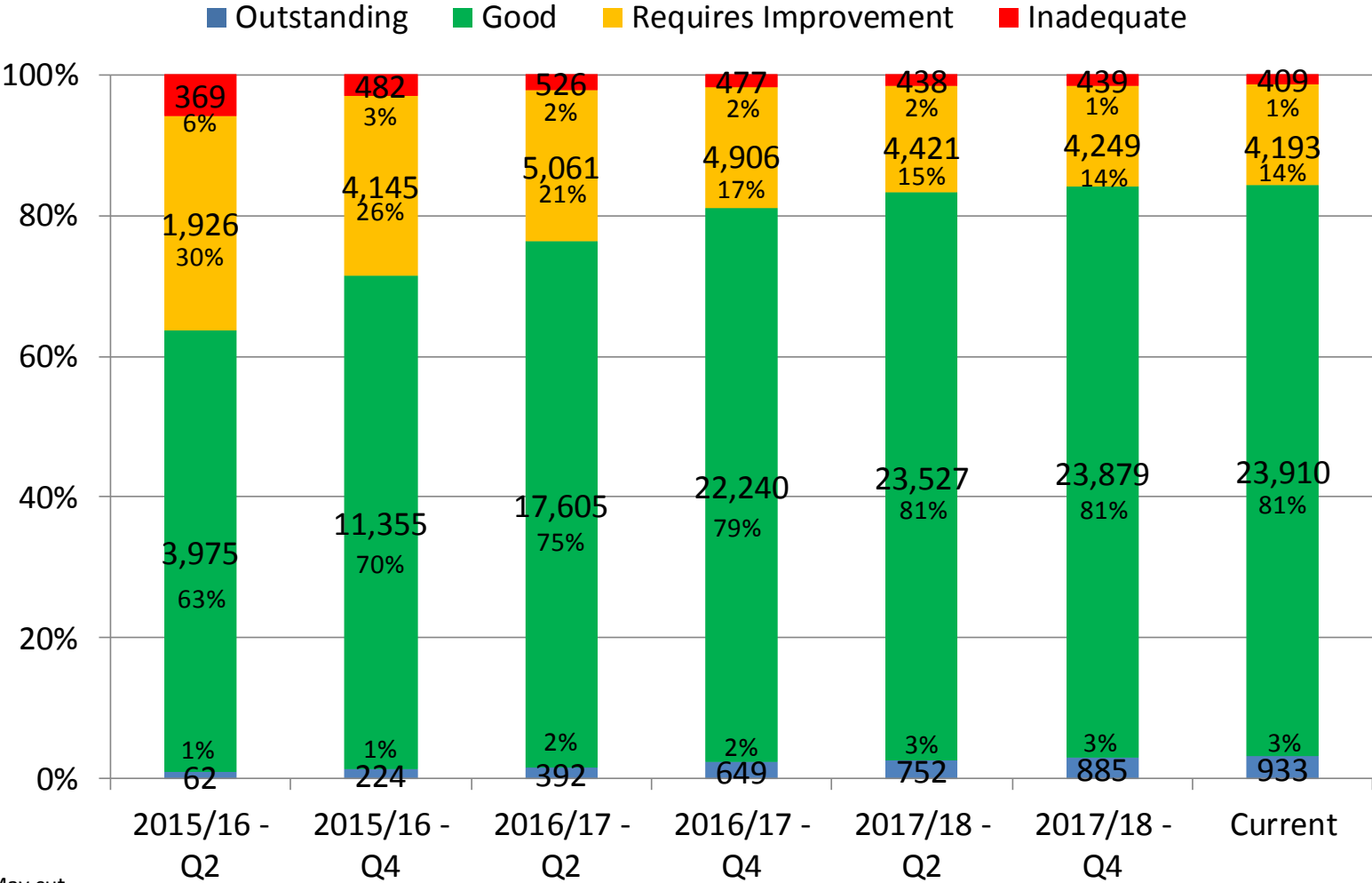
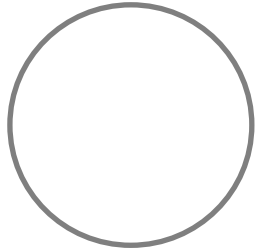
Register

Monitor, Inspect & Rate

Enforce

Independent Voice

i *Current and previous ratings profile of active services*



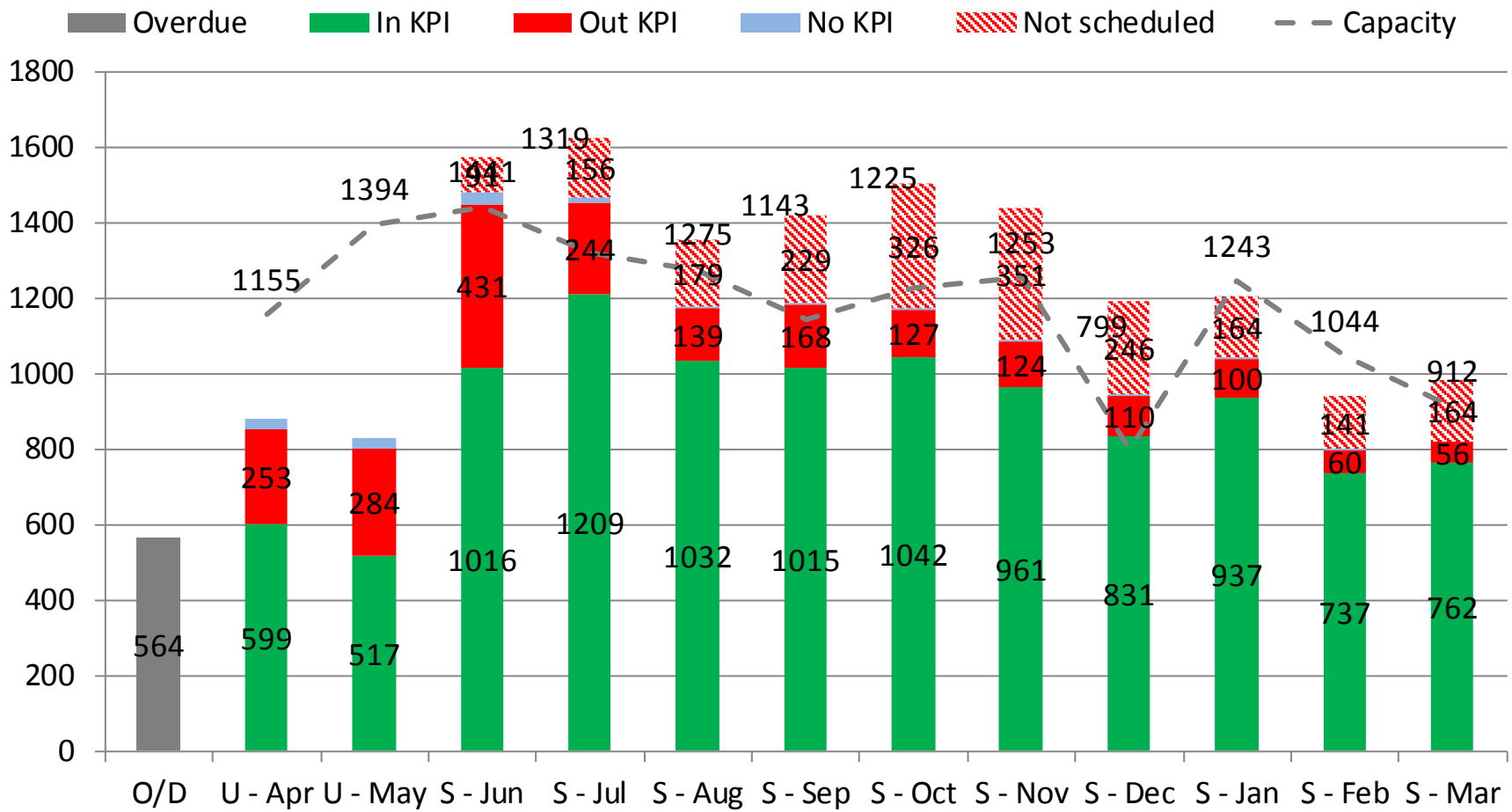
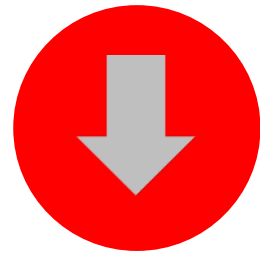
Data from May cut

Inspections: ASC Activity

M

Register | Monitor, Inspect & Rate | Enforce | Independent Voice

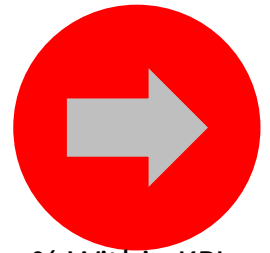
📌 *Inspections undertaken and scheduled against forecast*
 Year to date, ASC has undertaken **1,709** inspections **68%** of inspections have been undertaken within KPI.



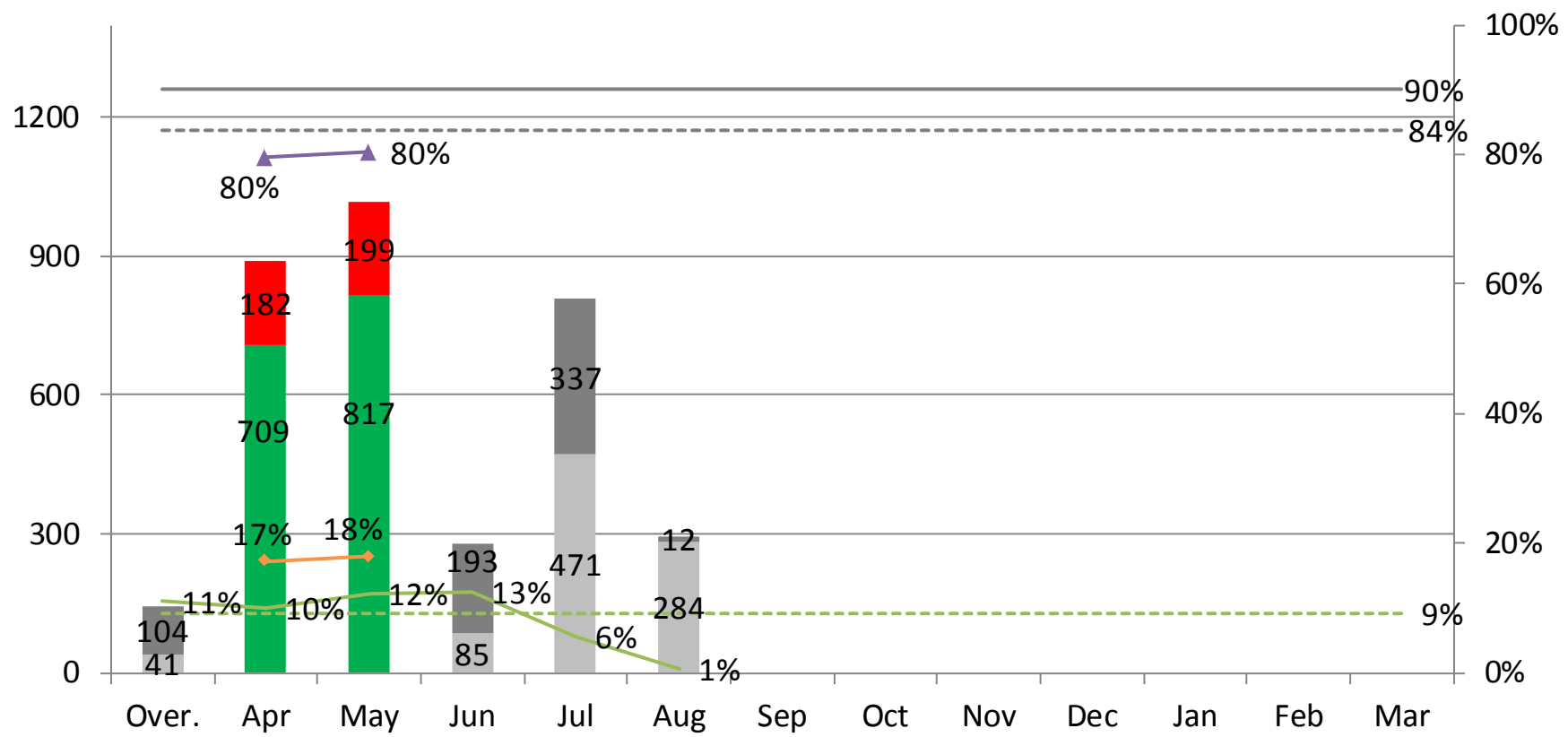
Published Reports: ASC Timeliness & Influences

Register | Monitor, Inspect & Rate | Enforce | Independent Voice

M *Proportion and volume of reports published within timescales*
 Year to date, **80%** of reports have been published within KPI



- Draft
- Final
- In KPI
- Out KPI
- % Within KPI
- Enf.
- Fac. Acc.
- Target
- Perf. 2017-18
- Enf. 2017-18

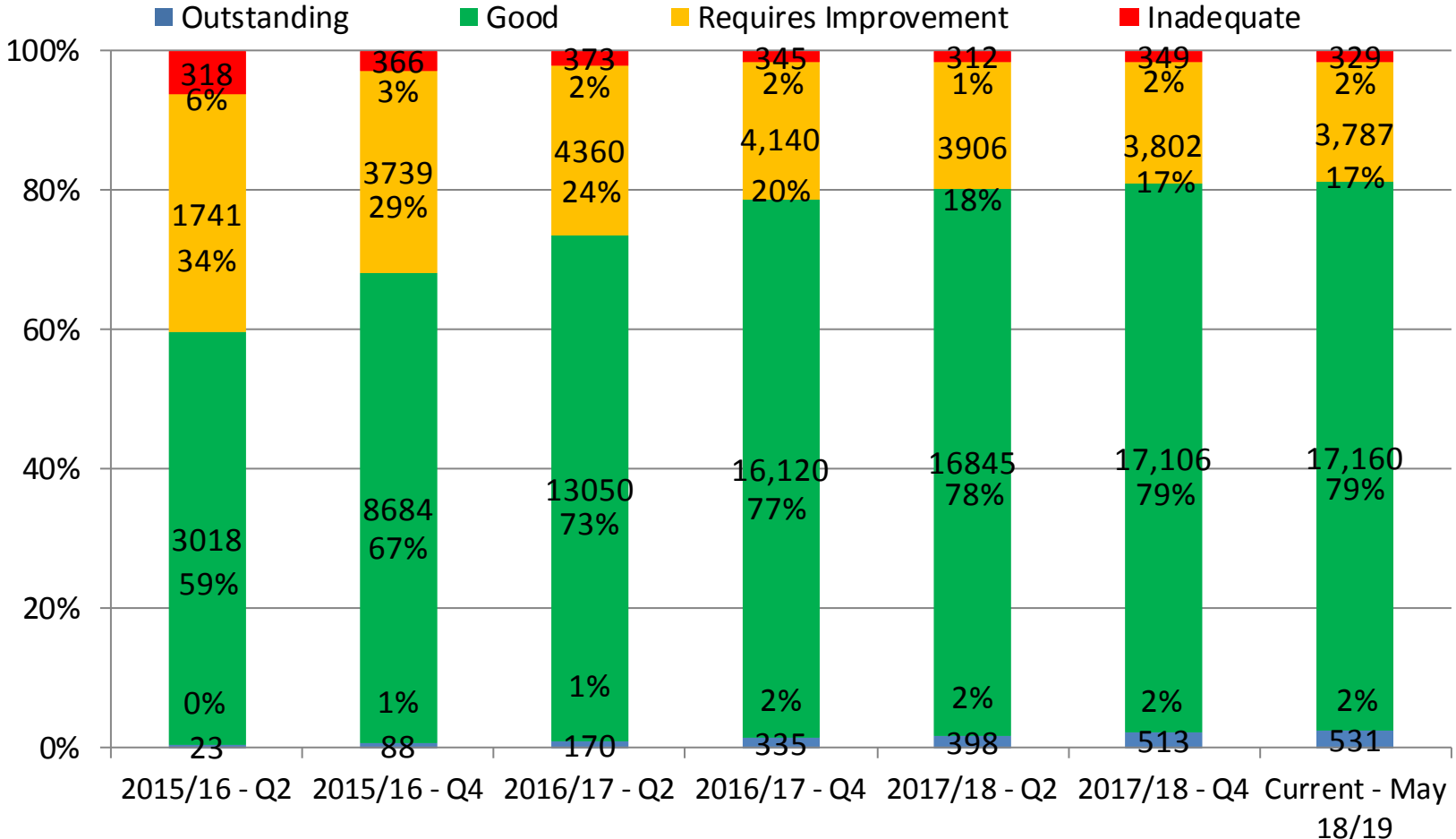
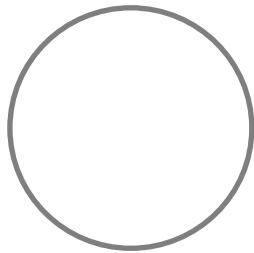


ASC: Changes in Quality Over Time

C

Register Monitor, Inspect & Rate Enforce Independent Voice

ⓘ *Current and previous ratings profile of active services*



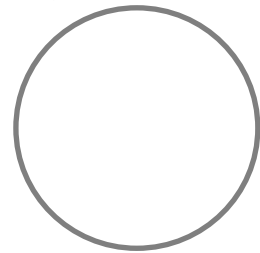
Data from May cut

Inspections: HSP Activity

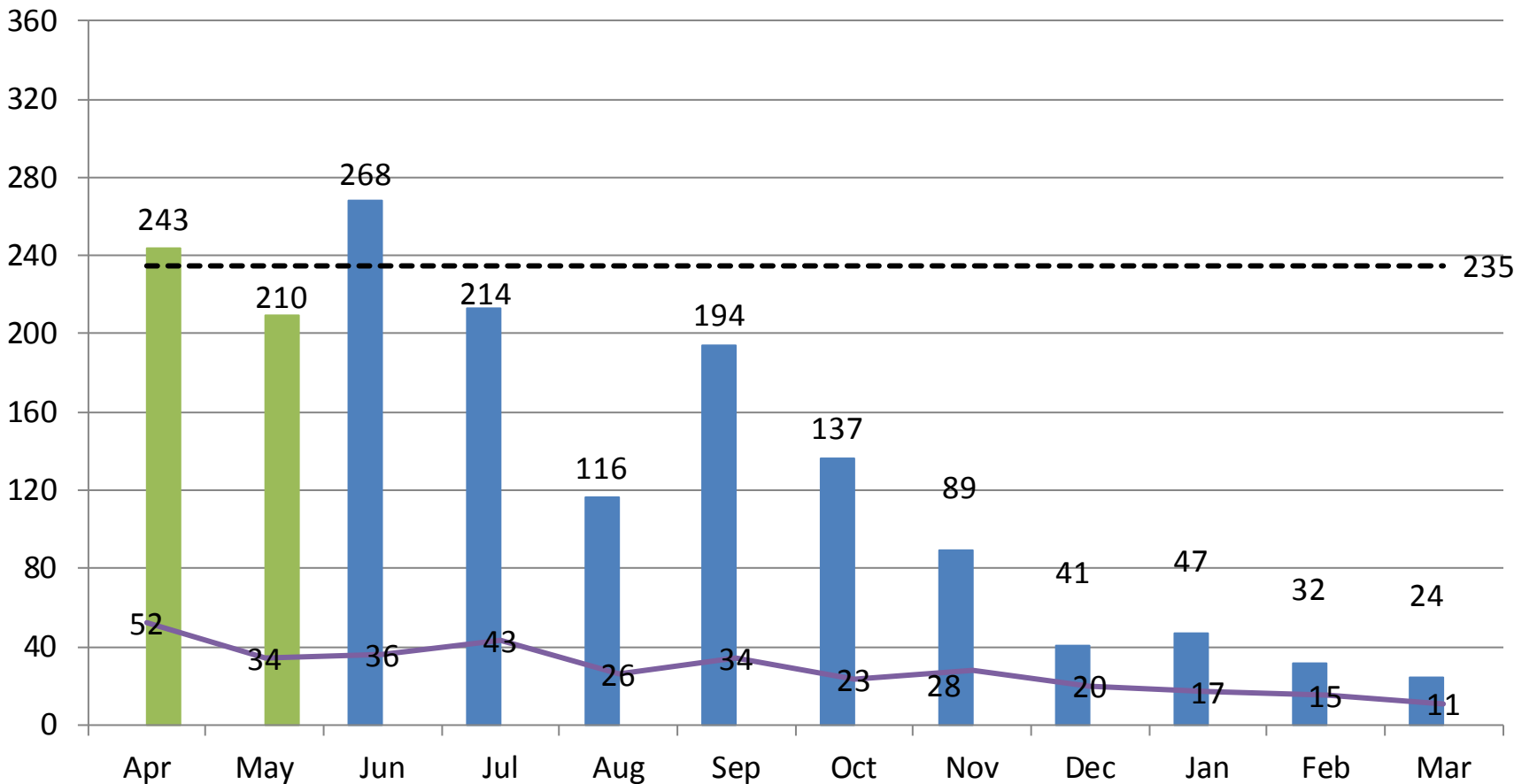
M

Register **Monitor, Inspect & Rate** Enforce Independent Voice

📌 *Inspections undertaken and scheduled against forecast*
 Year to date, Hospitals has undertaken **86** inspections.



■ Scheduled
 ■ Undertaken
 - - - Capacity
 — # of Inspections

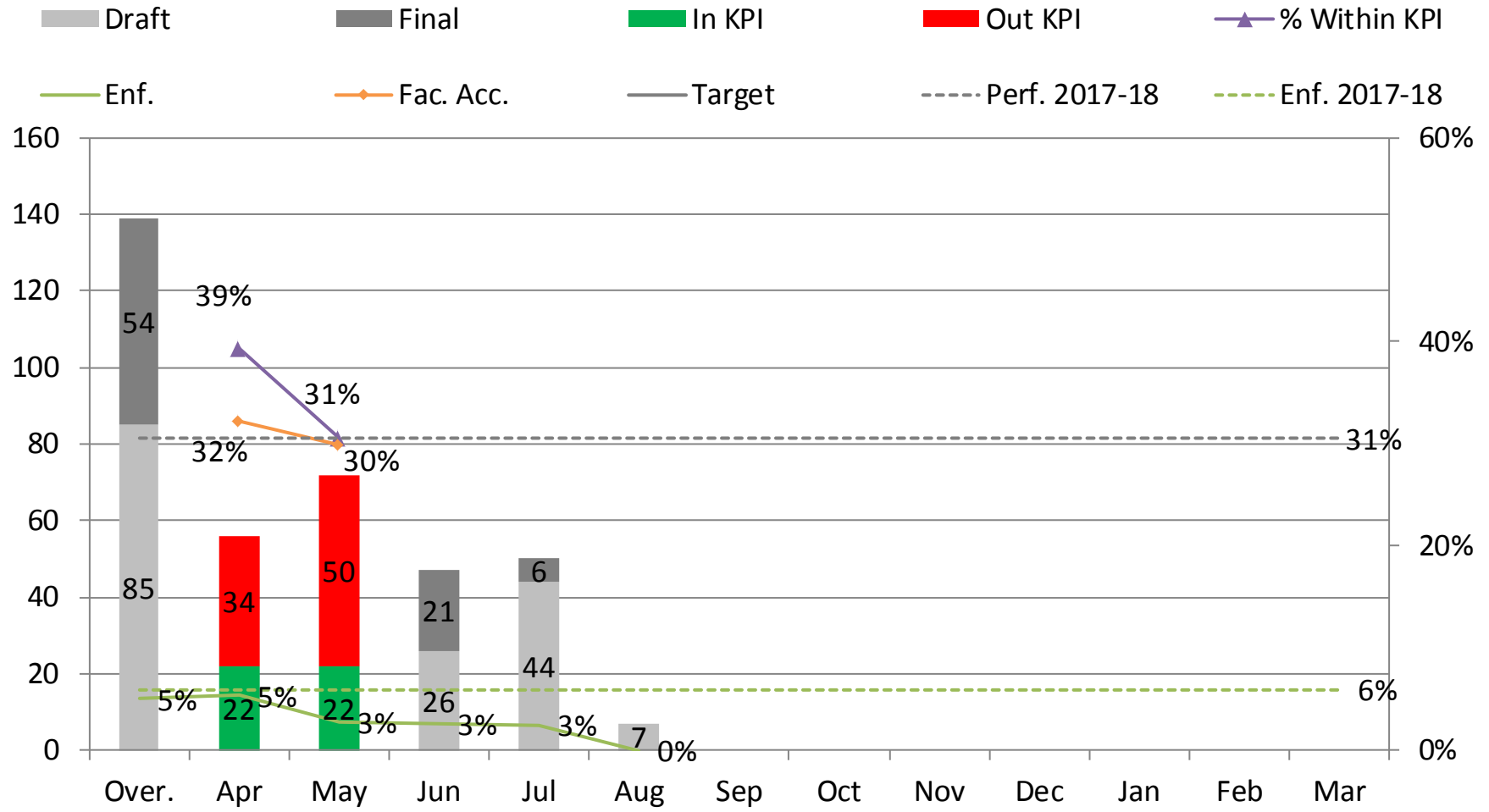
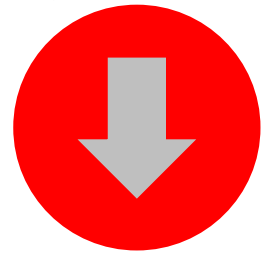


2018/19 Financial year; Data from May cut

Published Reports: HSP Timeliness & Influences

M Register Monitor, Inspect & Rate Enforce Independent Voice

ⓘ Proportion and volume of reports published within timescales
 Year to date, **32%** of reports with less than two core services and **60%** of those with three or more core services have been published within KPI



2018/19 Financial Year; Data from May cut
 KPI: ASC, PMS & HSP 0-2 Core Services – 50 working days after last visit date; HSP 3+ Core Services – 65 working days after last visit date; Enf.: where the report involved enforcement; Fac. Acc.: number of reports where we have received a Factual Accuracy challenge. Draft/Final: shows reports that are overdue or due and whether they are at draft of final stage.

HSP: Changes in Quality Over Time

C

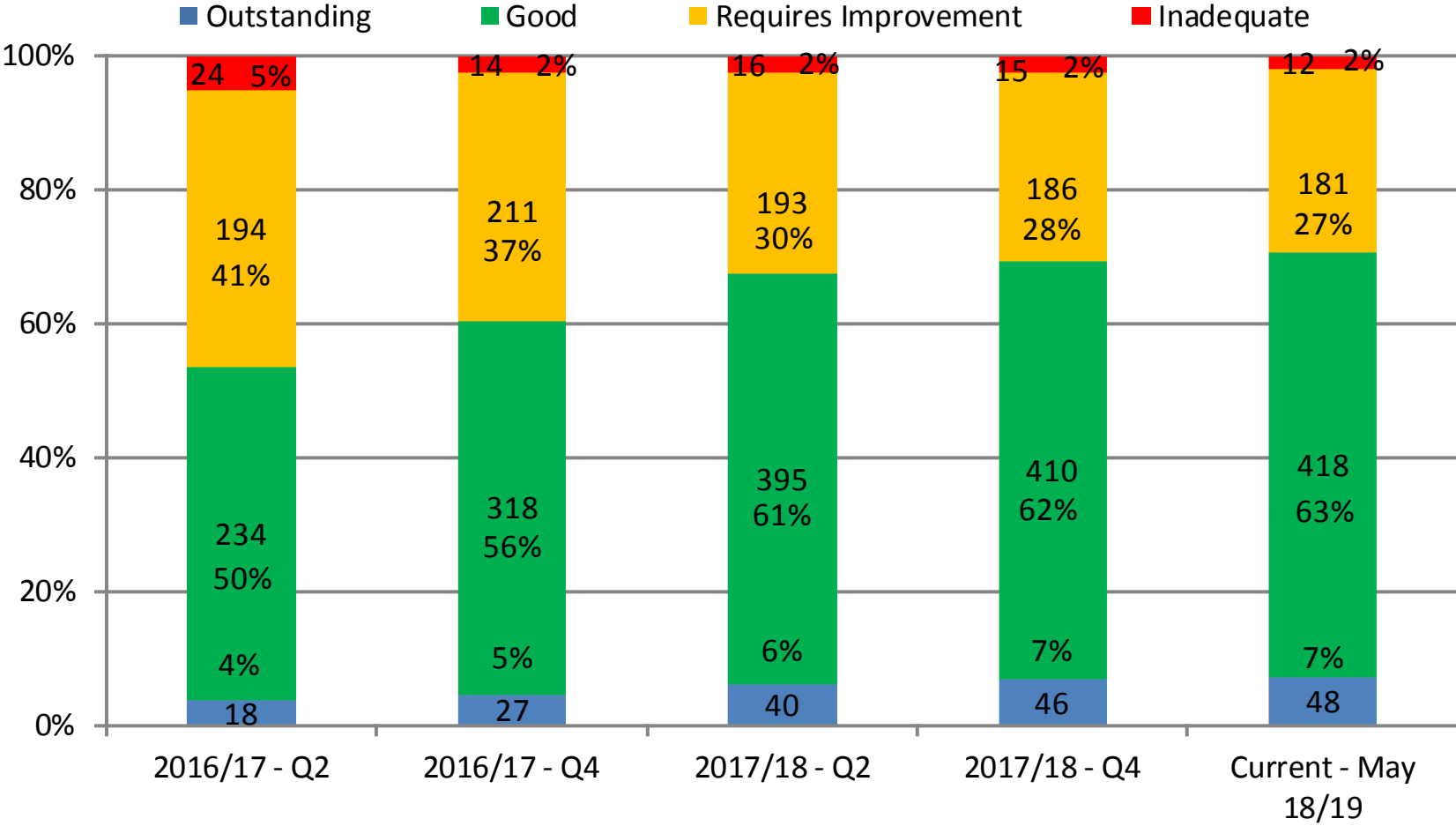
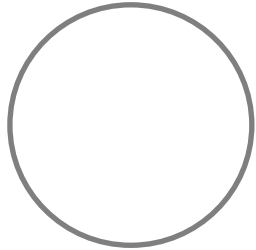
Register

Monitor, Inspect & Rate

Enforce

Independent Voice

ⓘ Current and previous ratings profile of active services



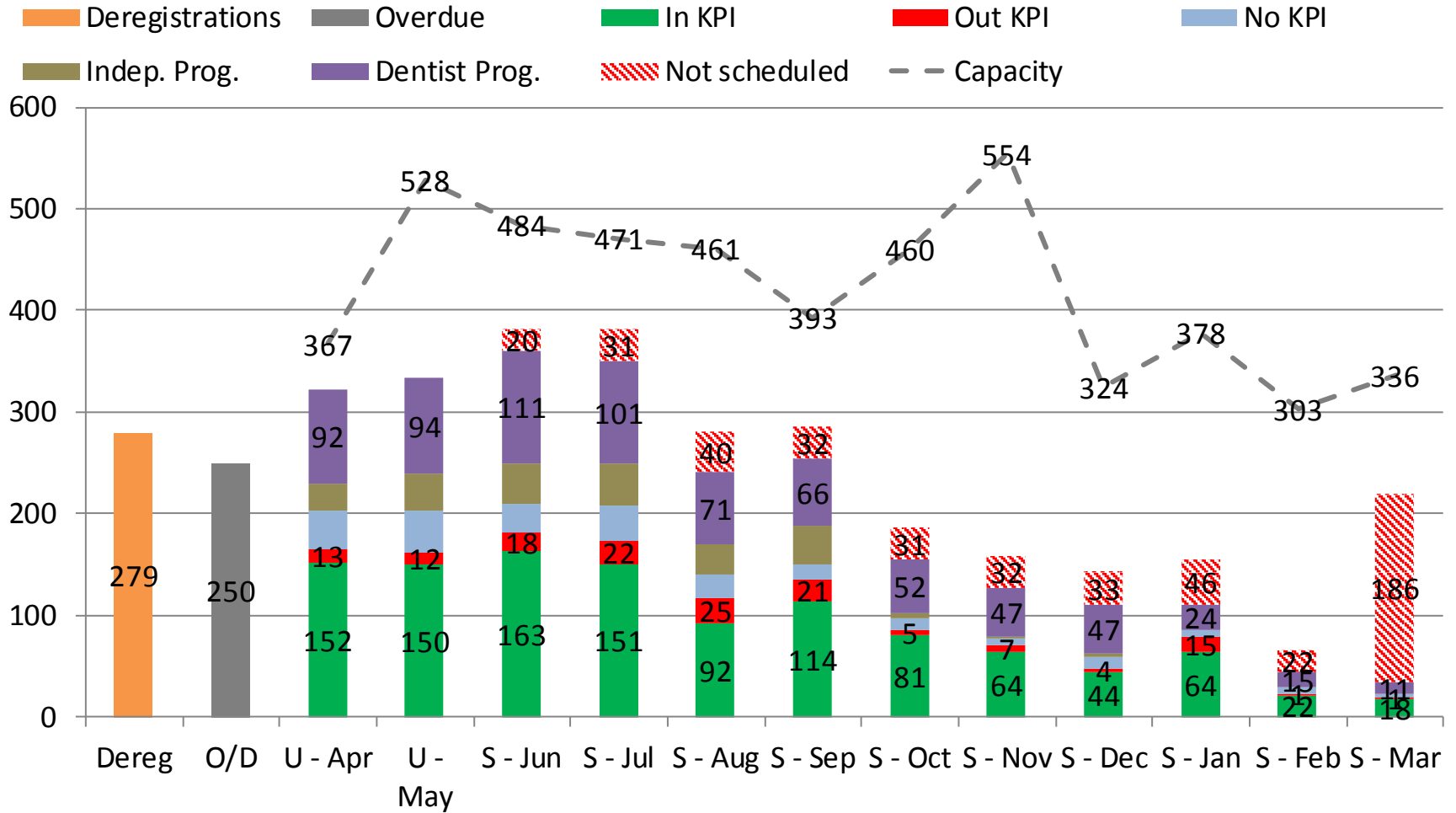
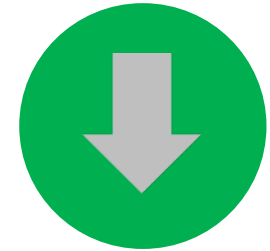
Data from May cut

Inspections: PMS Activity

M

Register
Monitor, Inspect & Rate
Enforce
Independent Voice

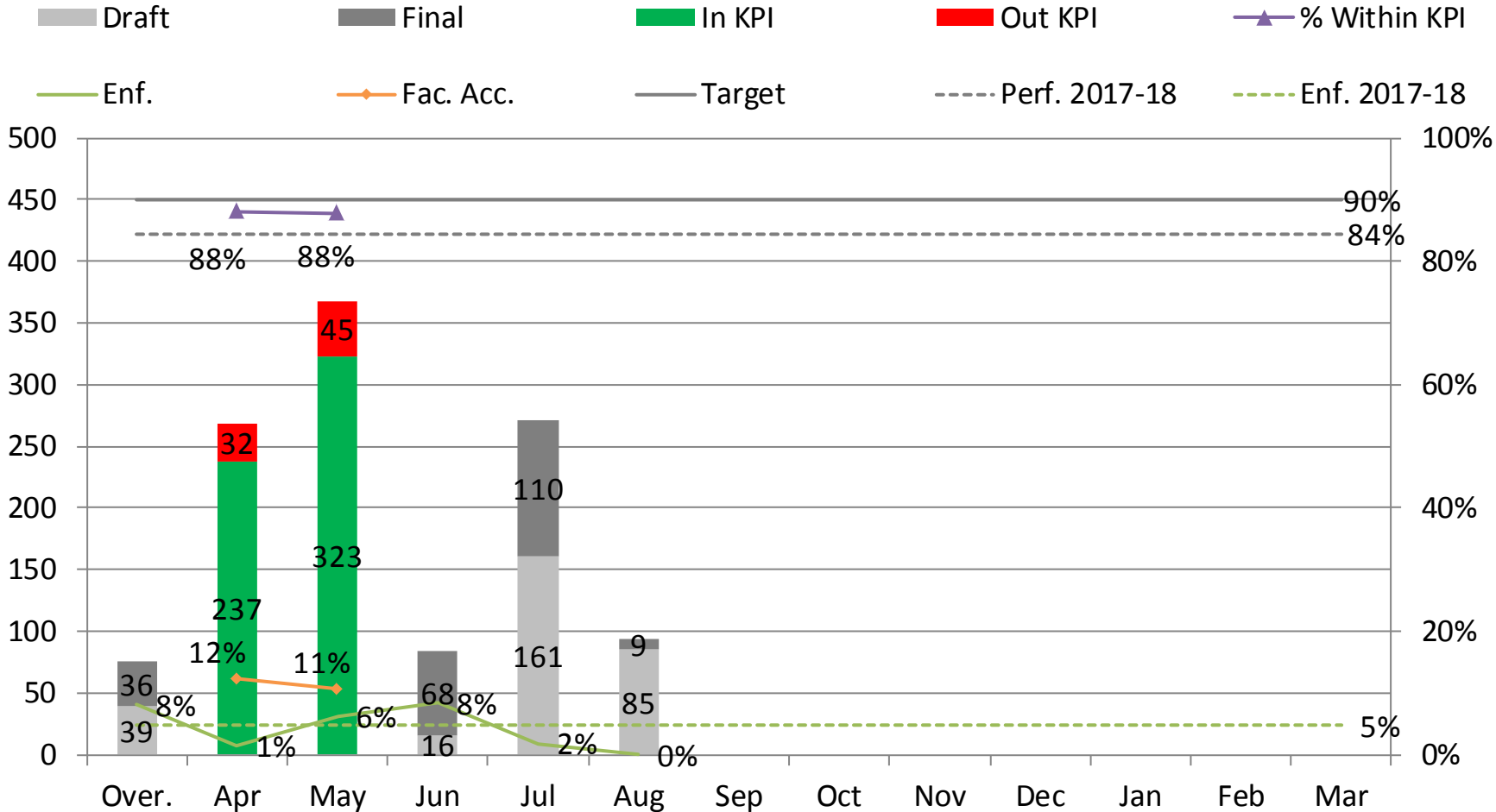
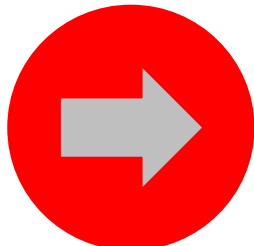
i *Inspections undertaken and scheduled against forecast*
 Year to date, PMS has undertaken **655** inspections **92%** of inspections have been undertaken within KPI.



Published Reports: PMS Timeliness & Influences

Register | Monitor, Inspect & Rate | Enforce | Independent Voice

M *Proportion and volume of reports published within timescales*
 Year to date, **88%** of reports have been published within KPI



2018/19 Financial Year; Data from May cut

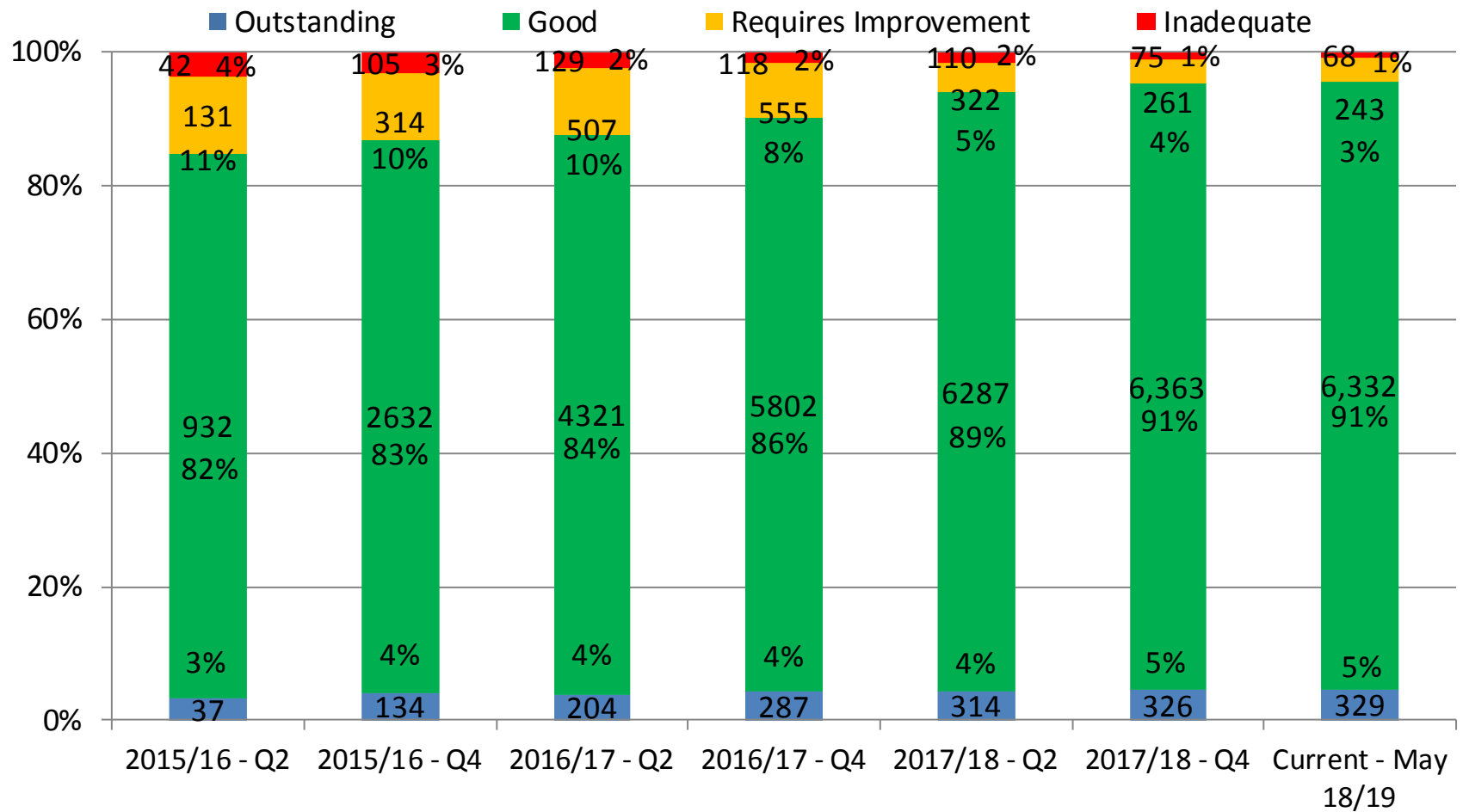
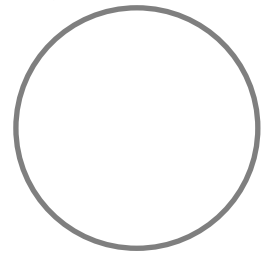
KPI: ASC, PMS & HSP 0-2 Core Services – 50 working days after last visit date; HSP 3+ Core Services – 65 working days after last visit date; Enf.: where the report involved enforcement; Fac. Acc.: number of reports where we have received a Factual Accuracy challenge. Draft/Final: shows reports that are overdue or due and whether they are at draft of final stage.

PMS: Changes in Quality Over Time

C

Register **Monitor, Inspect & Rate** Enforce Independent Voice

ⓘ *Current and previous ratings profile of active services*



Data from May cut

What is the Quality of the Services Rated?

C

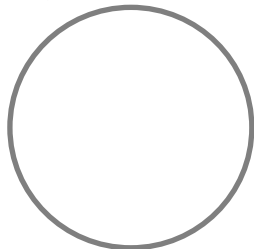
Register

Monitor, Inspect & Rate

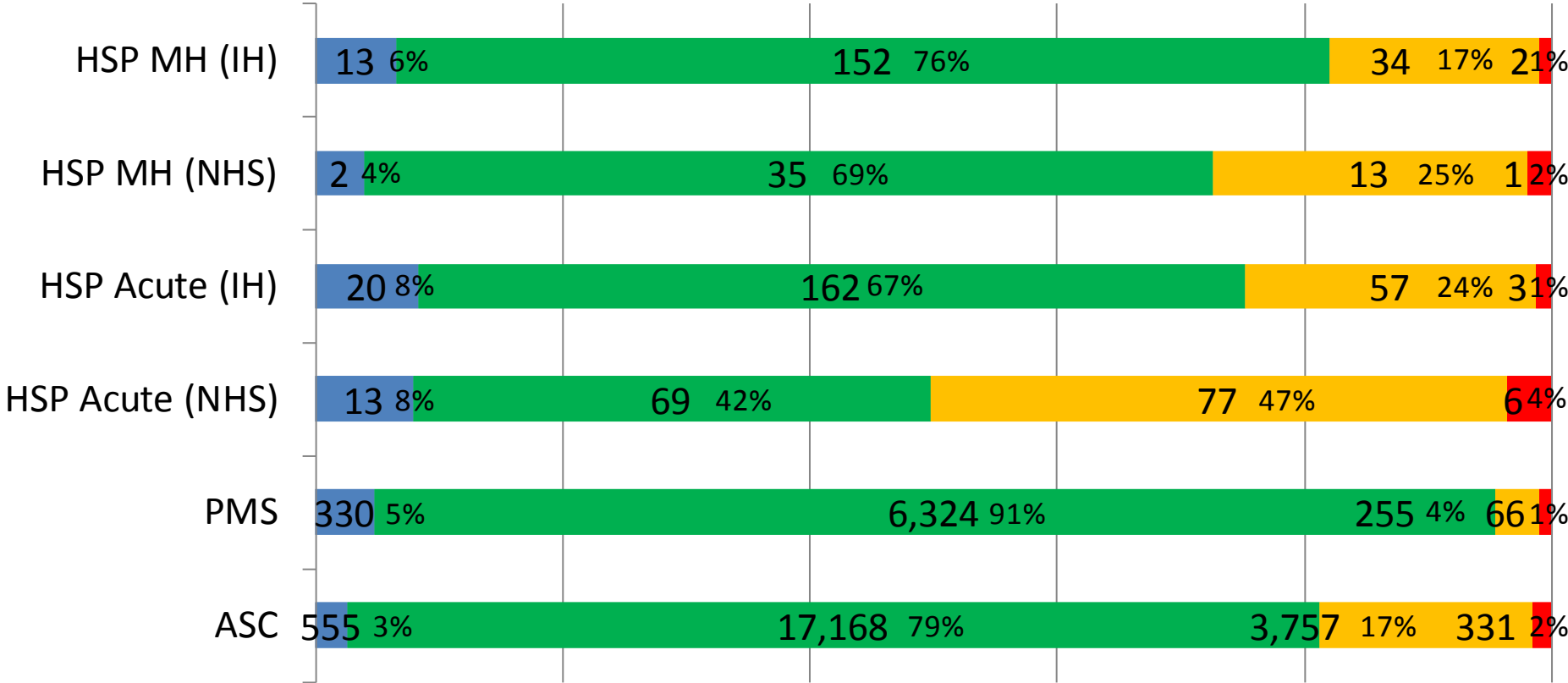
Enforce

Independent Voice

📌 *Current ratings profile of active services*



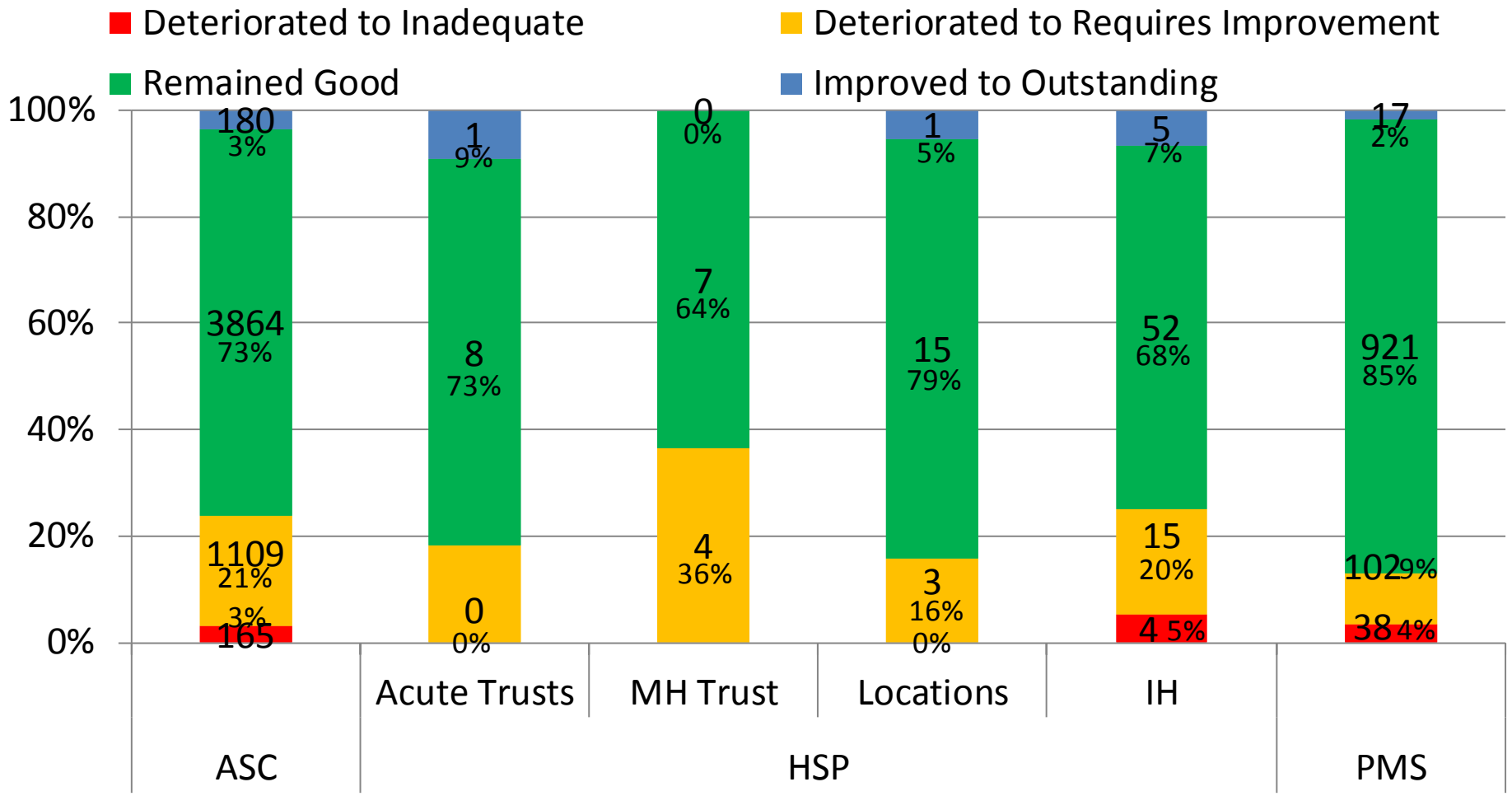
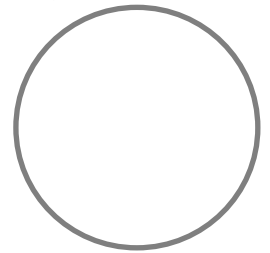
■ Outstanding
 ■ Good
 ■ Requires Improvement
 ■ Inadequate



Do Locations Rated Good Deteriorate?

C Register Monitor, Inspect & Rate Enforce Independent Voice

ⓘ *Re-ratings of services previously rated Good*
 In the last year, **22%** locations previously rated Good deteriorated

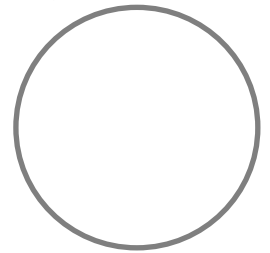


Do Locations Rated Requires Improvement Improve?

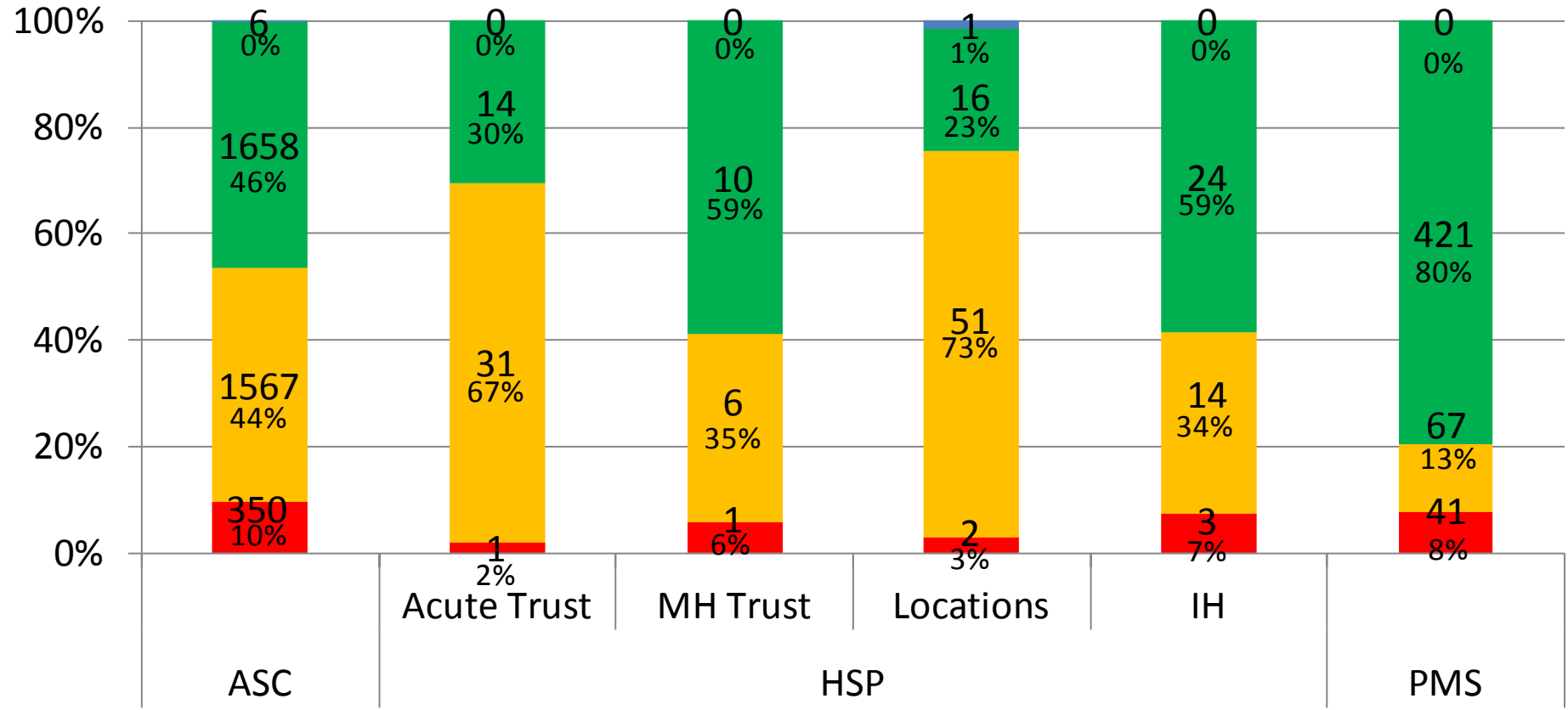
C

Register Monitor, Inspect & Rate Enforce Independent Voice

ⓘ *Re-ratings of services previously rated Requires Improvement (RI)*
 In the last year, **50%** locations previously rated RI improved



- Deteriorated to Inadequate
- Remained Requires Improvement
- Improved to Good
- Improved to Outstanding



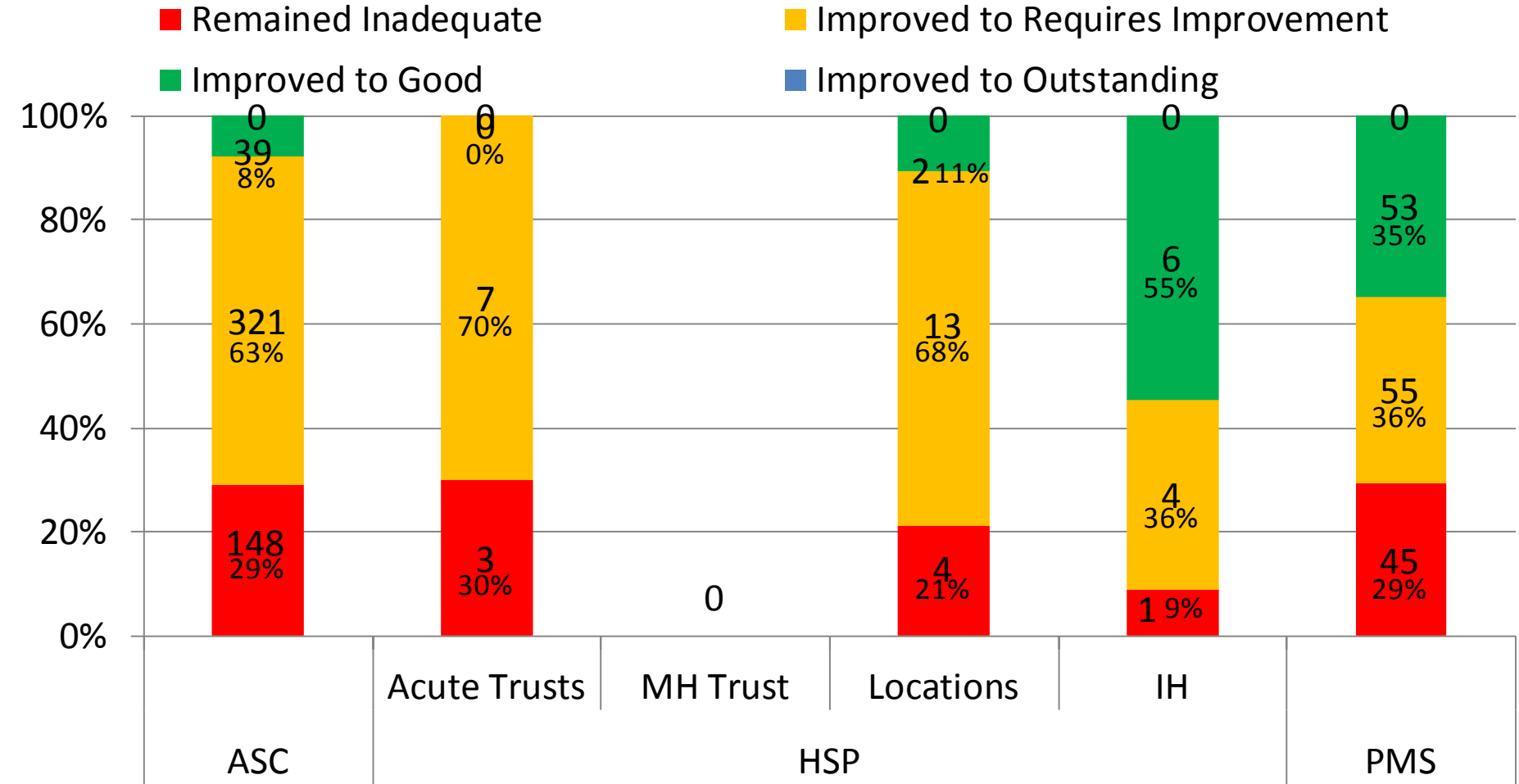
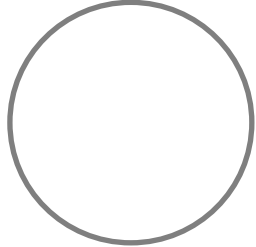
Rolling 12 months; Data from May cut

Do Locations Rated Inadequate Improve?

C

Register Monitor, Inspect & Rate Enforce Independent Voice

ⓘ *Re-ratings of services previously rated Inadequate*
 In the last year, **71%** locations previously rated Inadequate improved

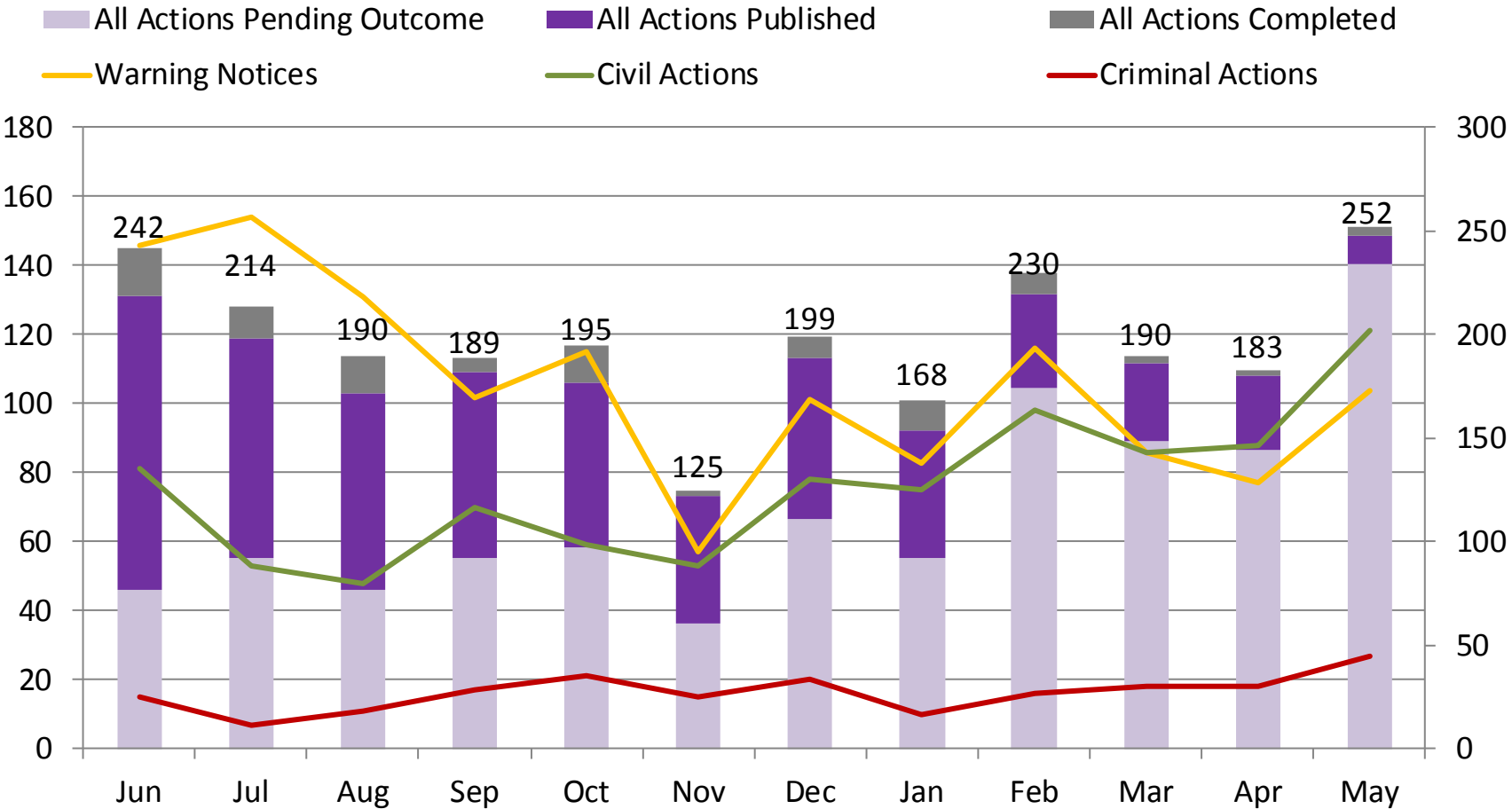
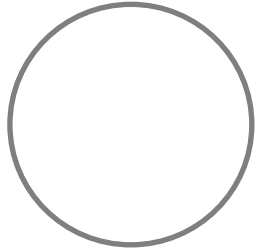


What Enforcement Activity Do We Undertake?

Register Monitor, Inspect & Rate **Enforce** Independent Voice

C *Volume of enforcement actions issued each month broken down by current status and type*

In the last 12 months, we have issued **2,377** enforcement actions, of which **1,400 (59%)** are pending outcome.

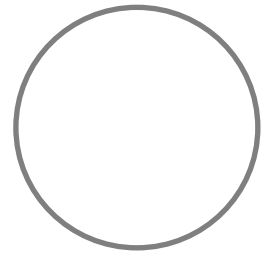


What Happens to Locations in Special Measures?

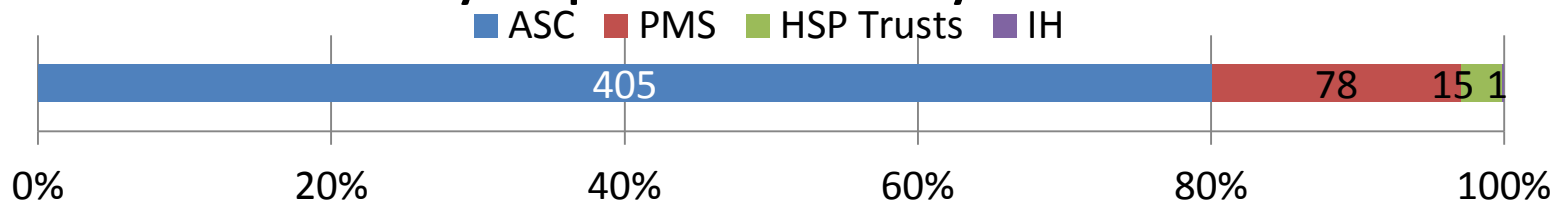
C

Register Monitor, Inspect & Rate **Enforce** Independent Voice

① Number of services entering and exiting Special Measures this month and those remaining in Special Measures at month end



Currently in Special measures by Directorate



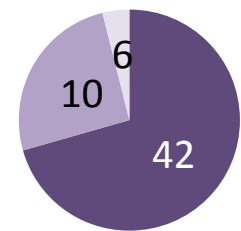
509 in Special Measures were **carried into May** from April

499 in Special Measures at the end of May

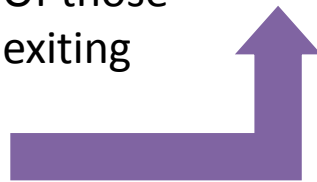
68 entered Special Measures in May

58 exited Special Measures in May

- Sufficient Improvements
- Deregered
- Registration Cancelled



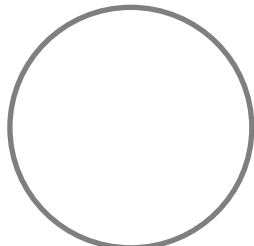
Of those exiting



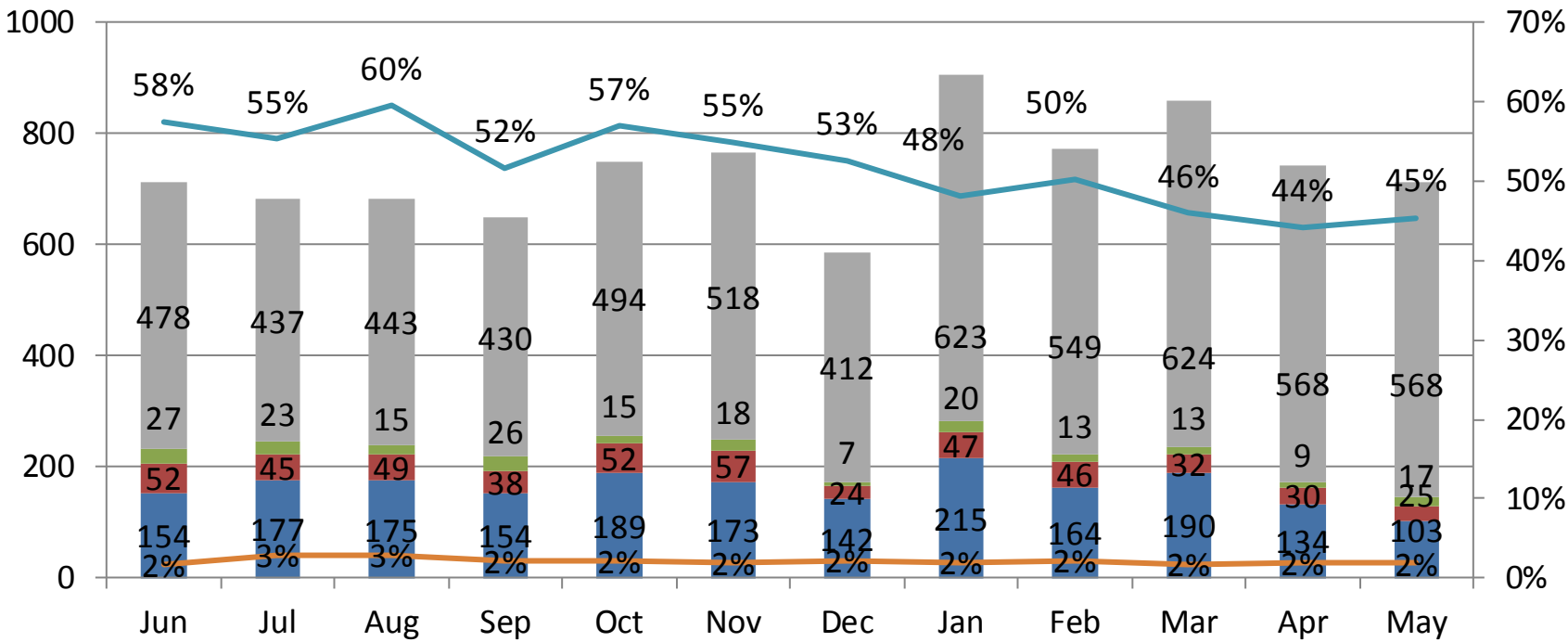
Whistleblowing Volume and Action Taken

Register | Monitor, Inspect & Rate | Enforce | Independent Voice

C *Volume of whistleblowing enquiries received and trend*
 CQC has received **8,814** whistleblowing enquiries in the last year



- Other (such as information used to support future inspections)
- Triggered a responsive inspection
- Brought forward a planned inspection
- Referred to a more appropriate organisation (such as a local authority)
- % where a safeguarding record has been set up (safeguarding issue identified)
- % where a management review record has been set up (could result in enforcement)



Rolling 12 months; Data from May cut

Action Against Long-Term In Breach – ASC & PMS

C Register Monitor, Inspect & Rate Enforce Independent Voice

ⓘ Locations in breach for more than four quarters, categorised by inspection activity or enforcement actions in progress or undertaken against each

