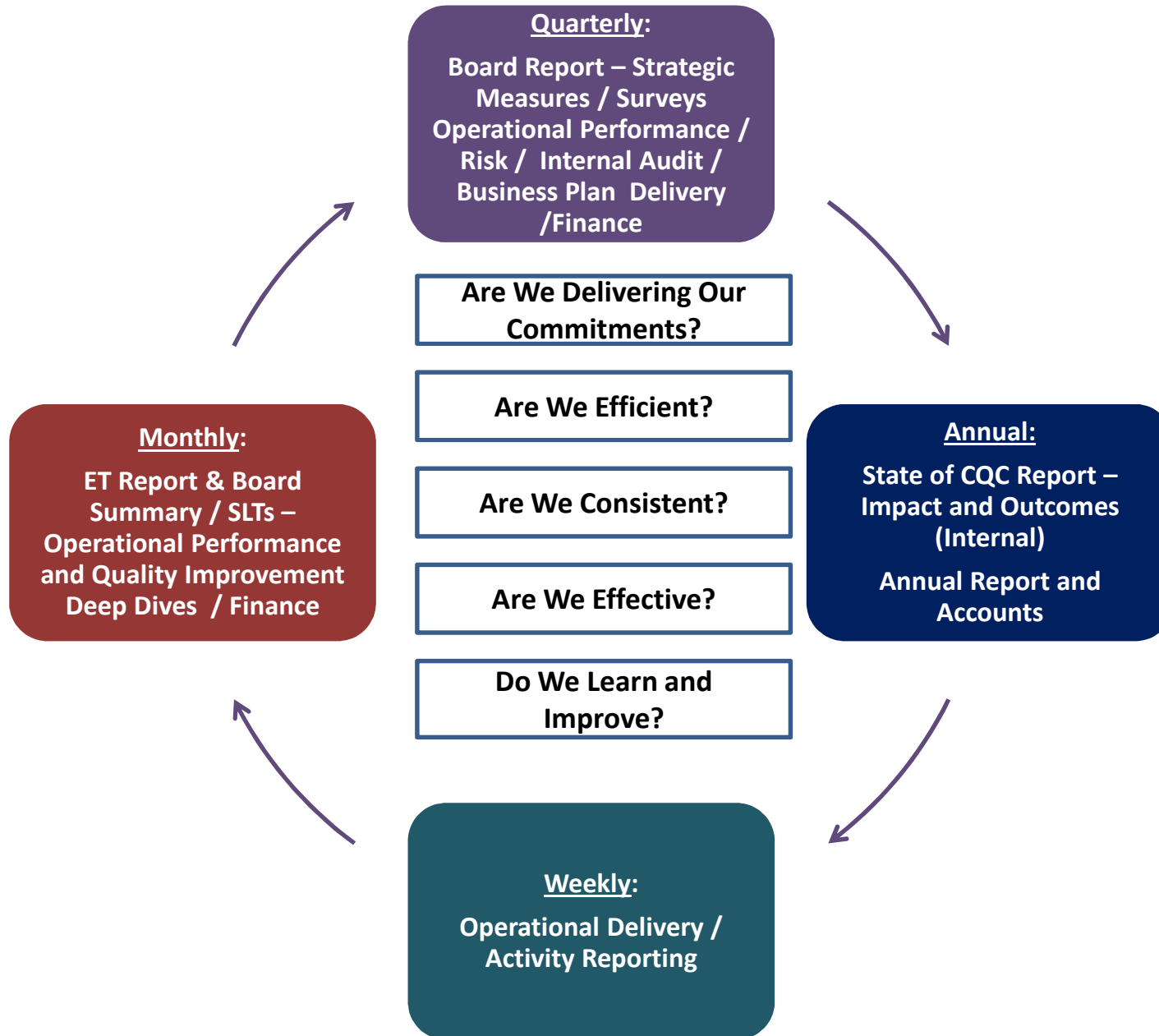




**Performance Report:
October 2018**

Reporting Our Performance – Annual Cycle



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

Register

Monitor, Inspect & Rate

Enforce

Independent Voice

Manage Our Resources

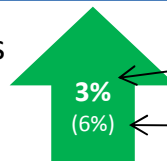
Illustrates the operating model component

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

Arrow colour measures YTD performance against target

Arrow direction measures trend against previous month performance



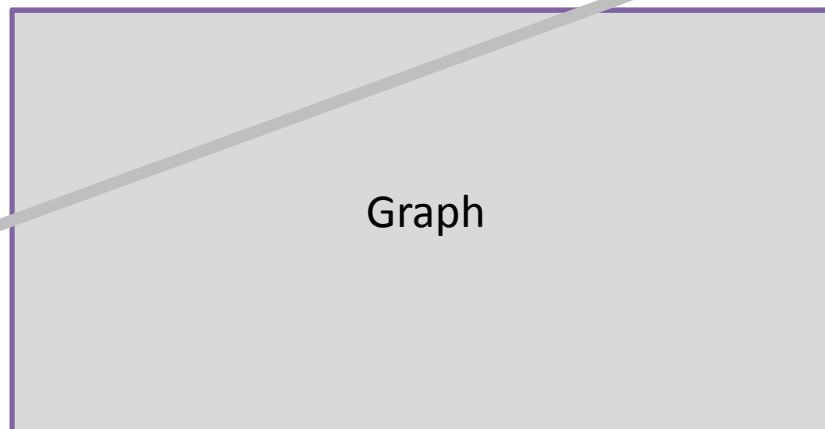
YTD performance

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

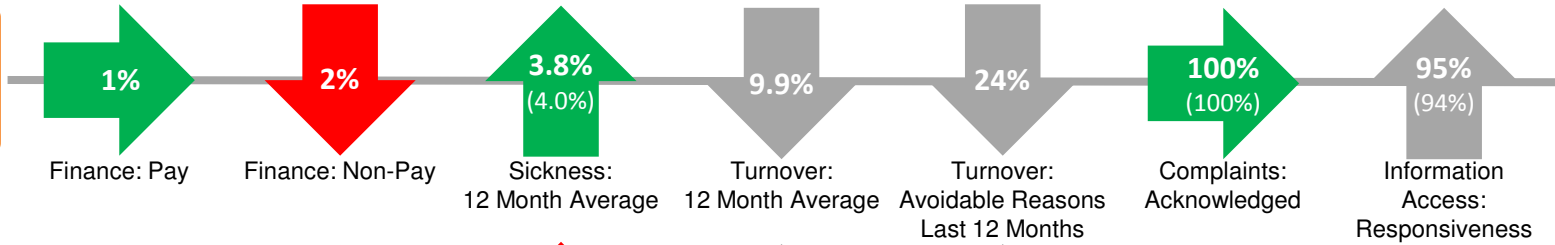


Additional information relevant to the content of the graph

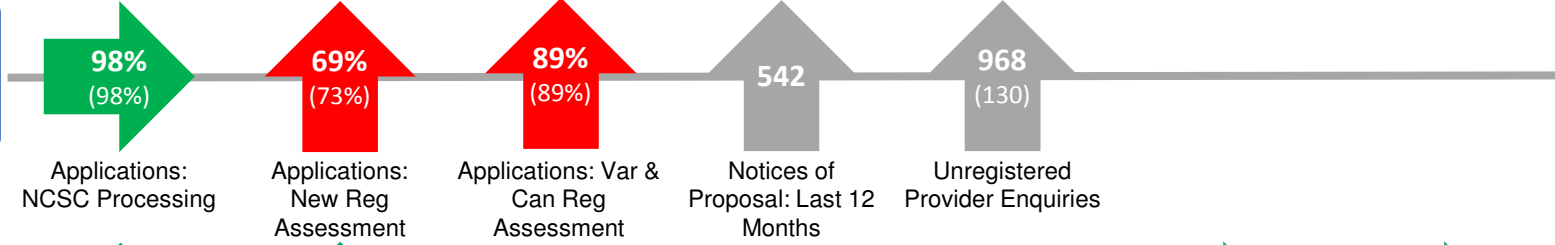


Performance:
green or red only. Measures with no target will have a white background

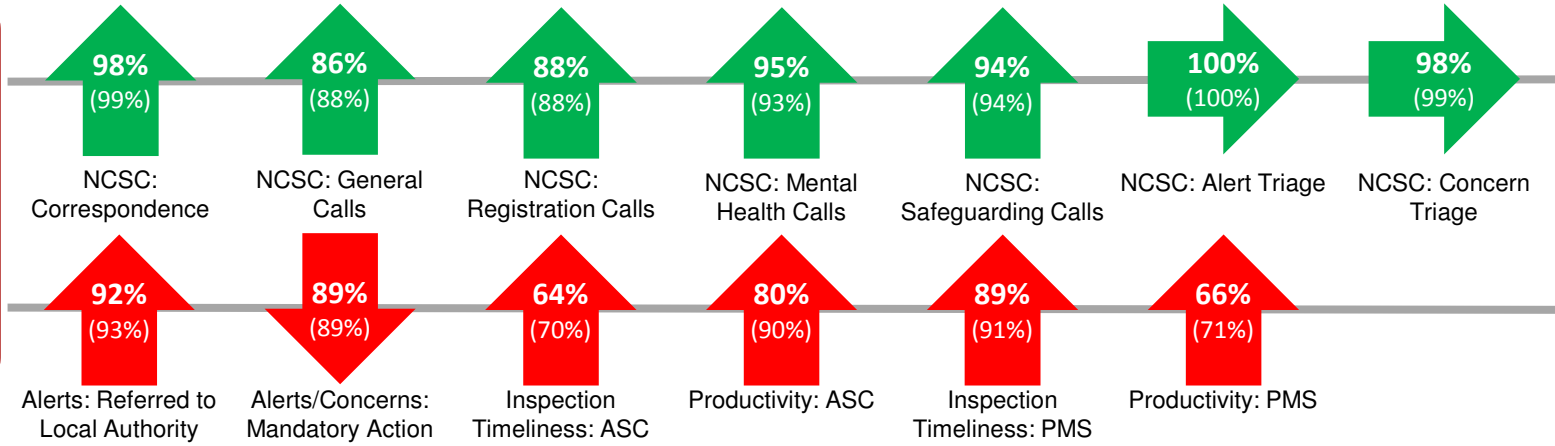
Manage Our Resources



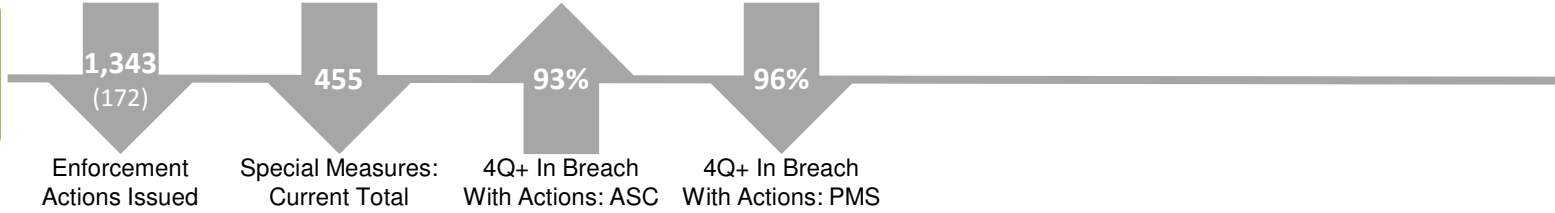
Register



Monitor, Inspect & Rate



Enforce



Independent Voice



<p>Manage Our Resources</p>	<p>Finance: Pay Forecast KPI: 2% variance</p>	<p>Finance: Non-Pay Forecast KPI: 2% variance</p>	<p>Sickness: 12 Month Average KPI: Below 5%</p>	<p>Turnover: 12 Month Average No current benchmark in place</p>	<p>Turnover: Neg Reasons Last 12 Months Incl. work life balance, lack of opportunities, better reward package.</p>	<p>Complaints Acknowledged KPI: 3 Days Target: 95%</p>	<p>Information Access Responsiveness Benchmark: 90% Based on statutory time limits of diff. legislation</p>
<p>Register</p>	<p>Applications: NCSC Processing KPI: 5 days Target: 90%</p>	<p>Applications: New Reg Assessment KPI: NOP/NOD sent in 50 days Target: 80% Includes all reg applications</p>	<p>Applications: Var/Can Reg Assessment KPI: NOP/NOD sent in 50 days Target: 90% Includes all reg applications</p>	<p>Notices of Proposal Last 12 Months Most cases of NOPs are where we are refusing an application.</p>	<p>Unregistered Provider Enquiries Alerts of services not assessed to ensure they are safe to operate</p>		
<p>Monitor, Inspect & Rate</p>	<p>NCSC: Correspondence KPI: 3 days Target: 90%</p>	<p>NCSC: General Calls KPI: 30 seconds Target: 80%</p>	<p>NCSC: Registration Calls KPI: 30 seconds Target: 80%</p>	<p>NCSC: Mental Health Calls KPI: 30 seconds Target: 90%</p>	<p>NCSC: Safeguarding Calls KPI: 30 seconds Target: 90%</p>	<p>NCSC: Safeguarding Alerts Triage KPI: 1 day Target: 95%</p>	<p>NCSC: Safeguarding Concerns Triage KPI: 1 day Target: 95%</p>
	<p>Safeguarding Alerts: Referred to Local Authority KPI: 1 day Target: 95%</p>	<p>Safeguarding Alerts/Concerns: Mandatory Actions KPI: 5 day Target: 95%</p>	<p>Productivity ASC/PMS KPI: 2 inspections (any type) a month HSP KPI: average of 235 units a month Target: 100%</p>	<p>Inspection Timeliness: ASC RI/I Returns: 90% G/O Returns: 80% 1st Inspections: 80%</p>	<p>Inspection Numbers: Hospitals Units A unit is equivalent to 1 independent location or 1 core service</p>	<p>Inspection Timeliness: PMS Target: 90%</p>	
<p>Enforce</p>	<p>Enforcement Actions Issued Includes Warning Notices, Civil Actions and Criminal Actions. Actions may still await outcomes.</p>	<p>Special Measures: Current Total Services enter and exit during the month</p>	<p>4Q+ In Breach With Actions: ASC Inspections in progress or scheduled and current/recent enforcement</p>	<p>4Q+ In Breach With Actions: PMS Inspections in progress or scheduled and current/recent enforcement</p>			
<p>Independent Voice</p>	<p>Report Publication Timeliness KPI: 50 days Except HSP 3+ Core Services: 65 days Target: 90%</p>	<p>Engagement: Positive Coverage Target: >70%</p>	<p>Engagement: Negative Coverage Target: <10%</p>	<p>Engagement: CQC Themes Target: >80%</p>			

Applications: Volumes received

Register

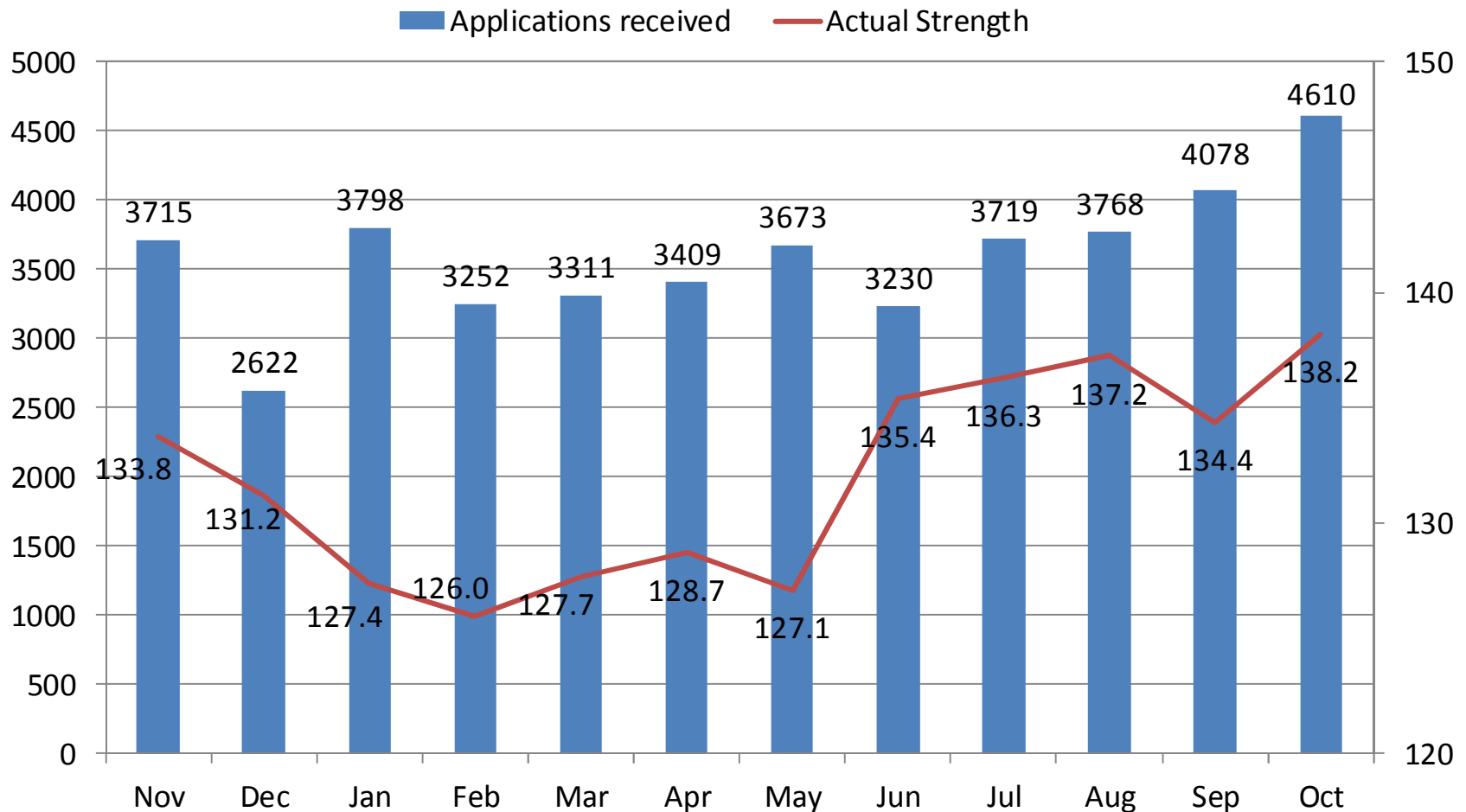
Monitor, Inspect & Rate

Enforce

Independent Voice

C

Volume of applications received and Actual Inspector Strength
43,185 applications have been received in the last 12 months



Rolling 12 months; Data from October 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 Assessment's Timely?

M

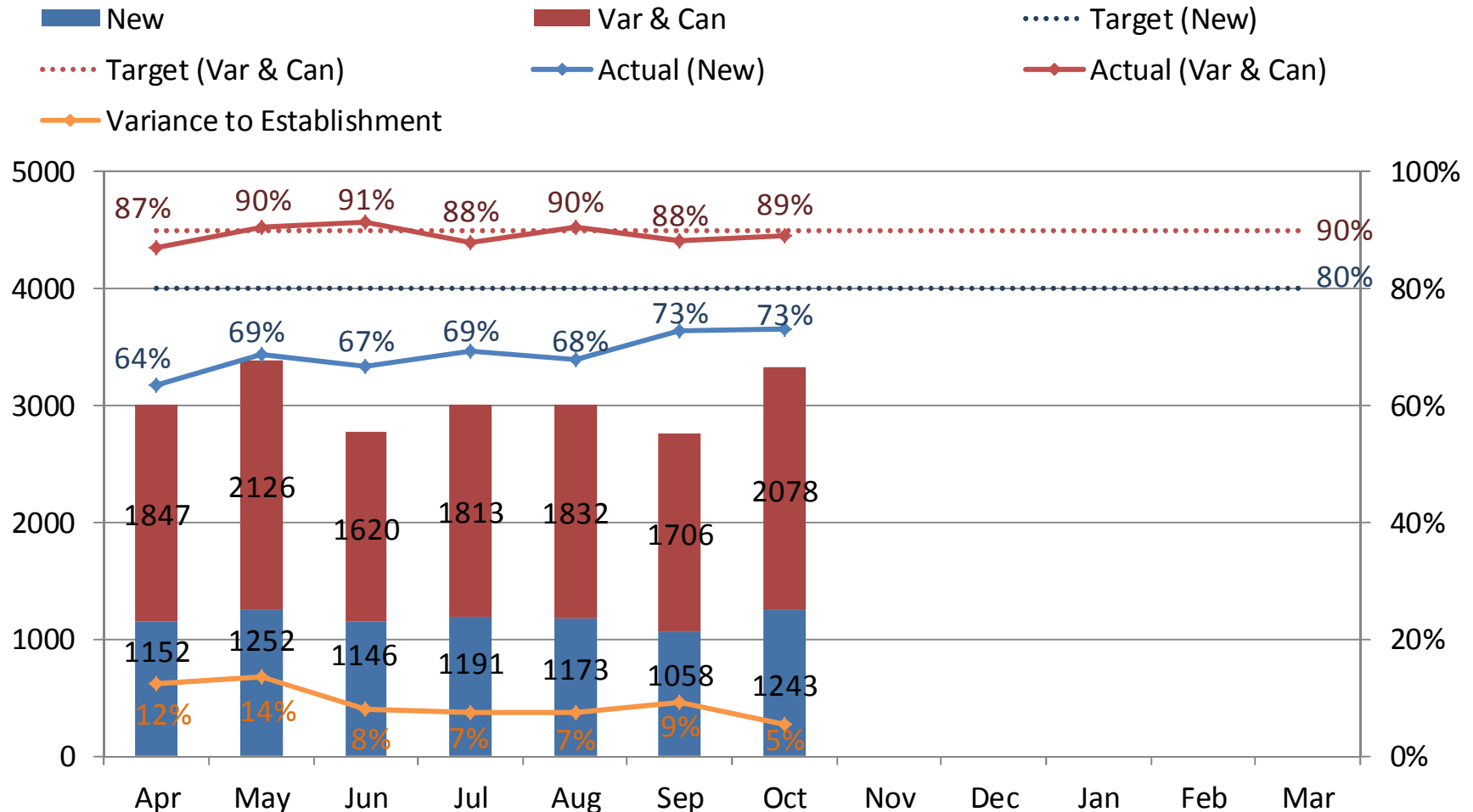
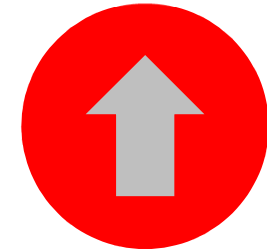
Register

Monitor, Inspect & Rate

Enforce

Independent Voice

① *Volume and timeliness for completion of Registration processes by month**
 Year to date, **69%** of New Registration applications and **89%** of Variations and Cancellations have been completed within KPI, compared with **77%** and **89%** respectively in 2017/18



2018/19 Financial Year; Data from Oct cut KPI: Notice of Proposal or Decision sent within 50 days *includes data where the employees' directorate was "unspecified"

Rejection rate for applications

M

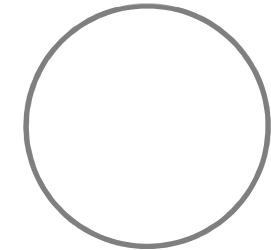
Register

Monitor, Inspect & Rate

Enforce

Independent Voice

i *Volume of applications received by type and rejection rates*
 In the last 12 months, **25%** of applications have been received via the provider portal, with the rejection rate for provider portal applications being **22%** compared with **39%** for applications received by other methods in the last 12 months.

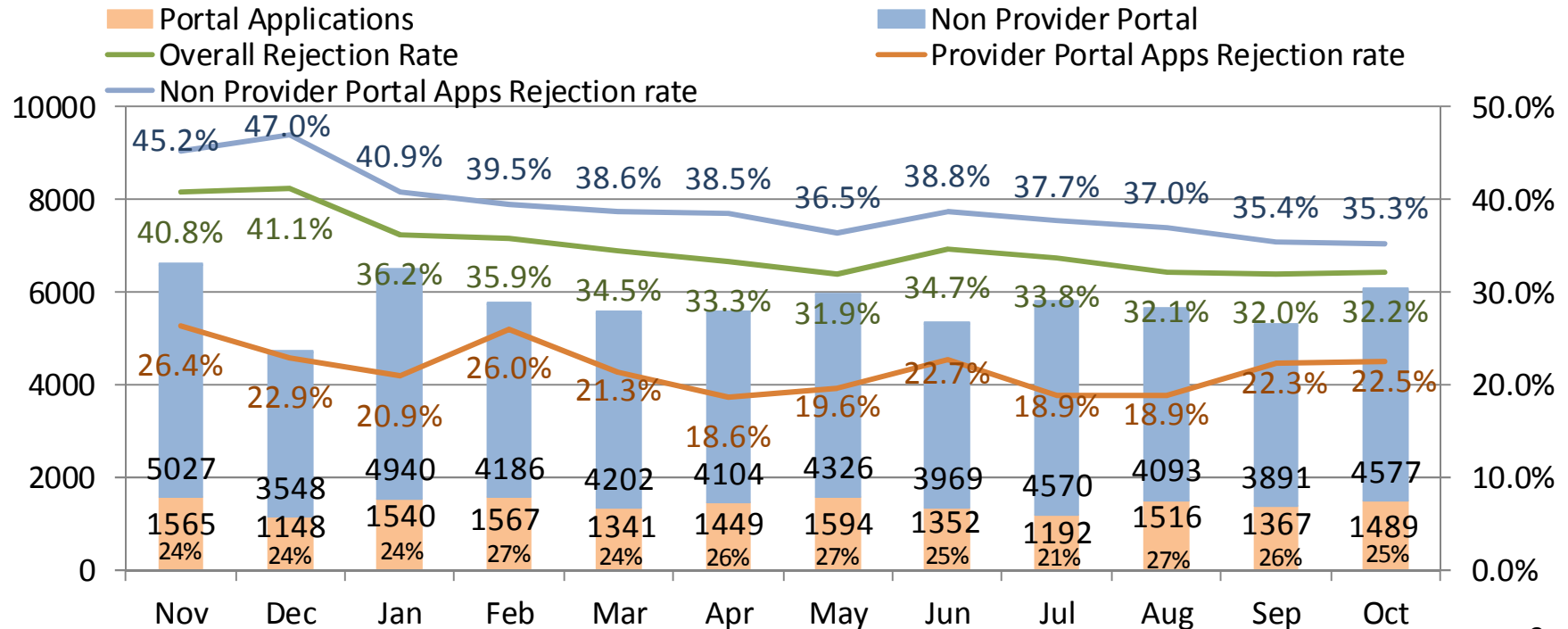


Top 5 provider application rejection reasons:

- Provider Section
- Location Section
- Declaration/Data protection section
- Invalid Supporting provider/manager app
- Application not required

Top 5 manager application rejection reasons:

- Provider Section
- Application not required
- Invalid Supporting provider/manager app
- Manager section(s) invalid/incomplete
- Location section

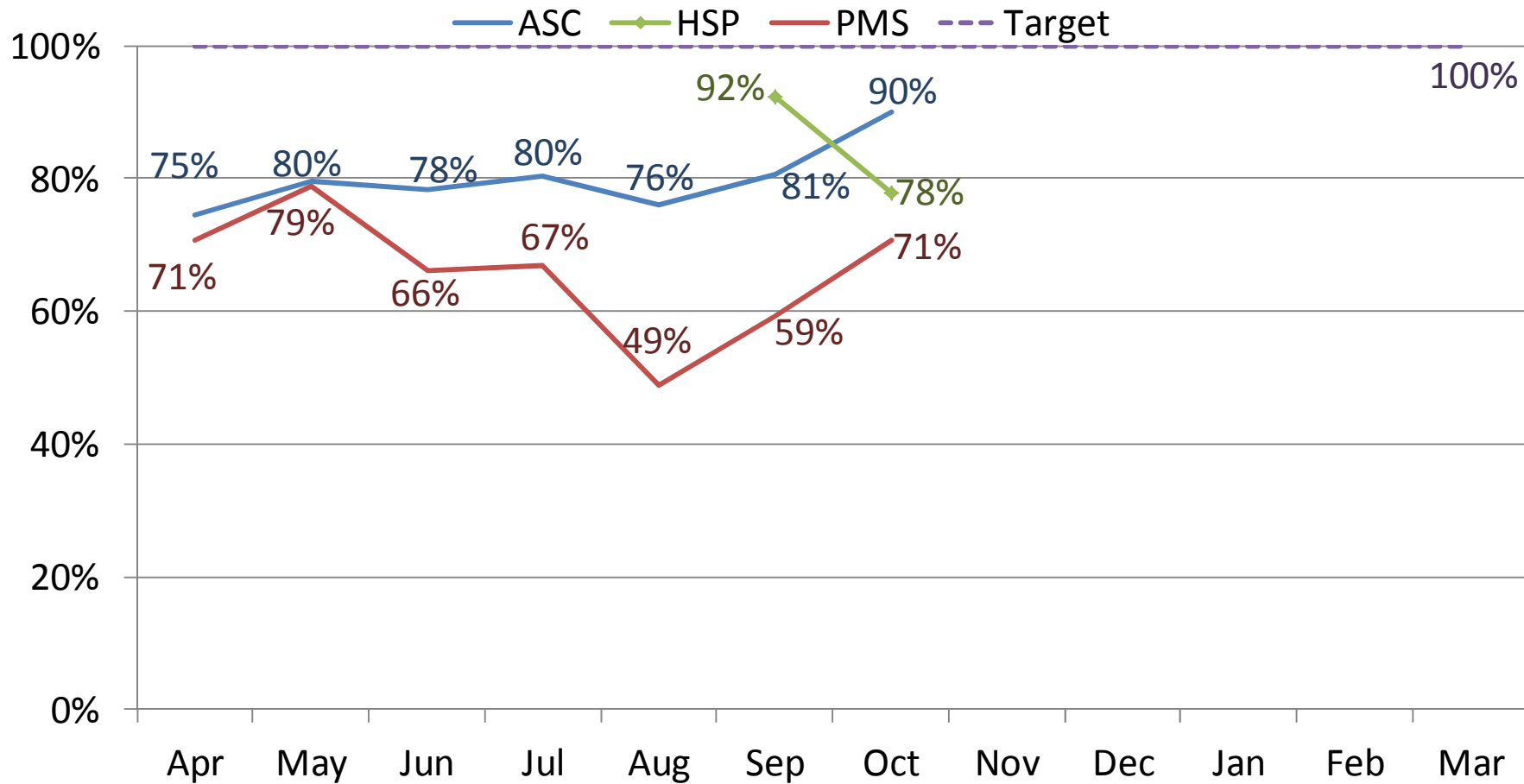
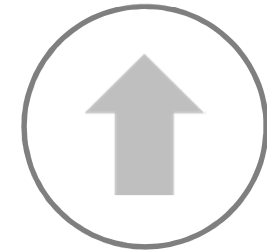


Inspections: CQC productivity

Register
Monitor, Inspect & Rate
Enforce
Independent Voice

M

ⓘ Average inspections undertaken by available inspectors against target
 Year to date, ASC has achieved an average productivity rate of **80%** and
 PMS have achieved an average productivity rate of **66%**

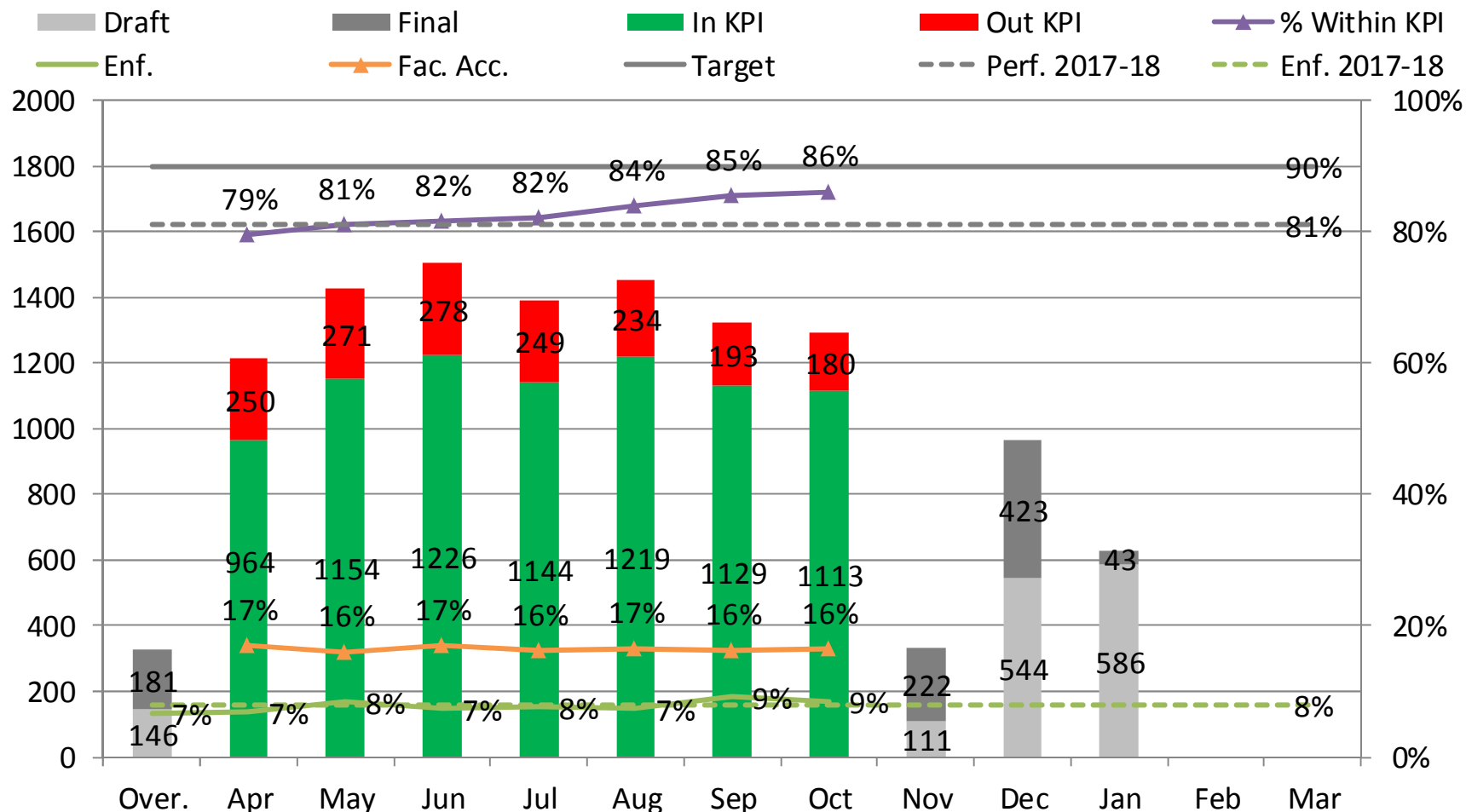


Published Reports: CQC Timeliness & Influences

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

M

Proportion and volume of reports published within timescales
 Year to date, **83%** of reports have been published within KPI



2018/19 Financial Year; Data from Oct cut

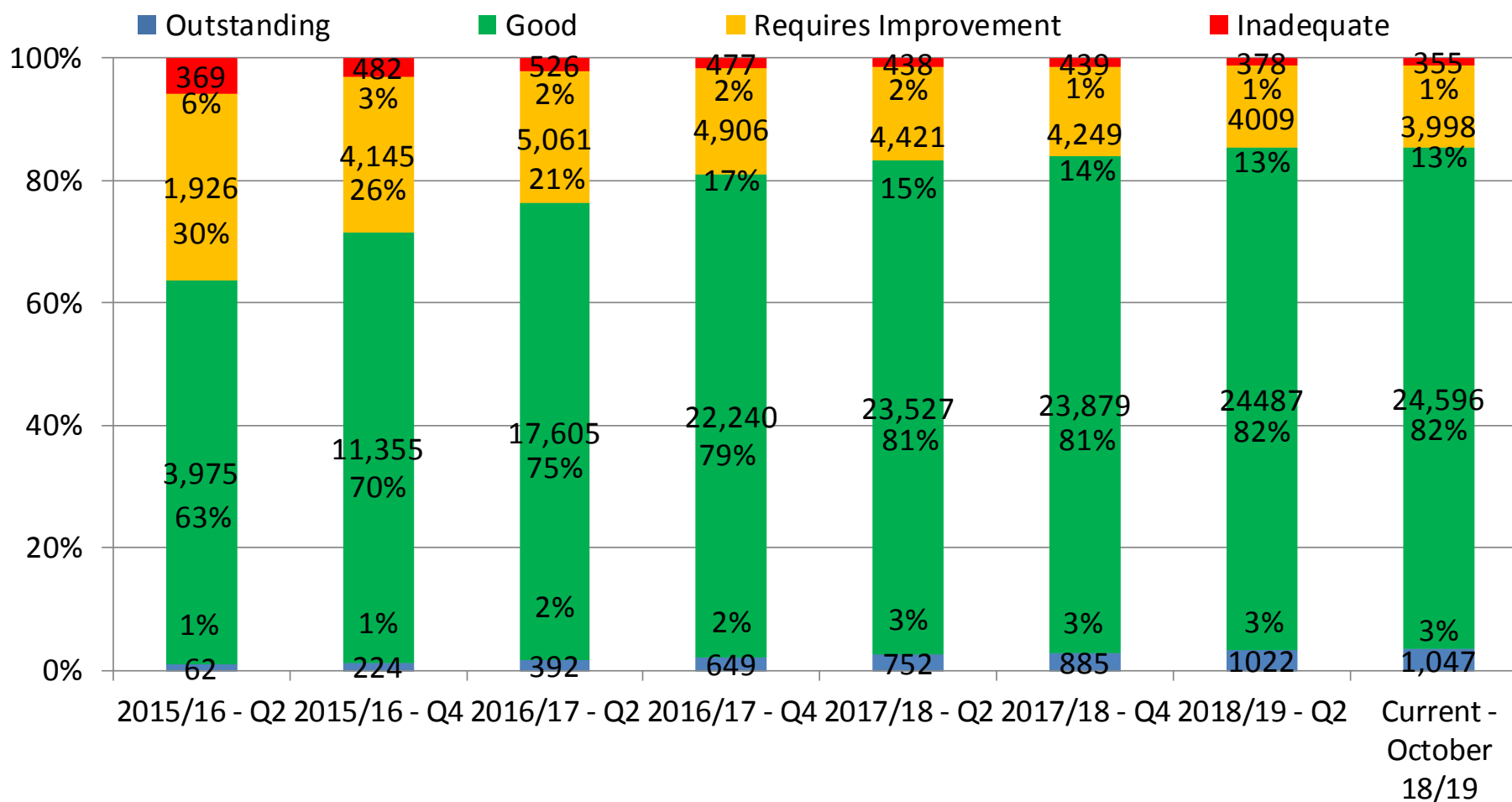
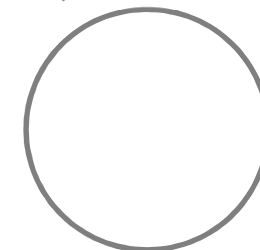
KPI: ASC, PMS & HSP 0-2 Core Services – 50 working days after last visit date; HSP 3+ Core Services – 65 working days after last visit date; Enf.: where the report involved enforcement; Fac. Acc.: number of reports where we have received a Factual Accuracy challenge. Draft/Final: shows reports that are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

Changes in Quality over time

C

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

ⓘ *Current and previous ratings profile of active services*



Do We Respond Promptly to Information of Concern? – CQC



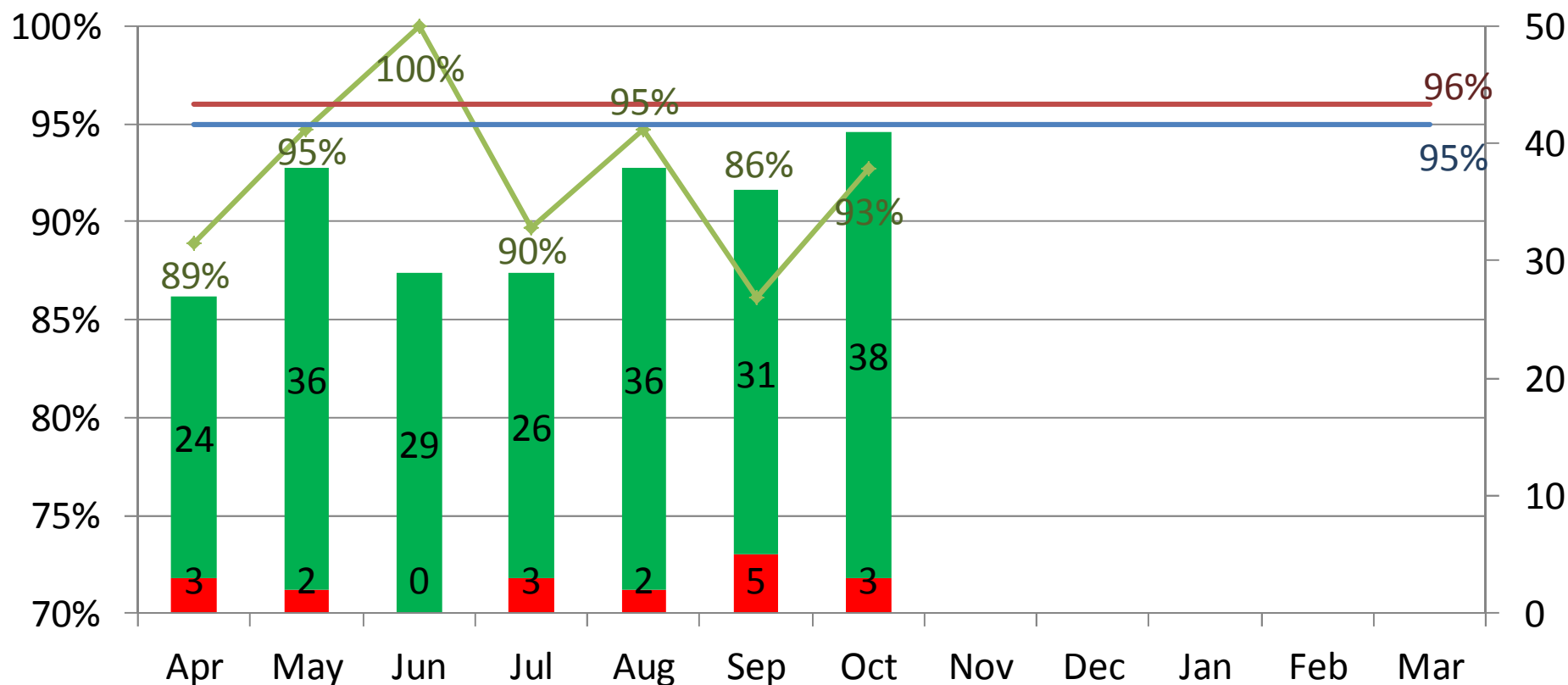
M

Register Monitor, Inspect & Rate Enforce Independent Voice

① *Volume of Safeguarding Alerts referred to a Local Authority and timeliness of action*
Year to date, response has been timely for **92%** of Alerts compared to 96% of Alerts in 17/18



■ Volume Outside KPI
 ■ Volume Within KPI
 —◆— Alerts - Referral to LA
— Alerts - 2017/18 Average — Target



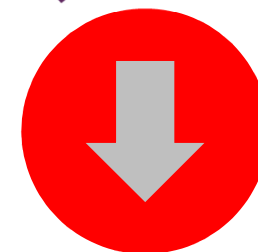
Do We Respond Promptly to Information of Concern? – CQC



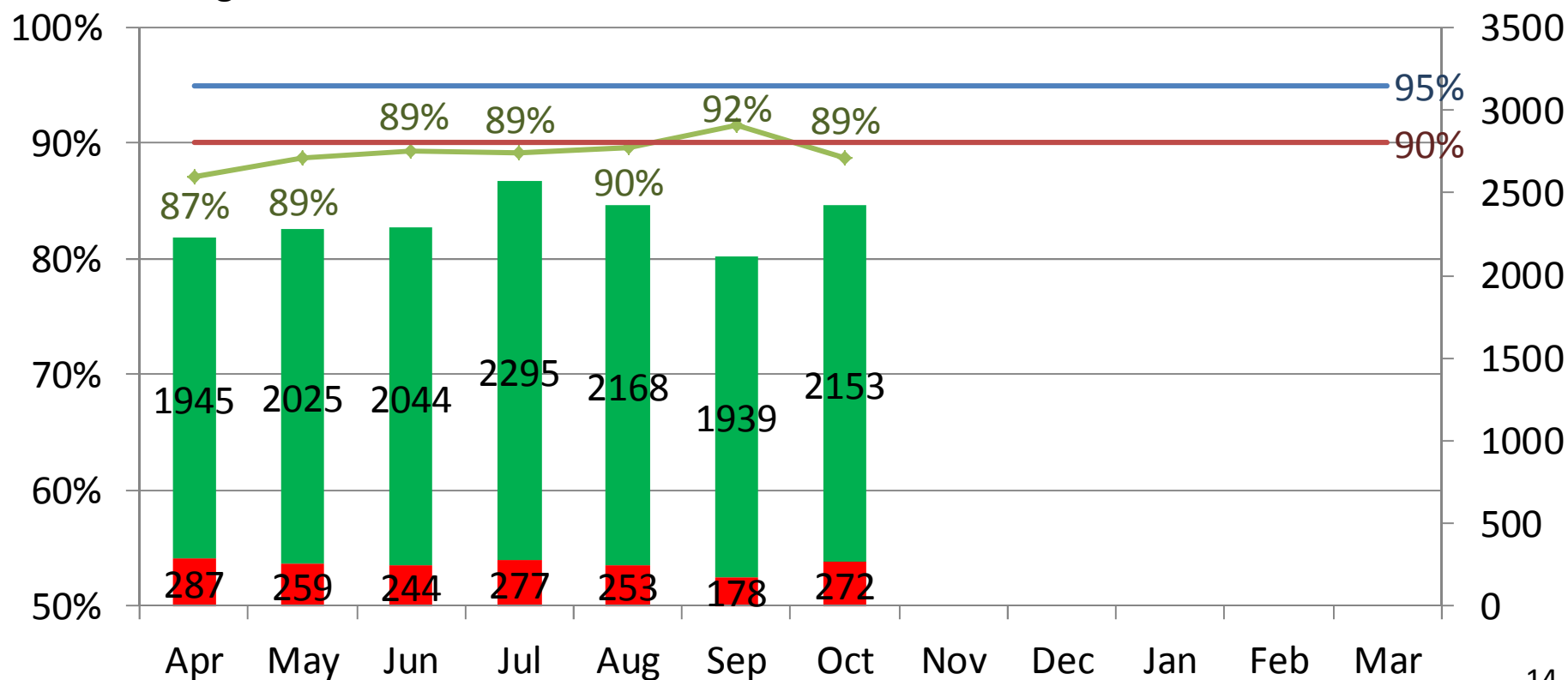
M

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

ⓘ *Volume of Safeguarding Alerts and Concerns received requiring a mandatory action and timeliness of action*
 Year to date, response has been timely for **89%** of Alerts/Concerns compared with 90% in 17/18



- Volume Outside KPI
- Volume Within KPI
- ◆— Alerts & Concerns - Mand Actions
- Mand Actions - 2017/18 Average
- Target

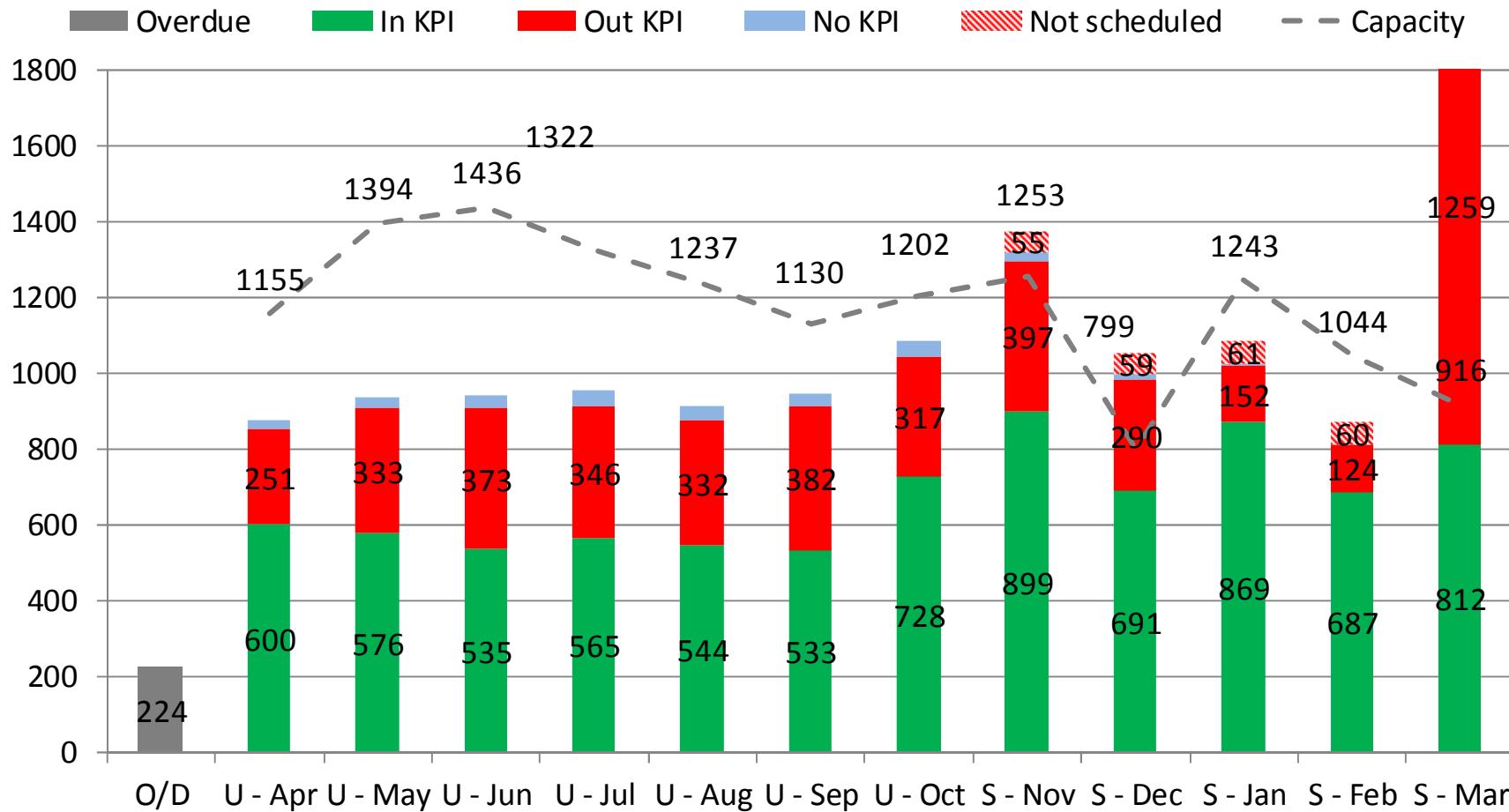
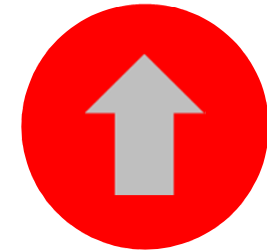


Inspections: ASC Activity

M

Register
Monitor, Inspect & Rate
Enforce
Independent Voice

i *Inspections undertaken and scheduled against forecast*
 Year to date, ASC has undertaken **6,646** inspections **64%** of inspections have been undertaken within KPI.

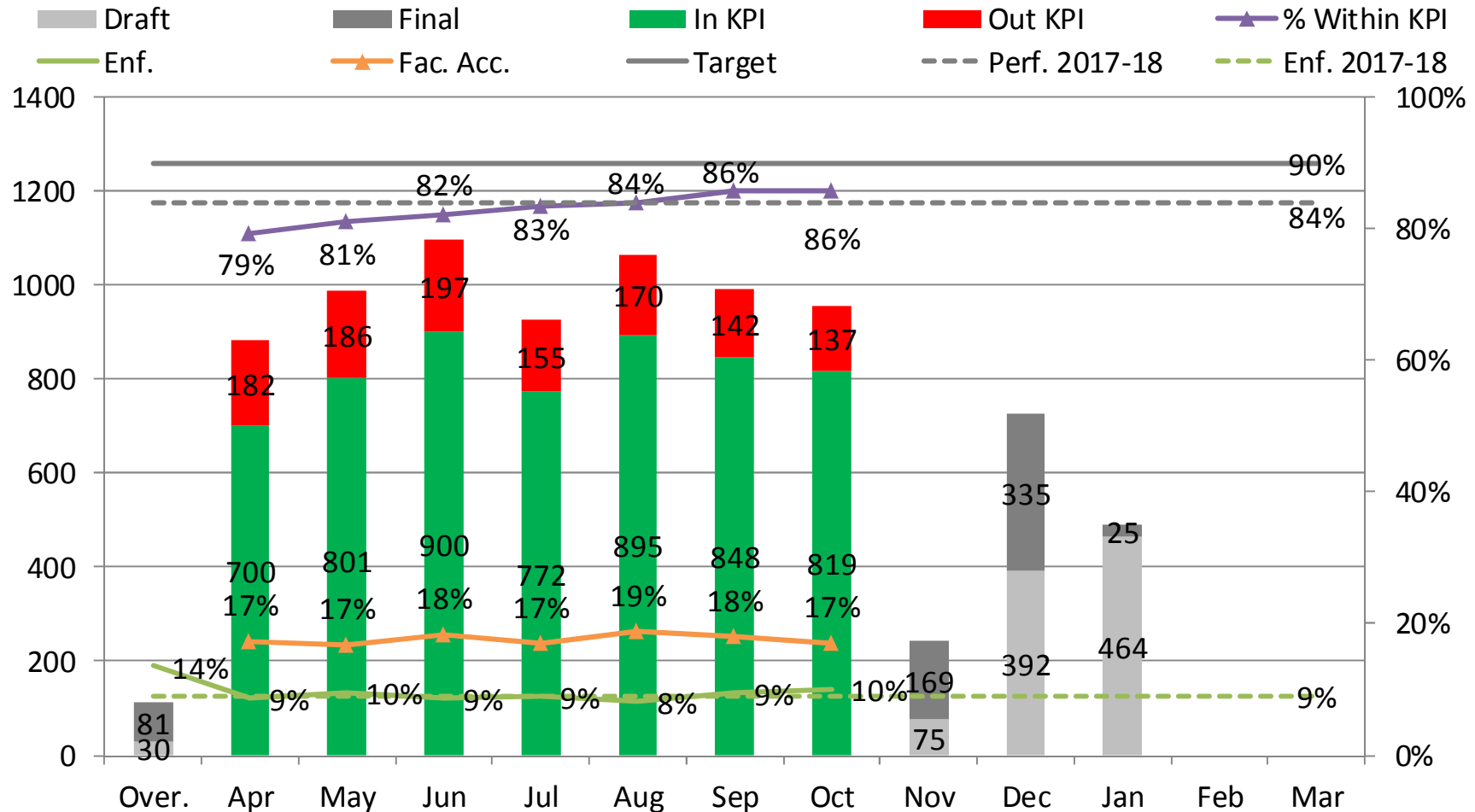
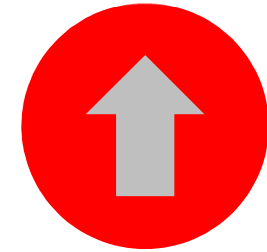


Published Reports: ASC Timeliness & Influences

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

M

Proportion and volume of reports published within timescales
 Year to date, **83%** of reports have been published within KPI



2018/19 Financial Year; Data from Oct 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 and whether they are at draft of final stage.

ASC: Changes in Quality over time

Register

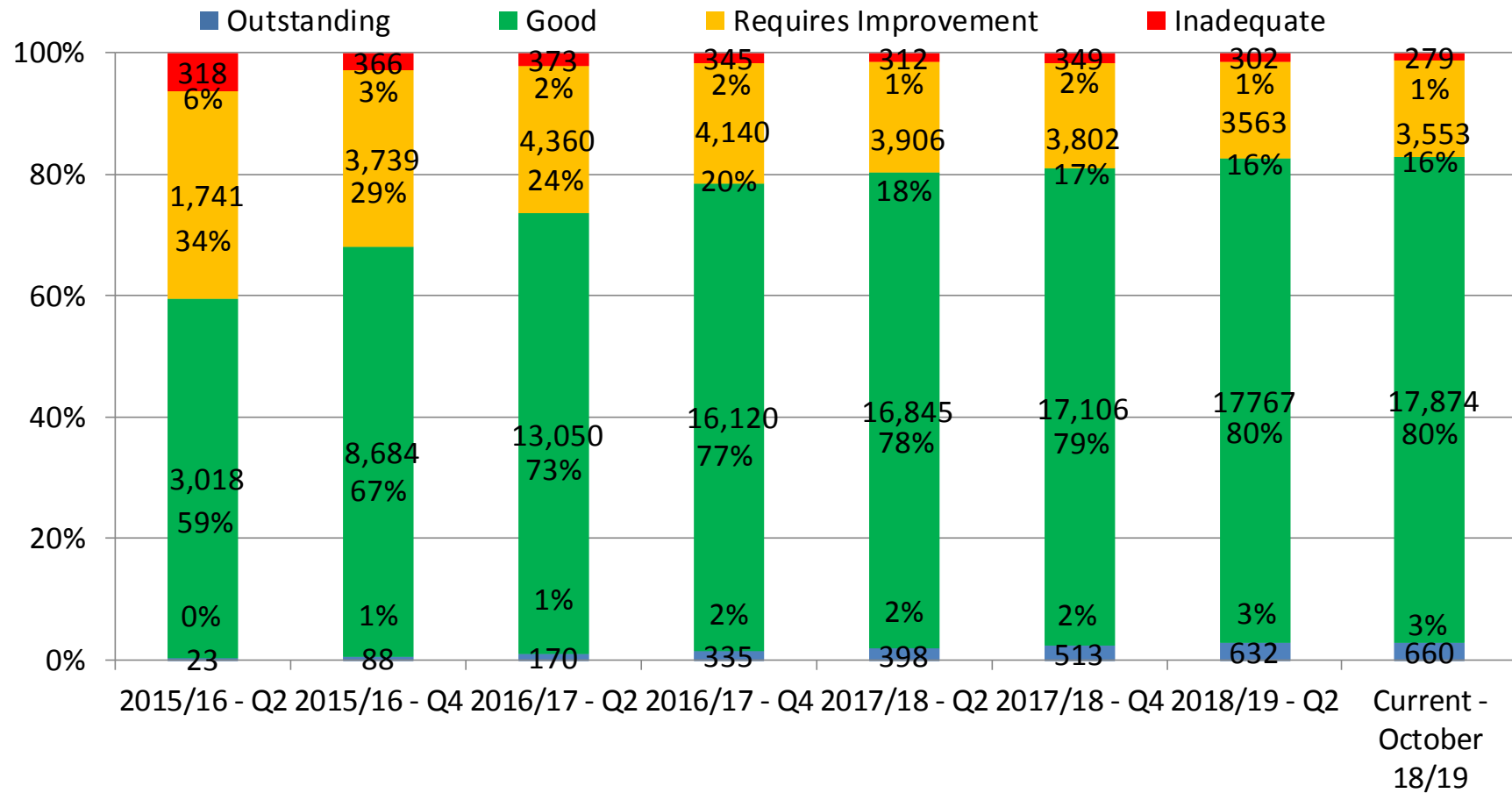
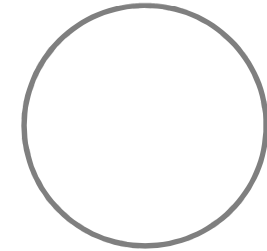
Monitor, Inspect & Rate

Enforce

Independent Voice

C

Current and previous ratings profile of active services



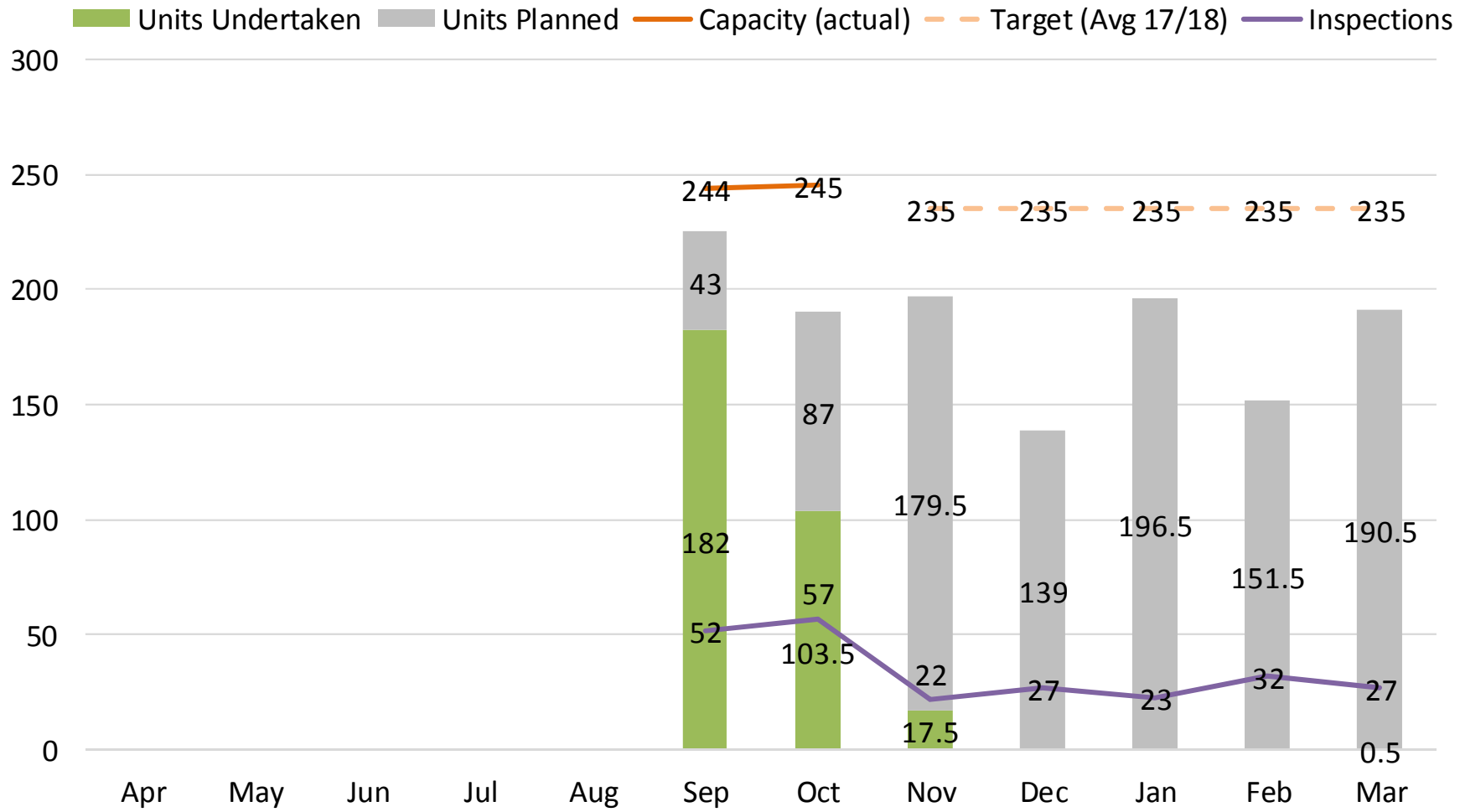
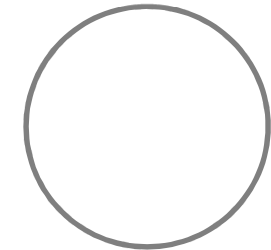
Inspections: HSP Activity

Register
Monitor, Inspect & Rate
Enforce
Independent Voice

M

ⓘ *Inspections undertaken and scheduled against forecast*

Year to date, Hospitals has undertaken **408** inspections.

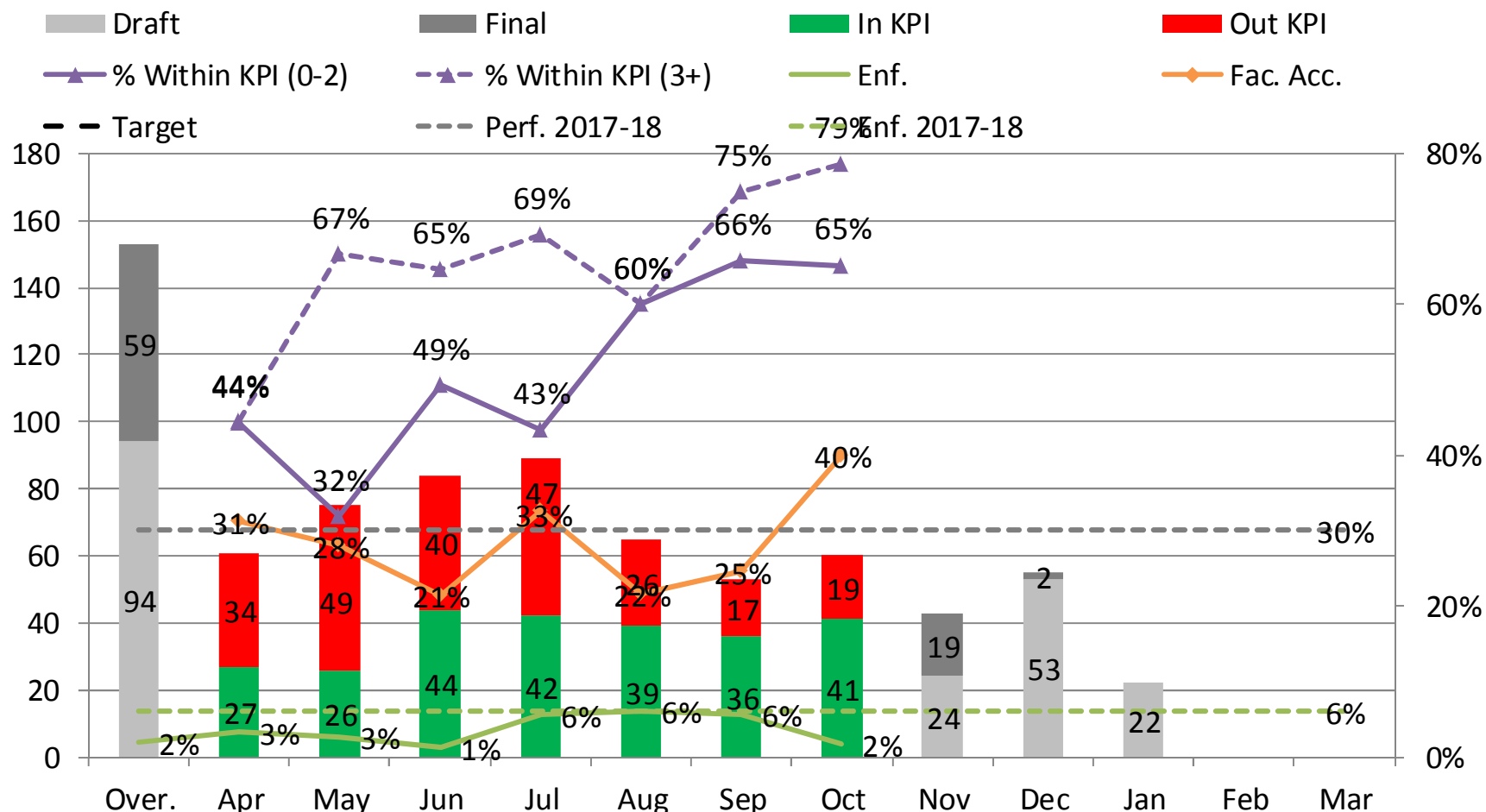


Published Reports: HSP Timeliness & Influences

M

Register
Monitor, Inspect & Rate
Enforce
Independent Voice

ⓘ Proportion and volume of reports published within timescales
 Year to date, **52%** of Hospital reports overall, **50%** of those with less than two core services and **67%** of those with three or more core services have been published within KPI



2018/19 Financial Year; Data from Oct cut

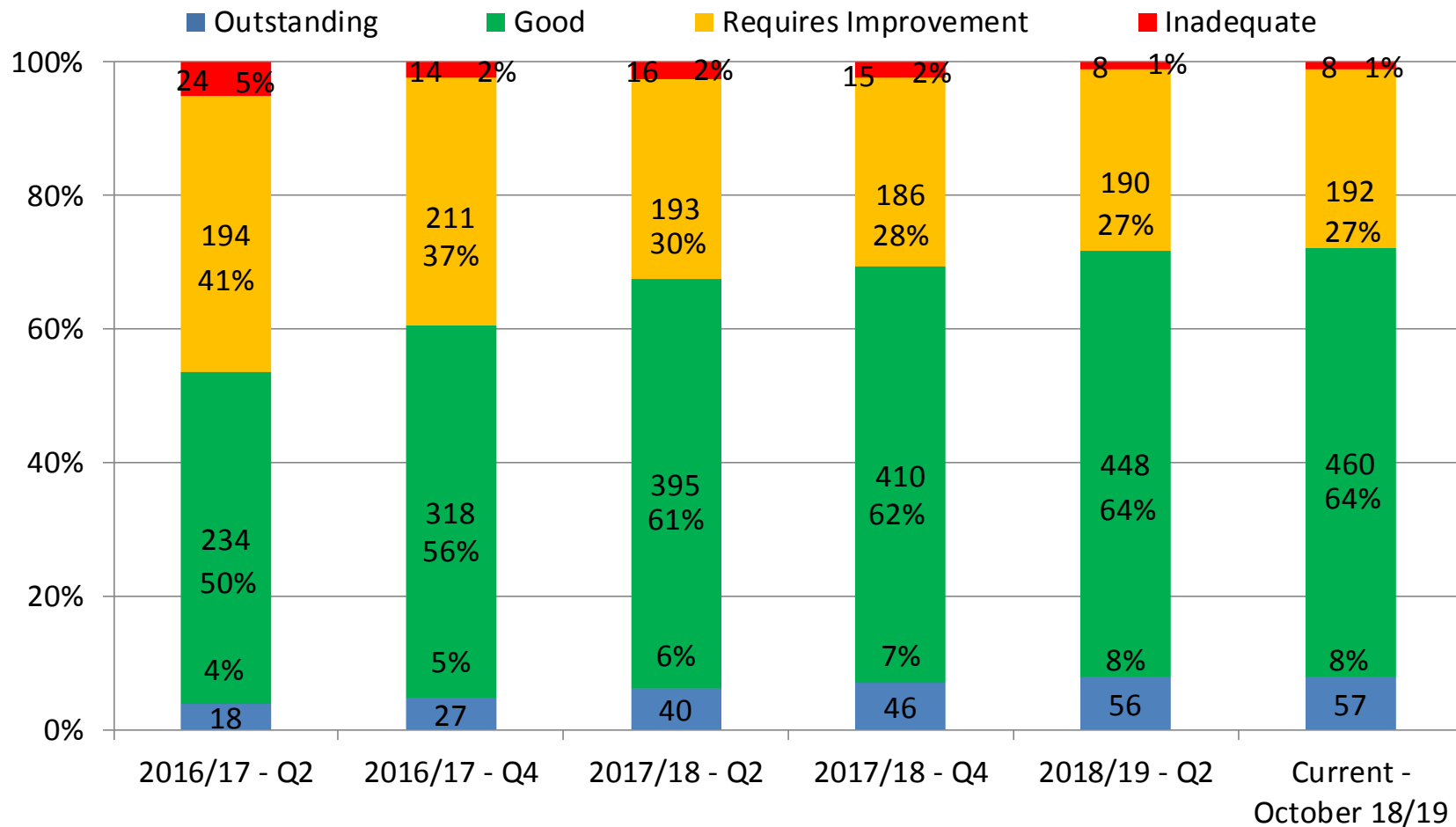
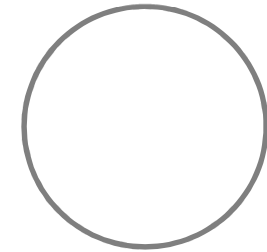
KPI: ASC, PMS & HSP 0-2 Core Services – 50 working days after last visit date; HSP 3+ Core Services – 65 working days after last visit date; Enf.: where the report involved enforcement; Fac. Acc.: number of reports where we have received a Factual Accuracy challenge. Draft/Final: shows reports that are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

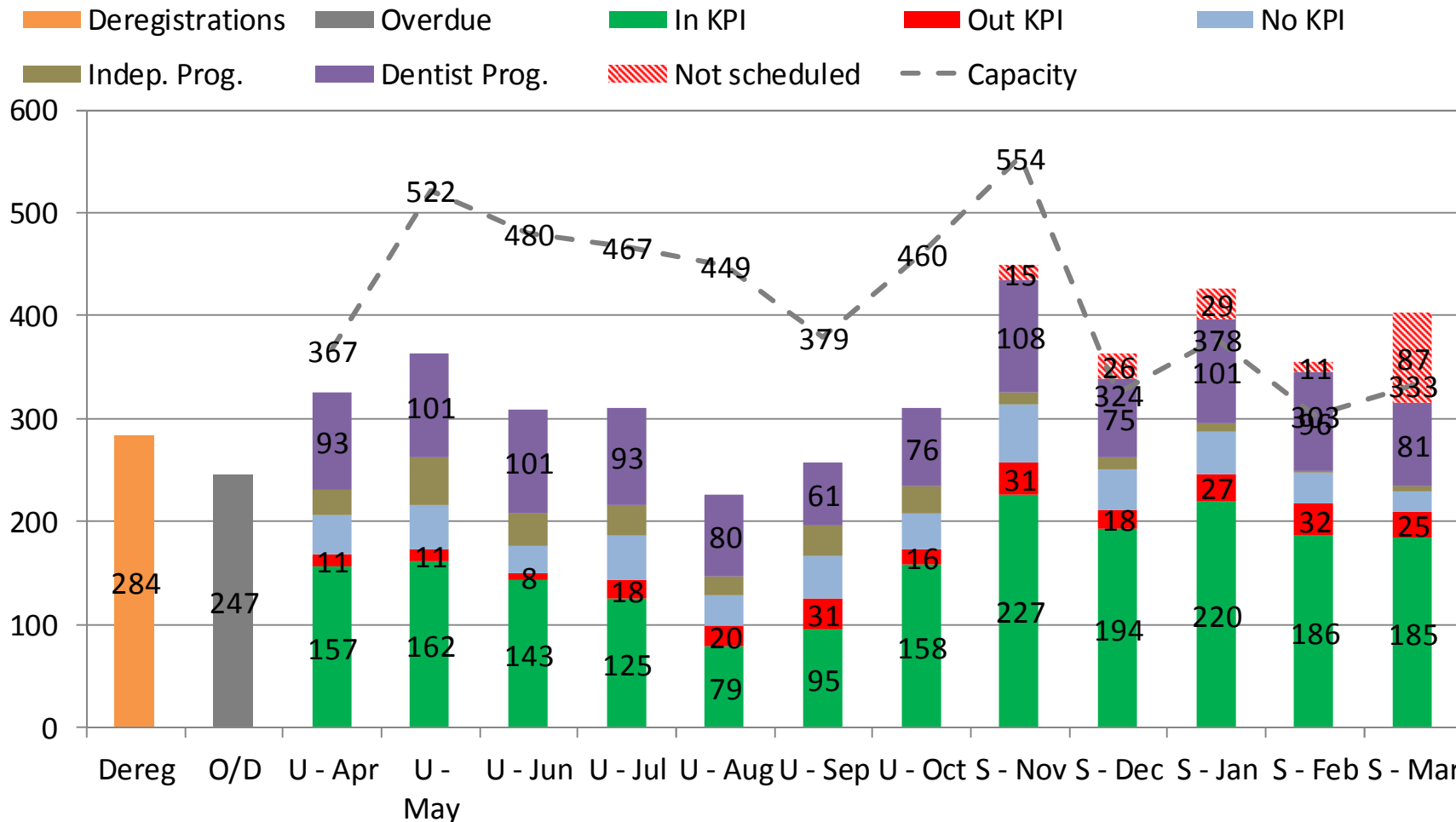
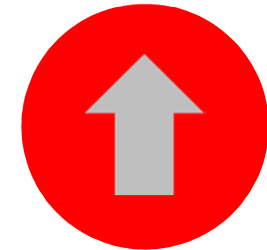


Inspections: PMS Activity

M

Register
Monitor, Inspect & Rate
Enforce
Independent Voice

ⓘ *Inspections undertaken and scheduled against forecast*
 Year to date, PMS has undertaken **2,102** inspections **89%** of inspections have been undertaken within KPI.

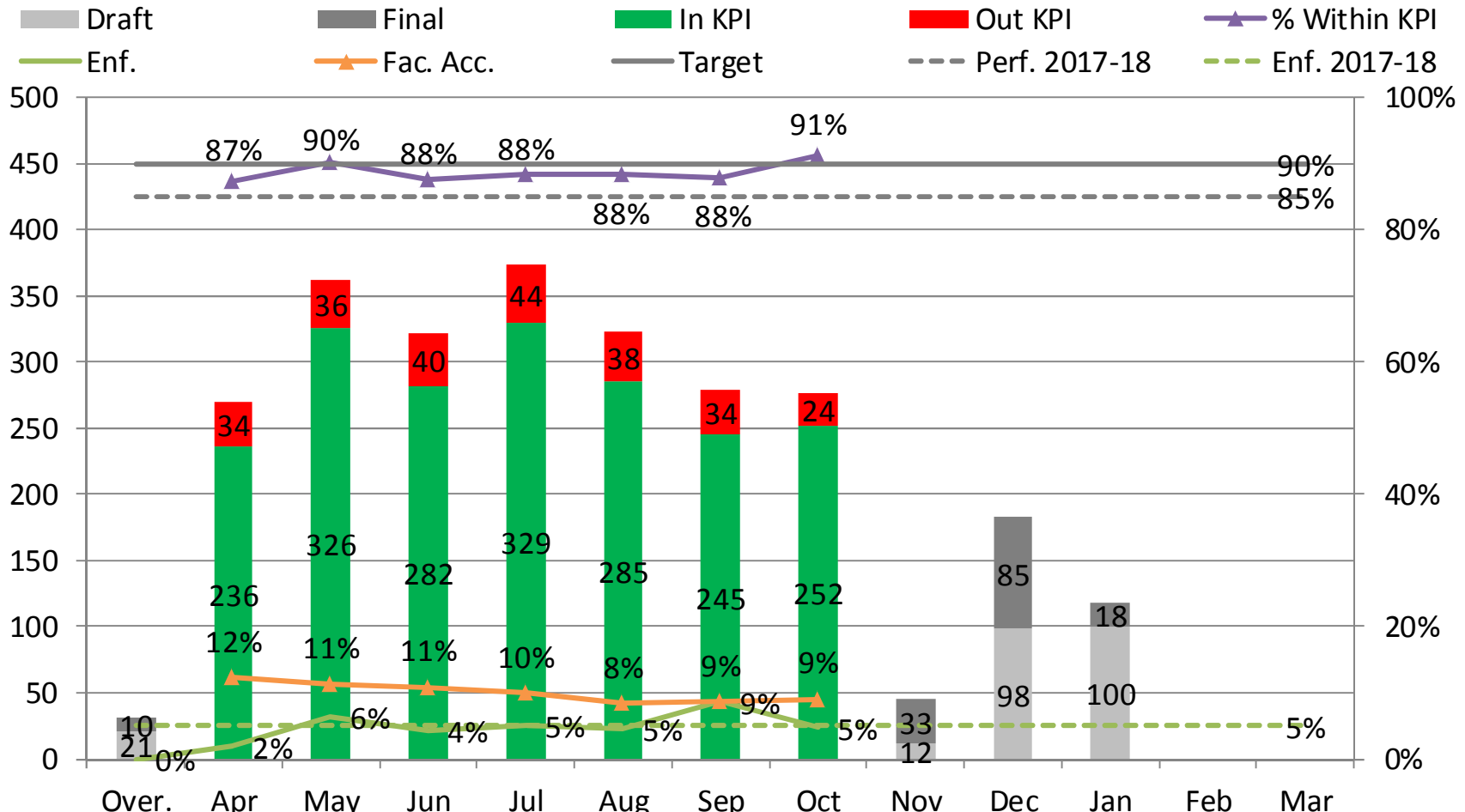
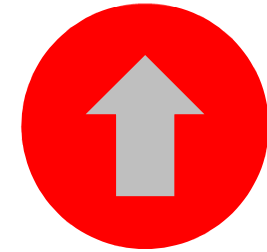


Published Reports: PMS Timeliness & Influences

M

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

📌 Proportion and volume of reports published within timescales
 Year to date, **89%** of reports have been published within KPI



2018/19 Financial Year; Data from Oct 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

Register

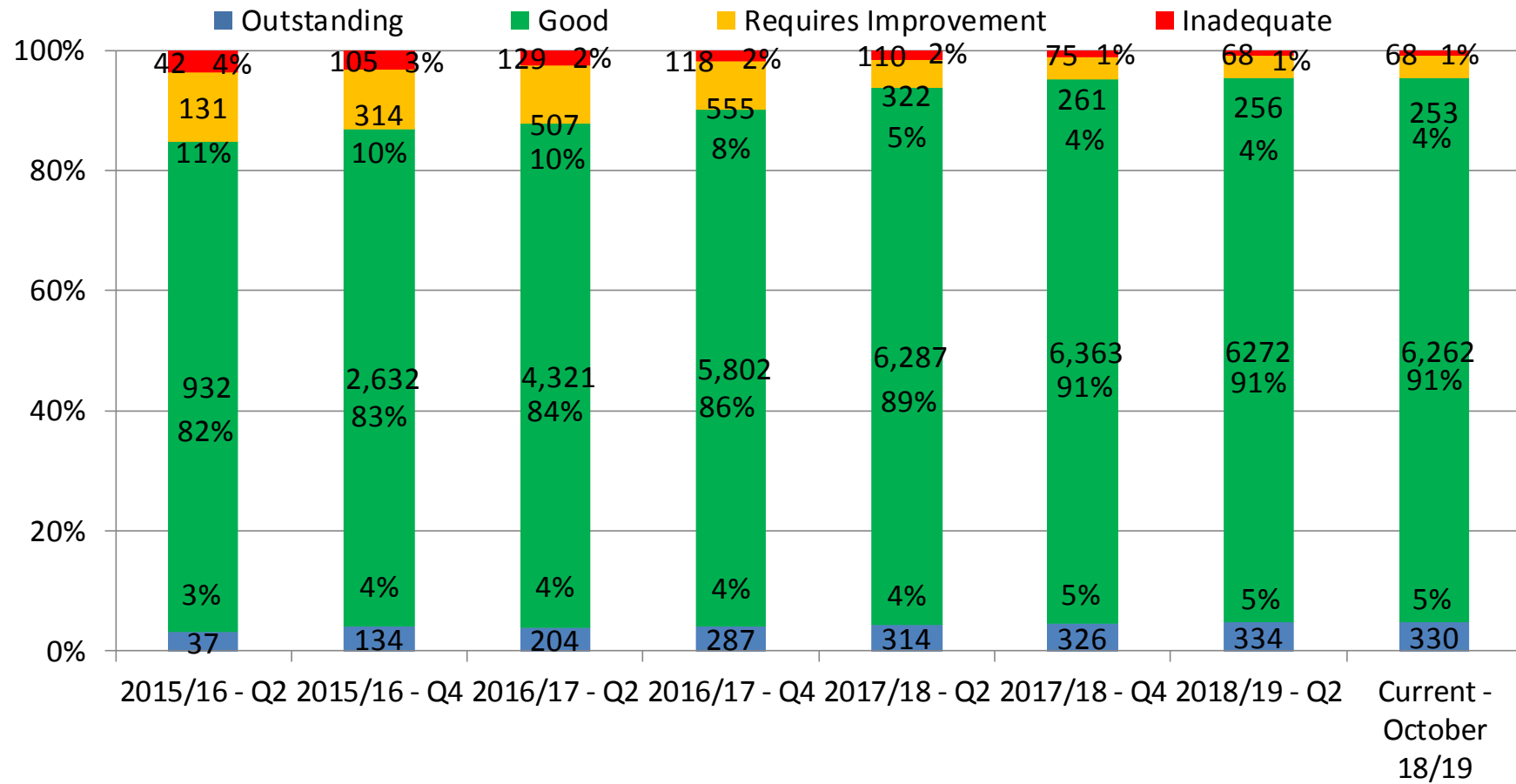
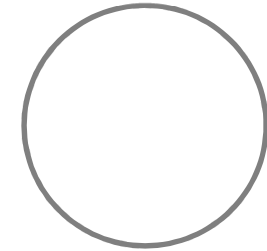
Monitor, Inspect & Rate

Enforce

Independent Voice

C

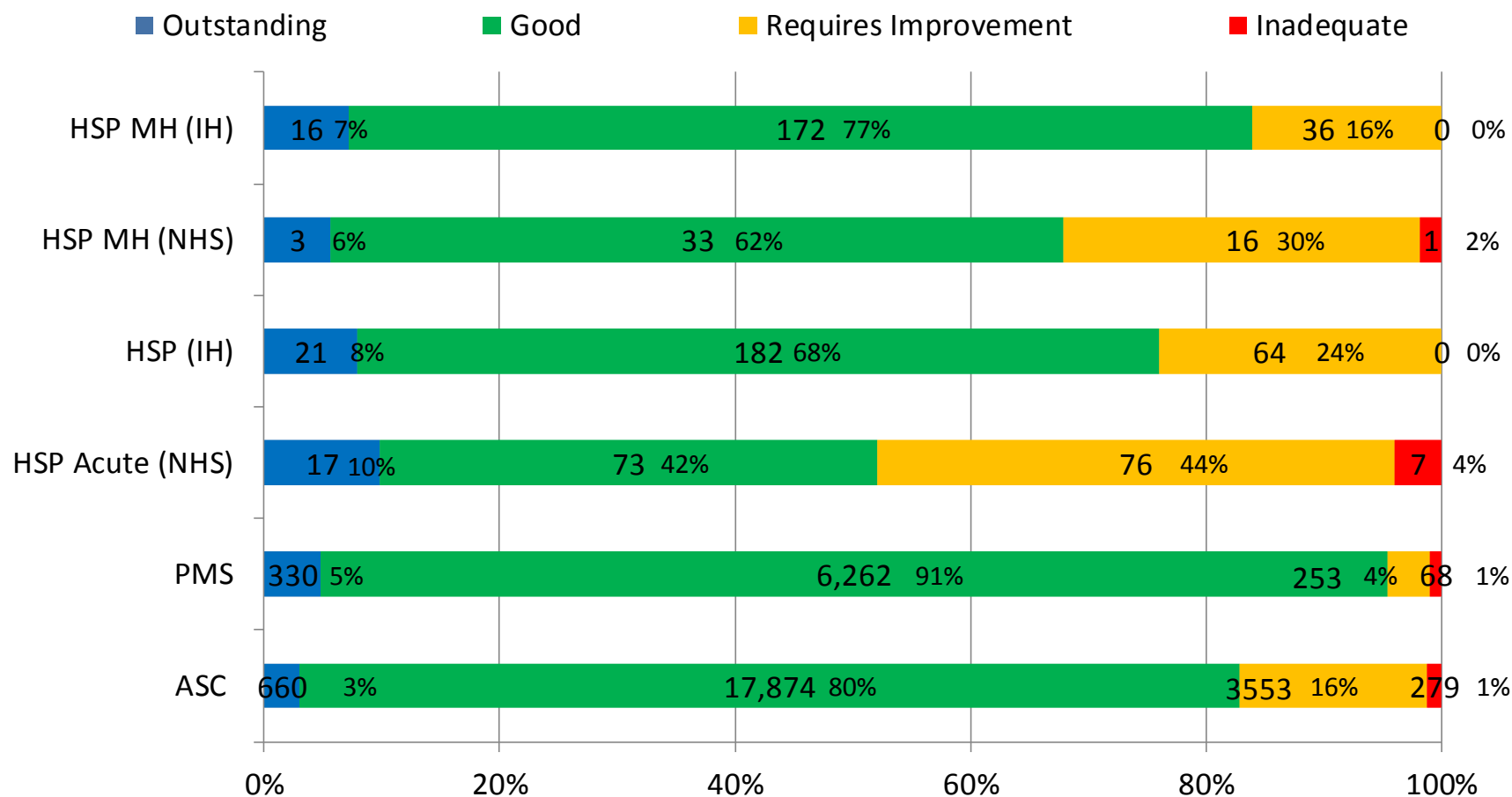
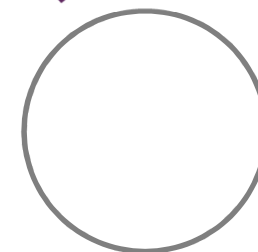
Current and previous ratings profile of active services



What is the Quality of the Services Rated?

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

ⓘ *Current ratings profile of active services*

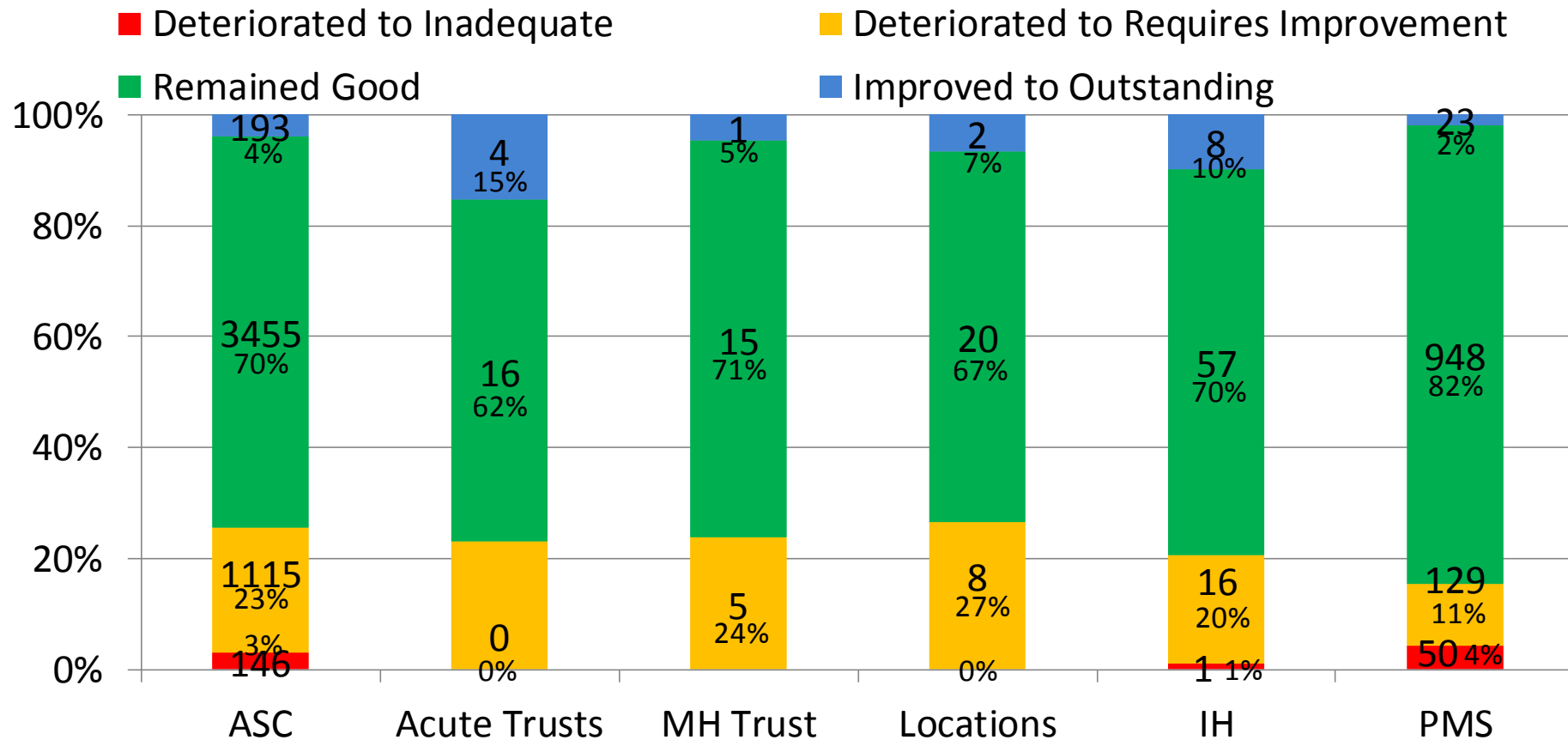
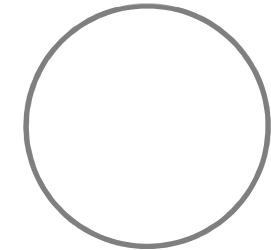


Do Locations Rated Good Deteriorate?

C

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

Re-ratings of services previously rated Good
 In the last year, **24%** locations previously rated Good deteriorated

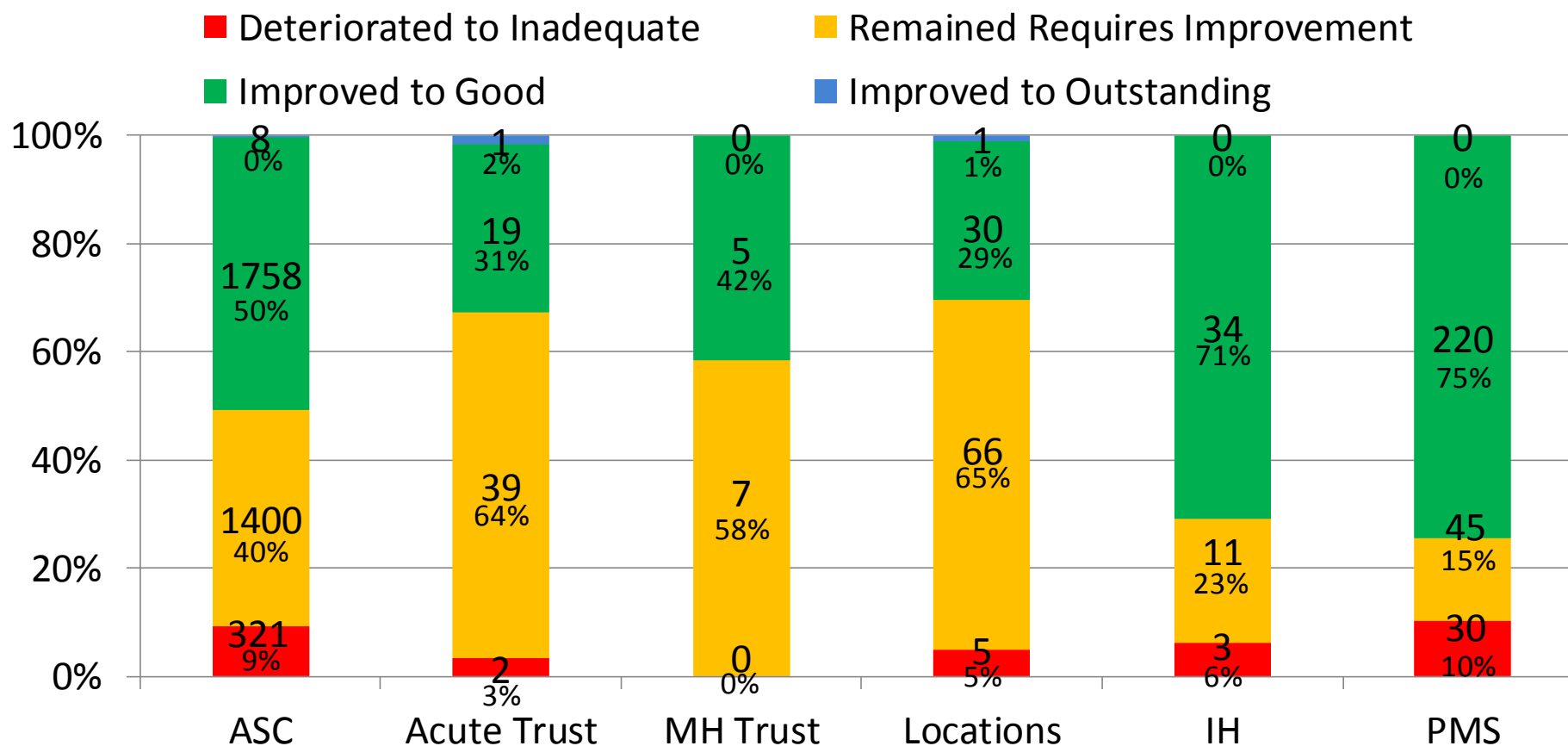
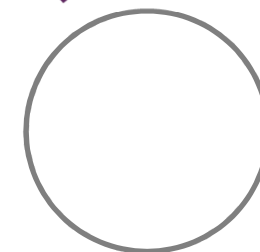


Do Locations Rated Requires Improvement Improve?

C

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

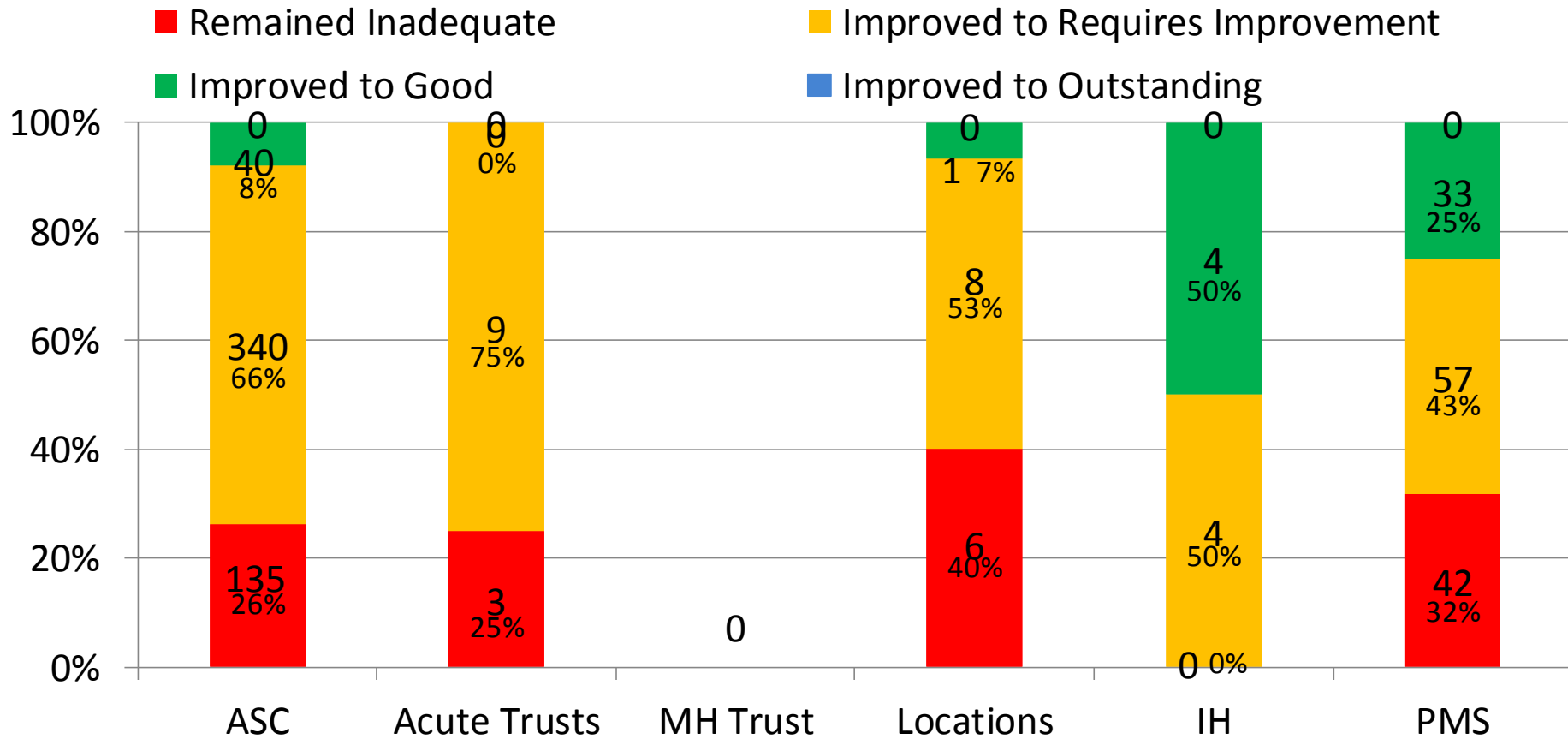
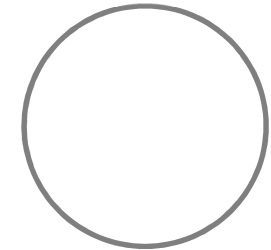
ⓘ *Re-ratings of services previously rated Requires Improvement (RI)*
 In the last year, **52%** locations previously rated RI improved



Do Locations Rated Inadequate Improve?

C Register Monitor, Inspect & Rate Enforce Independent Voice

ⓘ *Re-ratings of services previously rated Inadequate*
 In the last year, **73%** locations previously rated Inadequate improved



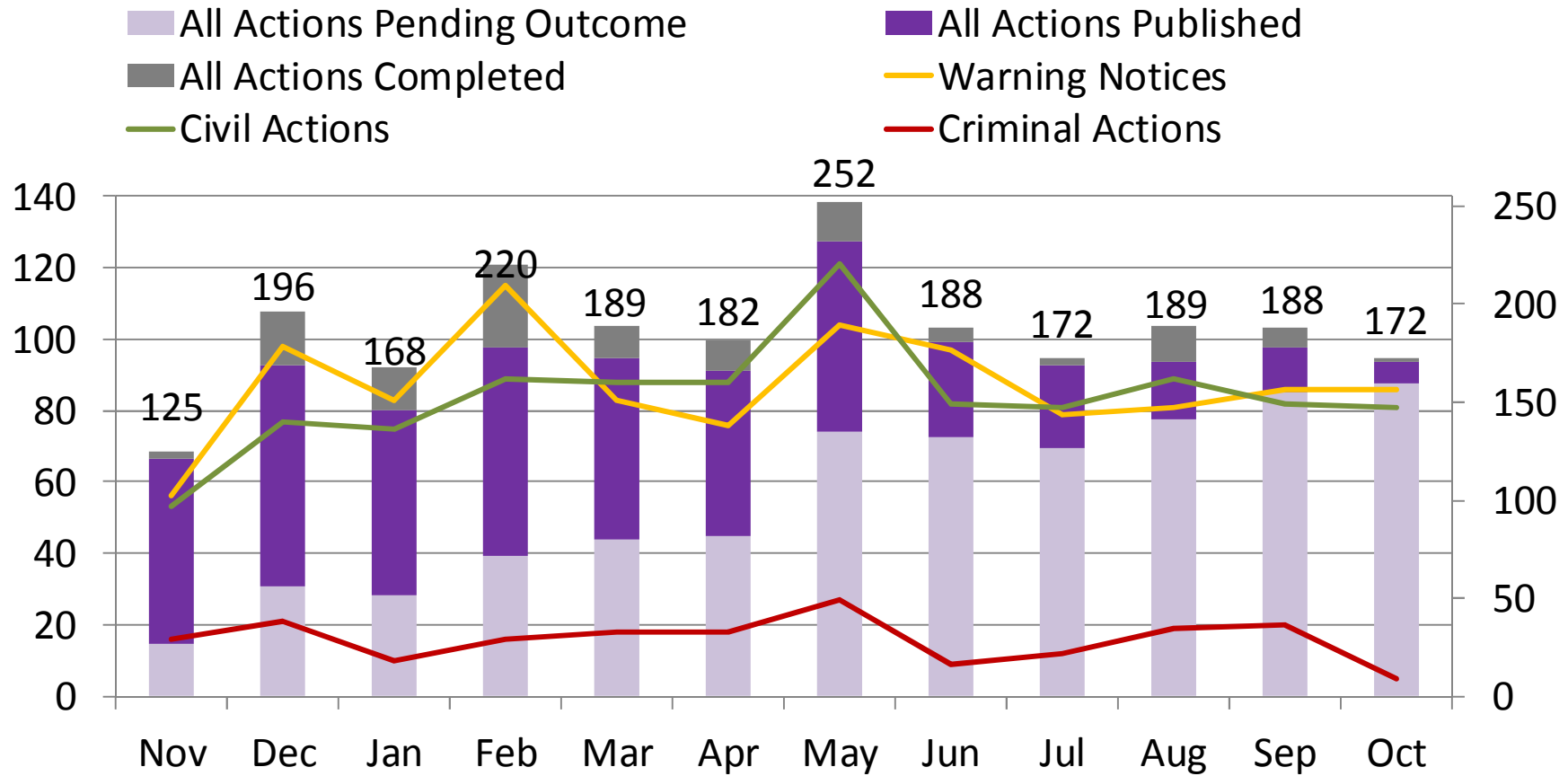
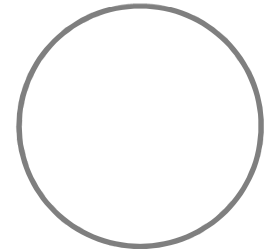
What Enforcement Activity Do We Undertake?

C

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

① *Volume of enforcement actions issued each month broken down by current status and type*

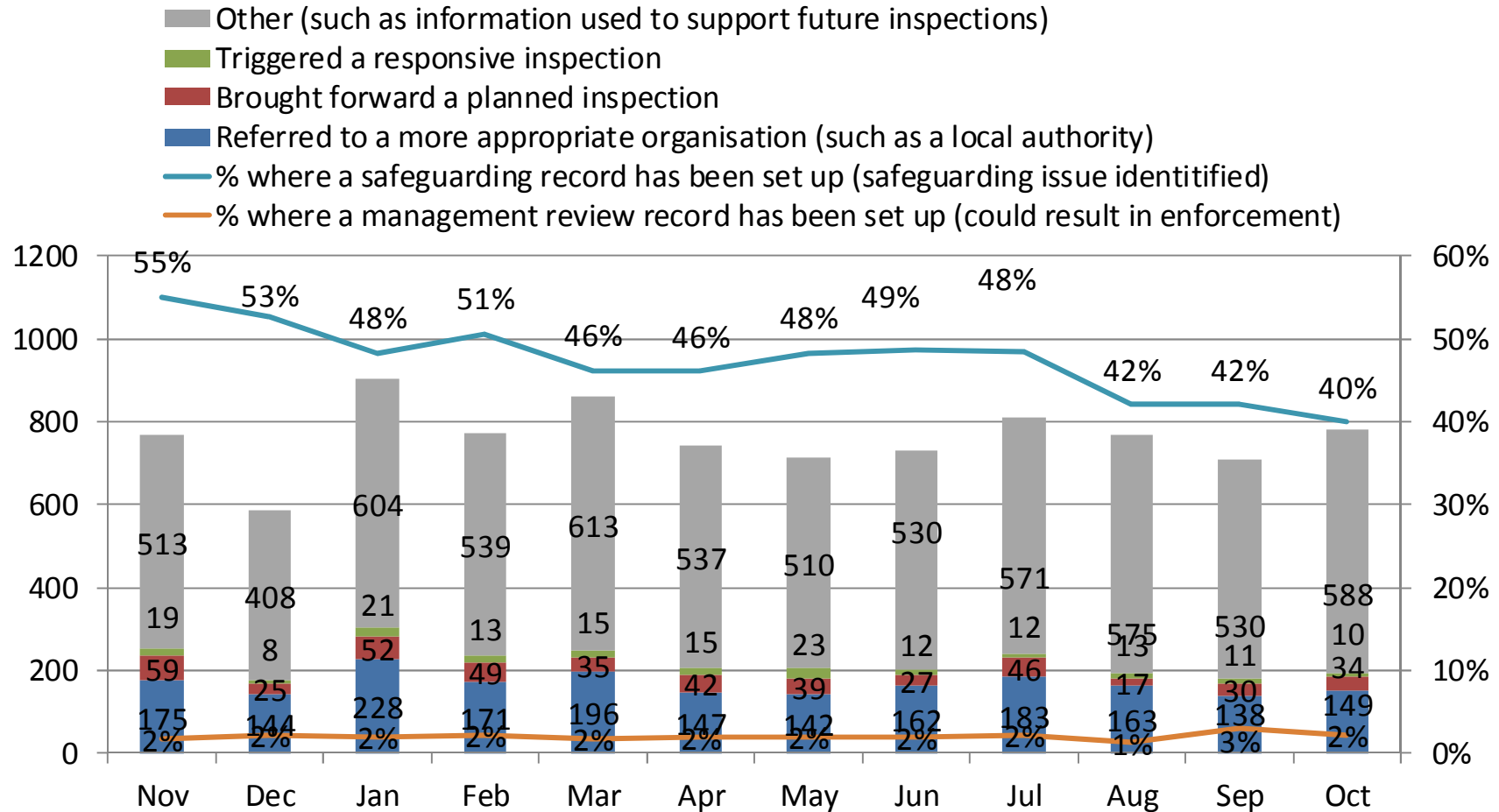
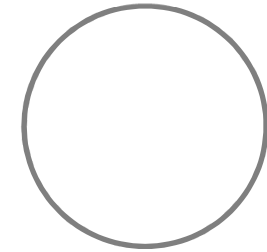
In the last 12 months, we have issued **2,241** enforcement actions, of which **1,219 (54%)** are pending outcome.



Whistleblowing volume and action taken

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

C *Volume of whistleblowing enquiries received and trend*
 CQC has received **9,143** whistleblowing enquiries in the last year

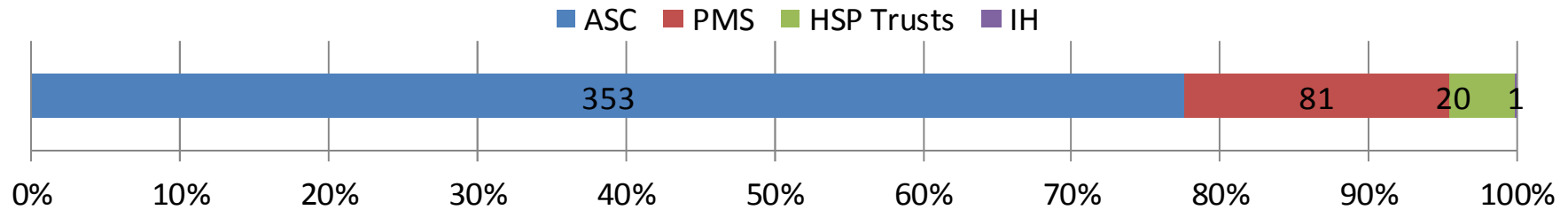
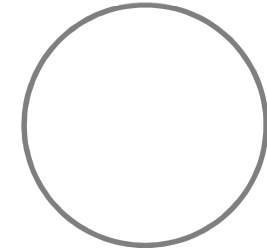


What Happens to Locations in Special Measures?

C

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

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



460 in Special Measures were **carried into October** from September

455 in Special Measures at the end of October

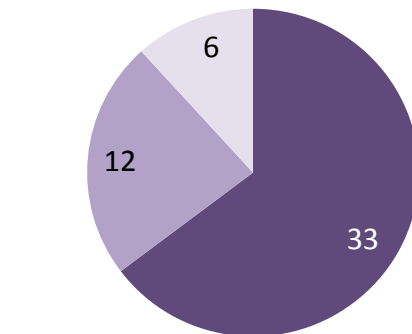
46 entered Special Measures in October



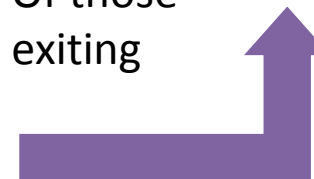
51 exited Special Measures in October



- Sufficient Improvements
- Deregistered
- Registration Cancelled



Of those exiting



Action Against Long-Term In Breach – Adult Social Care & Primary Medical Services

C Register Monitor, Inspect & Rate Enforce Independent Voice

① Locations in breach for more than four quarters, categorised by inspection activity or enforcement actions in progress or undertaken against each

