

# PSSRU

Personal Social Services  
Research Unit

[www.PSSRU.ac.uk](http://www.PSSRU.ac.uk)

---

## Downloaded publication in Acrobat format

The PSSRU retains the copyright in this publication.

It may be freely distributed as an Acrobat file and on paper, but all quotations must be acknowledged and permission for use of longer excerpts must be obtained in advance.

We welcome comments about PSSRU publications. We would particularly appreciate being told of any problems experienced with electronic versions as otherwise we may remain unaware of them.

Email: [pssru\\_library@kent.ac.uk](mailto:pssru_library@kent.ac.uk)

## Social care regulation: resource use

Final Report

**Ann Netten, Jacquetta Williams,  
Jane Dennett, Janet Wiseman  
and Andrew Fenyo**

PSSRU Discussion Paper 2042/4  
July 2004

---

The **PERSONAL SOCIAL SERVICES RESEARCH UNIT** undertakes social and health care research, supported mainly by the Department of Health, and focusing particularly on policy research and analysis of equity and efficiency in community care, long-term care and related areas — including services for elderly people, people with mental health problems and children in care. Views expressed in PSSRU publications do not necessarily reflect those of funding organisations. The PSSRU was established at the University of Kent at Canterbury in 1974, and from 1996 it has operated from three branches:

University of Kent at Canterbury, Cornwallis Building, Canterbury, Kent, CT2 7NF

London School of Economics, Houghton Street, London, WC2A 2AE

University of Manchester, Dover Street Building, Oxford Road, Manchester, M13 9PL

The PSSRU Bulletin and publication lists are available free from the librarian at the PSSRU in Canterbury (01227 827773; email [pssru\\_library@kent.ac.uk](mailto:pssru_library@kent.ac.uk)) and on the PSSRU website.

Email: [PSSRU@kent.ac.uk](mailto:PSSRU@kent.ac.uk)

Website: <http://www.pssru.ac.uk>

## Contents

Index of tables and figures .....	iii
Acknowledgements .....	vii
Summary .....	ix
1. Introduction .....	1
2. Method and response rates .....	1
2.1 Design .....	1
2.2 Response rates .....	2
3. Regulatory responsibilities .....	4
3.1 Establishments .....	4
3.2 Inspection workload .....	5
3.3 Number of homes in responding areas .....	6
3.4 New registration workload .....	6
3.5 Variations to existing registrations workload .....	10
3.6 Enforcement action and complaints .....	10
4. Staffing .....	11
4.1 Staffing levels and vacancies .....	11
4.2 Inspectors .....	12
4.3 Business services staff .....	15
4.4 Time use .....	17
5. Resources used in regulatory activity .....	20
5.1 Care homes for adults .....	20
5.2 Children's homes .....	30
5.3 Boarding schools .....	36
5.4 Fostering agencies .....	40
6. Costs .....	43
7. Conclusion .....	47
Appendix A: Data collection context .....	49
Appendix B: Further tables .....	51
References .....	59

## Index of Tables and Figures

Table No.	Title	Page No.
2.1	Response rate by questionnaire type	3
3.1	Number of care homes registered at 31 March 2003	4
3.2	Number of children's services registered at 31 March 2003	5
3.3	Number of inspections of adults' and children's services by type of inspection conducted during the year ending 31 March 2003	6
3.4	Number of registrations for adult services during the year ending 31 March 2003	7
3.5	Number of registrations for children's services during the year ending 31 March 2003	9
3.6	Number of cancellations of registration, 2002-3	10
3.7	Number of complaints about services received and investigated by the NCSC during the year ending 31 March 2003	11
4.1	Staff vacancy level by region, July 2002-March 2003	12
4.2	Qualifications and experience of inspectors, 1998-9 and 2003	14
4.3	Sickness leave of inspectors, 1998 and 2002-3	15
4.4	Business services staff time use, 2003 (%)	16
4.5	Satisfaction of business services staff with training received, 2003	17
4.6	Time use by activity, 1998 and 2003 (average hours per week)	17
4.7	Time use by sector of regulation, 2003 (average hours per week)	18
4.8	Time use of staff responsible for children's services, 1999 and 2003 (average hours per week)	18
5.1	Adult care home inspections by type of inspection and main client group, 2002-3	21
5.2	Risk category of adult care homes by main client group, 2002-3	22
5.3	Time use on adult care home inspections by inspection type, 1998 and 2002-3	24
5.4	Factors associated with variation in time taken to inspect care homes for adults	25
5.5	Adult care home registrations and variations by main client group, 2002-3	27
5.6	Variations in registration by variation type	28
5.7	Time use on new registrations in care homes for adults, 1998 and 2002-3	29

5.8	Time use on variation in registration in care homes for adults, 1998 and 2002-3	30
5.9	Size of children's homes inspected, 2002-3	31
5.10	Time use on children's homes inspections by inspection type, 1999 and 2002-3	33
5.11	Factors associated with variation in time taken to inspect children's homes	34
5.12	Time use on new registrations in children's homes, 1999 and 2002-3	36
5.13	Characteristics of schools inspected, 1999 and 2002-3	37
5.14	Characteristics of pupils in boarding schools, 1999 and 2002-3	38
5.15	Time use on boarding schools inspections, 1999 and 2002-3	39
5.16	Factors associated with variation in time taken to inspect boarding schools	40
5.17	Time use on fostering agency inspections, 2002-3	42
5.18	Factors associated with variation in time taken to inspect fostering agencies	43
6.1	Staff unit costs	44
6.2	Costs of regulation	46

<b>Figure No.</b>	<b>Title</b>	<b>Page No.</b>
4.1	Time use of inspectors with responsibility for adults' services, 1998 and 2003	19
4.2	Time use of inspectors with responsibility for children's services, 1999 and 2003	20
5.1	Adult inspections: relationship between home size given risk status and outcome	26
5.2	Children's inspections: predicted total hours by number of places	35

### **Appendix B Index of Tables**

Table B1.1	Inspection methods used	52
Table B1.2	Expert advice	53
Table B1.3	Compliance with Care Homes Regulations, 2001	54
Table B1.4	Compliance with the Children's Homes Regulations, 2001	55

Table B1.5	Compliance with the Fostering Services Regulations, 2002	56
Table B2.1	Functions undertaken by the children's homes inspected	57
Table B2.2	Age of the children/young people in the children's homes inspected	57
Table B2.3	Groups of children cared for by the homes inspected	57

## **Acknowledgements**

The area offices were asked to complete a large number of questionnaires in a very limited period at a busy time of the year. The response was excellent. We are very grateful for all their hard work and for their patience in dealing with our enquiries. We also would like to thank Anthony Prudhoe, Colin Hanson, Eileen Stephenson and Barbara Bright for supplying data; Sue Clarke, Roger Morgan, Dr Mike Lindsay and Jeunesse McTigue for their contribution to the questionnaire design; the Advisory Group, Clare Curran, Trish Davies, Colin Hough, Terry McCrady and Amanda Sherlock for their advice; and Sarah Palmer for all her assistance.

## Summary

1. This paper reports on the findings of a study investigating the resource use of regulation under the National Care Standards Commission (NCSC). Our aim here is to identify the resource requirements of the NCSC given current workloads and practice and to compare this with the level of input to regulation prior to the setting up of the NCSC. The findings need to be treated with some caution (see Appendix A).
2. The methodology followed that of previous research undertaken by PSSRU (Netten et al., 1999a, 2000a), on which the fees for service providers and resourcing of the NCSC had been based. In order to ensure comparability, the same questions were used as far as possible with some adaptation to reflect the new responsibilities and practices of the NCSC. Where possible, information was drawn from the central database of the NCSC, but most of the information was collected through postal questionnaires.
3. Area offices were asked about numbers of registrations and complaints, the resources used and characteristics of a sample of the most recently completed inspections of care homes for adults and children's homes, registrations of adult care homes and children's homes, and inspections of boarding schools and fostering agencies. Inspectors, managers and business services staff completed questionnaires about their responsibilities and time use during a sample week.
4. Of the 71 area offices at least some information was sent by 66 areas (93 per cent). For each individual questionnaire type the response from areas was lower, with the lowest being 48 per cent for the inspection of boarding schools and the highest being 93 per cent for the inspectors/managers questionnaire. Sufficient inspector/manager questionnaires were sent out for half the total complement of inspectors and managers. Out of a total of 852 questionnaires, 561 were returned – a response rate of 66 per cent, representing about 40 per cent of the inspection workforce (Section 2.2).
5. National data suggested that the number of establishments that the NCSC was responsible for regulating was falling (Section 3.1).
6. A higher proportion of inspector time was spent directly on inspection and registration than in the past and a much lower proportion on development activities unrelated to registration, inspection, complaints or enforcement and on management and

administration (Section 4.4). Among inspectors responsible for inspecting adult services, the proportion of time spent on inspection rose from 43 per cent in 1998 to 58 per cent in 2003. During the sample week 24 per cent of inspector's time was spent on children's regulation compared with 39 per cent among inspectors responsible for children's services in 1999 (sections 4.2 and 4.4). The degree of specialisation in children's services had changed considerably, with more inspectors with responsibility for children's services also having responsibility for services for adults.

7. Business services staff spent over half their time on activities directly related to the regulation of specific establishments. Generally there was a low level of satisfaction with the training that they had received. Nearly half of respondents judged the training they had received on using the NCSC national database to be less than adequate (Section 4.3).
8. There has been a statistically significant increase in the time taken to inspect care homes for adults. If we take into consideration the balance of announced and unannounced inspections, the average time taken to inspect a care home for adults has increased since 1998 by 55 per cent, or by 71 per cent including the input of business services staff (Section 5.1). The level of variation in time taken is also significantly higher for announced inspections.
9. The time taken to inspect care homes for adults was found to be associated with the size and risk category of the home, whether the inspection was announced, the number of inspection methods used and the outcome of the inspection. More time was taken to inspect care homes for adults when the inspection was announced and when more inspection methods were used. Less time was taken to inspect smaller homes, homes at low risk and those which had a satisfactory outcome. There was no further association with type of home or client group (Table 5.4). There was no evidence that the amount of time taken was reducing as inspectors became more experienced in the new methods.
10. There was no significant difference in the amount of time taken to register homes for adults compared with 1998 (Section 5.1). The only factor associated with variation in time taken to register homes was the outcome of the registration: those approved without conditions took less time.



11. The average length of time spent on variations in registration in care homes for adults fell from 21 hours on average in 1998 to 15 hours in 2003, or 13 hours if we exclude business services staff inputs (Section 5.1). More time was taken when the risk status of the home was red, the registration was for a new owner or an application for a change in number of beds as a result of new build. As in 1998 a higher proportion of the registrations were related to new owners or change in number of beds as a result of new build at least some of the difference in time taken was probably due to the nature of the registration.
12. For children's homes, allowing for the balance of announced and unannounced inspections, the increase in the amount of time spent per inspection was 44 per cent, or 56 per cent including business services staff (Section 5.2). This was statistically significant. There was also a statistically significant increase in the variation in time spent on announced inspections.
13. Factors associated with variations in time taken to inspect children's homes included the size of the establishment, the risk category, the age and type of child cared for and the processes of inspection (Table 5.11). More time was taken when the inspection was announced, when the children's home provided for children who were sentenced or required by Order to be detained and when the home was judged to be in the high risk category. Less time was taken for inspections when the home provided for children with alcohol dependence or prepared children for permanent placement. Outcome of inspection was not associated with the time taken. There was some evidence that the amount of time taken was reducing as inspectors became more experienced in the process.
14. There was no significant change in the time taken to register children's homes. Variation in time taken had significantly reduced, however (Section 5.2). The only factor associated with time variation was the size of the home being registered.
15. The time taken to inspect boarding schools has increased significantly since 1999 when about 65 hours was spent per inspection on average. In 2002-03 inspections took an average of 109 hours including and 98 hours excluding business services staff: an increase of 70 or 55 per cent respectively. Variation in time taken had also increased significantly (Section 5.3).
16. Only school size and number of inspection methods used was associated with the length of time taken to inspect boarding schools (Table 5.15).

17. More time was taken to inspect fostering agencies than any other type of establishment: 140 hours in total, 129 hours excluding business services staff (Section 5.4). More time was taken to inspect local authority agencies, agencies providing for children of all ages, unaccompanied asylum seekers, and children with alcohol dependence. Less time was taken to inspect agencies that offer shared care and provide for children ending their time in care. The number and types of method used were also associated with time taken (Table 5.17).
18. Combining information about salary levels and overall expenditure by the Commission with information on time use allowed us to estimate the unit costs of NCSC staff time, and thus the costs of inspection and registration. As in the previous study these costs allowed for unmeasured activities such as dealing with complaints and pre-registration enquiries as well as general administration. There has been some increase in real unit costs compared with the previous study but this can largely be accounted for by depreciation costs of office equipment and furniture (Section 6).
19. Overall there has been a substantial increase in the time taken to carry out inspections with a consequent rise in the associated costs (Section 6). Changes in the process of regulation were such that an increase was anticipated. What was less expected was the increase in the variation in time spent on announced inspections. With more standardised procedures it would have been expected that this variation would have decreased.
20. Potentially there are implications both for the human resource management of the Commission for Social Care Inspection (CSCI), which replaced the NCSC in April 2004, and for the fees paid by care agencies. However, in any estimation of the resource implications of the findings it would be important to take into consideration the reduction in the number of some types of establishment (particularly care homes for adults) and other changes in the areas of responsibility of the Commission. There may also be scope for re-assessing the level of input linked to the level of risk to service users. For example, is the dramatic increase in the cost of boarding school inspections justified? Is the level of input for inspection of an adult placement appropriate?

## **1. Introduction**

Central government resources for the National Care Standards Commission (now Commission for Social Care Inspection) and fee levels from providers of services were based on two studies of the costs of regulation conducted in 1998 and 1999 (Netten et al., 1999a, 1999b, 2000a, 2000b). The principal objective of these studies was to identify the comprehensive costs of regulation in order to provide the basis for full recovery of the costs of the regulating function from those being regulated. In April 2002 the NCSC took responsibility for the regulation of all care homes for adults and children (including local authority provision), boarding schools and adoption agencies. From April 2003 it gained responsibility for registering nurse agencies, domiciliary care agencies and family care centres. Compared with previous arrangements the NCSC was organised with fewer, larger area offices replacing individual registration and inspection units and implemented a national approach to regulation. One implication of these changes was that the resources required for regulation might differ from those used in the past.

This paper reports on the findings of a study investigating the resource use of the NCSC. Our aim was to identify the resource requirements of the NCSC given current workloads and practice. The timing of the study means that the results need to be treated with some caution (see Appendix A). We start by briefly describing the method and response rates and then set the context in terms of the overall levels of regulatory responsibilities and activity during the first year of the NCSC. In section 4 we describe the work undertaken by inspectors and managers in terms of their caseloads and overall time use. We then turn to the individual regulatory activities in order to identify the resource use in terms of time input to the regulatory process, compare with the results of the previous studies and explore factors associated with variations in time taken. We end by identifying the unit cost of staff time and the estimated costs of each of the measured regulatory activities.

## **2. Method and response rates**

### *2.1 Study design*

The project built on the approach used in our previous studies to facilitate comparison as far as possible, and was adapted to reflect changes in responsibilities and arrangements that had occurred under the Commission.

Where information could be identified centrally we drew on the Commission's sources and databases. Through these we collected information on the number of establishments,

inspections, cancellations, complaints and staffing levels during the year ending 31 March 2003.

Postal questionnaires were sent to each area office to identify:

- Overall levels of activity in each area office (numbers of registration enquiries, applications and registrations, major and minor variations, de-registrations and enforcement actions for each type of establishment during the previous year), estimates of time spent on complaints and factors affecting availability of staff such as sick leave and training.
- Time use of individual inspectors and business services staff for a sample week. To put this information in context, inspectors and business services staff were also asked (where relevant) about their qualifications, grade, range of activities, responsibilities and caseload. Each area was sent sufficient questionnaires to sample half of the inspectors and four questionnaires to cover the range of business services staff roles.
- Information about the last four inspections of care homes for adults and inspections of children's homes, two registrations of adult care homes and the last children's home registration, three variations of registration for care homes for adults and two inspections of boarding schools and foster agencies that areas had completed.

The information collected about each regulatory activity included the process (in particular the time spent by inspectors and business service staff), the characteristics of the establishment and the outcome.

## *2.2 Response rates*

In all ten different types of questionnaire were sent to the NCSC area offices in May 2003, with a request to respond before the end of May. Areas with low (with less than 30 per cent of their questionnaires returned) or nil responses were chased after two weeks. Non-respondents were chased a second time. Returns were received from 66 of the 71 areas (93 per cent). The five non-responding areas were from three regions, although three areas were from the same region, the South East. Workload pressures and competing priorities were identified as the reason why two of the non-responding areas could not participate.

There were discrepancies in responses to two questions included in seven of the questionnaires, which asked about time use by staff at different grades and on different activities. To improve these data we contacted the area offices and requested that they double-check the information, and in 53 cases inconsistencies were resolved and the data included in the analyses.

Details of the questionnaires are given in Table 2.1, together with the number of each sent to each area. Some areas could not return a full quota of questionnaires because the activity had

not been undertaken. For example, they did not have or had not inspected any boarding schools or registered any children's homes. However, in some instances it was not clear why the questionnaire had not been completed. For example, only 57 of the 66 responding areas completed the area office questionnaire, which asked for levels of registration activity and complaints.

Area managers were asked to give the inspector/manager questionnaire to half of all staff with registration and inspection responsibilities. Areas received between four and 26 inspector activity questionnaires depending on their establishment, with an average of 12. Out of a total of 852 questionnaires, 561 were returned – a response rate of 66 per cent, which represents about 40 per cent of the inspection workforce. Two of the questionnaires gave respondents a chance on the first page to tick a box if there had been no new registrations in the period. Where this box was ticked (in six cases for registrations of care homes for adults and seven cases for the registration of a children's home), the questionnaire was included as a response. Where the questionnaire was returned uncompleted, this did not count as a response. The regional response rate by questionnaire type is detailed in Table B1.1 in Appendix B.

**Table 2.1: Response rate by questionnaire type**

<i>Part</i>	<i>Type of questionnaire</i>	<i>No. per area</i>	<i>Total no. sent out</i>	<i>No. of responses</i>	<i>Response rate</i>
1	Area office	1	71	57	80%
2	Inspector/manager	varying	852	561	66%
3	New registration application for a care home for adults	2	142	94	66%
4	New registration application for a children's home	1	71	41	58%
5	Re-registration/variation in registration/voluntary de-registration of care home for adults/older people	3	213	136	64%
6	Inspection of care home for adults/older people	4	284	199	70%
7	Inspection of children's home	4	284	162	57%
8	Inspection of boarding school	2	142	48	34%
9	Inspection of fostering agency	2	142	70	49%
10	Business services	4	284	229	81%
	Total		2485	1597	64%

### 3. Regulatory responsibilities and level of activity

#### 3.1 Establishments

Table 3.1 shows the national number of registered adult care homes by type of home and category of service user. 21,825 care homes were registered on 31 March 2003. The registration and inspection of an estimated 29,067 care homes was predicted in the Business Plan for 2002-03 (National Care Standards Commission, 2003). Of the registered homes 70 per cent were independent care homes providing personal care and 20 per cent were independent care homes providing nursing care. Only 311 local authority care homes were registered. The largest number of homes cared for older people: 10,594 homes comprising 48 per cent of the total. Adults with a learning disability were provided for by 8,319 homes, 38 per cent of total number of homes. Just under a fifth of the homes provided for adults with dementia or a physical disability and slightly fewer, about 16 per cent, provided for adults with a mental disorder. About 3 per cent of the total number of homes provided for terminally ill adults.

**Table 3.1: Number of care homes registered at 31 March 2003**

<i>Client Group</i>	<i>Type of care home</i>					<i>Total</i>
	<i>Independent</i>		<i>Local authority</i>			
	<i>Providing personal care</i>	<i>Providing nursing</i>	<i>Providing personal care</i>	<i>Providing nursing</i>	<i>Providing adult placement</i>	
Dementia	2548	1283	82	0	41	3954
Mental disorder	2568	633	31	1	265	3498
Learning disability	6431	294	113	0	1481	8319
Physical disability	2285	1595	67	0	230	4177
Past or present drug dependence	109	21	2	0	11	143
Past or present alcohol dependence	164	28	3	0	14	209
Terminally ill	10	680	10	0	0	700
Sensory impairment	255	37	20	0	16	328
Old age	6943	3237	181	0	233	10594
Homes with fewer than 4 residents	2935	5	8	0	1635	4583
Total number of homes	15460	4396	311	1	1657	21825

Table 3.2 shows that 2,033 services for children, including 1,182 children's homes, were registered at 31 March 2003. The areas had responsibility for inspecting 611 boarding schools, residential special schools and further education colleges. The registration and inspection of an estimated 1,314 children's homes and the inspection of 753 boarding schools, residential special schools and further education colleges was predicted in the Business Plan for 2002-03 (National Care Standards Commission, 2003).

**Table 3.2: Number of children's services registered at 31 March 2003**

<i>Type of service</i>	<i>No.</i>
Children's homes (not in any category below)	1117
Children's homes with a secure unit	5
Halfway house children's homes	4
Local authority-run children's homes	56
Residential family centres	7
Independent fostering agencies	33
FE colleges	25
Residential special schools	228
Boarding schools	558
Total	2033

Regulation of private healthcare services will transfer to the Commission for Healthcare Audit and Inspection (CHAI) in 2004. The following were registered at 31 March 2003: 927 independent healthcare establishments, comprising 752 independent hospitals, 172 independent clinics and three independent medical agencies. An estimated 1,271 registered independent hospitals and clinics were predicted in the Business Plan (National Care Standards Commission, 2003).

### *3.2 Inspection workload*

The NCSC is required to inspect care homes and children's homes twice a year. Table 3.3 shows the number of inspections conducted during the year 2002-03 by type of inspection and broad client group. The NCSC conducted 41,434 inspections of adult and children's services, of which 38,280 were inspections of adult services and 3,154 were inspections of children's services. This represents 1.7 inspections per adult care home registered at the end of the financial year<sup>1</sup> and 1.55 per children's service. Two thirds of the inspections were

<sup>1</sup> This over-estimates the rate of inspection per establishment as there has been a drop in the number of homes during the year.

announced. We would expect the rate of inspection to be lower for children’s services as the statutory requirement for some of these services is for less frequent inspections.

In 2000-01 local authority and joint registration and inspection (R&I) units completed 41,540 inspections of adults’ services and 3,050 inspections of children’s homes and independent boarding schools. Health authority R&I units completed 11,210 inspections of adult services (Department of Health, 2001).

**Table 3.3: Number of inspections of adults’ and children’s services by type of inspection conducted during the year ending 31 March 2003**

<i>Inspections</i>	<i>Adults’ services No.</i>	<i>Children’s services No.</i>	<i>Total No.</i>
Announced inspections	23666	2134	25800
Unannounced inspections	14614	1020	15634
Total	38280	3154	41434

### *3.3 Number of homes in responding areas*

The areas that responded in some way to our questionnaires covered a total of 21,870 establishments (20,062 adults’ services and 1,808 children’s services). The five non-responding areas tended to be larger: they were responsible for regulating 396 establishments on average, compared with 331 in our sample.

### *3.4 New registration workload*

Area offices were asked about the number of registration enquiries they received that did not lead to an application, the number of new registration applications, and the number of new registrations carried out during 2002-03, by type of care home and children’s service.

Responding area offices reported receiving 547 registration enquiries that did not lead to an application. Of these 403 related to care homes providing personal care and 109 related to care homes providing nursing care. Relatively few areas provided data about enquiries received that did not lead to an application. The number of areas that left the question blank or noted that this information was not known ranged from 12 to 16 depending on the type of care home. For example, 42 areas gave the number of enquiries relating to care homes providing personal care and 46 areas provided the number of enquiries related to local authority care homes providing nursing care. For each category of care home between eight



and 12 areas indicated that the number of registration enquiries that did not lead to an application was not known.

Tables 3.4 and 3.5 show the number of applications for new registrations and the number of new registrations carried out in 2002-03 for adult and children's services by type of home or service.

**Table 3.4: Number of registrations for adult services during the year ending 31 March 2003**

<i>Type of home</i>	<i>Activity</i>			
	<i>New registration applications received</i>	<i>Average per area</i>	<i>Establishments newly registered</i>	<i>Average per area</i>
Independent care home - personal care	1970 (n=55)	36	331	5.9 (n=56)
Independent care home - nursing care	1128 (n=55)	20	140	2.5 (n=56)
Care homes providing adult placement	261 (n=54)	5	13	0.2 (n=54)
Local authority care homes - personal care	1476 (n=54)	27	231	4 (n=54)
Local authority care homes - nursing care	56 (n=54)	1	1	0.02 (n=54)

Note: Areas could not consistently identify both applications received and the type of home registered. The number of areas that could identify the information is given in brackets.

Our responding areas identified nearly 5,000 new registration applications for care homes for adults in 2002-03.<sup>2</sup> On average, each responding area received 36 applications for independent care homes providing personal care, 20 applications for independent care homes providing nursing care and 27 applications for local authority managed care homes providing

<sup>2</sup> This number of applications represented a very large increase on 2000-01, when local authority, health authority and joint inspection units received 2,080 new registration applications for care homes for adults including variations to registration (Department of Health, 2001). This suggests there may be some definitional problems.

personal care. A considerable proportion of areas, however, reported receiving no applications to register particular types of care home: 25 areas received no applications for care homes providing adult placement; 17 areas received no applications for care homes providing nursing care; seven areas reported receiving no applications for care homes providing personal care; 50 areas had no applications for local authority managed homes providing nursing care; and nine areas reported receiving no applications for local authority managed homes providing personal care.

The responding units reported having registered 716 new care homes for adults in 2002-03. On average, each area registered four local authority managed care homes providing personal care, just over two independent care homes providing nursing care, six independent care homes providing personal care, and less than one adult placement or local authority care home providing nursing care.

The responding areas received 1,066 new registration applications for children's services during 2002-03. Of these, 903 (85 per cent) were for children's homes. In 2000-01 local authority and joint inspection units received 125 new registration applications for children's homes (Department of Health, 2001). On average, each responding area received 17 applications for children's homes, and less than one application for children's homes with a secure unit, halfway house children's homes, residential special schools or fostering agencies. All but one of the responding areas reported receiving new applications to register a children's home. Applications to register children's services in other categories, however, were received by only a small proportion of the responding areas. For example, new registrations applications for residential special schools were received in only seven responding areas.

**Table 3.5: Number of registrations for children’s services during the year ending 31 March 2003**

<i>Type of home</i>	<i>Activity</i>			
	<i>New registration applications received</i>	<i>Average per area</i>	<i>Establishments newly registered</i>	<i>Average per area</i>
Children’s home (not in any other category)	903 (n=54)	17	271 (n=55)	6
Children’s home with a secure unit	16 (n=54)	0.3	3 (n=54)	0.05
Halfway house children’s home	2 (n=54)	0.04	1 (n=55)	0.02
Residential special school	11 (n=53)	0.2	12 (n=54)	0.2
Fostering agencies	134 (n=53)	2.5	21 (n=54)	0.4

Note: Areas could not consistently identify both applications received and the type of home registered. The number of areas that could identify the information is given in brackets.

Of the 1,066 applications, the NCSC responding areas registered 308 new children’s services (29 per cent of the applications) during 2002-03. On average each responding area registered six children’s homes.

We defined re-registrations as a registration resulting from a change in owner. In 1998 a re-registration due to change in owner was found to be relatively more costly to conduct than other variations in registration, although much less costly than a new registration, which is how a change of owner is now classified (Netten et al., 1999). The respondent areas reported 426 care home re-registrations in 2002-03. Of these 255 (53 per cent) related to care homes providing personal care, 156 (37 per cent) related to care homes providing nursing care and 15 related to local authority care homes providing personal care. Only 31 re-registrations of children’s services were reported.

### 3.5 Variations to existing registrations

The area offices reported 745 major variations in conditions of registration for care homes, during 2002-03 (n=53-54 areas; 75-76 per cent). Of these 422 (56 per cent) related to care homes providing personal care and 250 (33 per cent) to care homes providing nursing care. Fifty-four responding area offices reported carrying out 87 major variations in conditions of registration for children's services during 2002-03. All but one of these related to children's homes other than homes with a secure unit or halfway house children's home.

### 3.6 Enforcement action and complaints

Table 3.6 presents data provided by NCSC Headquarters. A total of 2,389 care homes for adults closed during 2002-03, of which only four resulted from enforcement action. Sixty children's services closed during 2002-03. In 2000-01 about 1,700 care homes for adults and 45 children's homes closed (Department of Health, 2001).

Fifty-seven of the area offices provided information about the number of voluntary home closures by type of service for adult services. Of the 1,763 voluntary closures of adult services reported, 65 per cent were care homes providing personal care, about 25 per cent homes providing adult placement, and 7 per cent homes providing nursing care. Fifty-five areas reported 49 voluntary closures within children's services.

**Table 3.6: Number of cancellations of registration, 2002-3**

<i>Cancellations</i>	<i>Adults' services No.</i>	<i>Children's services No.</i>	<i>Total</i>
Voluntary cancellations	2385	60	2445
NCSC cancellations	4	0	4
Total	2389	60	2449

Nationally 8,848 complaints about services were received by the NCSC during 2002-03, compared with 13,900 complaints received by local authority, joint and health authority R&I units during 2000-01. There were 8,535 complaints against adult services and 313 complaints against children's services. Just over two thirds of the complaints, 6,120, were investigated by the NCSC, compared with just over a quarter of the complaints in 2000-01, 3,800, which had resulted in substantial investigations (Department of Health, 2001).

**Table 3.7: Number of complaints about services received and investigated by the NCSC during the year ending 31 March 2003**

<i>Complaints</i>	<i>Adults' services No.</i>	<i>Children's services No.</i>	<i>Total</i>
Number of complaints received	8535	313	8848
Number of complaints investigated	5933	187	6120

## **4. Staffing**

### *4.1 Staffing levels and vacancies*

At 31 March 2003 the overall establishment was 2560 whole time equivalents. Nearly two thirds of the establishment was made up of inspection staff (58 per cent). Business services support staff made up just over a quarter of the establishment (29 per cent) and management about one eighth (13 per cent). Regionally, inspectors made up between 57 per cent of the establishment in London, and 64 per cent of the establishment in Yorkshire and Humberside. The largest region was the South East, comprising 16 per cent of the establishment, three times the size of the smallest region, the North East (5 per cent of the establishment).

As at 31 March 2003 about half of the overall vacancies were for inspectors. About 5 per cent of the posts for inspectors and for management were vacant. A slightly larger proportion, 8 per cent, of the posts for business services staff were vacant.

Table 4.1 shows the staff vacancy level as a percentage of the establishment over the eight-month period from July 2002 to March 2003. Between July and October 2002 the overall vacancy level halved and by the end of the March 2003 it was less than a third of the level in July 2002. In July 2002 the South West had the highest vacancy level at 25 per cent (excluding Headquarters and private and voluntary healthcare). At March 2003 London had the highest vacancy level at 9 per cent (excluding Headquarters and private and voluntary healthcare). The largest increase in recruitment was achieved in the South West (22 per cent), followed by the Eastern region (16 per cent), the South East (14 per cent), London (12 per cent) and the West Midlands (10 per cent).

The vacancy level reduced progressively over the period in three regions: the East Midlands; the South West; and London. Vacancies increased in December before falling again by March in three regions: North East, West Midlands, and North West. In two regions vacancies levels were higher at the end of March 2003 than in December 2002: the South East and Eastern.

**Table 4.1: Staff vacancy level by region, July 2002-March 2003**

Area/Region	<i>Establishment</i> <i>WTE</i> <i>31 March 03</i> <i>No.</i>	<i>Vacancies</i> <i>July 02</i> <i>%</i>	<i>Vacancies</i> <i>Oct 02</i> <i>%</i>	<i>Vacancies</i> <i>Dec 02</i> <i>%</i>	<i>Vacancies</i> <i>March 03</i> <i>%</i>
Headquarters	151	26	15	14	6
Private & Voluntary Healthcare	92	-	-	25	18
North East	135	9	7	11	5
East Midlands	191	14	6	5	4
South West	317	26	9	5	4
West Midlands	244	13	2	7	2
North West	347	15	11	13	7
London	240	21	18	13	9
South East	418	23	12	5	9
Eastern	212	20	8	2	4
Yorkshire & Humberside	214	16	10	13	7
Total	2560	21	10	9	6

Note: The vacancies % figures are the variance (between total staff and the establishment) minus offers made and new starters (where stated) as a percentage of the establishment. The establishment changed slightly over the time period and the % vacancies relates to the establishment at the time. For example in December 2002 the establishment for the North East region increased by 2.7 and the establishment for the West Midlands reduced by 2.6.

#### 4.2 Inspectors

In order to have a clear understanding of the level of resources required it is important to understand both what activities are undertaken and how long they take. There are two ways to approach this. The first is to measure individual activities and the time taken to accomplish them; this is the approach we have adopted in section 5 below. While this provides helpful insight into the main activities undertaken, it does not allow for all those other activities that are necessary to perform the regulatory function but cannot be allocated to any specific establishment: for example, general management and administration, dealing with pre-registration enquiries that do not generate a registration and so on. In order to

identify the amount of time spent on these activities, we asked inspectors, managers and business services staff to complete questionnaires that included a time use diary for a specified week. Here we report on the inspector and manager results.

The questionnaire asked about: position (e.g. area manager, inspector); length of service; contracted hours of service; office accommodation (e.g. own office, shared office, work from home and hotdesk); qualifications and experience; whether the respondent carried an inspection caseload and if so the number of the different types of service; other areas of responsibility; activities undertaken (e.g. registration, inspection, complaints); proportion of time spent on regulatory activities relating to care homes for adults and residential care for children and regulation of boarding schools; and, finally, respondents were asked to give full details about a sample working week (12<sup>th</sup> to 18<sup>th</sup> May 2003). This question asked about time spent on different activities (such as registration and inspection) relating to care homes for adults, residential homes for children, boarding schools, independent health care, study and professional development, management and administration, and other activities.

Three-quarters of respondents were inspectors and 21 per cent of respondents to this questionnaire were area or locality managers. We also had replies from three specialist inspectors and two locums. Overall, respondents had been active in the field of registration and inspection for an average of over five years. In 1998 inspectors had been in post for just over four and a half years and on average they had been in the field of regulation for about a year longer than they had been in post.

#### *Qualifications and experience*

Table 4.2 shows the qualifications and experience of inspectors carrying caseloads. For ease of comparison with the previous study, the table shows adults' and children's inspectors separately.

**Table 4.2: Qualifications and experience of inspectors, 1998-9 and 2003**

	<i>Inspectors responsible for adults' services, 1998 (n=665) %</i>	<i>Inspectors responsible for children's services, 1999 (n=260) %</i>	<i>Inspectors responsible for adults' services, 2003 (n=414) %</i>	<i>Inspectors responsible for children's services, 2003 (n=78) %</i>
Qualification in residential or field social work	51	77	50	63
Nursing qualification	40	12	41	18
Teaching qualification	19	15	16	24
Pharmacy qualification	2	0	<1	0
Childcare qualification	7	14	4	9
Management qualification			37	26
Experience of managing care homes for adults or older people	50	0	54	39
Experience of working in care homes for adults or older people	44	0	41	36
Experience of managing a children's home	-	31	9	23
Experience of working in children's home	-	39	14	35
Experience of managing boarding schools	-	4	1	1
Experience of working in boarding schools	-	8	3	8
Other relevant qualification or experience	56	42	38	38

Note: 64 people had joint responsibilities.

As in the previous studies, the 'other' qualifications and experience covered a wide range. Both types of inspector cited academic qualifications such as degrees, and experience in other settings, such as social services departments and hospitals.

### *Sick leave*

Overall levels of sick leave were asked at the area level. At first sight the level of sickness leave seemed to be very high: an average of 16 days a year per full-time equivalent inspector/manager (and a maximum of 198). However, rates were also very high in 1998, and in joint and local authority units were six or more days higher on average (see Table 4.3). Clearly the number of people on long-term sick leave will influence the overall average rate.



**Table 4.3: Sickness leave of inspectors, 1998 and 2002-3**

	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Minimum</i>	<i>Maximum</i>
NCSC, 2002-03	16	55	32	1	198
HA unit, 1998	12	60	24	0	121
Joint unit, 1998	26	8	59	3	172
LA unit, 1998	22	67	51	0	275

### *Specialisation and caseload*

In the previous studies in 1998 and 1999, different questionnaires were sent to inspectors responsible for adult services and inspectors responsible for children's services but there may have been a degree of overlap, with the same inspectors completing both questionnaires. This time the same questionnaire was sent to all inspectors, and we were able to identify those who were responsible for adults services (414) and those responsible for children's services (78). Of the 78 respondents 14 (18 per cent) identified their responsibilities as being for children's services only. In the 1999 study only 10 per cent of the inspectors responsible for children's services had no responsibility for adults.

We provided a list and asked inspectors how many of each service they carried as a caseload. Inspectors with responsibility for adults would have on average about 17 adult services on their caseload, but in addition also one children's service. Inspectors with responsibility for children would have on average seven children's services on their caseload, but also about 11 adult services. These caseloads are much lower than those identified in the 1998 study. Then inspectors of adult services reported an average caseload of 32 or 33 homes. Respondents were asked to specify additional responsibilities: 86 mentioned domiciliary care and 53 nursing care agencies.

### *4.3 Business services staff*

Four copies of a questionnaire designed for business services staff were sent to each area office, with the request that they be completed, if possible, by a team leader, a senior business services administrator and two administrators. Of 284 sent out, 229 were returned completed – a response rate of 81 per cent. The respondents comprised 51 team leaders (22 per cent), 63 senior business services administrators (28 per cent), 99 business services administrators (43 per cent) and 16 'others', of whom 13 were secretaries. An average of 3.5 staff responded from 65 areas. This represents about 50 per cent of the business services staff in area offices (excluding receptionists and secretaries). The vast majority of respondents had worked at

NCSC since its inception, with an average length of service of a year. The majority (195, or 84 per cent) worked full-time. Although full-time staff were contracted to work 35 hours a week, they worked between 36 and 37 hours a week on average.

Table 4.4 reports how business services staff use their time. All categories of staff spend a sizeable amount of time on management and administration: for team leaders it accounts for nearly four-fifths of their time, for senior administrators over two-fifths and for administrators nearly a third. Administrators spent half of their time on inspection activities, and senior administrators spent half their time on registration and inspection activities combined.

**Table 4.4: Business services staff time use, 2003 (%)**

	<i>Team leaders</i> (n=51)	<i>Senior administrators</i> (n=63)	<i>Administrators</i> (n=99)	<i>All*</i> (n=229)
Management and administration	79	42	29	47
Pre-registration enquiries	2	6	4	4
Registration activities	11	22	12	14
Inspection activities	5	27	51	32
Complaints activities	2	3	2	2
Enforcement activities	1	1	1	1
Total time spent working	36	35	33	35

\* The total excludes 16 'others', who are mainly secretaries.

The questionnaire asked about satisfaction with training received (see Table 4.5). Nearly half of respondents judged the training they had received on using the NCSC R&I national database to be less than adequate. At least half had not received any training on Microsoft Word or Excel. Of course, these figures do not take into account respondents for whom training was not appropriate because they did not use the software or had already received training to an appropriate standard before joining the Commission.

**Table 4.5: Satisfaction of business services staff with training received, 2003**

	<i>Less than adequate %</i>	<i>Adequate %</i>	<i>Not received %</i>	<i>n</i>
NCSC R&I national database	48	43	9	223
Microsoft Word	10	32	57	216
Microsoft Excel	15	25	60	218

#### 4.4 Time use by registration and inspection staff

Most registration and inspection staff worked full-time, with the hours actually worked in the sample week varying hugely. A few inspectors contracted to work full-time worked fewer than 37 hours in the sample week, but on average they worked 41.5 hours, and the maximum was over 66. The average number of hours worked per week was very similar to that in 1998. Tables 4.6 to 4.8 show the distribution of time across the different regulatory activities by different types of staff.

**Table 4.6: Time use by activity, 1998 and 2003 (average hours per week)**

	<i>Inspectors responsible for adult services, 1998 (n=550)</i>	<i>All respondents, 2003 (n=552)</i>	<i>Inspectors responsible for adult services, 2003 (n=407)</i>	<i>Inspectors responsible for children's services, 2003 (n=75)</i>	<i>Area and locality managers, 2003 (n=117)</i>
Pre-registration		0.7	0.6	0.7	1.1
Registration	3.4	3.6	3.4	3.0	3.6
Inspection (inc. travel time)	17.0	18.2	22.4	21.8	4.7
Promoting quality of care/development	5.0	1.3	1.3	1.1	1.6
Complaints	3.7	2.8	2.8	1.7	2.8
Enforcement	1.0	0.7	0.5	0.2	1.7
Duty roster	-	0.8	1.0	1.9	-
Foster care	-	0.2	0.1	1.2	0.3
Study/professional development	-	2.2	2.1	2.8	2.4
Management/admin	5.4	8.1	4.0	4.2	22.8
All other activities	5.1	0.5	0.4	0.6	0.7
Total time spent working	40.6	39.1	38.5	39.1	41.9

**Table 4.7: Time use by sector of regulation, 2003 (average hours per week)**

	<i>All respondents, 2003</i> (n=552)	<i>Inspectors responsible for adult services, 2003</i> (n=407)	<i>Inspectors responsible for children's services, 2003</i> (n=62)	<i>Area and locality managers, 2003</i> (n=117)
Adults' homes regulation	24.9	29.5	22.8	12.5
Children's residential homes regulation	1.8	0.9	4.6	2.6
Boarding schools regulation	0.5	0.5	2.8	0.3
Study/professional development	2.0	1.9	2.2	2.1
Management/ administration	6.7	3.0	3.1	20.4
All other activities	3.2	2.8	4.3	3.9
Total time spent working	39.1	38.5	39.6	41.9

**Table 4.8: Time use of staff responsible for children's services, 1999 and 2003 (hours per week)**

<i>Activity</i>	<i>Time use (average week), 1999</i> (n=230)	<i>Time use (average week), 2003</i> (n=75)
Children's homes residential regulation	8.8	7.2
Boarding schools regulation	3.6	2.3
Other children's services regulation	3.6	1.2
Non-children's regulation	7.7	19.4
Management/administration	4.8	4.2
Other non-regulatory activity	3.6	4.9
Total	31.9	39.1

Figure 4.1 clearly shows the changed pattern of inspector activity under the Commission for inspectors responsible for adults' services. A higher proportion of the time is now spent on inspection and registration (67 per cent compared with 52 per cent) and a much lower proportion on development activities unrelated to registration, inspection, complaints or enforcement (3 per cent compared with 12 per cent) and on management and administration (8 per cent compared with 13 per cent). As expected there was also a reduction in the proportion of time spent on enforcement activities. The increased focus on inspection and registration activities at area level was a specific Commission policy. The greater use of

business support staff probably accounts for the reduction in inspector time spent on management and administration.

Figure 4.2 shows how the pattern of working of those responsible for children’s services has changed. Although we identified above that a higher proportion of inspectors were only dealing with children’s services compared with the past, overall patterns of activity suggest a sharp reduction in specialisation. Those working on children’s services now spend just 18 per cent of their time on childcare regulation compared with 28 per cent of time in 1999.

As in 1999, although there was a slight reduction, about two thirds of all time spent on children’s home regulation was spent on inspection activities (64 per cent of children’s home regulatory activity in 2003 compared with 68 per cent in 1999). The major shift was away from all other activities (supportive work with homes, complaints and enforcement) towards registration. In 2003 nearly a quarter of the time spent on children’s home regulation was spent on registration compared with 11 per cent in 1999. This needs to be kept in the context of an overall reduction in the time spent on child care regulation – in terms of overall time use only 4.4 per cent of time was spent on registration related activities.

Over 90 per cent of time spent on boarding school regulation was spent on inspection activities, compared with 82 per cent of boarding school time in 1999. No time was spent on monitoring activities during the week in 2003, compared with 4.5 per cent of time in 1999.

**Figure 4.1: Time use of inspectors with responsibility for adults’ services, 1998 and 2003**



**Figure 4.2: Time use of inspectors with responsibility for children’s services, 1999 and 2003**



Overall there has been a shift among all inspectors towards the mainstream regulatory activities of inspection and registration and away from administrative and general support activities. It is important to bear in mind that we are describing the time use in one week in May 2003. This included activities such as regulation of domiciliary care agencies (classified under ‘other activities’), which were not the responsibility of the Commission in the previous year. As we turn to time spent on individual regulatory activities, we are reporting on activities undertaken during 2002-03.

## 5. Resources used in regulatory activity

This section describes the resources used to conduct regulatory activities, drawing on examples of recently completed registrations, variations and inspections in children’s and adults’ services.

### 5.1 Care homes for adults

#### *Inspections*

Information was provided about 199 care home inspections. Table 5.1 shows the types of home inspected classified by the client group of the largest proportion of service users. It is not possible to make direct comparisons with the previous study as the categories of home have changed. However, we appear to have a broadly similar sample as about half of the homes (49 per cent) inspected cared primarily for older people, which is very similar to the proportion in the previous study (53 per cent). The next largest group in the 2003 sample was homes for people with learning disabilities (26 per cent compared with 11 per cent in 1998).

**Table 5.1: Adult care home inspections by type of inspection and main client group, 2002-3**

<i>Client group</i>	<i>Activity</i>		
	<i>Announced inspections (n=139) %</i>	<i>Unannounced inspections (n=53) %</i>	<i>Total (n=192) %</i>
Dementia	11	17	13
Mental disorder	5	6	5
Learning disability	26	25	26
Physical disability	3	2	3
Past or present drug dependence	1	2	1
Past or present alcohol dependence	0	0	0
Terminally ill	1	0	1
Sensory impairment	1	0	1
Old age	51	45	49
Homes with <4 residents	2	4	3
Total	100	100	100

Note: In six cases neither the client group nor whether the inspection was announced or unannounced was reported, and for one old age facility it was not reported whether the inspection was announced or unannounced.

The homes inspected appear to be broadly representative of the national picture. From section 3 above we know that nationally most care homes care for older people or people with learning disabilities (55 per cent and 34 per cent respectively).

In the previous study about half of the homes inspected were nursing homes. This was because health and local authority R&I units were the basis for sampling the activities. In the 2003 sample 43 out of the 193 homes inspected (22 per cent) were registered to provide nursing care, one of which was a local authority home. This is very similar to the national picture (see section 3.1 above). In ten instances the inspection was of an adult placement. The majority (65 per cent) were independent homes providing personal care.

It is important that we identify differences in the size of care homes in this and in our previous sample, as we know from the previous study that the most important predictor of the costs of inspecting a home is the home size. We would expect our sampled homes to have a smaller average size than in the previous study. In 1998 R&I units did not routinely inspect homes with fewer than four beds so the smallest home included in the sample had four beds. More importantly, the basis for sampling (R&I units) meant that we had a higher proportion

of nursing homes (which were larger than residential homes) than would otherwise have been expected. The average size of homes inspected in our 2003 sample was 25 places overall compared with 31 places in 1998 (statistically significant,  $p < .01$ ). The average size of homes providing personal care was the same as in 1998 (20 places). Nursing homes were slightly larger (46 places compared with 41,  $p < .01$ ).

Of the homes in the red risk category, 54 per cent were for older people. Just under half of the care homes were in the green risk category (48 per cent) and over a fifth (22 per cent) in the red risk category (see Table 5.2).

**Table 5.2: Risk category of adult care homes by client group, 2002-3**

	<i>Green</i> %	<i>Amber</i> %	<i>Red</i> %	<i>All risk</i>
Dementia	8	11	26	23
Mental disorder	3	13	0	10
Learning disability	33	14	18	44
Physical disability	1	4	3	4
Drug dependence	1	2	0	2
Terminal illness	1	0	0	1
Sensory impairment	1	0	0	1
Old age	49	52	54	93
Fewer than 4 service users	2	5	0	5
Total	100	100	100	-
(n)	(88)	(56)	(39)	183

Another factor known to be associated with the time input and costs of inspection is whether the inspection is announced or unannounced. The majority (72 per cent) of the sampled inspections were announced compared with 63 per cent of adult care home inspections conducted nationally in 2002-03. Due to the activity sampling approach used in 1998 about half of the inspections were announced (51 per cent).

Respondents were asked to indicate the inspections methods used. The full details are reported in Table B1.1 in Appendix B. The most frequently mentioned items were records (99 per cent of respondents), tour of premises (97 per cent), care plans/care pathways (96 per



cent), discussion with management (96 per cent), document reading (95 per cent), direct observation (93 per cent), individual discussion with service users (90 per cent), 'tracking' care and support (87 per cent), individual discussion with staff (85 per cent), indirect observation (83 per cent).

Although respondents were asked about external advisers and consultants used, their hours of input and their cost, in practice not many respondents were able to provide any more information other than whether a source was used. Table B1.2 in Appendix B gives full details. Most of the respondents did not call on external advisers or consultants. The sources mentioned were fire officers (13 per cent of respondents), environmental health officers (10 per cent), social workers (4 per cent), health & safety officers (3 per cent), health advisors (2 per cent), LA Adult Protection Service (2 per cent), placements officer (1 per cent) and external legal advice (1 per cent).

Of the 197 cases for which we have information about outcome, two thirds (136) had a satisfactory outcome, a fifth (36) were not satisfactory with major or many minor actions required, and in just an eighth of cases (25) an immediate requirement was issued.

Table 5.3 compares the number of hours per inspection (both announced and unannounced) in 2003 with the number of hours per inspection in 1998. In 1998 clerical assistance was not included and the cost of this element was included at a later stage. In 2003 we have included the time of business services staff, as they play a more active role in the administration of regulatory activities than was customary in the past. The information is presented both including and excluding business services staff contributions. Information is also presented about the average time taken on different types of activity in 2003. Some people were not able to identify the amount of time spent on different activities, or were only able to identify the time spent on some activities or by some individuals. For our purposes here, and where information given about the time spent was inconsistent, cases have been excluded.

Given the introduction of standardised procedures by the NCSC we would expect less variation in time spent than in the past and quite probably an increase in the amount of time required. As expected there was a significant increase in the average number of hours spent on inspections since our 1998 study ( $p < .001$ ). Overall, average time spent on an inspection had almost doubled from 14.5 hours to 29 hours, or 26 hours if we exclude the input of business services staff. However, this reflected in part the higher proportion of announced inspections in our 2003 sample. It is among announced inspections that there has been the greatest increase in time taken; the average time taken on an announced inspection has increased by 88 per cent including the input of business services staff, or by 71 per cent

excluding business services staff ( $p < .001$ ). Although less marked, the amount of time spent on unannounced inspections was also significantly higher ( $p < .001$ ). In terms of variation in time taken (measured by the standard deviation) there was a significant increase in variation in time taken for announced inspections ( $p < .001$ ), but not for unannounced inspections. Unannounced inspections showed the same level of variation as LA units demonstrated in 1998, significantly less than that shown by HA units.

**Table 5.3: Time use on adult care home inspections by inspection type, 1998 and 2002-3**

	<i>Announced or unannounced</i>								
	<i>Announced</i>			<i>Unannounced</i>			<i>Total</i>		
	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>
2002-3 Total number of hours	33	131	15	16	48	7	29	181	15
Total hours less Business Services	30	131	14	15	48	7	26	181	14
1998 Total hours LA	19	116	9	10	111	7	14	227	9
1998 Total hours HA	16	108	10	14	102	13	15	210	11
<i>Time use by types of activity 2002-03</i>									
Pre-inspection activities	3	130	2	2	50	1	3	182	2
Travelling	2	130	2	1	50	<1	2	182	2
Inspection visits to the home	13	130	8	5	50	3	11	182	8
Of this, hours spent talking to service users	2	130	2	1	50	2	2	182	2
Report writing/documentation	12	130	6	6	50	3	10	182	6
Other activities related to the inspection	3	130	4	2	50	2	2	182	4

Note: 2 cases which provided activity data did not state whether the inspection was announced or unannounced. 15 cases were excluded on the basis of data inconsistency.

#### *Variation in hours spent on inspection of adult care homes*

Given the rise in time taken it is of interest to explore what factors were associated with variations in time taken in 2002-03. We would expect variations in inputs to be associated with the characteristics of the home, the process of inspection and the outcome.

Table 5.4 shows the results of a multiple regression analysis of the hours spent on inspecting care homes for adults. The independent variables reflect the characteristics of the home (size

and risk category), the inspection process (announced or unannounced and the number of inspection methods used) and the outcome of the inspection. The dependent variable used is the logarithm of the number of hours, so the relationship is non-linear. As we would expect, larger homes take more time (and this effect accelerates), and those classified as low risk and those with satisfactory outcomes take less. Announced inspections take longer, and the greater the number of inspection methods used the longer the time taken, although there is some time saving if more than 14 methods are used. Once these factors are taken into consideration there is no significant relationship between time taken and home type (registered for nursing), sector (private, voluntary or local authority) or type of clients cared for.

**Table 5.4: Factors associated with variation in time taken to inspect care homes for adults**

	<i>Coefficient</i>
Constant	1.513***
Home characteristics	
Low risk (green)	-0.123*
No. of places	0.005**
Process	
Announced inspection	0.541***
No. of methods used	0.22**
No. of methods used squared	0.007**
Outcome	
Satisfactory outcome	-0.145*
N=166 Adjusted R <sup>2</sup> =0.524 F <sub>6,159</sub> =31.221; p=0.000	

Dependent variable Ln(total hours)

\*\*\* p<.001

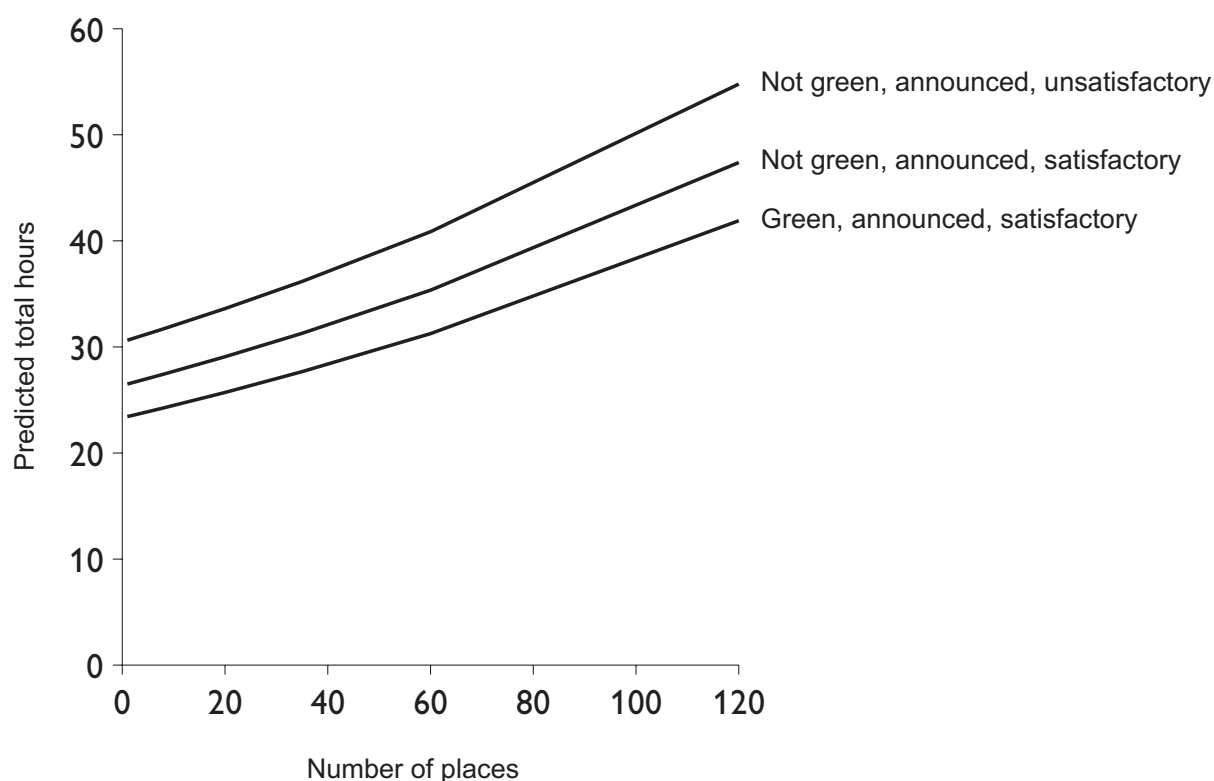
\*\* p<.01

\* p<.05

Figure 5.1 shows the relationship between predicted time taken and size of home with number of methods set to the average. Given the logarithmic relationship with time, the impact of a medium- or high-risk inspection is to increase time by 13.1% compared with an otherwise identical low-risk inspection. Similarly, the impact of an unsatisfactory inspection is +15.6%, and for an unannounced inspection it is a decrease of 41.8%.

As the Commission had introduced new ways of working we might suppose that it would take longer for inspectors to conduct inspections in the first instance but that the time taken would reduce over time as inspectors got used to the new approach. Full information including the date of the inspection was available for only 70 cases so in order to test whether when the inspection took place influenced time taken we examined the relationship between this and the residuals<sup>3</sup> of the model reported in Table 5.4. The correlation was very low (-.09) indicating that there was no significant “learning effect” over time.

**Figure 5.1: Adult inspections: relationship between home size given risk status and outcome**



### *Registrations*

Areas provided data about 92 new registrations and 136 variations in registrations. Table 5.5 shows the main client group served by the homes that were newly registered and that had variations in their registration status. Again, care homes for older people were the most frequently represented category (36 per cent of new and 56 per cent of the variations in registration). As with inspections, homes for people with learning disability was the next most frequently registered (32 per cent) or had a variation in registration (36 per cent).

<sup>3</sup> Residuals represent the unexplained variation in time taken once the factors included in the model are taken into consideration.

**Table 5.5: Adult care home registrations and variations by main client group, 2002-3**

<i>Client group</i>	<i>Activity</i>	
	<i>New registration</i> % (n=85)	<i>Registration variation</i> % (n=134)
Dementia	8	21
Mental disorder	2	12
Learning disability	32	36
Physical disability	5	14
Past or present drug dependence	0	<1
Past or present alcohol dependence	1	1
Terminally ill	0	3
Sensory impairment	0	<1
Old age	36	56
Homes with fewer than 4 residents	1	n/a
More than one category indicated	14	n/a

Note: For new registrations the main client group was requested but 14 respondents indicated more than one. For variations, respondents could choose more than one client group hence the figures sum to more than one hundred.

The homes that were being newly registered were significantly smaller on average (24 places) than in the previous study (39 places) ( $p < .001$ ). As with registrations this was partly because of the different sampling procedures, which meant there was a smaller proportion of homes providing nursing care in the 2003 sample (17 homes, or 23 per cent compared with 52 per cent in 1998). While homes providing personal care were significantly smaller than in 1998 (18 compared with 29 places,  $p < .01$ ), homes providing nursing care were very similar in size (45 places compared with 47).

The most frequent sources of external advice were fire officers (79 per cent of cases), environmental health officers (75 per cent), building control officers (55 per cent), planning officers (49 per cent), health and safety officers (29 per cent) and architects (19 per cent). Other sources were mentioned by fewer than 10 per cent of respondents (Table B1.2 in Appendix B gives full details).

Of the 85 applications for new registrations for adult care homes for which we have outcome information, all were approved: 52 outright and 33 with conditions.

Table 5.6 identifies the types of variation in registration in our sample and compares them with the types of variation in the 1998 sample. Although the Commission now classifies a change in ownership as a new registration, this is not appropriate for our purposes as the resources required are more equivalent to those required to register a variation in the characteristics of the home. Change in registration status and de-registrations each accounted for about a quarter of all the variations identified in the 2003 sample, whereas in the 1998 study the most frequent types of variation related to change in owner and in the person registered.

**Table 5.6: Variations in registration by variation type**

	2003		1998
	<i>Number (n=136)</i>	<i>%</i>	<i>% (n=128)</i>
Change in manager	13	10	24
Change in owner	15	11	33
Change in person registered	7	5	34
Change in no. of beds – new build extension	17	13	19
Change in no. of beds –existing building	23	17	23
Change in facilities – new build	4	3	6
Change in facilities – change in usage	8	6	10
Change in registration status	34	25	12
Home closed as result of business failure	4	3	11
De-registration (home closed) voluntarily for other reasons	31	23	9
Change to supported living	11	8	n/a
Other	30	22	10

Of the 125 applications for variations to existing registrations for care homes for adults, two-thirds were granted (82), a third had de-registration completed (39) and just three had an application refused. One application was withdrawn.

The most frequent sources of external advice for variations in registration were social workers (28 per cent of cases), fire officers (27 per cent), building control officers (17 per cent), environmental health officers (15 per cent), planning officers (13 per cent) and placements officer (10 per cent). Other sources were mentioned by fewer than 10 per cent of respondents (Table B1.2 in Appendix B gives full details).

The time spent on registrations is described in Tables 5.7 and 5.8 and compared with the time spent on registrations in the 1998 study.

**Table 5.7: Time use on new registrations in care homes for adults, 1998 and 2002-3**

	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Minimum</i>	<i>Maximum</i>
2002-3 Total number of hours	38	78	33	9	262
Total hours less Business Services	33	78	32	5	252
1998 Total hours LA	29	54	23	4	144
1998 Total hours HA	45	53	31	6	134
1998 Total hours all units	37	107	28	4	144
<i>Time use by types of activity 2002-3</i>					
Pre-registration activity	13	78	19	0	118
Travelling	2	78	2	0	11
Registration visits to the home	9	78	7	0	37
Of this, hours spent talking to service users	1	78	2	0	13
Report writing/documentation	8	78	10	0	82
Other activities related to the registration	5	78	7	0	36

Note: 14 cases were excluded on the basis of inconsistency.

Overall, new registrations took a similar length of time in 2003 as in the 1998 study. When business services staff were included they took 38 hours on average, 33 hours when business services staff were excluded. The overall average length of time was 37 hours in 1998. This general comparison does not reflect the very different length of time taken to register an establishment providing nursing care compared with a home providing just personal care. The difference is reflected in the 1998 contrast between the average length of time taken by health authorities and local authorities to register homes: 45 hours compared with 29 hours respectively. In the 2003 sample the 17 homes providing nursing care took 54 hours (51 hours excluding business services staff) compared with 33 hours (28 hours excluding business services staff) for the 57 establishments that did not provide nursing care. However, these differences were not statistically significant and when we exclude business services staff the difference is minimal. The only factor significantly associated with the time taken to register a care home was the outcome: those resulting in an unconditional approval took significantly less time ( $p < .001$ ).

The average length of time spent on variations in registration fell from 21 hours on average in 1998 to 15 hours in 2003, or 12 hours if we exclude business services staff inputs ( $p < .001$ ).

Clearly variations cover a wide range of circumstances, but it was interesting to note that the variation in time taken was also significantly lower ( $p < .001$ ).

**Table 5.8: Time use on variation in registration in care home for adults, 1998 and 2002-03**

	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Minimum</i>	<i>Maximum</i>
2002-03 Total number of hours	15	131	15	1	120
Total hours less Business Services	12	131	13	1	105
1998 Total hours LA	22	54	22	1	130
1998 Total hours HA	20	57	21	1	111
1998 Total hours all	21	111	22	1	130
<i>Time use by types of activity 2002-03</i>					
Pre-variation or re-registration activity	3	127	5	0	27
Travelling	1	127	1	0	7
Visits to the home	3	127	3	0	20
Of this, how much was spent talking to service users	0.4	127	0.7	0	3
Report writing/documentation	4	127	6	0	41
Other activities related to the variation or re-registration	3	127	4	0	21

Note: 5 cases were excluded on the basis of data inconsistency.

Multivariate analysis identified that those homes applying for a variation in registration that had been classified as red in terms of risk took longer ( $p < .001$ ), as did applications for change of ownership ( $p < .001$ ) and changes in numbers of beds as a result of new build ( $p < .001$ ). The overall explanatory power of the statistical model was quite low (Adjusted  $R^2 = 0.20$ ) but the factors identified were similar to those found important in the 1998 study. It is interesting to note that the types of variation application found to be associated with a higher time input were more frequently present in the 1998 sample (see Table 5.6). This probably accounts for some of the difference in the time spent on variations in registration between 1998 and 2003.

## 5.2 Children's homes

### *Inspections*

Information was collected about 162 inspections of children's homes, two thirds of which were announced. The homes inspected in our sample were very similar in terms of size to those inspected in the 1999 study. The average size of homes in 1999, was 8.1 places; in 2003 it was 7.3 places (see Table 5.8). There were fewer secure accommodation places (0.12



per home compared with 0.69 in 1999). As in 1999, about a third were entirely purpose built and over 60 per cent were in converted premises. However, the organisational structure was rather different. In 1999 over half of the homes inspected had been single home organisations. In 2003 less than a fifth (18 per cent) were single home organisations. This may be due in part to the fact that the NCSC took over the responsibility for inspecting voluntary children's home, although only 9 per cent of the homes inspected in 2003 were run by voluntary organisations. Further information about the functions undertaken by the children's homes inspected and the characteristics of the children in care can be found in Tables B2.1, B2.2 and B2.3 in Appendix B.

In terms of their regulatory risk status, under half (47 per cent) of those inspected were classified as green. A quarter had a red risk status.

**Table 5.9: Size of children's homes inspected, 2002-3**

	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Min</i>	<i>Max</i>
Number of places	7.3	158	7.9	1	75
Number of single rooms	6.5	153	5.7	0	43
Number of children in home at time of inspection	5.9	152	8.0	0	75
Number of secure accommodation places	0.2	156	1.6	0	16

The number of inspection methods used by more than three-quarters of respondents included: care plans/care pathways (96 per cent of cases), records (96 per cent), direct observation (94 per cent), discussion with management (94 per cent), document reading (94 per cent), individual discussion with staff (94 per cent), tour of premises (93 per cent), individual discussion with service users (88 per cent), 'tracking' care and support (87 per cent), indirect observation (82 per cent), and meals (75 per cent). The full details are shown in Table B1.1 in Appendix B.

No external source of advice was used by more than a third of respondents. The ones mentioned most frequently were: fire service (29 per cent of respondents), social services (23 per cent), environmental health (22 per cent), LA child protection staff (16 per cent) and placements officer (12 per cent) (Table B1.2 in Appendix B gives full details).

Of the 156 cases for which we have information about outcome, two thirds (101) were judged to be satisfactory (no or minor actions required); a third (45) were not satisfactory (major or many actions required); and a small number (10) were judged to be not satisfactory (immediate requirement for action).

Table 5.10 shows the overall level of input and distribution of activities on children's homes inspections. Compared with 1999 there was a significant increase in the number of hours spent overall: 43 hours including and 40 hours excluding business services staff compared with 24 hours in 1999 ( $p < .001$ ). As with adult homes, the increased average length of time spent reflects in part the different balance between announced and unannounced inspections in our 2003 study. The increase in time spent was most marked for announced inspections, which represented the majority of inspections in the current study. Announced inspections took 72 per cent longer than in 1999 (60 per cent longer excluding business services staff) ( $p < .001$ ). Using the 1999 ratio of announced and unannounced inspections, the overall mean time taken has increased by 56 per cent including and 44 per cent excluding business services staff. The same pattern emerged in terms of variation in time taken as was evident in care homes for adults. There was significantly greater variation in time taken for announced inspections ( $p < .001$ ) and less variation in time taken for unannounced inspections ( $p < .001$ ).

**Table 5.10: Time use on children’s homes inspections by inspection type, 1999 and 2002-3**

	<i>Inspection announced or unannounced</i>								
	<i>Announced</i>			<i>Unannounced</i>			<i>Total</i>		
	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>
2002-3 Total number of hours	55	105	37	19	50	8	43	155	35
Total hours less Business Services	51	105	34	17	50	8	40	155	32
1999 Total number of hours	32	130	17	15	122	13	24	252	17
<i>Time use by types of activity 2002-3</i>									
Pre-inspection activities	6	105	7	2	50	1	5	155	6
Travelling	3	105	3	1	50	1	3	155	3
Inspection visits to the home	23	105	23	6	50	4	18	155	20
Of this, time spent talking to service users	3	105	3	1	50	1	2	155	2
Report writing/documentation	18	105	14	7	50	3	14	155	12
Other activities related to the inspection	4	105	5	2	50	2	3	155	4

Note: 2 cases which provided activity data did not state whether the inspection was announced or unannounced. 5 cases were excluded on the basis of data inconsistency.

*Variations in time taken to inspect children’s homes*

Table 5.11 shows the results of a multiple regression analysis of the time taken to complete an inspection of a children’s home. As in the other analyses the dependent variable is the log of total hours so the relationship with the independent variables is non linear.

**Table 5.11: Factors associated with variation in time taken to inspect children’s homes**

	<i>Coefficient</i>
Constant	2.002***
<i>Home characteristics</i>	
High risk (red)	0.274**
No. of places	0.016***
<i>Types of children cared for</i>	
Children > 16 years	0.174*
Children 8-11 years	0.176*
Sentenced or detained children	0.593***
Children preparing for permanent placement	-0.208**
Children with alcohol dependence	-0.439**
<i>Process</i>	
Announced inspection	0.716***
Group discussion with staff	-0.187*
N=136 Adjusted R <sup>2</sup> =0.673 F <sub>10,125</sub> =28.754; 0.000	

Dependent variable Ln(total hours)

\*\*\* p<.001

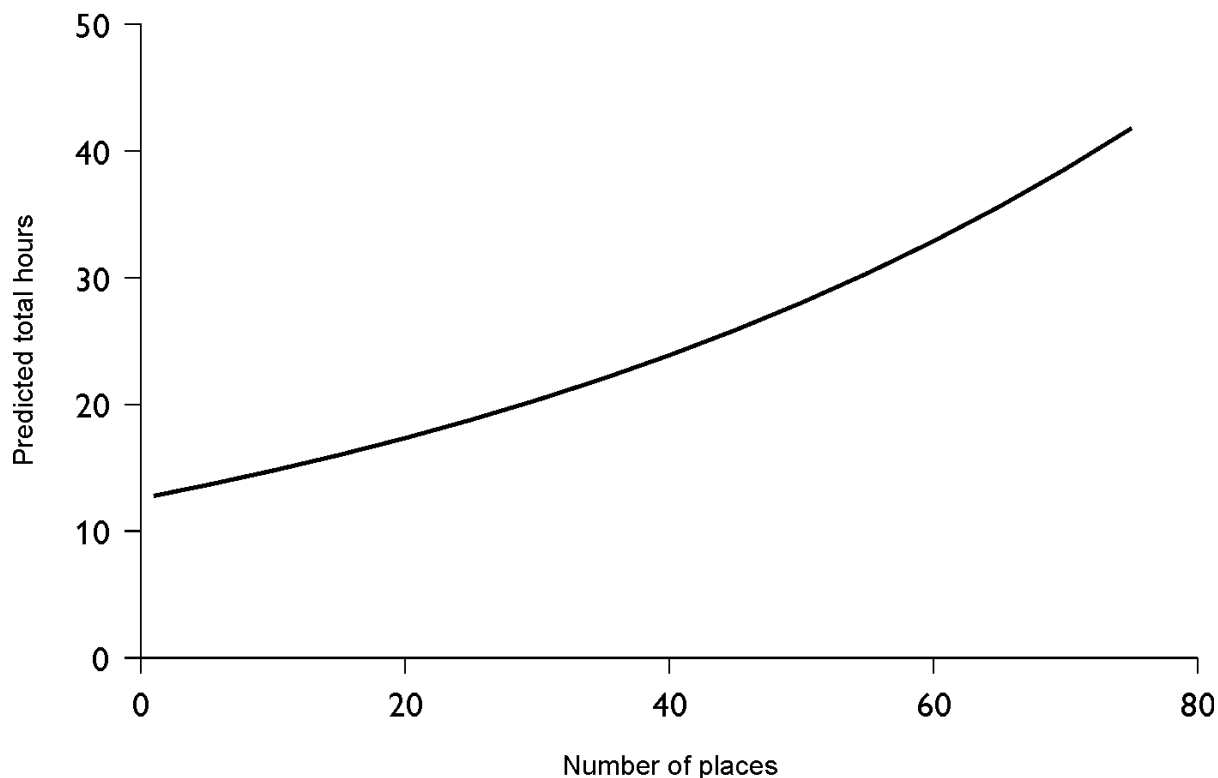
\*\* p<.01

\* p<.05

The characteristics of the home that were found to influence the time taken included the risk factor – with high risk homes taking longer, and the size of the home. Figure 5.2 shows how the amount of time taken increases with the number of places, holding all other factors constant. The characteristics of the children cared for also influenced time taken: children sentenced or detained and those in the youngest and oldest age groups increased the time taken. Those homes catering for children being prepared for permanent placement or with alcohol dependence took less time to inspect once all other factors were taken into consideration.

The process of inspection influenced the time taken to inspect children’s homes. As we would expect, announced inspections took longer. The use of group discussions with staff appeared to reduce the overall time taken. The outcome of the inspection was not significantly associated with number of hours taken to inspect a home once all these other factors were taken into consideration.

**Figure 5.2: Children’s inspections: predicted total hours by number of places**



As with care homes for adults we tested whether when the inspection took place influenced how long the inspection took. For the 71 cases where full information was available the correlation with the residuals from the multivariate analysis was  $-0.32$ . This suggests that there is a “learning effect” over time, although this is not very strong. The relatively low number of cases for which this can be observed means it is not possible to estimate reliably the absolute size of this effect.

### *Registrations*

Information was collected about 41 new registrations of children’s homes. They were almost exactly the same size as those registered in the 1999 survey: 7.6 places compared with 7.5. As in that survey most (28 out of 34 where the information was available) were for children of both sexes. The majority (25 out of 34) were private homes. A higher proportion were purpose built compared with the previous study (nine out of 34 or 27 per cent compared with just 4 per cent).

Children’s home registrations demonstrated a similar pattern of use of external advice as adult care homes (see Table B1.2 in Appendix B): fire officers (71 per cent of cases),

environmental health officers (61 per cent), planning officers (59 per cent), building control officers (56 per cent), and health and safety officers (37 per cent). Other sources were mentioned by fewer than 20 per cent of respondents.

Of the 30 applications for registration for which we have outcome information, 17 were registered/approved outright, and a further 13 with conditions.

Table 5.12 shows the time spent on new registrations. There appears to have been a slight drop in the amount of time spent on new registrations compared with 1999 of about 9 per cent, or 28 per cent if we exclude business services staff; however, this difference was not statistically significant. The 1999 figures exclude two extreme cases of 430 and 470 hours. The variation across areas in 2002-03 was less than in the past, and although there were two cases that took twice as long as the others they were shorter than the extreme cases found in 1999. These were included in our analyses.

**Table 5.12: Time use on new registrations in children’s homes, 1999 and 2002-3**

	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Minimum</i>	<i>Maximum</i>
2002-3 Total number of hours	54	34	36	15	170
Total hours less Business Services	46	34	31	11	156
1999 Total hours	59	45	57	12	240
<i>Time use by types of activity 2002-3</i>					
Pre-registration activity	17	29	19	1	71
Travelling	3	30	2	0	10
Registration visits to the home	9	31	8	1	40
Of this, hours spent talking to service users	0	28	1	0	4
Report writing/documentation	10	30	9	0	28
Other related activities	8	30	7	0	25

Note: 7 cases were excluded on the basis of data inconsistency.

The only factor associated with variations in time taken to register homes was the size of the home, with larger homes taking longer ( $p < .001$ ).

### 5.3 Boarding schools

The uneven geographical distribution of boarding schools and relatively low frequency of inspections meant that the request for two boarding school inspections from each unit only

resulted in 48 inspections being identified by our 66 area offices.<sup>4</sup> The schools identified in the 2003 study were larger than those inspected in 1999. On average they had 154 places compared with 115 in 1999 ( $p < 0.05$ ) (see Table 5.13). The number of boarding houses and weekly boarders were very similar. As in the previous sample school size varied enormously, from 10 to 900 places. In 1999 the range was five to 780 places.

**Table 5.13: Characteristics of schools inspected, 1999 and 2002-3**

	<i>1999</i> <i>(n=182)</i> <i>Mean</i>	<i>2002-3</i> <i>(n=48)</i> <i>Mean</i>
Number of boarding places	115 (n=160)	154 (n=36)
Number of children in boarding places – weekly	21 (n=118)	26 (n=35)
Number of children in boarding places – full time	85 (n=149)	149 (n=33)
Number of boarding houses	3.7 (n=180)	3.6 (n=46)

In terms of type of school the majority (72 per cent) were Section 87 independent schools, as in the previous study (75 per cent). However, previously most of the remainder (16 per cent) had been non-maintained special boarding schools, whereas only 4 per cent fell into that category this time. Most were local authority boarding schools (six, or 13 per cent) or ‘other’ (five, or 11 per cent).

There was little evidence of much difference in the characteristics of pupils cared for compared with 1999 schools inspected. The gender breakdown was similar, with most schools catering for both sexes. The age ranges catered for were also similar to the previous study. The largest single group of schools (23 per cent in 2003 and 20 per cent in 1999) catered for all ages. The vast majority of the remainder covered secondary school ages (11-16, 11-18 or 13-18). Generally similar groups were most frequently identified in terms of special needs in both surveys, but there was generally a lower incidence of each type of need in the 2003 survey (see Table 5.14).

<sup>4</sup> In the previous study inspection units were asked for all inspections during the previous calendar year, yielding 182 inspections.

Eleven (23 per cent) of the schools inspected in 2002-03 had cultural or religious affiliations. Examples of religious affiliation given included Islamic, Christian, Anglican, Catholic and Methodist. Military affiliation included links to RAF and Combined Cadet Force. Other affiliations identified included Dance and Music and an Autistic Society.

**Table 5.14: Characteristics of pupils in boarding schools, 1999 and 2002-3**

	1999		2002-3	
	<i>Number</i> ( <i>n=183</i> )	<i>%</i>	<i>Number</i> ( <i>n=48</i> )	<i>%</i>
<i>Gender</i>				
All male	28	15	8	17
All female	22	12	6	13
Both sexes	133	73	33	70
<i>Pupil characteristics</i>				
Visual impairment	8	4	3	6
Hearing impairment	10	5	3	6
Communication problems	32	17	9	19
Autism	23	13	7	15
Emotional and behavioural difficulties	41	22	11	23
Epilepsy	17	9	7	15
Physical difficulties	15	8	3	6
Moderate learning difficulties	34	18	11	23
Severe learning difficulties	11	6	3	6
Moderate and severe learning difficulties	12	7	3	6
Specific learning difficulties e.g. dyslexia	29	16	6	13
First language not English	32	17	14	29
Dietary	-	-	4	8
Cultural or religious	-	-	11	23

Respondents were asked to indicate the inspections methods used. The full details are reported in Table B1.1 in Appendix B. A large number were mentioned by at least three-quarters of respondents: individual interviews with key staff (94 per cent), inspection of policy/practice documents (94 per cent), inspection of records (94 per cent), meals taken with pupils (94 per cent), direct observation (90 per cent), group discussion with boarders (88 per cent), early morning and late evening visits (85 per cent), pre-inspection visit (85 per cent), pupil guide tour of accommodation (85 per cent), invitation to parents to comment (83 per cent), ‘tracking’ individual welfare arrangements (81 per cent), pupil guide tour of recreational areas (79 per cent) and boarders’ survey (77 per cent).



Sources of external advice mentioned most frequently were: the fire service (40 per cent of respondents), DfES (33 per cent), environmental health (33 per cent), social services (33 per cent), LA child protection staff (25 per cent), health & safety officers (17 per cent), placements officer (13 per cent), health advisers (10 per cent) and local education authority (10 per cent). Table B1.2 in Appendix B gives full details.

Of the 45 cases for which we have information about outcome, all but one were judged to be satisfactory.

The time taken to inspect boarding schools is shown in Table 5.15. The time taken has increased considerably since 1999 when about 65 hours was spent per inspection on average. In 2002-03 inspections took 111 hours including and 101 hours excluding business services staff: an increase of 70 or 55 per cent respectively ( $p < .001$ ). There was also a significant increase in the variation in time taken to inspect schools ( $p < .05$ ).

**Table 5.15: Time use on boarding schools inspections, 1999 and 2002-3**

	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Minimum</i>	<i>Maximum</i>
2002-3 Total number of hours	111	43	59	22	276
Total hours less Business Services	101	43	52	22	215
1999 Total number of hours	65	182	48	3	271
<i>Time use by types of activity 2002-3</i>					
Pre-inspection activities	16	43	14	0	60
Travelling	10	43	8	0	30
Inspection visits to the school	57	43	35	11	139
Of this, time spent talking to service users	10	43	12	0	60
Report writing/documentation	21	43	13	0	80
Other activities related to the inspection	7	43	8	0	34

Note: 5 cases were excluded on the basis of data inconsistency.

#### *Variations in time taken to inspect boarding schools*

Very few factors were found to be associated with the length of time taken to inspect boarding schools (see Table 5.16). This may be due in part to the small number of observations: we only had full information for 38 inspections. The size of the establishment was associated with time taken in terms of the number of boarding places. However, this does not account for the increase in time taken to inspect boarding schools as the schools for which information was available had the same average size as those in the 1999 study (116

places). In terms of process there was a non-linear relationship between the number of inspection methods and the time taken. In the sample a minimum of nine and maximum of 25 different methods were used (see Appendix B, Table B1.1). The relationship was such that once 17 different methods were used additional methods appeared to result in a reduced amount of time taken. However, checking with the school doctor always appears to result in a longer inspection.

**Table 5.16: Factors associated with variation in time taken to inspect boarding schools**

	<i>Coefficient</i>
Constant	0.002NS
<i>School characteristics</i>	
No. of places	0.001*
<i>Process</i>	
No. of methods used	0.489**
No. of methods used squared	-0.014**
N=38 Adjusted R <sup>2</sup> =0.494 F <sub>4,33</sub> =10.04; p=0.000	

Dependent variable Ln(total hours)

\*\*\* p<.001

\*\* p<.01

\* p<.05

There was no statistically significant association between when the inspection took place and length of time taken for the 24 cases where this information was available.

#### 5.4 Fostering agencies

Inspection of fostering agencies is a new responsibility for the Commission so we have no earlier information for direct comparison. We had 70 responses in 2003. For all but two (where the information was missing) the inspection was announced. In 62 cases (90 per cent) the inspection was routine or planned. A further seven cases specified another reason: in each case the inspection was part of the registration process or application. Most of the fostering agencies (43 cases) were local authority run. A further 21 were private/independent, and six were voluntary agencies.

Respondents were asked to indicate the functions undertaken by the fostering service. The responses, in order of frequency, were: to accommodate children aged under 8 (67 cases), take emergency admissions (62), preparation for independence (61), respite care (60), preparation for permanent placement (60), short-stay crisis intervention/assessment (54), long-stay with therapeutic interventions, care, control and treatment (52), shared care (40), supported lodging (15), and care for adults (i.e. over 18s) as well as children (9). There were seven 'other' responses, of which three were parent and child placements.

Nearly all the agencies took children of all ages up to 16, and a fifth took children over the age of 16. All the agencies took both boys and girls. The 70 fostering agencies supported children with a range of characteristics: emotional or behavioural difficulties (65 cases), learning disabilities (60), physical disabilities (58), older children ending their time in care (49), children (not included in any other category) (44), sensory impairment (42), mental disorders, excluding learning disabilities (41), children who are unaccompanied asylum-seekers or refugees (37), present drug dependence (31), and present alcohol dependence (28).

Of the inspections methods used all agencies reported inspection of records and interviews with individual children, and most mentioned individual interview with manager (99 per cent), group discussions with staff (97 per cent), individual interviews with key staff (97 per cent), observation of foster carer training (94 per cent), foster carer survey (93 per cent), inspection of policy/practice documents (90 per cent), interview with agency staff (90 per cent), interview with children (89 per cent), and foster children survey (87 per cent). Surprisingly, perhaps, none reported interviews with foster carers themselves. The full details are reported in Table B1.1 in Appendix B.

The most frequent sources of external advice during the inspection were social workers (22 cases), LA child protection staff (17), educational advisers (11) and health advisers (7). Four or fewer respondents reported other sources. Table B1.2 in Appendix B gives full details.

All the Fostering Services Regulations 2002 were met by more than half of the fostering agencies inspected. Full details are given in Table B1.5 in Appendix B. Of the 65 cases where the outcome of the inspection was identified, 53 (or 82 per cent) indicated a satisfactory inspection. The other 12 cases reported that the outcome was not satisfactory (major or many actions required by provider). None reported the need for enforcement action.

Table 5.17 shows the time spent inspecting the 43 fostering agencies for which we had information. More time is taken to inspect fostering agencies than any other type of

establishment: 145 hours in total, 133 hours excluding business services staff. The nearest equivalent we have is that in 1999 we estimated that based on SSI usual practice it took about 176 hours to inspect an adoption agency.

**Table 5.17: Time use on fostering agency inspections, 2002-3**

	<i>Mean</i>	<i>n</i>	<i>Std. Deviation</i>	<i>Minimum</i>	<i>Maximum</i>
2002-3 Total number of hours	145	60	62	50	337
Total hours less Business Services Staff	133	60	58	48	337
<i>Time use by types of activity 2002-3</i>					
Pre-inspection activities	19	60	17	0	81
Travelling	11	60	9	0	40
Inspection visits to the agency	75	60	40	0	184
Of this, time spent talking to service users	11	60	7	0	40
Report writing/documentation	21	60	13	0	50
Other activities related to the inspection	13	60	18	0	94

Note: 10 cases were excluded on the basis of data inconsistency.

#### *Variations in time taken to inspect foster agencies*

Table 5.18 shows the characteristics of foster agencies and inspection processes used that were associated with the length of time taken to inspect foster agencies. Local authority foster agencies took longer than independent agencies. Those agencies that accepted children of all ages, supported children with alcohol dependence and unaccompanied asylum seekers took longer to inspect. Those that supported children ending their time in care and those that offered shared care took less time. In terms of process the number of methods taken ranged between 13 and 23. Once 18 methods were used additional methods resulted in a saving in overall time. Checking with the director of social services or specialist advisors took additional time on top of this.

**Table 5.18: Factors associated with variation in time taken to inspect fostering agencies**

	<i>Coefficient</i>
Constant	-2.918 (NS)
<i>Agency characteristics</i>	
Local authority	0.689***
Offers shared care	-0.487***
<i>Types of children cared for</i>	
All ages	0.279*
Children with alcohol dependence	0.334**
Unaccompanied asylum seekers	.020*
Children ending their time in care	-0.546***
<i>Process</i>	
No. of methods used	0.836**
No. of methods used squared	-0.023**
Check with Director of Social Services	0.432***
Check with specialist advisors	0.297**
N=61 Adjusted R <sup>2</sup> =0.519 F <sub>10,50</sub> =7.470; p=0.000	

Dependent variable Ln(total hours)

(NS) Not significant

\*\*\* p<.001

\*\* p<.01

\* p<.05

There was no statistically significant association between when the inspection took place and length of time taken for the 12 cases where this information was available.

## 6. Costs

In order to identify the costs of regulation we need to establish the unit costs of time spent on the regulatory activity we have measured and allow for the other resources needed in order to deliver the regulatory activity. This includes general management and administration, financial management, human resource functions, strategic planning and so on. In addition we need to allow for the costs of those regulatory activities that we have not measured: dealing with pre-registration enquiries, complaints, enforcement and development activities.

Information about expenditure by the Commission during 2002-03 and information about time use described above was used to identify the costs of time of inspectors, locality managers and business services staff. Table 6.1 shows the annual and hourly estimated unit cost of NCSC staff. All figures are national averages, reflecting national distributions of zone payments and the average staffing levels of area offices. Annual costs allow for regional and headquarters' overheads in addition to the office costs, travel costs and so on incurred by the areas. Expenditure associated with setting the Commission up (including relocation expenses) and special enquiries were excluded. The costs were based on salary scales paid during the year, excluding additional payments associated with the transfer of staff from previous employers.

**Table 6.1 Staff unit costs**

<i>Staff type</i>	<i>Salary and area costs</i>	<i>Regional overheads</i>	<i>HQ overheads</i>	<i>Depreciation</i>	<i>Total annual cost</i>	<i>Unit cost per hour*</i>
<i>Inspector</i>						
– level 1	38408	2043	13784	5127	59362	63.88
– level 2	40931	2177	14690	5464	63261	67.39
– level 3	43216	2299	15510	5769	66792	70.57
Area manager	66476	3536	23857	8873	102743	102.95
Locality manager	51703	2750	18556	6902	79911	82.39
<i>Business service staff</i>						
Senior	26225	1395	9412	3501	40532	31.56
Team Leader	33711	1793	12098	4500	52102	38.57
Administrator	19979	1063	7170	2667	30879	31.56
<i>Clerical</i>						
Receptionist	18698	995	6710	2496	28899	n/a
Secretary	26216	1394	9409	3499	40519	n/a

\* Unit cost per hour allocates the cost of staff time not directly spent on the regulation of individual establishments to time spent on inspection and registration of individual establishments.

Hourly unit costs were based on adding the costs of area management and administration to time spent on the regulatory activities measured in our study. These indirect costs include all of the clerical support staff time and substantial proportions of area manager, business service staff and locality manager time. These were allocated on a per head basis to all those types of staff engaged in inspection and registration of specific establishments. A multiplier was then applied to reflect inspector time spent on indirect regulatory activities. So, for example, as a

third of inspectors' time was spent in indirect activities, inspector costs were multiplied by 1.5 to reflect the full resource implications of time spent on inspection and registration.

Unit costs were estimated on whole time equivalent hours contracted for (37.5 per week), allowed for annual leave and bank holidays and assumed one week per year sick leave (the level used in NCSC budgets). As described above, higher levels of sick leave were reported in the study. If we assume three weeks per year sick leave inspector unit costs are 5 per cent higher. If, in addition, we also allow for actual hours worked by full time inspectors (40 hours per week) estimated costs are 2 per cent less than those estimated under the assumptions used for the unit costs reported in Table 6.1.

The information in Table 6.1 is based on inspectors of adult services. Inspectors of children's services spend more time in indirect activities so their unit costs are about £3 per higher per hour than inspectors of adult services. As boarding schools are inspected only once every three years, their interim monitoring arrangements in the intervening years may add further to the costs of regulation. No information was available about the time required for this function so this has not been costed in here.

Excluding depreciation on equipment and office furnishings, the national weighted average cost of an inspector of adult services is £67, 26 per cent higher than the unit cost estimated in the 1998 study for local authority inspectors (£53 per hour). If we allow for annual pay inflation of 3 per cent during the intervening period, the costs are just 9 per cent higher. Comparisons should be made with some caution as in 1998 it was difficult to establish the comprehensive overhead costs of accommodation, equipment, human resource and financial management and so on reliably. Moreover, the whole structure of the NCSC is very different. However, it is notable that most of the difference between 1998 and 2003 costs after wage inflation is taken into account can be accounted for depreciation on office equipment and furniture. When depreciation is excluded the difference in unit costs is just 1 per cent.

Table 6.2 shows the estimated cost of each of the measured regulatory activities based on the unit costs shown in Table 6.1 and the number of hours input by each type of NCSC staff. For the purposes of comparison, the table also includes the estimated costs of local authority inspection and registration from the previous studies uprated to 2002-03 prices. It should be noted that the 2003 estimates exclude additional costs associated with the use of specialist advice or other agencies (those reported in Table B1.2 in Appendix B), other than those that will be associated with expenditure by area offices on these inputs. In practice these are not likely to add substantially to the costs of inspection. In previous studies these costs only

accounted for 1 per cent of inspections of adult homes. However, in 1998 these costs comprised 8 per cent of new registration costs of care home for adults.

**Table 6.2: Costs of regulation**

	1998-99	2003*				
	Mean (LA) £	Mean £	n	Std Dev £	Min £	Max £
<i>Care homes for adults</i>						
Announced inspection	1282	2112	131	1015	585	6912
Unannounced inspection	748	1053	48	441	357	2410
All inspections**	1021	1817	181	1012	357	6912
Registration	2270	2518	78	2324	459	18306
Variation in registration	1718	969	133	1033	64	7648
<i>Children's homes</i>						
Announced inspection	2100	3711	106	2483	992	18122
Unannounced inspection	1010	1274	50	566	533	3364
All inspections**	1572	2922	158	2348	533	18122
Registration	4034	3725	34	2504	999	12040
<i>Boarding school</i>						
Inspection	3716	7511	43	3852	1754	17563
<i>Foster agency</i>						
Inspection	N/a	9806	61	4233	3479	22669

\* 2003 estimates do not exclude additional costs associated with the use of specialist advice and other agencies. 1998/9 costs have been uprated to 2003 prices.

\*\* The cost of all inspections reflects the distribution of announced and unannounced in each study. A high proportion of sample inspections were unannounced in the earlier studies.

Clearly the costs of inspection have increased considerably. In the case of boarding schools the costs have doubled. The cost of announced inspections for children's homes increased by 75 per cent and increased by nearly two thirds for care homes for adults.

Care homes for adults include the costs of adult placements, which, while lower than other care homes, are still high at £1121 per individual placement. Registration costs have remained relatively stable or seemed to drop in some instances. The comparison of costs of variations in registration should be made with considerable caution as the activities covered by this description vary so widely.



The most appropriate way to consider the costs of regulation per establishment is on the basis of the expected annual cost. We assume that the annual cost would comprise one announced and one unannounced inspection for adults and children's homes, one inspection per year for foster agencies and one inspection every three years for boarding schools. On this basis the annual cost of regulating adult care homes is £3,165, an adult placement £2242, children's homes cost £4,985, boarding schools £2,504 (excluding the cost of interim monitoring) and fostering agencies £4,233.

## **7. Conclusion**

This research used a cross sectional survey to identify the levels of activity during the National Care Standards Commission's first year and the resources used to undertake those activities. The generalisability of research findings are necessarily limited by the research design and a number of issues that should be taken into account when considering the implications of the research are set out in Appendix A. Clearly any changes in regulatory policies, responsibilities and practice since the study was undertaken, including the creation of the Commission for Social Care Inspection (CSCI) in April 2004, will need to be taken into consideration.

Comparison with previous study results suggests that overall there had been a substantial increase in the time taken and costs of inspection that were not associated with the characteristics of the establishments inspected. The time and costs associated with registration do not appear to have risen. The new inspection processes employed represent a major increase on the resources used under the previous regime of local authority registration and inspection units, which formed the basis for the planning and funding of the NCSC. This is reflected in different patterns of time use of inspectors compared with the past. There is little evidence of any reduction in the time taken as inspectors became more accustomed to the new procedures, with the possible exception of the inspection of children's homes.

Potentially there are implications both for the human resource management of the social care regulatory functions, undertaken by the NCSC and now the CSCI, and for the fees paid by care agencies. However, in any estimation of the resource implications of the findings it would be important to take into consideration the reduction in the number of some types of establishment (particularly care homes for adults), planned changes in guidance and procedures, and other changes in areas of responsibility. Our findings suggest there may be scope for re-assessing the level of regulatory input linked to the level of risk to service users.

For example, is the dramatic increase in the cost of boarding school inspections justified? Is the level of input for inspection of an adult placement appropriate?

## **Appendix A**

### **Data collection context**

#### *National level data*

National data on new registrations and variations to registration was unavailable from existing sources within the NCSC. There is likely to be some overlap between the numbers of re-registrations and new registrations based on the questionnaire data reported. Re-registration was intended to refer to a change in ownership, and while some areas identified these, others said that they could not separate them from the number of new registrations.

#### *Workload in 2002-03*

The following regulatory activity did not take place during 2002-03:

- inspection of residential family centres (from 2003)
- regulation of nurses agencies (from 2003)
- regulation of domiciliary care agencies (from 2003; 3,195 applications to register had been received by July 2003 and earlier estimates suggest that there are 1,251 still to apply)
- registration and inspection of voluntary adoption agencies (from 2003)
- inspection of local authority adoption services (from 2003)
- licensing and regulating nurses agencies (from 2003; registration of an estimated 1,277 nurses agencies was included in the 2002-03 Business Plan as regulation was due to transfer in July 2002)

From April 2004 the independent healthcare work of the Commission will move to the Commission for Healthcare Audit and Inspection (CHAI).

#### *The nature of activities*

The questionnaires identifying resource use on regulatory activities asked for information about the most recent fully completed activities. Most of these fell in 2002-03 but a few finished at the start of 2003-04.

#### *Inspections*

In 2002-03 inspectors were asked to audit all care standards in their first announced inspections to establish a baseline. In 2003-04 inspectors were asked to cover the standards over two inspections, while identifying indicators of risk on both inspections.

In the first year the second inspection was to be unannounced and in the second year inspectors could choose to carry out either two announced inspections or one of either.

### *Registrations*

In 2003-04 registration activities in the London region are being carried out by a specialist team based in one area office. (Note this may affect question 12, Part 2 and question 8, part 10).

A new more structured registration assessment tool has been developed and was piloted from June 2003 to ensure consistency in decisions about whether supported living schemes or domiciliary care agencies should register as care homes.

### *Staffing*

In the first year the vacancy level meant that more Locum/Agency staff were employed than would be in future.

### *The sample week*

Some offices informed us that the sample week would not be typical as they had decided to do specific tasks during the week like clearing outstanding reports.

## Appendix B

**Table B1.1: Inspection methods used**

	<i>Inspection, adults (%)</i>	<i>Inspection, children (%)</i>	<i>Inspection of boarding school (%)</i>	<i>Inspection of fostering agency (%)</i>
Inspection of records	99	97	100	100
Document reading	95	95	100	90
Direct observation/Observation of foster carer training	93	95	96	94
Individual discussion with service users/pupil(s)	90	88	40	89
Individual discussion with (key) staff	85	94	100	97
Service user survey/Boarders' survey/Foster children survey	32	48	82	87
Tour of premises/Pupil guide tour of accommodation	97	94	91	
Discussion with management/Individual interview with manager	96	95		99
'Tracking' care and support/individual welfare arrangements	87	88	87	
Meals (taken with service users)	55	75	100	
Group discussion with service users	42	52	93	
Group discussion with staff	34	59	78	
Care plans/care pathways	96	97		
Indirect observation	83	83		
Social services			78	81
Pre-inspection questionnaire	68	70		
Group discussion with (ancillary) staff			60	97
Activities	43	52		
Formal interviews	17	42		
Visiting professionals' survey/feedback	15	39		
Interview with individual child				100
Foster carer survey				93
Early morning and late evening visits			91	
Pre-inspection visit			91	
Interview with agency staff				90
Invitation to parents to comment			89	
Pupil guide tour of recreational areas			84	
Visit to sanatorium			76	
Survey of placing authorities				74
Environmental Health			73	
Fire service			71	
Interview with panel chair				69
Child protection officer				67
DfES			67	
Chair of governors			62	
School doctor			56	
Independent person or counsellor			53	
Directors of social services				41
Individual interviews with pupil(s)			40	
Contact with parents				40
Specialist adviser(s)				39
Local foster care association				37
Observation of foster panel				34
Group discussion with Gap students			27	
Visits to lodgings			27	
Interview with foster carers				0
n	198	161	45	70

**Table B1.2: Expert advice**

	<i>Registration, adults (%)</i>	<i>Registration, children (%)</i>	<i>Variation, adults (%)</i>	<i>Inspection, adults (%)</i>	<i>Inspection, children (%)</i>	<i>Inspection of boarding school (%)</i>	<i>Inspection of fostering agency (%)</i>
Fire officers	79	71	45	13	29	40	4
Environmental health officers	75	61	26	10	22	33	3
Building control officers	55	56	28	0	8	4	0
Planning officers	49	59	21	0	4	2	0
Health & Safety officers	29	37	15	3	6	17	1
Architects	19	17	12	0	1	0	0
External legal advice	10	15	6	1	1	0	1
Social workers	10	12	46	4	23	33	31
Engineering	3	2	1	0	0	0	0
Placements officer	2	7	22	1	12	13	6
Educational advisers	1	10	2	0	3	8	16
Police	1	7	1	0	5	8	0
LA adult/child protection service	0	10	4	2	16	25	24
Youth service	0	0			1	0	3
Educational psychologist		2			2	0	6
Child psychiatry services		2			1	0	4
Health advisers	5	5	10	2	1	10	10
Adult day centre representative	1		1	0			
Local Education Authority		7				10	3
DfES/HMIs		5			2	33	
Local schools		2				0	3
DoH Social Services Inspectorate		0			1		
NCSC Foster Panel							4
Interpreter/signer							3
n	84	40	82	199	160	45	70

**Table B1.3: Compliance with the Care Homes Regulations, 2001**

	<i>Yes %</i>	<i>N</i>
Restrictions on acting for service users	90	172
Appointment of manager	88	176
Registered personal general requirements	87	178
Notification of death, illness, other events	86	182
Financial position	84	172
Staff views as to conduct of home	81	174
Visits by registered provider	81	169
Facilities and services	76	186
Complaints	74	184
Fitness of premises	72	189
Health and welfare service users	72	186
Fitness of workers	71	184
Staffing	71	183
Assessment of service user	71	187
Review of quality of care	65	182
Further requirements health and welfare	62	178
Service users' plan	61	188
Records	58	187
Review statement and guide	51	168
Statement of purpose	47	182
Service users' guide	46	186



**Table B1.4: Compliance with the Children's Homes Regulations, 2001**

	<i>Yes %</i>	<i>N</i>
Notice of changes	97	118
Fitness of registered provider	94	116
Religious observance	93	122
Financial position	93	121
Food provided for children	89	123
Provision of clothing, pocket money and personal necessities	89	120
Notification of offences	89	119
Registered person — general requirements	89	115
Contact and access to communications	88	123
Use of surveillance	88	112
Regulations and guidance	86	123
Fitness of manager	83	113
Appointment of manager	82	120
Education, employment and leisure activity	82	124
Health needs of children	81	126
Promotion of welfare	80	121
Other records	76	120
Notifiable events	75	126
Children's case records	74	125
Fire precautions	72	127
Employment of staff	70	125
Fitness of workers	69	126
Hazards and safety	69	127
Staffing of children's homes	69	127
Arrangements for the protection of children	68	128
Behaviour management, discipline and restraint	66	127
Visits by registered provider	66	125
Medicines	65	124
Review of quality of care	65	124
Child's placement plan	63	123
Fitness of premises	63	128
Review of the statement of purpose and children's guide	62	121
Complaints and representations	60	127
Statement of purpose and children's guide	41	124
Notice of absence	0	162

**Table B1.5: Compliance with the Fostering Services Regulations, 2002**

	<i>Yes %</i>	<i>N</i>
Notice of absence	98	44
Fostering agency - appointment of manager	97	38
Duty to promote contact	96	55
Termination of placements	96	52
Financial position	95	43
Notice of changes	95	43
Registered person - general requirements	95	38
Independent fostering agencies - discharge of local authority functions	95	19
General duty of responsible authority	94	46
Health of children placed with foster parents	93	54
Fostering agency - fitness of manager	92	39
Staffing of fostering service	91	56
Behaviour management and absence from foster parent's home	91	55
Short-term placements	90	50
Meetings of fostering panel	89	56
Retention and confidentiality of records	89	55
Fostering agency - fitness of provider	89	36
Arrangements for the protection of children	89	54
Register of foster parents	89	54
Independent fostering agencies - duty to secure welfare	87	31
Local authority fostering service - manager	87	38
Fitness of premises	87	53
Emergency and immediate placements by local authorities	86	44
Assessment of prospective foster parents	86	56
Making of placements	85	52
Review of quality of care	84	45
Independent fostering agencies -complaints and representations	84	31
Fitness of workers	84	56
Establishment of fostering panel	84	55
Notification of offences	82	44
Functions of fostering panel	82	55
Approval of foster parents	80	56
Case records relating to foster parents and others	80	55
Education, employment and leisure activities	79	53
Notifiable events	79	42
Reviews and terminations of approval	77	52
Employment of staff	77	56
Support, training and information for foster parents	75	55
Local authority visits to children place by voluntary organisations	73	26
Records with respect to fostering services	68	56
Placements outside England	65	20
Statement of purpose and children's guide	55	55
Review of statement of purpose and children's guide	54	46

**Table B2.1: Functions undertaken by the children's homes inspected**

	<i>Frequency</i>	<i>%</i>
Preparation for independence (ie leaving care)	83	53
Long-stay with therapeutic interventions, care, control and treatment	80	51
Take emergency admissions	76	48
Preparation for permanent placement (ie long-term fostering and/or adoption)	62	40
Short-stay crisis intervention/assessment	48	31
Accommodate children under the age of 8	19	12
Residential special school	11	7
Act as a Refuge under the Children Act 1989	5	3
Care for adults (ie over 18s) as well as children	3	2
Secure unit	3	2

**Table B2.2: Age of the children/young people in the children's homes inspected**

	<i>Frequency</i>	<i>%</i>
Under 8	7	4
8 – 11	62	39
12 – 13	119	74
14 – 16	128	80
Over 16	79	49
All ages	9	6

**Table B2.3: Groups of children cared for by the homes inspected**

	<i>Frequency</i>	<i>%</i>
Children with emotional or behavioural difficulties	131	81
Children with learning disabilities	50	31
Older children ending their time in care	28	17
Children with physical disabilities	23	14
Children with sensory impairment	13	8
Children (not included in any other category)	12	8
Children who are sentenced or required by Order to be detained	11	7
Children with present drug dependence	10	6
Children with present alcohol dependence	10	6
Children with mental disorders, excluding learning disabilities	9	6
Children who are unaccompanied asylum-seekers or refugees	9	6

## References

Department of Health (2001) *Activity, workload and resources of Local Authority and Health Authority Inspection units: summary of results of a survey in England 2000-2001. Information for England. For the period 1 April 2000 to 31 March 2001.*

Department of Health (no date) *Full Regulatory Impact Assessment: Frequencies of Inspection and Regulatory Fees.* Available at:  
<http://www.doh.gov.uk/regulatoryimpact/freqinspregfees.pdf>

National Care Standards Commission (2003) *The Business Plan 2002-2003.* The Stationery Office, London. Available at  
[http://www.carestandards.gov.uk/about+us/publications/business\\_plan.pdf](http://www.carestandards.gov.uk/about+us/publications/business_plan.pdf)

Netten, A., Forder, J., and Knight, J. (1999a) *Costs of Regulating Care Homes for Adults,* Personal Social Services Research Unit, University of Kent at Canterbury.

Netten, A., Forder, J. and Knight, J. (1999b) *Policy implications of the costs of regulating care homes for adults,* Discussion Paper 1497, Personal Social Services Research Unit, University of Kent at Canterbury.

Netten, A., Forder, J. and Matosevic, T. (2000a) *Policy implications of the costs of regulating residential care for children,* Discussion Paper 1647/2, Personal Social Services Research Unit, University of Kent at Canterbury.

Netten, A., Forder, J. and Matosevic, T. (2000b) *Costs of Regulating Residential Care Services for Children,* PSSRU Discussion Paper No. 1643, Personal Social Services Research Unit, University of Kent, Canterbury.