



Chief Executive's Report

Report to: Board
Date: 6 March 2015
Report by: Annette Bruton, Chief Executive
Report No: B-05-2015
Agenda Item: 16

PURPOSE OF REPORT

This report provides the Board with an update on key developments since the Board meeting on 19 December 2014.

RECOMMENDATIONS

That the Board:

1. Notes the information contained in this report.

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Version Control and Consultation Recording Form

Version	Consultation	Manager	Brief Description of Changes	Date
1.0	Senior Management	Executive Team	Contributed to report	2/15
1.0	Legal Services	Executive Team	Contributed to report	2/15
1.0	Resources Directorate	Executive Team	Contributed to report	2/15
	Committee Consultation (where appropriate)			
	Partnership Forum Consultation (where appropriate)			

Equality Impact Assessment

To be completed when submitting a new or updated policy (guidance, practice or procedure) for approval.

Policy Title:

Date of Initial Assessment:

EIA Carried Out

YES

NO

If yes, please attach the accompanying EIA and briefly outline the equality and diversity implications of this policy.

If no, you are confirming that this policy will have no negative impact on people with a protected characteristic and a full Equality Impact Assessment is not required.

Name: Annette Bruton
Position: Chief Executive

Authorised by Director

Name: A Bruton

Date: 26 February 2015

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1.0 INTRODUCTION

This report provides Board members with an update of any key developments for the Care Inspectorate since the last report in December 2014.

2.0 INSPECTION PLANNING AND QUALITY ASSURANCE

2.1 Intelligence and Analysis

Following the redeployment of the Head of Analysis and Business Planning to an acting Depute Director post in January 2015, an Acting Head of Analysis and Business Planning has been appointed for the period until May/June 2015. She continues to represent the Care Inspectorate on the Police Scotland - National Risk & Concern Project – Partnership Reference Group and the Audit Scotland Scrutiny Planners and Schedulers Group.

Draft Individual Inspection Plans 15/16 (IIPs) for regulated care services were considered by Inspection Managers between October and December 2014. The additional time provided for this process has allowed us to ensure that IIPs are allocated to staff in a more equitable and considered way across service types, risk, geography and service status. We have also been able to focus on developing core inspection groups responsible for large / national providers in order to support greater consistency of practice and contact. The 15/16 planning process has allowed for a further month of refinement of IIPs before finalised at the end of January. The improvements made to the planning process for 15/16 to date have contributed to a greater understanding and confidence in how IIPs are developed.

We have developed specific planning tools which now allow us to scenario plan dynamically and will allow inspection planning to support any future changes to our inspection frequency or intensity methodologies.

The inspection planning process for strategic inspections has resulted in the 2015/16 plan being delivered and shared with external partners, one month earlier than previous years. Work is on-going to develop the involvement of other scrutiny partners e.g. Healthcare Improvement Scotland in collaborative identification of local authority areas for future inspection.

We have been working collaboratively to develop more effective performance management information and work is currently on-going to provide clearer links between inspection and capacity performance. This will provide greater visibility of our overall inspection productivity in the achievement of the inspection plan and demonstrate how this contributes to our corporate objective of being an efficient regulator. In addition this will highlight the areas that impact available capacity during the inspection year.

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We continue to work collaboratively on developing effective workforce planning and the extensive management information prepared by the Inspection Planning team has contributed to the recent recruitment drive. We continue to work towards a more strategic, long term approach to workforce planning which is essential in targeting our finite resources to where they will make the greatest impact.

3.0 CO-OPERATION AND JOINT WORK WITH OTHER REGULATORS

Children Services and Criminal Justice Inspectors have continued to develop good working relationships with Education Scotland colleagues in developing a joint approach to inspecting secure care and residential special schools. This has resulted in improved communication and information sharing between the two inspectorates. The Head of Inspection and the lead Team Manager for Secure Care have met with provider reference groups and will be piloting our joint approach to the inspection of these care services in the next few months.

Children Services and Criminal Justice Managers and staff have also worked in partnership with Education Scotland in two inspections of a Residential School and their School Care Accommodation services since October 2014, following specific concerns being raised in relation to these services. Very good information sharing, joint working and involvement with appropriate stakeholders has resulted in joined up, high quality partnership working producing good assessments and identifying priority areas for improvement in the services.

Following joint inspection visits by the Care Inspectorate and the Mental Welfare Commission to Secure Care Services in 2014, where young people receive support from or have been referred to Child and Adolescent Mental Health Services, a report detailing the findings and recommendations has now been published by the Mental Welfare Commission.

The Head of Inspection CYP&CJ has been working with Police Scotland and key stakeholders, including Scottish Government, to develop a national partnership agreement in relation to looked after missing children in Scotland. This protocol addresses the risk to missing children, including risk of child sexual exploitation, and agrees systems to be in place to address the welfare of children in an attempt to reduce frequency. The agreement will include highlighting the responsibility and action required of care home providers and foster carers when children are missing.

Through work being planned and coordinated by the Director of Strategic Development / Depute Chief Executive and the Acting Depute Director of Inspection (Children's Services & Criminal Justice), the Institute for Research and Innovation in Social Services (IRISS) and the Care Inspectorate are working together on an exciting new project to explore risk and innovation in the context of inspection and supporting improvement. This is of particular relevance to our work in the coming year and beyond with the development of new inspection

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methodologies and approaches to planning inspections. These new approaches will allow inspectors to exercise greater professional judgment and place more emphasis on using intelligence to analyse risk to determine the most appropriate scrutiny and improvement response.

To help inform our work, IRISS and the Care Inspectorate are launching a survey for Care Inspectorate staff to complete. This will provide us with valuable information on staff views on how risk and innovation feature in their role, as well as provide a baseline against which we can measure the progress and impact of our work. We also hope that this information can be used to plan future training and development sessions delivered in partnership with IRISS. Initially, IRISS will be delivering two workshops in March and early April 2015 involving a cross section of our staff to begin to understand our tolerance of risk and failure and how we encourage and support improvement and innovation in our inspection processes. The information gathered from the survey will inform the development of these workshops which will also draw on the IRISS 'Imagining the Future' scenarios.

The Director of Strategic Development/Depute Chief Executive and the Acting Depute Director of Inspection (Children's Services & Criminal Justice), recently met with senior managers of Education Scotland and agreed to strengthen arrangements for coordinating our joint work with them and strategic oversight of it. A joint Strategic Oversight Group involving the Director of Strategic Development/Depute Chief Executive, the Director of Inspection and the Acting Depute Director of Inspection (Children's Services & Criminal Justice), will meet on a quarterly basis to direct and oversee the work of a joint Operational Management Group (OMG) that will meet bi-monthly to develop and implement a joint action plan. The OMG will involve relevant Heads of Inspection and the primary focus will be to develop and deliver a joint action plan that will be agreed by the Strategic Group. The Head of Analysis and Business Planning will also be involved in the OMG to strengthen arrangements for sharing information and intelligence between both organisations. The first of these meetings have now been arranged.

The Acting Head of Inspection for Children's Services and a Team Manager from Early Years delivered a presentation focusing on how we inspect care services to the Board of Scottish Social Services Council on 20 January. We discussed roles and responsibilities in relation to referrals to SSSC and confirmed the value of our two organisations working closely together.

4.0 STRATEGIC INSPECTION

4.1 Joint Inspection of Services for Children and Young People

In quarter three, we concluded the fieldwork for inspections of services for children in South Lanarkshire, Aberdeen City and North Lanarkshire. In December 2014 we returned to Dumfries and Galloway to check on progress made against the key areas for improvement identified in the inspection the

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previous year. Reports of these inspections will be published shortly. Also in this quarter we commenced our inspection in Renfrewshire and undertook preparation work for a concurrent inspection of services for children and services for older people in Shetland. Both of these inspections will be concluded in quarter 4.

4.2 Joint Inspection of Services for Older People/Adults

Three joint inspections have been completed – Fife, Angus and Falkirk and three inspections are underway - Glasgow, Highland and Shetland.

The Fife and Angus inspections are due to be published shortly and Falkirk and Glasgow are both at final report writing stage. Highland and Shetland inspections are at the early stages of the inspection footprint.

The Shetland inspection was planned as a simultaneous inspection, including both older people's inspection and children's inspections. Good learning has already been identified and lessons will be taken forward to support the future development of joint inspection. This model will be replicated in the Western Isles in the 2015/16 inspection year.

Using a risk and intelligence assessment approach, the plan for joint inspection areas in 2015/16 has been agreed with Healthcare Improvement Scotland.

The joint inspections will continue to focus on services for older people whilst the inspection methodology is developed to encompass services for adults.

The Care Inspectorate and HIS will address recommendation 8 in the Keys to Life learning disability strategy through Link Inspector improvement work, although the details of how this will be done are yet to be agreed. Development sessions will take place in Q4.

4.3 Criminal Justice Services

We have continued the groundwork to develop and agree methodology for the forthcoming inspection of Multi-agency Public Protection Arrangements (MAPPA). We held a series of initial engagement and briefing meetings with Strategic Oversight Groups around the country and have made significant progress towards completing 'desk top activities' which will precede and inform the fieldwork which will commence after Easter – that is, a review of the use of VISOR (an electronic database for information-sharing) and a sample of significant case reviews conducted under MAPPA. In December, a new secondee joined us from Moray Council Criminal Justice Services to support us in the development of the methodology and the implementation of the inspection.

4.4 Link Inspectors and Contact Managers

The Link Inspector role continues to be developed. Link Inspectors have spent time

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getting to know the partnership in which they will be supporting improvement. Work is also being progressed to ensure that there is appropriate support from a Link Inspector with an adult background and a Link Inspector with a children's background, particularly during inspection.

Link Inspectors, alongside Contact Managers and other colleagues in the Improvement Hubs, have been busy gathering and validating partnership information and have used this to develop the 'dynamic reports'. Progress has been steady and all but a few areas are well developed. Deadlines have been set to ensure the outstanding reports are completed.

Where issues have been identified at inspection, Link Inspector activity in some areas has been increased to progress the improvement agenda and further develop positive relationships. There is also opportunity for mentoring and learning for adult and children team members undertaking the role. Additional support has been provided in Dumfries and Galloway, Shetland and the Western Isles.

5.0 INSPECTION OF REGULATED CARE SERVICES

5.1 Learning Disability Inspection Focus Area

In March 2014, the Executive team agreed that an awareness raising exercise about Keys to Life and Winterbourne View recommendations would take place in care homes for people with a learning disability, followed by a scrutiny and improvement focus across all learning disability services in 2015/16.

To date, the majority of care homes have reported that they were aware of Keys to Life and the recommendations from the Winterbourne review but a number of services were not aware. Almost all services reported that they have taken action to ensure that their services are delivered within an open, safe, respectful culture which ensures care and support meets individual needs and outcomes. The Inspection Focus Area (IFA) in all learning disability services (except the test of change cohort) will provide valuable information across the sector and will inform their, and the Care Inspectorate improvement agenda.

Consultation with the sector and implementation of a communication strategy for the IFA is underway.

5.2 Care Inspectorate Supporting the Delayed Discharge Agenda

In August 2014, the Care Inspectorate joined the national Delayed Discharge Task Force, which was convened by the Joint Improvement Team (JIT) and Scottish Government with national partners. The purpose of the Task Force was to support activity across all partnership areas to address the issues associated with delayed discharge.

As one of the principal reasons for delay is reported as 'Awaiting place availability in a care home'. The Care Inspectorate agreed that it could helpfully assist the

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whole systems improvement approach required to address delayed discharge. An internal Care Service Taskforce has been established to lead this work.

More intense support was commenced initially in Edinburgh/Lothian and we have received positive feedback related to our focussed activity, particularly around registration. More recently, we have been asked to consider how we can also support Highland and Aberdeen areas, where delayed discharge issues have been particularly challenging. We were invited by policy colleagues to submit a bid for funding to support our activity in this area. This was submitted this month and funding of £178, 000 was approved. This will be used to recruit, on a temporary six month basis, business support staff and inspectors to progress this work.

5.3 Mental Welfare Commission Scotland Meetings

The Inspection Directorate is in the process of re-establishing regular meetings with the Mental Welfare Commission to consider:

- Respective organisational priorities and opportunities for joined up work.
- Sharing information on planned MWC themed visits and CI inspection focus to identify areas for collaborative working and ensure minimising risk of duplication.
- Agreement regarding meetings between local MWC officers/area coordinators and Care Inspectorate Heads of Inspection and Team Managers to promote general sharing of intelligence and the identification of care services where the MWC may visit.

5.4 Early Years Inspection

The Inspection teams continue to progress the inspection plan and by the end of December 2014 had achieved 68% of their planned inspections. There has been a high level of long term absence and various contingency plans have been put to cover the shortfall of inspections. Three new Inspectors take up posts within early years in February 2015. We continue to consider infection prevention and control during our inspections this year.

The Children and Young People (Scotland) Act has also resulted in a number of changes within daycare of children's services with the impact of 600 hours and places for 15% of eligible two year olds. As a result many services are going through periods of change and expansion. This will continue to be a focus on our inspections in the coming year. There are also a number of local authorities entering or considering entering into partnership with childminders with the future expansion of two year old provision which will raise the profile of this sector in the future.

We have continued to embed the new childminding methodology which was

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implemented at the start of the current year. This places much more emphasis on outcomes for children by taking account of the SHANARRI well-being indicators. There is a relatively low enforcement level in childminding services which reflects a tendency for childminders to cancel their registration when significant concerns are raised without the Care Inspectorate evoking formal enforcement action. There have been a number of cases where children have been put at potential risk or there have been allegations of abuse and the childminder had cancelled the registration voluntarily.

5.5 Criminal Justice and Young People inspection

Managers and Senior Managers are continuing to monitor workload plans and capacity with the Justice and Young People's teams. We have been successful in securing some locum time and the transfer of an Inspector from the complaints team to assist with the inspection of fostering and adoption services. A number of these services were unallocated due to 4 staff leaving the Justice and Young people's teams during this inspection year and two secondments to other areas of the care Inspectorate.

We have recruited two new Inspectors to Justice and Young People. They will commence employment in March 2015. The lead Team Manager for fostering and adoption is continuing to chair a short life working group which is following up the recommendations of the Fostering Review. This is progressing well and the team manager is now developing new descriptors for foster placement types which will be agreed with Scottish Government and adopted nationally by fostering agencies. Our annual returns will be updated for inspection year 2016/17 to reflect the new descriptors and this should enable us to provide useful information to Scottish Government if required.

A Team Manager from Early Years was involved in providing a response to the report on Child Sexual Exploitation. In response to the report and increased awareness around the exploitation of children a Team Manager from the Justice and Young People team is working with a Strategic Inspector to develop an inspection tool for Inspectors inspecting care home and secure accommodation services during the next inspection year which will help us assess the extent of services understanding of the issues, the training delivered to staff and the approached staff are taking to promote the safety of children and young people at risk.

Inspectors and Managers are continuing to consider the impact of the Children and Young People (Scotland) Act 2014 for young people receiving through care and aftercare services and how services can be supported to build capacity to meet the requirements of the Act. Discussions between CYPCJ Managers and Managers in Registration have started to take place in order to identify the opportunities and challenges for the Care Inspectorate in relation to the Children and Young People (Scotland) Act. This work will be progressed as the implications of the Act become clearer. We will continue to link with the Scottish Throughcare and Aftercare Forum (STAF) who is leading the way along with CELSIS in relation to the implementation

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of the Act.

5.6 Adults and Older People inspection

The Inspection teams continue to progress the inspection plan as far as possible.

Adults have completed 79% of the inspection plan and Older People teams have completed 67%. There has been a high level of long term absence in OP teams which has had a negative impact on the number of inspections completed. The introduction of a clearer and more robust Maximising Attendance policy will support more effective management of absence in the future. Team Manager training is planned in February.

A range of contingency plans have been put in place to try to address the inspection plan shortfall, including prioritisation of statutory inspections to be completed, overtime, additional hours, movement of 'smoothed' inspections to year end, carry forward of some annual leave, cancelled development activity and reduced team meetings and one to one meetings. Any capacity in Adult teams is being utilised in OP inspections. Every measure is being taken to ensure the inspection plan is met.

6.0 DEVELOPING METHODOLOGY FOR REGULATED CARE SERVICES

The Programme Board has discussed the Programme Initiation Document for the Review of Scrutiny and Improvement and the Executive Team have agreed some tests of change for 2015/16. These will allow new approaches to be explored from April. We held a one-day interdependency conference in January 2015 to examine the way in which a programme approach to the review should proceed and to ensure that changes can be planned, sequenced and monitored effectively. Ways of ensuring that methodological changes around Complaints, Registration and Strategic Inspection proceed in concert with the review were discussed. The Programme Board made further agreements around the programme approach in late January and work has commenced in a number of key areas.

7.0 DUTY OF USER FOCUS

7.1 Involvement

We have published a new guidance handbook for Inspectors and Inspection Volunteers on effective participation of Inspection Volunteers on regulated care service inspections. This builds on good practice and helps codify effective working arrangements.

We held a joint Inspection Volunteer / Public Partner conference with Healthcare Improvement Scotland in February 2015 to discuss issues around the duty of user focus.

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We are commencing a small pilot for Inspection Volunteers with dementia to take part in inspections and held an involvement event for people with dementia and their family / friends in Stornoway in January.

Our Involving People Group have started a specific recruitment sub-group to raise interest, promote involvement and recruit new members and a steering group to set meeting agendas and agree future direction for the group.

Interviews for new Young Inspectors are underway, with a target of having a pool of 10 by April 2015. An information evening for potential Young Inspectors was held in late December and our current Young Inspectors delivered a presentation on their work.

7.2 Equality

An equality consultation took place in February 2015 to consider revising our current equality outcomes and set new equality actions for the next two years. Work is underway on the public sector equality reports; these require to be published by the end of April 2015. Final equality and diversity training sessions are being held for staff between in the coming months so the entire staff cohort has been trained. A new draft equality impact assessment tool and guidance is being developed.

8.0 HEALTH IMPROVEMENT TEAM

Our Health and Wellbeing Improvement team have increased participation in the joint delivery of external improvement sessions with Scottish Care development officers for providers and presented at the Caring for Smiles conference. The Health Advisers presented at a day for local care home and care at home service providers organised by Stirling and Clackmannan councils.

Separately, our staff have completed three joint study days with Caring for Smiles and NES, raising awareness in care homes about the importance of good oral health. This has led to a request by Dundee University for seven of their dental students to come to the Care Inspectorate for an afternoon to raise their awareness of our role and the current issues for older people receiving care services.

We have been closely involved in the NHS Health Scotland nutrition guidance for early years and played a significant role in a new publication called Setting the Table - Nutritional Guidance and Food Standards for Early Year's Childcare Providers in Scotland. This was launched in January 2015 and we are working with colleagues to disseminate copies of the guidance and key information. We have also been involved with the NHS National Nutritional Care Advisory Board Hydration subgroup in developing oral hydration standards.

The first two Care Inspectorate regional dementia events took place in Aberdeen and Irvine, with excellent feedback. Further events are scheduled in Stornoway,

Lerwick and Inverness. These events are promoting effective practice in dementia care and support, with a focus on person centred care, physical activity and promoting continence. These events have been supported by colleagues from the SSSC delivering a session on the Promoting Excellence Framework.

We are developing a Care about Continence resource for people living with dementia and long term conditions. We received £15,000 funding from the Scottish Government to support his work, due for launch in March 2015, and hope to be able to support further rollout and training work from April onwards.

Care Inspectorate staff now sit on the Palliative and End of Life Care National Action Group.

9.0 IMPROVING QUALITY AND CONSISTENCY

9.1 The Hub

The Policy Team continue to develop the Hub, with work on-going to evaluate the first phase and develop plans for second phase. In the coming months we plan to evaluate the site through focus groups and a site survey. We also plan to further promote the Hub through engagement with both internal and external stakeholders at conferences / events, team meetings, providers' forums and the creation of internal 'Hub Champions'.

9.2 New Policies

New policies on making requirements, dealing with information raised in self assessments and re-evaluation of service grades out with an inspection cycle are due to be implemented from 1 April 2015. Work is underway to develop both our staff and providers in understanding the new approaches, which are designed to be proportioned, outcome-focused and improvement-led.

Policy Development:

Following the redeployment of two Heads of Inspection to the Strategic Development Directorate, work has been underway to review and revise the Care Inspectorate's Child and Adult Protection policy and procedures. A draft procedure has been issued for consultation, with a view to procedural implementation by 1st April 2015. Work has also now begun on a wider Child and Adult Protection Policy and the design of associated training for staff.

10.0 COMMUNICATIONS

10.1 Significant Publications

Work continues on the Triennial Review, which covers the inspection period April 2011 - April 2014 and it will be published shortly. Based on the first three years of our operation, the review identifies what we know and what we can evidence about

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the state of care in Scotland. It also highlights some areas where policy makers may wish to pay particular attention. It is anticipated that the Triennial Review's findings will be well publicised by way of a parliamentary briefing, and media relations.

Following the publication of Improving Care in Scotland in December, work is underway on the next edition. The aim is to publish as soon as possible after the end of the inspection year, so that over time there is a six month period between this publication and our Annual Report and Accounts.

10.2 Consultation on Complaints Handling Procedures

We completed a two month consultation on our complaints handling procedure; this ran during January and February 2015. A significant volume of responses were received. We asked views on introducing a process of frontline resolution to complaints, which would mean we could seek quick and early resolution of less serious issues without entering into a full-scale investigation. We also asked for views on whether we should offer mediation over a complaint and whether or not we should consider changes to the way we review complaint outcomes. The responses are currently being reviewed.

10.3 Website Improvement

Work continues to significantly improve our website and make it easier for people who use services to search for information about care services. The first stage of this work is due to come to fruition by the end of this financial year.

10.4 Policy Engagement

Between 1 December and 30 January the organisation responded to the following formal consultations:

- Consultation on Proposals to introduce a Statutory Duty of Candour for Health and Social Care Services - Scottish Government
- Proposals for an offence of wilful neglect or ill treatment in health and social care settings - Scottish Government
- Draft standards for Care of Older People in Hospital - Healthcare Improvement Scotland
- Consultation on Draft Secondary Legislation for Parts 9, 10 and 11 of the Children and Young People (Scotland) Act 2014 - Scottish Government

In the coming months we also plan to respond to:

- Education and Culture Committee call for evidence on a British Sign Language Bill - closing date 2 February 2015
- Draft statutory guidance on the Children and Young People Act (Part 9) - Scottish Government - closing date 2 March 2015
- Advanced Dementia - Developing the 8 Pillars Model of Community Support

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- Alzheimer Scotland - closing date 28 February 2015

11.0 LEGAL AND ENFORCEMENT ISSUES

Please see Appendix 1

12.0 CORPORATE SERVICES

12.1 Organisational Development

12.1.1 Employee Survey

The employee survey was launched on 15 September 2014 and ran for four weeks. The survey was jointly commissioned with the Partnership Forum and had an uptake of over 80%. The initial high-level messages from the survey were fed back in Q3 and were shared with the Partnership Forum and Board members. The intention is that staff will be invited to work with the Organisational Development team to create solutions to the issues arising from the results.

12.1.2 HR Policy Programme

Progress against the HR policy programme during Quarter 3 proceeded to plan.

The following progress was achieved during Quarter 3:

- The new Maximising Attendance Policy was approved by Resources Committee and Partnership Forum. The new policy was implemented on 5 January 2015 and a programme of training and briefings for managers and employees is currently being scheduled.
- A new draft Capability Policy was considered by Resources Committee and Partnership Forum.
- New drafts of the following policies were considered by Resources Committee and Partnership Forum: Maternity Leave, Special Leave, Annual Leave, Paternity Leave, Parental Leave, Adoption Leave and Fostering Leave.
- The Homeworking Review Group presented their final report to ET in December 2014. The report included key findings from the review, improvement recommendations and a new early draft policy. The results of the review are currently being considered against the detailed findings of the employee survey. A new draft policy will be submitted for review to the Resources Committee shortly.
- A new draft Smoking Policy was developed.
- 8 policies have been consulted on and are going to the February 2015 Resources Committee for final approval these are:
 - Capability
 - Maternity Leave
 - Special Leave

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- Annual Leave
 - Paternity Leave
 - Parental Leave
 - Adoption Leave
 - Fostering Leave
- The smoking policy will also be considered and this is the start of the refresh of all health and safety policies

12.1.3 Healthy Working Lives

Work has been progressing towards achieving the Healthy Working Lives Bronze award. We have now fulfilled the criteria and are waiting on final confirmation that we will receive the award in February 2015. Work is now underway to achieve the silver award.

12.1.4 Corporate Induction

The new Corporate Induction has been launched and is now being delivered every two months to ensure all new staff and returners are up to speed with the organisational values, goals and approaches.

12.1.5 Partnership Working

Good progress was made in Q3 revised Service Level Agreements with the SSSC and the development of the Partnership Agreement was finalised with the unions in Q3 also. The expectation is that these will be signed off early in Q4.

12.2 Finance

12.2.1 Budget Development

Work commenced on preparing the 2015/16 budget and the 2016/17 and 2017/18 outline financial plans. The emerging budget issues were discussed with the Resources Committee at its December meeting and further budget development will be reported in Q4.

12.2.2 Financial Performance

For the period 30 November 2014, there is a predicted 0.3% variance from the planned budget. It is anticipated that any projected underspend will not have a significantly detrimental impact on the Care Inspectorate's financial position. It is anticipated that the balance of risks to the projected financial position will mean the projected underspend will reduce as the year progresses.

12.2.3 Annual Report and Accounts

The external audit of our 2013/14 Annual Report and Accounts was concluded

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during Q3 with no significant issues identified. The Annual Report and Accounts was subsequently approved by the Board at its meeting in October 2014 and was laid before the Scottish Parliament in December 2014.

12.2.4 Estates

An early scoping of a review of elements of the Care Inspectorate estate was reported to the Resources Committee in December 2014. The Committee approved the further development of options for the Aberdeen, Musselburgh, Hamilton, Inverness and Dumfries offices.

12.3 Information and Communications Technology (ICT)

12.4 Service Level Agreements

Good progress was made in Q3 revised Service Level Agreements with the SSSC and the development of the Partnership Agreement was finalised with the unions in Q3 also. The expectation is that these will be signed off early in Q4.

LIST OF APPENDICES

Appendix 1 - Legal and Enforcement Issues