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<td>1.1</td>
<td>AOB</td>
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<td>2.</td>
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<td>3.</td>
<td>Updates</td>
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<td>4.</td>
<td>Minutes</td>
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| 4.1 | Minute of Meeting held on 24 September 2015  
Board Action Log and Workplan  
Matters Arising | attached |
| 4.2 | Minute of Board Development Day 5 November 2015 | attached |
| 4.3 | Audit & Risk Committee  
- Draft Minute of 19 November 2015 | attached |
| 4.4 | Remuneration Committee  
- Verbal report from meeting 10 December 2015 | Verbal |

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<td>5.</td>
<td>Board Committee Membership</td>
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<td>6.</td>
<td>Chief Executive’s Report</td>
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<td>7.</td>
<td>2nd Quarter Organisational Performance Report 2015/16</td>
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<td>8.</td>
<td>2015/16 Budget Monitoring</td>
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<td>10.</td>
<td>Annual Workforce Report</td>
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<td>11.</td>
<td>Corporate Procurement Strategy 2015-18</td>
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<td>12.</td>
<td>Overview of Policies Annual Report</td>
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| 14. | Risk  
- Strategic and Operational Risk Registers  
- New Risks | attached |
| 15. | Date of Next Meeting: 21 January 2016 |
The Chair welcomed Lisa Bennett, newly appointed Head of Strategy/OD, Lawrie McDonald, Joint Head of IT (SCRA/CHS) and Joe McKeown (UNISON) to the meeting.

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<tr>
<td><strong>1.1</strong> AOB</td>
<td>There were no additional items of business.</td>
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<td><strong>1.2</strong> Apologies</td>
<td>Apologies were received from Andrew Menzies, Board member.</td>
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<td><strong>2.</strong> Declarations of Interest</td>
<td>There were no declarations of interest.</td>
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| **3.** Updates | **Bernadette Docherty**  
* Attended August Audit Committee  
* Office/Team Visits – South Ayrshire Team, Aberdeen City and Aberdeenshire  
* Involved in the recruitment for the Head of Strategy/OD post  

**Andrew Miller**  
* As part of West Lothian Council work, undertook child sexual exploitation training  

**Malcolm Dickson**  
* Chaired August Audit Committee |
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| Anela Anwar | • Attended Nominations Committee in August  
• Attended the Ethnic Minority Public and Civil Appointees Meeting organised by CEMVO Scotland on 27 August and gave an update on the work of the Nominations Committee. |
| Douglas Yates | • Attended a Police Scotland event on Human Trafficking and Child Exploitation  
• Had annual appraisal meeting with SCRA Chair  
• Visited North Strathclyde, Dumbarton and Inverclyde |
| Catherine Robertson | • Attended August Audit Committee |
| Carole Wilkinson | • Board Diversity agenda  
  - Met with Scottish Government Wellbeing Team in relation to gender balance  
  - Along with Executive Officer met with Scottish Social Services Council (SSSC) to discuss the work of SCRA’s Nominations Committee. SSSC are interested in holding a joint event on “What it means to be a Board Member”  
  - Attended an Institute of Directors event on the 50:50 agenda  
  - Executive Officer, on behalf of Chair, gave a presentation to the NDPB Equalities Forum on the work of the Nominations Committee  
• Board appointments – work is progressing on the recruitment round for two new Board members and the timetable is on target for advertisement end October 2015. The Public Appointments Team were very positive about the work undertaken by the Nominations Committee.  
• Chaired an International Federation of Social Workers conference at Strathclyde University on Children and the Legal System  
• Carried out two annual Board appraisal (Douglas Yates and Andrew Miller)  
• Along with the Principal Reporter/Chief Executive met with Olivia Macleod, Director, Children and Young People, Scottish Government  
• Chaired the Equalities Network meeting  
• Had annual appraisal with Robert Marshall, Scottish Government |
| 4. | **Minute of Meeting held on 25 June 2015**  
The minute was agreed as a correct record. | Timescale | Action |
|---|---|---|---|
| **Board Action Log and Workplan**  
The action log and workplan were reviewed. | | By Dec 15 | Sponsor Team |
| **Noted:**  
1. The Joint Board meeting (SCRA/CHS) has now been confirmed for 29 October 2015 to be held at the Canongate Youth Project in Edinburgh.  
2. Sponsor Team will progress arrangements for the Board to the meet with the Minister. | | Nov 15 | NH |

## Matters Arising

**Noted:**

1. **Modern Apprentices Recruitment** – three Modern Apprentices have been recruited – one in Highland, one in Central and one in Head Office.
2. **COSLA** - contact has not yet been made with the new Chair of the COSLA Children’s & Young Peoples Group but the Principal Reporter/Chief Executive and the National Convenor (CHS) are scheduled to attend the next meeting of the Children and Young Peoples Executive group in November.

### 4.2 Nominations Committee Draft Minute of 6 August 2015

Carole Wilkinson, SCRA Chair spoke to the draft minute of the August Nominations Committee.

**Noted:**

1. The range of work underway to finalise the documentation for the recruitment planning meeting with Public Appointments scheduled for later in the week.
2. There is a communications plan in place for the recruitment round.
3. The date of the next Nominations Committee meeting is 3 February 2016.

### 4.3 Audit & Risk Committee Draft Minute of 20 August 2015

Malcolm Dickson, Audit Committee Chair spoke to the draft Minute and highlighted in particular:

- Information Governance – there remains a focus on both internal work and work with partners to reduce to number of breaches.
- SCRA continues to work with Scottish Government to have a common national format for reports including exploring the potential to list address information only once within a report.
### Timescale | Action
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- **Case Sampling** – the Committee have requested the management team to give consideration to limiting the key activities in action plans to focus on activities that could generate the most improvement.
- **Annual Report** – the Audit Committee asked for a rephrasing around the VR/VER reference to emphasise that the organisation undertook a further round of VR/VER (one of five rounds to date) to reduce headcount.
- **Annual Accounts** – SCRA has received an unqualified opinion.
- **Risk** – the work of the Risk Reference Group will feed into the Board’s annual consideration of risk.
- **CMS User Interface Improvement Programme** – the improvement programme has achieved its objectives and opportunities were taken to develop it further. It was acknowledged that the development undertaken would not have been affordable if the work had been outsourced.
- **Review of Governance Failures** - following the Committee meeting Audit & Risk Committee members reviewed a few external governance failures in terms of identifying currents themes/lessons to learn.

**Noted:**
1. The draft Audit & Risk Committee minute of 6 August 2015.
2. The chairmanship of the Audit & Risk Committee will be handed over to Andrew Menzies at the February meeting.
3. A report detailing changes to Committee memberships will be submitted to the December meeting.

5. **Programme of Meeting Dates**
   **Agreed:**
   To approve the Programme of Board dates to March 2018 subject to amending the February Nominations Committee date from 3 February 2015 to 3 February 2016.

6. **Chief Executive’s Report**
The Principal Reporter/Chief Executive spoke to the update report which detailed the wide range of activity across the organisation.
Noted:
1. **Workload Survey** – this has been a significant piece of work for the organisation and would not have been possible without the UNISON partnership. The survey results will be used in a number of workforce and financial planning programmes.

2. **Staff Survey** – there has been an increase in the return rate from last survey and a positive shift in ratings. Whilst steady progress is being made in many areas the stand out issues are:
   - Face to face communication via team meetings;
   - Regularity of supervision; and
   - Opportunities for professional development.

3. **Strategic Partnerships**
   - **CHIP** – SCRA continues to play a significant role in CHIP. CHIP has now adopted a single branding which was developed by SCRA’s Press & Comms Team.
   - **Youth Justice Strategy** – A Youth Justice Improvement Board is being set up (similar to CHIP) and the PR/CE and Head of Practice & Policy will sit on the Board.

4. **Young People's Board** – the advert is now out for an internal secondment to develop an operating and delivery model. SCRA is financially supporting this work in the first instance. Partners are committed to the work but resources remain a significant challenge.

5. **Research** - the Child Protection Orders report received a high level of awareness and activity. The follow-up permanence report commissioned by SG will be launched at some point in the autumn.

6. **Operational Update**
   - Overall teams remain fairly stable. There are some very localised challenges due to sudden ill health absence. Performance continues to improve, particularly in relation to management of delay, which is now at its lowest for many years.
   - The Executive Management Team has committed over £50k this week of unbudgeted resources due to sickness absence (life threatening illnesses) to ensure a safe level of service. This will have budget implications which will need to be managed in year.
Glasgow Locality Reporter Managers have been fully engaging local partners in relation to concerns about legal representation in Hearings and how this impacts on achieving the best interests for the child.

Central Locality will host the November Board Development Day in Livingston.

Issues arising during discussion:

- **Staff Survey**
  - The progress referenced above has also been evidenced by Board members in the form of positive feedback when undertaking office visits.
  - EMT visibility has increased and in particular positive feedback has been received on the establishment of Managers’ events.
  - EMT will also continue to work to address communication issues identified. It was acknowledged that some are legacy issues and others about delivery of change.
  - The need to have team meetings and supervision is critical particularly when faced with operational pressures.
  - The organisation is committed to undertaking staff surveys and the results provide a benchmark/platform to build upon.

- **Operational Update**
  - The impact of reducing headcount and managing sickness absence in the context of increasing operational pressures was referenced. The varying strands of work underway will feed into providing a safe and effective level of service and the health and wellbeing of staff – workload survey, OD strategy, health and wellbeing group, performance management framework, data reports, case sampling.
  - The organisation is close to being at the minimum functional staffing level.
  - Localities face their own unique operational pressures e.g. the culture is big city areas is different to working in a small rural team.

Agreed:
To formally endorse the decision made by the Executive Management Team in relation to resource allocation to cover long term sickness absence and note the potential consequences for the budget. (The Board confirmed that this was the correct decision to support teams in the long term and accepted responsibility for resource implications).
7. **Spending Review 2015**

The Head of Finance & Resources introduced the report which set out the key inputs to the 2015 Spending Review submission.

**Noted:**

1. At the Finance Accountability meeting in May 2015 SCRA’s Scottish Government (SG) Finance Business Partner warned that significant cuts will be made to revenue funding over the period 2016/17 to 2018/19. The SG Business Partner advised that capital budgets may not be so severely affected.

2. It was confirmed at the meeting that the Scottish Government spending review will cover the three years from 2016/17, with figures at portfolio level expected late September and final figures to be published in late October. Since May the Scottish Government timetable has slipped as a result of a revised timetable for the Spending Review led by HM Treasury which will now be published on 25 November 2015.

3. At the May 2015 meeting SCRA were advised to start looking in detail at the implications for service delivery of different scenarios including standstill and reduced funding. It was suggested that in developing these scenarios SCRA should prioritise its activities as follows:
   - Legal commitments
   - Ministerial Commitments
   - Manifesto Commitments
   - New commitments for 2016 Election
   - Current and planned activity in support of the activity above
   - The Business Partner advised that where an activity may have to be stopped, the implications, including any possible upfront costs, should be made clear.

4. At a meeting on 29th July the Executive Management Team agreed a number of inputs to the Spending Review 2015 submission as follows:

   **Statutory roles and functions**


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<td>6.</td>
<td>Operational managers – reshaping into current arrangements, contribution to partnership and interagency work/community planning.</td>
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<td>7.</td>
<td>National support functions – significant reshaping and value add, policy and practice, strategy and planning, senior management arrangements.</td>
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<td>8.</td>
<td>Research and data – shape of function and value add.</td>
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<td></td>
<td><strong>Key Cross Cutting Themes</strong></td>
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<td>• Delivering quality outcomes and personalisation of service</td>
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<td>• Early intervention and a focus on very vulnerable children</td>
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<td>• GIRFEC and the hearing system</td>
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<td>• Working with 16/17 year olds and links to the Youth Justice Strategy</td>
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<td>• Vision for the hearing system</td>
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<td>• Increasing complexity</td>
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<td>9.</td>
<td>SCRA’s Programmes</td>
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<td>• Reporter decision making</td>
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<td>• Court</td>
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<td>• Workload</td>
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<td>• Digital.</td>
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<td>10.</td>
<td>The narrative supporting these Spending Review inputs will be informed by workload data, workforce trends and data, spend data, audit reviews, case sampling, referral trends and data, research and surveys.</td>
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<td>11.</td>
<td>The Head of Finance recently clarified with the Finance Directorate that the 2% and 5% revenue reductions should reflect the difference between revenue funding levels in 2015/16 and 2019/20.</td>
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<td>11.</td>
<td>Required Revenue Funding - funding at this level is required to allow SCRA to continue with its modernisation programme, continue to work closely with partner organisations to implement the Children and Young People (Scotland) Act 2014 and ensure plans and resources are in place to avoid increasing risks to individual children and young people involved with the hearing system.</td>
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<td>12.</td>
<td>Standstill funding would impact SCRA’s ability to deliver Ministerial expectations and commitments, hampering the organisation’s ability to engage in government programmes (GIRFEC, education attainment) and relegating customer care/engagement to an ancillary activity.</td>
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13.2% revenue funding cut by 2019/20 - In order to operate within these stringent financial constraints, SCRA would, in addition to the measures in 5.4 of the report, need to consider the affordability of the LGPS for new members of staff and halt further development of core IT systems, notably CMS. As a result SCRA would be unable to take advantage of technological changes and the resulting efficiencies, thus not freeing up staff time towards more value-added/statutory activities.

14.5% revenue funding cut by 2019/20 - In order to operate within these drastic financial constraints, SCRA would be forced, in addition to the measures in the standstill or 2% revenue funding cut, to impose a medium to long-term pay freeze, contrary to the national public sector pay policy recommendations, resulting in a lack of pay parity for SCRA staff in the context of comparative sectors greatly increasing the risk of a loss of skills as staff leave for better paid employment elsewhere. The subsequent detriment to outcomes would be significant due to loss of experience, staffing gaps and the lead in period for new staff.

15. SCRA would be forced to consider less risk-averse Information Governance/IT security policy which would be more reliant on softer controls (staff training) than harder (system access) controls, resulting in greater risk of data breaches and harm to vulnerable children and young people. SCRA would reduce performance targets and quality standards, resulting in slower decision-making, inconsistent service provision across Scotland and a less personalised service all leading to greater risk to vulnerable children and young people.

16. There is likely to be less pressure on capital budgets and it is hoped that SCRA’s capital plans as detailed in the report can be supported in full.

**Issues arising during discussion:**

- The need to reassure staff that while all options were being explored to allow the organisation to operate within stringent financial constraints it did not necessarily mean that the organisation would go immediately to implement such options.
- Sponsor Team has acknowledged that the organisation has been making savings over a number of years and therefore there are limitations in what can be achieved in the current round.
• There are limited opportunities to make non-staff savings costs.
• There will be a need to consider what things the organisation can stop doing – look at the core service as the starting point and then work from that point.
• The external auditors have referenced in their report about the budget and financial sustainability challenges faced by SCRA.
• The spending review submission needs to include reference to:
  o What we have clearly achieved to date in terms of savings and reshaping organisation and workforce
  o The areas where the organisation is supporting government priorities to stress the importance of the children and young people at the centre
  o The strategies in place to support change – CMS, digital transformation.
• The Board are mindful of the work with staff and the change programme which has been delivered over the last few years and its ability to meet staff and Unions legitimate expectations on pay and our alignment to public pay policy agreements elsewhere.

Agreed:
1. To support and endorse the key inputs as detailed in the Spending Review paper.
2. To programme in time at the November Development Day to discuss the issues raised above and how to frame the dialogue with Scottish Government.
3. To approve the Executive Management Team’s continued consultation with Sponsor Team on the Spending Review submission.

8. First Organisational Performance Report 2015/16
The Head of Strategy/OD spoke to the first quarter organisational performance report covering the period 1 April to 30 June 2015.
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**Noted:**

1. The results of the performance work during 2014/15 is beginning to be seen through the 50 working days indicator with seven localities close to or exceeding their targets. Timescales for scheduling Hearings is less positive with four localities performing significantly below target. Locality managers are actively investigating the areas of poorer performance. In some instances, there is a recognised need to adjust how staff process casework and individual reporter/case variation needs to be understood in relation to its impact on delay.

2. Delay in casework decision-making improved significantly with current levels reflecting a 70% reduction. Also worthy of more focus is the number of Hearings proceeding to disposal with a general downward trend. Both this and the Hearing scheduling indicator are vulnerable to external influences but there will be more we can do and issues will be picked up locally and as part of the Senior Operational Manager led performance reviews which are taking place in September and October.

3. The improved performance around decision making and the on-going challenges above were discussed at the Manager’s Briefing Event in September. Project Initiation Documents are also nearing completion for the Reporter Capacity and Court Programme Projects which will look at how we currently work and how we can change to increase time available to Reporters for core functions such as decision-making.

4. Children referred on non-offence grounds increased, notably within Ayrshire locality where managers are engaging with partners to ensure only appropriate referrals are received. Child Protection Orders (CPOs) have reduced but Tayside and Fife locality continue to experience high numbers, despite recent decreases. The on-going inspection in Fife will examine the unique patterns of CPOs and our own Locality Reporter Managers are heavily involved in partnership discussions to understand and address this situation.
5. Working days lost to absence is above the 4% target, with long-term sickness absence increasing. Appropriate support continues to be provided to staff experiencing chronic illness, including regular keeping in touch meetings and return to work discussions. Early intervention, absence review and management may have helped reduce short-term absence over the period.

6. Financial forecasts are pointing to revenue pressures. Finance Business Partners will continue to work closely with Budget Holders in order to deliver an on-budget spending outturn. EMT will closely monitor progress and agree any interventions required. The capital forecast is currently on target but there are pressures on the property programme, noticeably within Stornoway, Gladstone Place and Inverness projects, leading to the programme being rated as amber within the Business Plan.

7. SCRA's Staff Survey for 2015 has shown positive progress in most areas surveyed, including morale, job satisfaction and support. The SCRA/UNISON Health, Wellbeing and Staff Survey Group have considered these results with immediate activity focussed around face to face communication via team meetings, regularity of supervision and opportunities for development.

8. SCRA can now report on the number of ‘all about me’ forms which have been returned. The form is used to help children and young people tell a Hearing how they are feeling. The numbers of forms returned will be included in this report from quarter 2 onwards if Board Members feel that this is a useful measure for inclusion within the report.

**Issues arising during discussion:**
- There is a sense of more stability across operational teams with most localities making significant progress.
- The number of referrals over 100 days is the lowest the organisation has ever had.
- Staff absence – work will continue to maintain a focus on reducing staff absence (currently above the 4% target).
- It would be helpful to undertake some work on the age profile of the organisation.
The Change Advisory Board is currently considering options to include integrating the outlook calendar into CMS which will assist with scheduling of hearings.

Agreed:
To approve the First Quarter Organisational Performance report 2015/16 (1 April to 30 June 2015).

9. Performance Management Framework
The Head of Strategy/OD spoke to the report which advised the Board of a series of changes and developments in SCRA’s planning and performance management mechanisms.

Noted:
1. Localities have initiated the shift to 3 year planning by projecting their focus and priorities to March 2017. Complete alignment and full 3 year planning will be in place for 2017/20 Corporate Plan cycle.
2. Appraisal objectives for 2015/16 have been linked directly to the key objectives in updated Locality Plans.
3. Revised appraisal and supervision arrangements have been implemented with all managers trained in their operation.
4. Detailed proposals for the operation of Locality Performance Reviews have been discussed and agreed with the first round of reviews scheduled for September/October 2015 and evaluation planned before the end of 2015.
5. The monthly performance overview report was rolled out to Localities in Spring 2015 and managers are now familiar with the contents and how it can be used.
6. The next phase of implementation will centre on adoption of the 3 Step Improvement Framework for Scotland’s Public Services, aimed at better equipping localities to manage sustainable improvement and putting supports for this in place.
7. Regular reporting arrangements to the Board on operation and evolution of the Performance Management Framework will be developed.
8. The new PMF serves to make Locality Management Teams more demonstrably accountable, requires them to focus more heavily on performance and improvement and makes their priorities, planned actions and measures much more visible.
9. Early benefits are already being seen, with a noticeable improvement in Locality Management Teams’ commitment to planning and managing performance and more fully engaging staff.

Issues arising during discussion:
- There will be a focus on management standards in improving performance.
- The Senior Operational Managers’ functional review identified the need for a clear focus on performance, sustainability and incremental improvement and the framework provides the platform for this.
- Twice yearly review meetings by the Senior Operational Managers seems appropriate and consideration will be given as to the most effective format/timing for reporting into the Board.
- The diagram (at Appendix A of the report) is particularly helpful in articulating the steps/timelines within the framework.
- The Board complimented Ricky Mallon, Quality Assurance Manager on the work undertaken to produce the Performance Management Framework.

Agreed:
To note the improvements to SCRA’s Performance Management Framework, progress to date and the further steps planned to enable full implementation.

The Head of Strategy/OD spoke to the report which set out the draft dates/milestones for consideration to deliver the Business Plan for 2016/17.

Noted:
1. Every year SCRA publishes its Business Plan for the year ahead. The purpose of the plan is to:
   - Set out the actions that will deliver SCRA’s strategic outcomes and key priorities during the forthcoming year;
   - Demonstrate the alignment with the Scottish Government’s National Performance Framework;
   - Outline the governance arrangements supporting the plan; and
   - Provide information about the ways in which SCRA will measure and monitor performance improvement.
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<td>2.</td>
<td>The 2016/17 Business Plan will provide a detailed picture of how SCRA will seek to deliver the third year of its 3 year Corporate Plan 2014/17.</td>
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| 3. | It is proposed that planned activities will fall into 2 main categories:  
|   | - Those we committed to in the 2014/17 Corporate Plan which did not fall into year 1 or year 2.  
|   | - Those in the current Business Plan which will not be completed by March 16, and which will carry forward. |
| 4. | It is proposed that activities continue to be grouped under the core strategies laid out in the 2015/16 Business Plan. |
| 5. | There is some misalignment between completion of the Performance Review meetings and the collation of themes for submission. Whilst there is not expected to be huge divergence in local input, views will be fed in when available. |
| 6. | An exercise was carried out in 2015/16 to review and recalibrate our performance targets from locality to National level. 2016/17 Business Plan affords us the opportunity to visit this again. |

**Issues arising during discussion:**
- Proposed themes for the Business Plan will be presented to the Board at its November Development Day.
- Further work will be undertaken to refresh evidence used to review progress of the plan.

**Agreed:**
The draft milestones (as detailed in the report) for the SCRA Business Plan 2016/17.

| 11. | **Annual Report 2014/15**  
The Press & Comms Manager spoke to the draft Annual Report 2014/15. |

**Noted:**
1. The report was reviewed in detail by the Audit Committee and approved for submission to the Board.
2. The report has been written and designed in-house by the Press and Communications Team and the format of this year's report is similar to previous years (e-book format when published).

3. For the sixth year now, the report will not be printed, however, as always a PDF version will also be available on our website should people wish to print the report.

4. As with previous years, the report includes a foreword, authored by SCRA’s Chair and an introductory message from SCRA’s Principal Reporter/Chief Executive.

5. The report also includes some of the highlights and achievements in 2014/15, including the now regular 'year at a glance' section.

6. The report contains a summary statistical report, which provides statistical information and analysis on referrals and on children and young people referred to the Reporter in 2014/15. The more in-depth Official Statistics was published on 30 July 2015.

7. Due to changes in reporting regulations (as advised by our external auditor), the Annual Report will no longer include the abbreviated accounts. Instead the full Annual Accounts will be published as a separate document, but still part of the Annual Report suite of information on 29 October 2015.

8. As with previous years, a copy of SCRA’s Annual Accounts 2014/15 will be laid in the Scottish Parliament at the same time as the Annual Report.

9. The Annual Report 2014/15 is topped and tailed with additional information including:
   - An overview of SCRA’s vision, values, outcomes and customer commitment.
   - A note of the SCRA Board Membership in 2014/15.
   - The Annual Report ends with a section 'looking ahead' - a joint message by the Chair and PR/CEO to reflect the fact we are now more than half way through the new financial year (2015/16), and this is the fifth year we have had this section and it seems to work well.

**Publication Arrangements**
10. SCRA will liaise with the Scottish Government to place the Annual Report in the Scottish Parliament before it is issued to staff and partners.
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<td>11.</td>
<td>The Annual Report 2014/15 and supporting documents (Annual Accounts and Sustainability Report) will be distributed to partners via our e-news bulletin. The e-news bulletin is issued every quarter to local and national partners (including Panel Members) who have subscribed to the e-news.</td>
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<td>12.</td>
<td>The e-news item will link to the full report and supporting documents on our website.</td>
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<td>13.</td>
<td>A latest news item will be placed on Connect, SCRA’s intranet so staff are fully aware. There will be a feature in a future edition of the staff e-zine, the National Reporter.</td>
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<td>14.</td>
<td>The report will be placed on SCRA’s website just before it is released publicly.</td>
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<td>15.</td>
<td>SCRA will Tweet about the publication of the report on SCRA’s Twitter site and encourage re-tweets from followers.</td>
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**Issue arising during discussion:**
- A final proof read of the document will be undertaken and references cross checked prior to publication.
- The report was in a format which was both understandable and easy to read.

**Agreed:**
To approve SCRA’s Annual Report for 2014/15 and the arrangements for publication.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>12.</td>
<td><strong>Draft 2014/15 Annual Accounts and Management Representation Letter</strong></td>
</tr>
<tr>
<td></td>
<td>The Head of Finance &amp; Resources introduced the report which detailed the draft 2014/15 Annual Accounts.</td>
</tr>
</tbody>
</table>

**Noted:**
1. PricewaterhouseCoopers (PwC) has completed the audit of the SCRA’s 2014/15 accounts and has submitted a final audit report to the Accountable Officer.
2. The audit report expresses an unqualified opinion on the financial statements and on the regularity of the financial transactions.
3. The summary of issues (detailed in the covering report) arising from the Accounts in relation to:
   • Pensions Deficit
   • General Fund Decrease
   • 2014/15 Property Plan and Equipment Disposals
   • ISA 260 Report
   • Management Representation Letter.
4. The Audit Committee had reviewed the accounts and management representation letter at their recent meeting and approved the documents for submission to the Board.

**Issues arising during discussion:**
• The Audit & Risk Committee Chair confirmed, as part of its governance role, that the Committee had scrutinised the accounts and management representation letter and approved them for submission to the Board.

**Agreed:**
To approve (accepting the assurance of the Audit & Risk Committee) the draft 2014/15 Annual Accounts and Management Representation Letter for signature by the Accountable Officer.

13. **Efficiency Plan and Procurement Update**

The Head of Finance & Resources introduced the report which sought approval of the 2014-15 efficiency savings and an updated Efficiency Plan for 2015/16. The report also provided an update Members on Procurement activity in 2014-15

**Need to review this**

**Noted:**
1. SCRA is on course to deliver its efficiency target of 3% in 2015-16 given the inclusion of SG Procurement savings and net disposal receipts from Gladstone Place. However the budget savings targets for 2015-16 are likely to prove much more challenging and progress will be tracked and reported to EMT and the Board through quarterly budget monitoring reports.
2. Staff savings will count towards the efficiency target so long as it can be evidenced that service levels have not been adversely affected. An assessment will be carried out during the year, and at year end, comparing savings with performance levels.
3. Projects managed through programmes will continue to be developed and efficiency savings identified, monitored and reported.

4. To note the Procurement activity during 2014-15 which further aligns SCRA with Scottish Public Sector best practice.

**Issues arising during discussion:**

- A quarterly update on procurement will be included in future Organisational Performance Reports.
- The current contract for provision of photocopying facilities was secured via the Scottish Government Framework
- It was noted that use of procurement framework can impact negatively on local spend. This is balanced against value for money.
- There will be a challenge in undertaking an assessment of staff savings which will count towards efficiency targets where there is a requirement to produce evidence that service levels have not been adversely affected.

**Agreed:**

To approve SCRA’s 2014-15 Efficiency Savings and 2015-16 Efficiency Plan

14. **2015/16 Budget Monitoring**

The Head of Finance & Resources introduced the report which detailed the revenue and capital positions for the year to August 2015. He advised that there was a correction of £409k to the table at 3.2 of the report to exclude Gladstone Place income.

**Noted:**

1. The total available revenue resources for 2015/16 are £21,682k, comprising £20,800k of core Grant in Aid (GiA), £400k grant funding for Voluntary Severance and £482k other income (Local Authority funded posts, shared services, rents etc.). As previously reported there is no revenue variance from 2014/15 to be factored in to the 2015/16 budget. In order to balance the 2015/16 budget a number of centralised savings targets were created, in property, procurement and translating and interpreting. This will make achieving a balanced position at the year-end especially challenging in 2015/16.
2. Depreciation is reported within expenditure expense head and it should be noted that depreciation expense is a non-cash charge. A depreciation budget of £2.5m has been included in the 2015/16 budget allocation by the Scottish Government to cover depreciation, amortisation and impairment charges.

3. Core Grant in Aid for capital expenditure in 2014/15 is £500k, net of an anticipated capital receipt of £471k. A capital underspend of £91k in 2014/15 has been factored in to the 2015/16 budget.

4. Budget holders are anticipating revenue budget overspends of around £200k. Finance will continue to work closely with localities, Head Office Business Partners and Business Managers in monitoring spend and forecasts between now and the year end. Finance and EMT will consider further specific actions to mitigate the overspend.

5. The capital budget is currently forecast to be £27k overspent. This is dependent on a number of key assumptions: the Inverness and Stornoway projects can be completed this year and the sale of Gladstone Place can be concluded. These projects and others will be closely monitored to ensure that the outturn is as close to the available budget as possible.

**Issues arising during discussion:**

**Translation and Interpretation**
- Monthly reports are prepared on spend in each locality. There is a need to ensure prior to engagement of services that there is a genuine need for translation and interpretation services to be provided.
- SCRA does have a national contract for the services and national guidance for its use is under development.
- It was acknowledged that the savings target set for this budget area was overly optimistic.

**CMS Hosting**
- The plan to move the CMS hosting did not take place since the risks to move could not be sufficiently mitigated. SCRA will remain with the current provider for the next 12 months with more favourable terms having been negotiated for this period.
Saving Targets
- As referenced earlier in the meeting operational pressures with subsequent requirement for additional financial resources are leading to difficulties in meeting savings targets.

General
- The budget monitoring report sets out a realistic picture of the organisation’s financial resources and is in direct alignment with the spending reviews discussions held earlier in the meeting which provide a detailed understanding of operational pressures.

Agreed:
The Board are supportive of and approve the actions detailed in the report to mitigate the anticipated overspends for the full year 2015/16.

15. Communications Strategy 2015-18
The Press & Communications Manager spoke to the report which detailed SCRA Communications Strategy for 2015-18.

Noted:
1. The new Communications Strategy has been developed to ensure SCRA continues to have an integrated approach to communications and engagement, and one that supports the organisation’s vision and values.
2. The Communications Strategy 2015-18 is supported by an action plan which will be updated annually, and a list of tools used to communicate, engage and inform, both internally and externally.
4. The Strategy is supported by a number of already agreed communication policies, such as the Media Handling Policy, the Social Media Policy, the Website Policy and Connect (staff intranet) policy.
5. It is also aligned with SCRA’s Outcomes and Priorities in the 2015/16 Business Plan and Corporate Plan 2014-17: Sustainability ~ Quality and Performance ~ Customer Focus ~ Engagement ~ Infrastructure Maintenance and Development
6. The strategy and action plan will be reviewed annually over the next three years.
7. In addition, a variety of methods will be used to determine the level of success/effectiveness of our communications, including feedback surveys, hits to the website, retweets, media articles etc.
8. SCRA’s Communications Action Plan for the remainder of 2015/16 as detailed in the appendices to the report.

**Issues arising during discussion:**
- The strategy is aligned to the corporate and business plan and SCRA’s vision and values. It has also addressed issues identified in the staff survey.
- Reference will be included on the role of the Board and detail Board responsibilities in terms of communications and examples e.g. office visits.
- It is a continuing programme of work and gives the organisation a foundation on which to build.
- It was acknowledged that there is still work to be done in terms engagement and raising awareness of SCRA and the wider hearings system. As part of this there is a potential role for Panel Members to raise the profile of the hearings system. This could be raised with CHS as part of the programme of joint work.
- An update report on engagement with partners from the Participation Officer to be scheduled for a future Board meeting.

**Agreed:**
To approve SCRA’s Communications Strategy subject to the points raised during discussion as noted above.

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<th>Timescale</th>
<th>Action</th>
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<tr>
<td>Oct 15</td>
<td>CW/NH</td>
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<td>tbc</td>
<td>NH/MMcl</td>
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16. **Organisational Development Strategy**

The Organisational Development Manager introduced the report which sought approval of SCRA’s Organisational Development Strategy.

**Noted:**
1. The Organisational Development Strategy aims to involve all staff in bringing about sustained organisational performance using a planned and systematic approach.
2. The Strategy is structured around SCRA’s Corporate Plan which focusses on sustainability, quality and performance, customer focus and engagement as the key themes for ensuring organisational outcomes.
3. The central challenge which this Strategy seeks to address falls under the heading of ‘sustainability’ and it is SCRA’s core dilemma that resources are decreasing and that the way we currently deploy and utilise our resources cannot comfortably meet the demands that are placed on the organisation. This puts the organisation under pressure which in the long term is unsustainable.

4. It asserts that we can do things more productively, reduce wastage and access untapped capacity by the considered application of a range of organisational development activities placed within the corporate context (as opposed to a separate OD support platform).

5. These activities include the following:
   - The application of agreed management standards and further development of our leadership approach
   - Sufficient staff support resources
   - Innovative approaches to problem-solving
   - Improved dialogue and consultation
   - The application of robust performance management principals
   - A broader platform of more clearly targeted staff training
   - A clear focus on the needs of service users
   - Increased staff engagement

6. Successful implementation of these activities means embedding them within the corporate culture which they are designed to affect. Therefore the OD Strategy requires a significant breadth of support and involvement.

**Issues arising during discussion:**

- There have been a number of activities over the last few years in relation to organisational development and the strategy brings these strands of work together in a single rational document to develop and embed the work around performance development and supporting the workforce.

- There will be a broader delivery/ownership of the strategy across the organisation by Managers rather than being led out by HR.

- The Board acknowledged that the programme is ambitious but that it has adopted the correct approach of not being a standalone area of work.
• The need to ensure that staff are aware of the existence and independence of the Whistleblowing Policy.
• The Board welcomed the development of a coaching strategy.
• In response to a question raised around formal staff suggestion scheme it was confirmed that SCRA currently has a staff suggestion box.

**Agreed:**
1. To approve the Organisational Development Strategy and Associated Action Plan.
2. To keep the Board up to date on progress of the OD Strategy Action Plan.

**17. Records Management Plan**
The Head of Practice & Policy introduced the report which detailed the progress on preparation of SCRA’s Records Management Plan.

**Noted:**
1. The Public Records (Scotland) Act 2011 (PRSA) came into force in 2013, and fulfils one of the main recommendations of the 2007 Historic Abuse Systemic Review (the Shaw Report). The PRSA requires that public authorities prepare and implement a Records Management Plan (RMP), and keep it under regular review. Where authorities fail to meet their obligations under the PRSA, the Keeper of the National Records of Scotland (NRS) has powers to undertake records management reviews and issue notices for improvement.
2. NRS contacted SCRA on 5th January to give notice that the Keeper would be writing to SCRA and the Principal Reporter received a formal invitation on 1 July 2015 to formally invite SCRA to submit its RMP. The deadline for submission is 30 November 2015. NRS has agreed that SCRA and the Principal Reporter can submit a joint RMP.
3. The RMP is not simply a document, authorities must demonstrate and provide evidence that they have addressed each element or, if they have not, of progress in meeting the required standard.
4. The preparation and submission of the RMP is part of SCRA’s Business Plan for 2015-16. It will be a significant piece of work for the Information and Research Team. It also requires inputs from other Head Office teams and all Localities.
5. In addition to the Records Management Plan, the Records Management Policy will require revision. This is mainly due to the requirement to include the transfer of records to NRS for permanent preservation.

6. Work undertaken to date includes:
   - Definition of the types of records and evidence to be included in the RMP.
   - Identification of locality and Head Office leads
   - Scoping exercise of all records held in Localities, Business areas and Head Office teams (including all committees/groups and the Board and its committees).

7. Programme of Work from September-November 2015
   - Collation of records and evidence – by 11th September
   - Production of RMP – by 2nd October
   - Revision to the Records Management Policy - by 2nd October
   - Submission of RMP to Keeper and publication on SCRA’s web site – by 30 November 2015

Issues arising during discussion:
- The draft Records Management Plan has now been drawn up and is being finalised.
- It has been an extremely helpful exercise for the organisation in relation to re-confirming retention schedules and destruction arrangements.
- There is a mechanism in place to keep the Records Management Plan under review – it will be monitored via the IG Leads Group and annual progress report will be presented to the Executive Management Team.

Agreed:
1. To remit approval of the Records Management Policy to the Executive Management Team.
2. To remit approval to the Principal Reporter/Chief Executive to sign off the final Records Management Plan for submission to the Keeper of the Records of Scotland.
3. The final Plan will be circulated to Board members.

<table>
<thead>
<tr>
<th>Timescale</th>
<th>Action</th>
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<tbody>
<tr>
<td>Nov 15</td>
<td>MS/JMcD</td>
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</table>
18. **Health & Safety Update**  
The Principal Reporter/Chief Executive spoke to the health and safety update report.

**Noted:**  
1. The health and safety risk profile for SCRA continues to be low. Following a potential minor spike in the instance of physical assault and verbal abuse early in 2014, the picture has settled back into a pattern of very few instances of violence.  
2. Key areas for Health & Safety this year have been the inspection of premises to assess risks from violence, a national protocol for police attendance at hearings centres and the Healthy Working Lives initiative.  
3. So far this year 9 incidents have been reported. This compares favourably with 2014-15 (32 in the same timeframe) and 2013-14 (12 in the same timeframe). It should be noted that the relatively large number at the start of 2014-15 settled back down again for the rest of the year.  
4. The only RIDDOR reportable incident this year relates to a member of staff who was punched in the arm. The incident became reportable because the member of staff took 7 days off after the incident complaining of migraine. Following discussions with the staff member, we believe that the migraines were not related to the assault.  
5. All health & safety policies are up-to-date and are subject to regular review.  
6. In order to more easily meet our statutory requirements for health & safety training, SCRA has subscribed to a health & safety e-learning bundle. This becomes live in September and will allow us to track and record attendance at health and safety training.  
7. SCRA are in negotiations with Police Scotland to agree a national protocol for police attendance at hearings centres when there is an assessed risk of violence.  
8. SCRA secured the Healthy Working Lives bronze award in June 2015  
9. The Health & Safety Adviser has embarked on a programme of inspections of all SCRA properties to check local arrangement for reducing the risk from violent incidents. This is a large programme of work likely to take up to two years.
**Issues arising during discussion:**
- The reduction in the number of violent incidents was noted.
- Positive feedback has been received from Police Scotland on the national protocol for police attendance at hearings centres – the protocol is currently with Police Scotland who have undertaken to provide feedback on the document.
- The Board welcomed the introduction of the e-learning health and safety package.

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<th>Timescale</th>
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19. **New Risks Noted:**
No new risks were identified – risks around the budget and workforce have already been captured on the Strategic Risk Register.

20. **Dates of Future Meetings:**
- Joint SCRA/CHS Board Meeting, Canongate Youth Project Edinburgh – 29 October 2015
- Board Development Day 5 November 2015 – Livingston
- Staff Event 12 November 2015 – Royal Concert Hall, Glasgow
- Routine Board Meeting 10 December 2015
### Board Action Log as at December 2015

<table>
<thead>
<tr>
<th>Meeting Date/ Item</th>
<th>Action</th>
<th>Timescale</th>
<th>Owner</th>
<th>Comments</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/12/14 Minute 25/9/14</td>
<td>Chair to confirm Board lead for partnership</td>
<td>Jan 15 By Autumn 15</td>
<td>CW</td>
<td>Discussions with members continue, links are being maintained with UNISON via the chair and by attendance as an observer of the Branch Secretary</td>
<td>Progressing</td>
</tr>
<tr>
<td>26/6/15 Disposal of Gladstone Place, Stirling</td>
<td>Review of process to be undertaken to in terms of any lessons learned.</td>
<td>Sept 15</td>
<td>EM</td>
<td>Lessons from negotiations with 1st purchaser have influenced negotiations with 2nd purchaser</td>
<td>Complete. Successful conclusion to negotiations with 2nd purchaser on 11 November 2015</td>
</tr>
<tr>
<td>26/6/15 Board Dev Day Note</td>
<td>Report to be prepared on SCRA's role as Corporate Parent – how SCRA will discharge duties and integrate into day to day work + how corporate parenting will work in relation to UNCRC.</td>
<td>Nov 15</td>
<td>MS</td>
<td>Briefing Note discussed at November Development Day. Training Session to be organised early in the new year.</td>
<td>Complete Underway</td>
</tr>
<tr>
<td>26/9/15</td>
<td>Meeting to be arranged with Minister</td>
<td>Dec 15</td>
<td>CW</td>
<td></td>
<td>Complete</td>
</tr>
<tr>
<td>5/11/15</td>
<td>Briefing Note to be prepared for meeting</td>
<td>Nov 15</td>
<td>CW/NH</td>
<td></td>
<td>Complete</td>
</tr>
<tr>
<td>Meeting Date/ Item</td>
<td>Action</td>
<td>Timescale</td>
<td>Owner</td>
<td>Comments</td>
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<tr>
<td>26/9/15</td>
<td>Contact with new Chair of COSLA Children &amp; Young Peoples Group</td>
<td>Nov 15</td>
<td>NH</td>
<td>SCRA/CHS presented to Children and Young People's Executive Group in November 15</td>
<td>Complete</td>
</tr>
<tr>
<td>26/9/15</td>
<td>Discussion on Spending Review to be scheduled for November Development Day</td>
<td>Nov 15</td>
<td>CW/NH</td>
<td></td>
<td>Complete</td>
</tr>
<tr>
<td>26/9/15</td>
<td>Discussion on themes for Business Plan to be scheduled for November Development Day</td>
<td>Nov 15</td>
<td>LB</td>
<td></td>
<td>Complete</td>
</tr>
<tr>
<td>26/9/15</td>
<td>Update report on engagement with Partners from the Participation Officer to be scheduled for a future Board meeting</td>
<td>March 2016</td>
<td>NH/MMcI</td>
<td>Schedule into workplan</td>
<td>Not yet due</td>
</tr>
<tr>
<td>26/9/15</td>
<td>Final Records Management Plan to be circulated to Board Members.</td>
<td>Nov 15</td>
<td>MS/JMcD</td>
<td></td>
<td>Complete</td>
</tr>
<tr>
<td>5/11/15</td>
<td>Risk Reference Group – joint session with Audit Committee to be organised Spring 2016</td>
<td>Spring 2016</td>
<td></td>
<td></td>
<td>Not yet due</td>
</tr>
<tr>
<td>Meeting Date/Item</td>
<td>Action</td>
<td>Timescale</td>
<td>Owner</td>
<td>Comments</td>
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<tr>
<td>5/11/15</td>
<td>Updated Training Plan to be circulated to Board Members</td>
<td>Nov 15</td>
<td>CW</td>
<td></td>
<td>Complete</td>
</tr>
<tr>
<td>5/11/15</td>
<td>Board Appraisal Feedback to be circulated to EMT</td>
<td>Nov 15</td>
<td>JMcD</td>
<td></td>
<td>Complete</td>
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<tr>
<td></td>
<td>Appraisal document to be updated following completion of the two</td>
<td>Jan 16</td>
<td>CW</td>
<td></td>
<td>Not yet due</td>
</tr>
<tr>
<td></td>
<td>remaining Board member appraisals</td>
<td></td>
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<tr>
<td>5/11/15</td>
<td>Digital Strategy presentation to be scheduled for June 2016 Board</td>
<td>June 2016</td>
<td>JMcD</td>
<td>Scheduled into workplan</td>
<td>Complete</td>
</tr>
<tr>
<td>5/11/15</td>
<td>Update on new grounds for referrals to be scheduled for April</td>
<td>April 2016</td>
<td>JMcD</td>
<td>Scheduled into workplan</td>
<td>Complete</td>
</tr>
<tr>
<td></td>
<td>Development day</td>
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<tr>
<td>5/11/15</td>
<td>Performance Management Review report to be scheduled for June and</td>
<td>June/Dec 2016</td>
<td>JMcD/SOM's</td>
<td>Scheduled into workplan</td>
<td>Complete</td>
</tr>
<tr>
<td></td>
<td>December 2016</td>
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</table>
Scottish Children’s Reporter Administration
Minutes of SCRA Board Development Day
held on Thursday 5 November 2015 at West Lothian Civic Centre, Livingston

Present:
Carole Wilkinson (Chair), Malcolm Dickson, Andrew Miller, Bernadette Docherty, Catherine Robertson, Andrew Menzies, Anela Anwar

In attendance:
Neil Hunter, Lisa Bennett, Ed Morrison, Janis McDougall

Apologies:
Apologies were received from Douglas Yates

Item 6 Tom Philliben
Central Locality Management Team

<table>
<thead>
<tr>
<th></th>
<th>Board Development Day Note 16 April 2016 &amp; Action Plan</th>
<th>Timescale</th>
<th>Action</th>
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<tbody>
<tr>
<td>1.1</td>
<td>The note and action plan were reviewed.</td>
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<tr>
<td></td>
<td><strong>Noted:</strong></td>
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<tr>
<td></td>
<td>1. The Board previously agreed the minute of the Development Day held on 16/4/2015 at its June Board meeting.</td>
<td>Early 2016</td>
<td>NH/JMcD</td>
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<tr>
<td></td>
<td>2. Risk Reference Group – it is intended to involve Audit Committee members in a joint session – timing spring/early summer.</td>
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<td></td>
<td>3. The Board Training Plan had been reviewed at the April Board Development Day.</td>
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<td></td>
<td>4. The role for Board members to work alongside Managers in implementing the Organisational Development Strategy as well as SCRA’s role as a corporate parent. These issues will be progressed through the leadership programme.</td>
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<tr>
<td></td>
<td><strong>Agreed:</strong></td>
<td>Nov 15</td>
<td>JMcD</td>
</tr>
<tr>
<td></td>
<td>1. Updated Board Training Plan to be circulated to Board Members. (The Plan had been reviewed at the April Development Day).</td>
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<tr>
<td></td>
<td>2. The 12 Year Data Analysis is an exercise worth repeating every two or three years.</td>
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</table>
| 1.2 | **SCRA/CHS Joint Board Meeting**  
**Noted:**  
The joint Board meeting had provided an assurance around the joint programme of work being undertaken by both organisations. | Timescale | Action |
|-----|-------------------------------------------------|---------|--------|
| 1.3 | **Board Member Recruitment**  
**Noted:**  
1. The recruitment process is now underway for two new Board members.  
2. There has been a significant amount of activity on social media and several telephone enquiries. The closing date for receipt of applications is 20 November 2015. | | |
| 1.4. | **Summary of Feedback from Board Member Appraisals 2014/15**  
Board members reviewed the summary appraisal feedback document prepared by the Chair.  
**Issues arising during discussion:**  
- Digital Strategy – the joint board presentation had been extremely useful in helping Board members understand at a high level, the work underway. It would be useful to have a further discussion following conclusion of the “discovery phase”. All members agreed that it had highlighted the need for Board member expertise in this area.  
- The need to keep in focus that participation and engagement remains at the heart of the children’s hearing system in the face of increasing financial pressures.  
- Update on the new grounds for referrals to be provided for Board members.  
**Agreed:**  
1. The summary appraisal feedback from recent Board member appraisals.  
2. The summary document will be updated following completion of the two remaining Board member appraisals.  
3. Appraisal feedback document to be circulated to Executive Management Team members.  
4. Digital Strategy presentation to be scheduled for June 2016 Board.  
5. Update on new grounds for referrals to be scheduled for April Development Day. | By Jan 16 | CW  
Nov 15 | JMcD  
June 16 | JMcD  
April 16 | JMcD |
### 2.1 Horizon scanning

The Board reviewed its current risk appetite and identified high-profile policy areas.

**Issues arising during discussion:**
- In times of financial pressures there may be an appetite to take a more hungry versus cautious approach.
- Financial and operational risks are inextricably linked.
- The organisation will need to look at statutory and non-statutory functions in face of competing financial/service delivery pressures.
- There may be opportunities to look at more radical options – as an example to review the balance between Reporter and Assistant Reporter numbers.
- As an organisation we have committed to be more front facing with a commitment to enhanced customer focus. Less face to face contact and a move to an online service is not a service delivery/financial saving option.
- It would be useful to track the Reporter role and responsibilities and detail the level of face to face contact required.

**Noted:**
1. As referenced earlier in the meeting, plans will be made to hold a joint session involving Audit Committee members and the Risk Reference Group.
2. The recent Risk Reference Group had reviewed the current risk appetite and there was a general consensus that the definitions within each category were broad enough to allow flexibility within the groupings.
3. There will be a further opportunity to review the risk appetite as part of the revised Risk Management Policy due for approval at the February Audit Committee.
4. Current high profile policy areas for the organisation were identified as follows:
   - Stop and Search
   - Children’s Rights
   - Minimum Age of Criminal Responsibility
   - 16/17 Year Olds
Agreed
1. To retain the current risk appetite as follows:

<table>
<thead>
<tr>
<th>Type of Risk</th>
<th>Risk Appetite</th>
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<tbody>
<tr>
<td>Strategic/Policy Risk</td>
<td>Open to Cautious</td>
</tr>
<tr>
<td>Operational/Service Delivery Risks</td>
<td>Minimalist to Cautious</td>
</tr>
<tr>
<td>Finance Risk</td>
<td>Minimalist to Cautious</td>
</tr>
<tr>
<td>Reputational/Credibility Risks</td>
<td>Open to Cautious</td>
</tr>
<tr>
<td>Accountability/Governance Risks</td>
<td>Open to Cautious</td>
</tr>
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2. The Board will link in with the future Young People’s Board in relation to risks.

2.2. Board Shadowing Opportunity
The Chair advised that, as part of the Institute of Directors scheme to provide opportunities for working women to be on Boards, she had met with a young woman who was interested in shadowing SCRA Board. Her background is in community education and she is involved in health initiatives helping young people.

Agreed:
To offer the shadowing opportunity and note that this was a positive move for the organisation and that SCRA would also benefit in terms of two way feedback.

2.3. Corporate Parenting Update
Noted:
1. The Update Note which set out the detail of Corporate Parenting Duties.
2. Arrangements to hold joint training sessions for both Boards and Senior Management Teams are being explored.

Issues arising during discussion:
- Corporate Parenting as described feels global and less about the individual child or GIRFEC
- SCRA’s piloting of the new style hearing room was highlighted as a positive example by Who Cares? Scotland
- The need to raise the profile of the Participation and Engagement Group and in particular highlight the areas of activity underway.
- The corporate parenting role as it relates to SCRA is very specific – the Reporter is acting as an agent of the state where the needs of the child are paramount.
- The Board need to feel equally able to participate and engage in corporate parenting duties

Agreed:
Arrangements to be progressed to hold a training session in January 2016. Once date is confirmed, invitation to be extended to CHS.
3. **Spending Review – Draft Submission**  
Ed Morrison spoke to the updated note on SCRA’s draft Spending Review submission 2015.

**Issues arising during discussion:**
- At the Finance accountability meeting held last week the following feedback on draft spending review scenarios was given
  - slight surprise at percentages used in scenarios – others are looking at 5 to 10% reductions (although the message from Sponsor Team had been to reflect scenarios of 2 and 5%)
  - the need for a starker message on the impact on children and families with particular reference to delay and through delay, direct risk to children
  - reference the options considered and in particular any options to do things radically different.

- In relation to cost pressures, it is anticipated that public bodies will be expected to absorb increased pay/pension costs.

- Digital Strategy – Sponsor Team have requested fuller detail – revenue and capital figures will be refined and sent to the Finance Sponsor Team. A business case is being developed and will be presented in February 2016.

- The final spending review submission to be limited to two pages with sharp, focused messages.

- In the light of severe budget reductions for SCRA it is likely that scenarios involving compulsory redundancies would need to be considered – this is at odds with current government policy and the Board’s own position – reference to this to be included in the submission

- SCRA has faced a disproportionate reduction in real terms – 18% compared with Scottish Government overall 11%. Reference should be made to the significant savings/reductions already made by SCRA.

- The need to protect the Reporter decision-making function. Thresholds for referral are set out in the Act – in practice that can vary but that does come with risks.

- The organisation is on an improvement journey to sustain performance and improve quality and needs to be supported to deliver the improvements.
• The need to specifically detail the impact on delay – work is underway to demonstrate via case scenarios of children at each stage and quantifying risk

• The nature of work is face to face and to deviate from that will lead to a reduction in service

• The information has now been captured and an analysis undertaken of what is needed to keep the organisation sustainable. The next step is to clarify what the organisation will stop doing whilst maintaining its statutory role.

• The impact of local government pay settlements will affect UNISON’s pay submission (currently being prepared)

• Where statements are made within the paper e.g. breaches will increase – this needs to be quantified – why will they increase, what is the risk and impact. This should also include the impact on the workforce in terms of quality standards, morale, motivation.

• In seeking a system-wide solution to increasing translation and interpretation costs the organisation needs to make sure it does not contravene human rights.

• The current policy to support long term absences in the case of serious illnesses on full-pay may need to be revisited in the context of reduced resources.

• Plans are also being developed for a standstill budget.

Agreed:
The draft submission to be finalised taking account of the discussions above with a view to producing a two page document with clear, sharp messages, case scenarios and all statements qualified with impact and risks detailed.
4. **Draft Business Plan 2016/17**

Lisa Bennett spoke to the draft Business Plan for 2016/17 highlighting the work to date and that the key message for this Plan is about delivery/sustainability.

**Issues arising during discussion:**
- The key message on delivery/sustainability reflects and links to the discussions held earlier in the meeting.
- The plan spans conclusion of the 2014/17 Corporate Plan and is about following through on previous commitments.
- It would be helpful to reference items removed from our Business Plan in the spending review paper. The Board confirmed that Children and Young People’s participation is a key priority.
- Activities could usefully be prioritised within the plan - start with business critical activities and work back from that point.
- The draft plan will be circulated to staff to identify themes and localities are already starting to consider 2016/17 performance targets and the need to stretch these wherever possible.
- Localities will move to 3 year plan to align with corporate plan.
- Use research findings where appropriate in the spending review document.

**Agreed:**
The draft Plan was in line with the organisation’s strategic direction but further consideration to be given to priorities.

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5. **Performance Reviews**

Tom Philliben gave a verbal update on the recent Performance Management Reviews.

**Noted:**
1. The first phase of performance review meetings have now been held. This was a labour intensive exercise undertaking the reviews within a fortnight but it had been useful to keep meetings together, and for both SOMs to attend all of them, in terms of learning from one to the other.
2. The meetings provided an opportunity to formally challenge local plans and status check on delivery of objectives as well as giving an assurance around locality management of staff/resources/performance.
3. Translation and interpretation is a national issue.
4. There has been cross locality sharing of ideas and cluster groups to manage operational pressures.
5. Performance has been good and in areas where there is room for improvement this is being actively managed.
6. The results of the staff survey and the children and families survey are feeding into locality plans.
7. The key now will be to keep managers motivated to continue the improvement journey. The move to align locality plans with the three year business plan cycle will assist with looking further ahead.
8. There is a recognition that the performance review meetings sit alongside the supervision framework and individual level performance management.
9. For the future, arrangements will be reviewed around the admin process for the review meetings.
10. All localities have acknowledged the excellent support from the data team and business partners.
11. Themes to emerge from the meetings include:
   - Localities do worry about demand led activity impacting on budget.
   - Translation and interpretation practice varies across localities and there is a need for a standard approach.
   - There are areas for improvement and these have been recognised and will be acted upon.
   - Operational pressures are significant and in relation to non-disclosure and data breaches even the most reliable members of staff are making mistakes.
   - Cross locality support is working well.
   - The focus now is to create a climate where ambition can be progressed.

**Issues arising during discussion:**

- There is now an openness around cross locality working with staff pro-actively contacting Managers to offer assistance and a move away from the focus being on locality performance to looking at wider/national organisational performance.
- As well as proactive assistance there is evidence of sharing of views/practice to improve performance: peer consultation/discussion/debate. It has also provided opportunities for two way learning: Senior Operational Managers/Managers.
- The Board noted the potential impact in terms of managing performance if the organisation moved to stop non-statutory work around data.
- The assurance/information gathered as part of the formal performance reviews justified the amount of effort in undertaking the meetings. These are part of a suite of information tools to drive change and efficiencies and gather evidence about improvements, impacts and benefits.
- The Senior Operational Managers have gained a level of assurance from the meetings – there were no surprises.
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**Agreed:**
In terms of reporting on future performance reviews, formal standalone report to be scheduled for first two reports, to be reviewed thereafter.

**Note:**
The Board acknowledged the significant management achievement to date around performance review arrangements.

6. **Central Locality**
The Board met informally with Central Locality staff over lunch and then held a meeting with the Locality Management Team.

The team spoke about the development work undertaken to date by the Central Locality to establish a locality identity and ensure efficient and consistent processes. The six key elements included:

1. Locality Plan
2. Identity
3. Performance
4. People
5. Partnership
6. Practice

**Noted:**
1. The Locality plan is reviewed at every Locality Team meeting.
2. There are now regular LMT meetings at both sites with all managers playing an active role, working in partnership with each other and staff feedback demonstrates there is now a confidence in the LMT.
3. Use of VC has assisted in ensuring maximum participation in team meetings rather than spending time travelling.
4. A progress group has been established to standardise panel papers, admin and support, reporter practice and cross locality working is being encouraged.
5. Positive feedback has been received from Panel Members on the quality of papers.
6. Performance discussions now take place regularly with the statistics shared with all staff. A workload equalisation exercise was undertaken and backlogs cleared. The focus now is the move towards sustainability.
7. The improvement in performance coupled with team working has increased morale considerably.
8. The 2015 staff survey results for the locality have shown the biggest improvement. Factors contributing to this include:
   - Reorganisation of working space at Ochil House.
   - Workloads are reviewed and covered across the locality.
   - Holidays and leave are discussed and managed.
   - Regular supervision sessions are held and training needs identified to help increase job satisfaction and wellbeing.
   - Staff now feel able to take part in training and staff events without the worry of impact on workloads on return to the office or upon other team members. A recent example being, this year 15 members of staff will be attending the Staff Conference – last year there was no-one from Central.
9. There is good partnership working with AST Lead Panel members and a traffic lights system is in place in relation to the Reporter scheduling hearings. LMT members attend local Panel Member training with the LSM giving a brief overview of admin procedures. This has received positive feedback. LRMUs have ongoing liaison with social workers.
10. Looking ahead – the locality have made considerable progress but there is more to do including:
    - taking the opportunity to review and set higher targets taking account of recent sustained good performance levels.
    - Optimise the skills, expertise and experience across the locality
    - Renewed focus on learning and development opportunities to make sure staff are equipped for the job.
    - Recent case sampling exercises have highlighted some quality aspects and steps are being taken to address these areas
11. A key role for the locality is the Senior Practitioner role – a recent risk workshop identified a gap in resourcing this role and a business case is being developed for a part-time senior practitioner role.
12. The savings target of 2.8% is currently being met due to vacancy management.
13. In terms of the locality workforce profile, the management team are looking at reporter/assistant reporter ratio as well as consideration of the unequal mix of experience and skills at each site. South East are currently assisting Central Locality in the form of a half-time Locality Reporter Manager.

14. There is a balance to be struck between savings and operational need and most importantly what price quality.

15. CMS has assisted with workloading issues but there are limits to flexibility of workforce – distance, financial travel costs. Half of the locality hearings are outreach.

16. Team work will continue to achieve stabilisation of caseload with individual and collective responsibility across the locality.

17. There has been more transparency around workload data which helps understanding of spikes in performance. (Note – the Locality Team acknowledged the exceptional support from the data team which has driven the team forward as a locality). Excellent support has also been provided from business partners.

18. As a management team there is a commitment to continuous improvement and to be part of a high performing locality – rather than being the last in line to achieve targets the locality wants to be at the forefront.

**Issues arising during discussion:**

- There has been a transformational difference in teamwork which has been evidenced by improved performance and staff survey results and the appetite for improvement was particularly acknowledged.

- In response to a question about what had made the difference in reducing the number of breaches, the team reported:
  - the transparency with staff around breach occurrences alongside the focus being to learn from mistakes and improve rather than a “blame culture”.
  - the introduction of double checks in the process.
  - The use of stickers on envelopes with return details
  - Adherence to timescales for receipt of reports and deadlines for issue of mail
  - Taking time to do the task rather than rush things and make a mistake
  - The LMT now take collective responsibility for performance and issues are discussed as a group.
  - The LSM now takes on more of a managerial role than previously.
The locality have embraced the need for performance and quality – it is not just about numbers and are now turning their attention to properly equip and support staff to sustain performance.

Translocality working provides opportunities for staff development, sharing ideas/practices.

Court work continues to be a challenge both in terms of resourcing and budgets and the Court Project will pick up these issues nationally.

Liaison continues with the Scottish Legal Aid Board to address specific issues.

SCRA is committed to locality relationships with local authorities but is looking to innovative ways of cross boundary working.

Carole Wilkinson thanked the team members for describing the history of the locality and for their honesty and commitment around developments and improvements and acknowledged the significant progress made. Equally impressive was the commitment to continuous improvements and identification of the next steps for the locality as a whole.

7. **Ministerial Meeting – 10 December 2015**

Agreed:

1. The focus for the meeting will be on what the organisation requires to sustain delivery of a safe and effective service to include reference to:
   - When previously asked, the organisation has produced efficiencies and reduced headcount.
   - The organisation is now in a lean state having reduced Head Office and Manager level posts.
   - In the light of the above, to further reduce will mean desperate decisions for the organisation.
   - Major on finance linked to issues of workforce.
   - Where we sit in continuum that exists to safeguard children.
   - Link to work with children and young people.
   - Improvements, quality.
   - Raise attainment – looked after/vulnerable children.

2. A brief update on CMS to be prepared for Minister.

3. The Board need to continue to give the message to staff that the Board is supportive and will do everything to ensure the organisation is appropriately resourced

4. Programme for 10 December:
   - Meet with Minister
   - Remuneration Committee
   - Routine Board meeting

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Board Committee Membership

Report prepared by: Carole Wilkinson, SCRA Chair  
Date: 24 November 2015

Recommendation:
The Board is asked to approved the revised Committee Membership with effect from 1 January 2016

Reason for Report: Board approval
Resource Implications: Within available resources
Strategy: Within agreed plans
Equalities Duties: Equalities Impact Assessment not required
Document Classification: Not protectively marked
1. **Background**
   1.1 The Board, as part of its governance structure has the following Committees:
   - Risk and Audit Committee
   - Remuneration and Succession Planning Committee
   - Appeals Committee
   - Nominations Committee.

2. **Succession Planning**
   2.1 The Board will have two vacancies in May (the recruitment process is currently underway).
   2.2 As part of succession planning arrangements the Chair has reviewed Committee membership and has consulted the two departing members with a view to relinquishing their respective Chair roles of Audit & Risk and Remuneration & Succession Planning Committees to allow a transition period and continuity of service.

3. **Committee Membership - Proposed Changes**
   3.1 **Audit & Risk Committee**
   It is proposed to appoint Andrew Menzies as Chair and Bernadette Docherty as Depute.
   Following Board recruitment, one new member to be appointed to Committee to replace Malcolm Dickson.

   3.2 **Remuneration & Succession Planning Committee**
   It is proposed to appoint Catherine Robertson as Chair.
   Following Board recruitment, one new member to be appointed to Committee to replace Andrew Miller.

   3.3 **Nominations Committee**
   The new Chair of Remuneration & Succession Planning will become a member of the Nominations Committee.

   3.4 **Appeals Committee**
   No changes are proposed.

   3.5 **Commencement Date**
   The changes in membership will take effect from 1 January 2016 and revised Committee membership is attached as an appendix to this report.
   The departing Chairs will remain a member of their respective Committees until the conclusion of their term of appointment in May 2016.

   3.6 **Review Date**
   As mentioned above, a further review of membership will be undertaken following appointment of the two new members.

4. **Recommendation**
   4.1 To approve the revised Committee membership as detailed in the Appendix to the report.
SCRA COMMITTEE MEMBERSHIP (effective from 1 January 2016)

Audit & Risk Committee
Andrew Menzies (Chair)
Bernadette Docherty (Deputy Chair)
Catherine Robertson
Malcolm Dickson (until May 2016 then vacancy to be filled)

(SCRA Chair and Principal Reporter/Chief Executive ex officio members)

Remuneration & Succession Planning Committee
Catherine Robertson (Chair)
Douglas Yates
Andrew Miller (until May 2016 then vacancy to be filled)

Appeals Committee
Bernadette Docherty (Chair)
Douglas Yates
Vacancy

Nominations Committee
Carole Wilkinson (Chair)
Catherine Roberson
Anela Anwar
Sponsor Team Representative, Scottish Government
SCOTTISH CHILDREN’S REPORTER ADMINISTRATION

Chief Executive’s Report

Accountable Director: Neil Hunter

Date: 10 December 2015

Recommendation:
1. To note the content of the Chief Executive’s Report

Reason for Report: At request of Board

Resource Implications: n/a

Strategy: n/a

Equalities Duties
Indicate whether an Equalities Impact assessment is required and has been completed. Describe in the body of the report any issues/findings/adjustments that have been made.

Equalities Impact Assessment Required/Completed

☐ Yes

☒ No

Issues/action points:- update report only, no policy, practice or financial consequences/implications

Document Classification: Not protectively marked
1. **National Partnership Forum**

1.1 The Partnership Forum took place in late November. Key issues which were subject to detailed discussion were:

- Establishment of the management standards implementation group with the welcome involvement of UNISON

- The first series of meetings of the re-established Head Office Partnership Forum

- Updates from the joint substructure of the Partnership Forum covering health and safety, health and well-being, equalities and staff survey results/action planning

- Noting the SCRA Communications Strategy and the multi method/multi channel delivery plan

- A detailed discussion on the financial position of the organisation in year 15/16 and a forward glance at the potential scenarios being planned for as a result of the Scottish Government spending review decisions

- Concerns raised by UNISON on a perceived pattern of over-runs and general time management issues concerning children’s hearings across the country. This will be assessed by the joint CHS/SCRA Hearings Management Group.

- Concerns and feedback from members about the recently introduced national Hearings Arrangement Form – which replaces all local variations of such forms. A number of trials and evaluations have been undertaken by the National Users Group (NUG). Despite this there remain a number of concerns about the usefulness and design of the form. However it was agreed that the additional comments from UNISON members about suggestions for further improvement were welcomed and valuable and would be advanced by NUG. Standard approaches to core processes and supplementary forms etc. have been part of a long standing commitment in SCRA and in agreement with UNISON in order to progress in relation to initiatives such as e-papers and other efficiency initiatives, but has been difficult to achieve across the country. The joint approach with the trade union in improving the acceptability of approaches is very helpful.

2. **Strategic Partnerships**

2.1 **CoSLA**

2.2 CHS and SCRA presented jointly to the CoSLA Children and Young Peoples Executive Group in November. The event was worthwhile and a number of issues were raised by members:

- Composition of the Panel members and ongoing efforts to ensure representativeness with the wider Scottish population.
• The CHS and SCRA view on raising the minimum age of criminal responsibility
• The split and current/future likely trends between offence and welfare referrals to SCRA and levels no further action decisions by Reporters
• A commitment sought to retain the existing number of 22 ASTs
• The current and future role of LA Members on AST’s

2.3 SCRA Board members will note the correlation between many of these issues and those discussed in detail with CHS at our recent joint meeting of the two Boards. The PR/C and National Convenor will retain an open dialogue with CoSLA officers.

2.4 Children’s Hearings Improvement Partnership (CHIP)

2.5 The CHIP met in early December. Key agenda items covered were:

• The first level analysis of the SLAB commissioned research in relation to Solicitors in Hearings
• How best to make the biggest impact with the new guidance for those involved in the Hearing System about young people’s views ‘Helping me make choice’s about how best to take part in my children’s hearing’ – produced by the CHIP Evidence and Improvement sub group (see appendix 1 – full copies will be mailed to members)
• Planning for a CHIP GIRFEC event in spring 2016
• Re-launch by Scottish Government (SG) on behalf of CHIP, of the revised good practice guide on Non-Disclosure Measures. This will be linked to Local Authority Partnership reporting arrangements on implementation due to come to SG in March 2016.
• Reports from the GIRFEC, Learning & Development, Permanence and Evidence into Practice workstreams
• Received a report on progress in relation to the establishment of a young people’s Board

3. Young People’s Board

3.1 Members will note that there is currently no resource available for this development and no firm commitments available from SG. Nonetheless we have had initial discussions with potential charitable funders – one of whom is known to be extremely positive about the development – with a clear emphasis on putting young people at the heart of the governance of the Hearing System.

3.2 Over and above this SCRA, thorough our own (albeit unbudgeted) resources have now appointed a part time secondee via SCRA to create some initial capacity and organisational momentum. This post will commence in January 2016 and will immediately draw the reference group back together to re-instate work programmes towards September 16
3.3 In 2016 our priorities will be:-

- Develop and investment plan and establish an infrastructure for the Board (staffing, budget, office/IT facilities etc)
- Seek a range of statutory and non statutory funding – likely to be a resource match process
- Recruit and appoint initially 12 young people to the Board. They will be appointed by the CHIP for a specific period of time and the age range will be specified as a result of ongoing discussions via the reference group.

4. Information & Research

4.1 Malcolm Schaffer and Gillian Henderson attended first meeting of CHIP Permanence Workstream on 26/10/2015.

4.2 Records Management Plan

4.3 The Principal Reporter and SCRA submitted their Records Management Plan (RMP) to the National Records of Scotland on 17/11/2015 for approval by the Keeper of the Records of Scotland. The RMP was published on SCRA’s web site and Connect on 24/11/2015.

4.4 Requests for information

4.5 In the period 05/092015 – 26/11/2015:

- SCRA received five requests under the Freedom of Information (Scotland) Act 2002. The average time taken to respond was 8.7 working days. One response took longer than the 20 working day timescale.

4.6 One request from Equality Here, Now for information on the pay gap between men and women employees in SCRA was published in their report ‘Equal Pay Gaps in Scotland’s Public Bodies’ in November 2015. There was a request via What Do They Know for information on SCRA’s IT services and providers, one from ScotlandMail on SCRA’s disciplinary policy and procedures, and two requests from students.

4.7 SCRA received seven subject access requests under the Data Protection Act 1998. Six were from parents of children referred, one was from a solicitor acting on behalf of a parent. The average days taken to respond was 22.5. One request took longer than the 40 calendar day timescale.

4.8 PVG requests

In the period 05/09/2015 to 25/11/2015, SCRA received four requests from Disclosure Scotland. All were responded to within 28 days. Three were about parents of children who have been referred, and one was for information on the referral of an individual as a child.
4.9 Research

4.9.1 SCRA’s National survey of Children and Families 2015 was published on 29/10/2015. The survey will be repeated in April 2016 to improve geographical coverage and numbers of respondents.

4.9.2 The report on the survey of the Well-being of Supported Young People in Scotland was also published on 29/10/2015. The survey was developed with supported young people, and looked at the extent to they consider themselves to be Safe, Healthy, Achieving, Nurtured, Active, Respected, Responsible and Included (SHANARRI). This is the first time that a survey of supported young people’s views on their well-being has been mapped to the SHANARRI indicators.

4.9.3 SCRA’s research on Non Disclosure Conditions in the Children’s Hearings System was completed in September 2015 and is being shared with the CHIP on 01/12/2015. It will be published shortly after this. The research examined the application of Non Disclosure conditions by Panel Members and Reporters.

4.9.4 The research report Permanence planning and Decision Making for Looked After Children in Scotland: Adoption and Children (Scotland) Act 2007 was published by SCRA and the Scottish Government on 03/12/2015. It was launched at the National Permanence Event in Ayr that day, presented by Gillian Henderson. A supplementary report on children identified at risk at of before their births was also published on 03/12/2015.

5. Head of Practice and Policy

5.1 The Head of Policy and Practice has undertaken a number of notable activities in the last period including:-

- attended a conference with the SOM (North and West) on complaints organised by the Scottish Public Services Ombudsman
- attended partnership advisory forum of Police Scotland risk and concern hub
- attended advisory group on Minimum Age of Criminal Responsibility (MACR) organised by SG
- attended Kilbrandon lecture
- with the Research and Information Manager met officers of the Historic Abuse Enquiry to discuss requirements of SCRA
- attended permanence event at Ayr where SCRA research being launched
- contributing to sheriff training on appeals organised by Judicial Institute

6. Head of Strategy/OD

6.1 There has been a focus on the spending review and further development of the business plan through some extended engagement within the networks.
6.2 Attended CELCIS masterclass on Implementation Science with particular emphasis on multi agency application of SHANARRI indicators – looking at some of the learning and its relevance to our project development.

6.3 EMT members from support services on rotational basis will chair meetings of Head office managers to ensure good, consistent lines of communication and to serve as consultative group – initial meeting held with positive feedback, next meeting organised for new year to include practical session on team planning.

6.4 Quality and Performance Team review underway – Iain Gault has joined as Business Integration and Performance Manager, Donald Lamb acting up as Data Manager on temporary basis and the review will conclude by end December 2015

7. **Senior Operational Managers**

7.1 The Senior Operational Managers’ regular report will now be incorporated into a twice annual formal report to the Board on the outcome of Locality Performance Reviews. The first of these reports will be due in January 2016.
Helping me make choices about how best to take part in my Children’s Hearing
Second Quarter Organisational Performance Report 2015/16: (1 July to 30 September 2015)
1. Introduction

1.1. This report uses a balanced scorecard approach which attributes measures within the organisation into four quadrants: service to children and young people, workload, resources and corporate governance. This provides a concise report which enables a fuller focus on the key areas of performance throughout SCRA. Continuing feedback from the Board will be used to inform future development.

1.2. Members of the Board are invited to approve the Q2 Organisational Performance Report 2015/16, covering the period 1 July to 30 September 2015.

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Key -

- **G**: Target met or exceeded or forecast to be on target
- **A**: Target nearly met or forecast to be close to target
- **R**: Target missed or forecast to be missed

Notes:

- Wherever days are used in this report, this refers to working days rather than calendar days.
- All changes are calculated using current performance against the average from the previous four quarters.
- Where a figure is referred to as the lowest/highest level on the Data Warehouse, this includes all data from 2003/04 onwards.
- Comparative graphs represent the current quarter’s information and previous four quarters information from left to right starting with the oldest quarter first.
- The range covers the minimum and maximum values seen over this period.
- The trend reflects performance changes over the period and is weighted by quarter. For example, for an increasing trend to be showing, it must have increased in the current quarter and also several of the previous quarters. One quarter’s change alone is not enough for a trend.
- Where a change is between two percentages, the change refers to percentage points rather than percentage and is referred to as pp.
## Quarter 2

### Service to children and young people

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Quarterly Results</th>
<th>Change</th>
<th>Comparative data</th>
<th>Range (min-max)</th>
<th>Trend</th>
<th>Commentary</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 1.1</td>
<td>Decisions on referrals made within 50 working days of receipt – <strong>Target 73%</strong></td>
<td>76.7% +7.6pp</td>
<td></td>
<td></td>
<td>61.9%-76.7%</td>
<td>↑</td>
<td>Performance continues to improve with the indicator well on target for the year.</td>
</tr>
<tr>
<td>N 1.2</td>
<td>Referrals over 100 days old</td>
<td>105 -74.6%</td>
<td></td>
<td></td>
<td>105-648</td>
<td>↓</td>
<td>Significantly delayed cases continue to decline in line with performance improvements above.</td>
</tr>
<tr>
<td>N 1.3</td>
<td>Hearings scheduled to take place within 20 working days – <strong>Target 74%</strong></td>
<td>66.3% -2.3pp</td>
<td></td>
<td></td>
<td>64.8%-71.4%</td>
<td>↔</td>
<td>Impacted by best practice Hearings management. Q3 showing improvements as a result of renewed focus.</td>
</tr>
<tr>
<td>N 1.4</td>
<td>Initial Hearings proceeding to disposal – <strong>Target 75%</strong></td>
<td>77.2% +0.3pp</td>
<td></td>
<td></td>
<td>74.4%-79.6%</td>
<td>↔</td>
<td>Performance returning to previous levels after quarter 1 dip.</td>
</tr>
<tr>
<td>N 1.5</td>
<td>Percentage of non-offence applications established at court</td>
<td>92.3% +0.5pp</td>
<td></td>
<td></td>
<td>89.5%-92.8%</td>
<td>↔</td>
<td>Little change in quarter.</td>
</tr>
<tr>
<td>N 1.6</td>
<td>Mid-point of days taken for offence referrals from receipt to Hearing decision</td>
<td>73 +10.3 days</td>
<td></td>
<td></td>
<td>57-73</td>
<td>↑</td>
<td>Low numbers. One child’s referrals concluding added 6 days to mid-point.</td>
</tr>
<tr>
<td>N 1.7</td>
<td>Mid-point of days taken for non-offence referrals from receipt to Hearing decision</td>
<td>114 +2.3 days</td>
<td></td>
<td></td>
<td>106-115</td>
<td>↔</td>
<td>Within the normal expected range.</td>
</tr>
<tr>
<td>N 1.8</td>
<td>Written notifications of Hearing decisions sent to children and families within 5 days</td>
<td>87.3% +7.1pp</td>
<td></td>
<td></td>
<td>74.8%-87.3%</td>
<td>↔</td>
<td>Generally positive progress being made in this measure.</td>
</tr>
<tr>
<td>N 1.9</td>
<td>Hearing's decisions upheld at appeal (appeal refused)</td>
<td>66.9% +3.3pp</td>
<td></td>
<td></td>
<td>61.5%-66.9%</td>
<td>↑</td>
<td>Improving but still impacted by appeal challenges in Glasgow locality.</td>
</tr>
<tr>
<td>N 1.10</td>
<td>Breach incidents (SCRA)</td>
<td>20 +12.7%</td>
<td></td>
<td></td>
<td>14-24</td>
<td>↔</td>
<td>Two non-disclosure and 18 case information breach incidents.</td>
</tr>
<tr>
<td>N 1.11</td>
<td>Complaints</td>
<td>12 +10.0%</td>
<td></td>
<td></td>
<td>5-12</td>
<td>↔</td>
<td>The most common category was around Children’s Hearings process and/or administration (four complaints).</td>
</tr>
<tr>
<td>N 1.12</td>
<td>All about me forms returned by children and young people</td>
<td>440 n/a</td>
<td></td>
<td></td>
<td>n/a</td>
<td>n/a</td>
<td>New measure, historical data not available.</td>
</tr>
<tr>
<td>No.</td>
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<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>N 2.1</td>
<td>Children referred on non-offence grounds</td>
<td>4,000</td>
<td>-4.8%</td>
<td></td>
<td>3,940-4,447</td>
<td></td>
<td>Ayrshire locality down 22% from Q1. Volumes are still high in the locality.</td>
</tr>
<tr>
<td>N 2.2</td>
<td>Children referred on offence grounds</td>
<td>1,028</td>
<td>-2.1%</td>
<td></td>
<td>979-1,150</td>
<td></td>
<td>Apart from spike in Q3 2014/15, numbers have been consistent.</td>
</tr>
<tr>
<td>N 2.3</td>
<td>Child Protection Orders (CPOs)</td>
<td>149</td>
<td>-13.9%</td>
<td></td>
<td>145-194</td>
<td></td>
<td>Levels stable. Volumes in Tayside &amp; Fife and Glasgow localities remain high.</td>
</tr>
<tr>
<td>N 2.4</td>
<td>Joint reports retained by Reporter</td>
<td>70.8%</td>
<td>+13.0%</td>
<td></td>
<td>55.5%-70.8%</td>
<td></td>
<td>Follows the strategic direction to reduce young people going into adult system.</td>
</tr>
<tr>
<td>N 2.5</td>
<td>Pre-Hearing Panels</td>
<td>1,112</td>
<td>+9.0%</td>
<td></td>
<td>945-1,112</td>
<td></td>
<td>Significant increases in Glasgow, Grampian and South East localities.</td>
</tr>
<tr>
<td>N 2.6</td>
<td>Number of Hearings</td>
<td>8,847</td>
<td>-2.5%</td>
<td></td>
<td>8,847-9,273</td>
<td></td>
<td>Downward trend continuing though numbers stable for past three quarters.</td>
</tr>
<tr>
<td>N 2.7</td>
<td>Court applications concluded</td>
<td>802</td>
<td>+7.5%</td>
<td></td>
<td>710-802</td>
<td></td>
<td>92 more cases concluded than Q1. Increases spread across localities.</td>
</tr>
<tr>
<td>N 2.8</td>
<td>Interim Compulsory Supervision Orders</td>
<td>744</td>
<td>+25.4%</td>
<td></td>
<td>508-744</td>
<td></td>
<td>Increases around interim orders will be monitored and also raised at the Practice and Quality Network to help identify reasons for changes. This may include impacts of cases taking a long time to get through court.</td>
</tr>
<tr>
<td>N 2.9</td>
<td>Interim Variation of Compulsory Supervision Orders</td>
<td>627</td>
<td>+18.9%</td>
<td></td>
<td>467-627</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 2.10</td>
<td>Number of Compulsory Supervision Orders in force</td>
<td>10,544</td>
<td>-2.7%</td>
<td></td>
<td>10,544-11,048</td>
<td></td>
<td>Downward trend continues, aligned to the whole systems approach/GIRFEC.</td>
</tr>
<tr>
<td>N 2.11</td>
<td>Appeals concluded</td>
<td>245</td>
<td>-1.4%</td>
<td></td>
<td>233-269</td>
<td></td>
<td>Volumes stable but remaining high in Glasgow locality.</td>
</tr>
<tr>
<td>N 2.12</td>
<td>Non-disclosure cases</td>
<td>1,224</td>
<td>-3.2%</td>
<td></td>
<td>1,224-1,301</td>
<td></td>
<td>Within SCRA and with partners, there has been a focus on more appropriate use which may be helping the decrease.</td>
</tr>
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<td>---------------------------------------------------------------------------</td>
</tr>
<tr>
<td>N 3.1</td>
<td>Conversion rate from referral to Hearing (for children not on CSO)</td>
<td>23.6%</td>
<td>+0.3pp</td>
<td></td>
<td>22.5%-24.2%</td>
<td>⬤</td>
<td>Within the normal range.</td>
</tr>
<tr>
<td>N 3.2</td>
<td>Staffing profile by FTE</td>
<td>404.6</td>
<td>-2.0%</td>
<td></td>
<td>400-420</td>
<td>⬤</td>
<td>As reported in Q1, an increase has occurred as vacancies were filled.</td>
</tr>
<tr>
<td>N 3.3</td>
<td>Percentage of working days lost to absence – Target 4%</td>
<td>4.6%</td>
<td>-0.9pp</td>
<td></td>
<td>4.0%-7.4%</td>
<td>⬤</td>
<td>Both long and short term absences have decreased from Q1.</td>
</tr>
<tr>
<td>N 3.4</td>
<td>Compliance with SCRA property standards – Target 90%</td>
<td>86.5%</td>
<td>+0.0pp</td>
<td></td>
<td>86.5%-86.5%</td>
<td>⬤</td>
<td>No upgrades/improvements included in indicator this quarter.</td>
</tr>
<tr>
<td>N 3.5</td>
<td>Forecast variance in annual revenue spends – Target 1%</td>
<td>0.8%</td>
<td>n/a</td>
<td>not applicable</td>
<td>n/a</td>
<td>n/a</td>
<td>Forecast overspend of £169k. This is primarily due to a larger-than-anticipated increase in translation costs and backfilling of staff absences.</td>
</tr>
<tr>
<td>N 3.6</td>
<td>Forecast revenue savings achieved in year – Target 2.8%</td>
<td>1.6%</td>
<td>n/a</td>
<td>not applicable</td>
<td>n/a</td>
<td>n/a</td>
<td>Forecast to be £166k overspent. Savings from delays in Hearings System Digital Strategy have been reallocated to essential new property projects.</td>
</tr>
<tr>
<td>N 3.7</td>
<td>Forecast variance in annual capital spends – Target 5%</td>
<td>2.4%</td>
<td>n/a</td>
<td>not applicable</td>
<td>n/a</td>
<td>n/a</td>
<td>Savings are dependent on a number of areas, the detail of which is contained in the Annual Efficiency Plan.</td>
</tr>
<tr>
<td>N 3.8</td>
<td>Scottish Government efficiency savings – Target 3%</td>
<td>On target</td>
<td>n/a</td>
<td>not applicable</td>
<td>n/a</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>N 3.9</td>
<td>Training per employee (days)</td>
<td>0.12</td>
<td>-63.5%</td>
<td></td>
<td>0.12-0.45</td>
<td>⬤</td>
<td>Little training in the quarter.</td>
</tr>
<tr>
<td>No.</td>
<td>Indicator</td>
<td>Quarterly Results</td>
<td>Change</td>
<td>Comparative data</td>
<td>Range (min-max)</td>
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<td>-----------------</td>
<td>-------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>N 4.1</td>
<td>Business Plan delivery (actions with green status)</td>
<td>64.5%</td>
<td>0.0pp</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /></td>
<td>64.5%-64.5%</td>
<td>←→</td>
<td>20 actions are rated as green and eleven as amber. Graph shows quarter 1 and quarter 2 results.</td>
</tr>
<tr>
<td>N 4.2</td>
<td>Strategic Risk Register – risk scores</td>
<td>88</td>
<td>+29.4%</td>
<td><img src="#" alt="Blue" /> <img src="#" alt="Red" /> <img src="#" alt="Yellow" /> <img src="#" alt="Green" /></td>
<td>68-88</td>
<td>←→</td>
<td>New risk around the outcome of the spending review. Other risks unchanged.</td>
</tr>
<tr>
<td>N 4.3</td>
<td>Internal audit programme - reviews complete</td>
<td>100%</td>
<td>0.0pp</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /> <img src="#" alt="Blue" /> <img src="#" alt="Red" /></td>
<td>100%-100%</td>
<td>←→</td>
<td>Seven reviews are planned for the year plus two risk workshops and two follow up reviews (profile for the four quarters of 2015/16 is shown in the graph, green shows completed, blue are those upcoming). While the programme is on track for the year, there has been some slippage from Q3 to Q4.</td>
</tr>
<tr>
<td>N 4.4</td>
<td>Quality assurance programme – case sampling undertaken</td>
<td>100%</td>
<td>0.0pp</td>
<td><img src="#" alt="Green" /> <img src="#" alt="Yellow" /> <img src="#" alt="Blue" /> <img src="#" alt="Red" /></td>
<td>100%-100%</td>
<td>←→</td>
<td>Sampling exercise on Quality of Drafting of Grounds completed and reported to Audit Committee in August. Sampling exercise on Withdrawn Applications to Court completed during October and reported to November Audit Committee.</td>
</tr>
<tr>
<td>N 4.5</td>
<td>Freedom Of Information responses responded to within 20 working days</td>
<td>100%</td>
<td>+5.0pp</td>
<td><img src="#" alt="Blue" /> <img src="#" alt="Red" /> <img src="#" alt="Yellow" /> <img src="#" alt="Green" /></td>
<td>85.7%-100%</td>
<td>←→</td>
<td>Ten requests due for response in the quarter.</td>
</tr>
</tbody>
</table>

Business Plan delivery progress key:

- **Green**: Action likely to be achieved
- **Yellow**: Action on target but at risk
- **Red**: Action not expected to be achieved without additional action
<table>
<thead>
<tr>
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<th>South East</th>
<th>Tayside &amp; Fife</th>
</tr>
</thead>
<tbody>
<tr>
<td>L 1.1</td>
<td>Decisions on referrals made within 50 working days of receipt – <strong>targets below</strong></td>
<td>75%</td>
<td>75%</td>
<td>69%</td>
<td>72%</td>
<td>73%</td>
<td>76%</td>
<td>75%</td>
<td>95%</td>
<td>68%</td>
</tr>
<tr>
<td>L 1.2</td>
<td>Referrals over 100 days old</td>
<td>33</td>
<td>3</td>
<td>39</td>
<td>5</td>
<td>10</td>
<td>8</td>
<td>3</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>L 1.3</td>
<td>Hearings scheduled to take place within 20 working days – <strong>Target 74%</strong></td>
<td>56%</td>
<td>77%</td>
<td>67%</td>
<td>65%</td>
<td>72%</td>
<td>84%</td>
<td>69%</td>
<td>48%</td>
<td>66%</td>
</tr>
<tr>
<td>L 1.4</td>
<td>Initial Hearings proceeding to disposal – <strong>Target 75%</strong></td>
<td>73%</td>
<td>75%</td>
<td>73%</td>
<td>77%</td>
<td>85%</td>
<td>76%</td>
<td>84%</td>
<td>75%</td>
<td>80%</td>
</tr>
<tr>
<td>L 1.5</td>
<td>Percentage of non-offence applications established at court</td>
<td>99%</td>
<td>93%</td>
<td>85%</td>
<td>90%</td>
<td>92%</td>
<td>96%</td>
<td>90%</td>
<td>96%</td>
<td>91%</td>
</tr>
<tr>
<td>L 1.6</td>
<td>Mid-point of days taken for offence referrals from receipt to Hearing decision</td>
<td>76</td>
<td>63</td>
<td>111</td>
<td>0</td>
<td>80</td>
<td>75</td>
<td>43</td>
<td>47</td>
<td>75</td>
</tr>
<tr>
<td>L 1.7</td>
<td>Mid-point of days taken for non-offence referrals from receipt to Hearing decision</td>
<td>125</td>
<td>113</td>
<td>172</td>
<td>83</td>
<td>78</td>
<td>110</td>
<td>133</td>
<td>112</td>
<td>105</td>
</tr>
<tr>
<td>L 1.8</td>
<td>Written notifications of Hearing decisions sent to children and families within 5 days</td>
<td>73%</td>
<td>88%</td>
<td>93%</td>
<td>81%</td>
<td>93%</td>
<td>89%</td>
<td>86%</td>
<td>87%</td>
<td>92%</td>
</tr>
<tr>
<td>L 1.9a</td>
<td>Hearing’s decisions upheld at appeal (appeal refused)</td>
<td>72%</td>
<td>67%</td>
<td>52%</td>
<td>92%</td>
<td>90%</td>
<td>86%</td>
<td>66%</td>
<td>80%</td>
<td>76%</td>
</tr>
<tr>
<td>L 1.9b</td>
<td><strong>Appeals concluded child count</strong></td>
<td>25</td>
<td>21</td>
<td>84</td>
<td>12</td>
<td>10</td>
<td>14</td>
<td>44</td>
<td>10</td>
<td>25</td>
</tr>
<tr>
<td>L 1.10</td>
<td>Breach incidents (SCRA)</td>
<td>9</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>3</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>L 1.11</td>
<td>Complaints</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>L 1.12</td>
<td>All about me forms returned by children and young people to SCRA</td>
<td>40</td>
<td>40</td>
<td>35</td>
<td>57</td>
<td>20</td>
<td>21</td>
<td>8</td>
<td>72</td>
<td>147</td>
</tr>
</tbody>
</table>

**Key** -  
- **G** Target met  
- **A** Within 5% of target  
- **R** Target missed

* Please note, the Central target is a position to be achieved by the year end rather than being a whole year figure.
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<th>Tayside &amp; Fife</th>
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</thead>
<tbody>
<tr>
<td>L 2.1</td>
<td>Children referred on non-offence grounds</td>
<td>122.8</td>
<td>45.7</td>
<td>45.4</td>
<td>16.9</td>
<td>30.3</td>
<td>42.3</td>
<td>47.5</td>
<td>49.3</td>
<td>23.7</td>
</tr>
<tr>
<td>L 2.2</td>
<td>Children referred on offence grounds</td>
<td>31.7</td>
<td>30.5</td>
<td>37.3</td>
<td>8.2</td>
<td>33.3</td>
<td>27.8</td>
<td>18.3</td>
<td>18.7</td>
<td>15.6</td>
</tr>
<tr>
<td>L 2.3a</td>
<td>Child Protection Orders (CPOs)</td>
<td>1.6</td>
<td>1.6</td>
<td>3.7</td>
<td>1.1</td>
<td>1.7</td>
<td>1.1</td>
<td>0.7</td>
<td>1.0</td>
<td>2.5</td>
</tr>
<tr>
<td>L 2.3b</td>
<td><strong>Child Protection Orders (CPOs) count</strong></td>
<td>10</td>
<td>14</td>
<td>36</td>
<td>11</td>
<td>9</td>
<td>15</td>
<td>8</td>
<td>13</td>
<td>33</td>
</tr>
<tr>
<td>L 2.4</td>
<td>Joint reports retained by Reporter</td>
<td>77%</td>
<td>75%</td>
<td>51%</td>
<td>63%</td>
<td>85%</td>
<td>73%</td>
<td>82%</td>
<td>70%</td>
<td>63%</td>
</tr>
<tr>
<td>L 2.5</td>
<td>Pre-Hearing Panels</td>
<td>9.9</td>
<td>11.7</td>
<td>16.2</td>
<td>11.0</td>
<td>8.4</td>
<td>10.0</td>
<td>8.7</td>
<td>17.4</td>
<td>13.2</td>
</tr>
<tr>
<td>L 2.6</td>
<td>Number of Hearings</td>
<td>150.6</td>
<td>86.4</td>
<td>166.5</td>
<td>63.6</td>
<td>64.3</td>
<td>79.0</td>
<td>91.5</td>
<td>85.7</td>
<td>101.4</td>
</tr>
<tr>
<td>L 2.7</td>
<td>Court applications concluded</td>
<td>13.5</td>
<td>8.9</td>
<td>12.5</td>
<td>5.0</td>
<td>5.0</td>
<td>7.2</td>
<td>9.0</td>
<td>7.9</td>
<td>10.8</td>
</tr>
<tr>
<td>L 2.8</td>
<td>Interim Compulsory Supervision Orders</td>
<td>11.5</td>
<td>9.3</td>
<td>13.9</td>
<td>7.2</td>
<td>6.5</td>
<td>4.6</td>
<td>3.8</td>
<td>9.8</td>
<td>8.9</td>
</tr>
<tr>
<td>L 2.9</td>
<td>Interim Variation of Compulsory Supervision Orders</td>
<td>5.9</td>
<td>7.7</td>
<td>14.3</td>
<td>5.4</td>
<td>4.2</td>
<td>4.5</td>
<td>6.0</td>
<td>5.9</td>
<td>7.8</td>
</tr>
<tr>
<td>L 2.10</td>
<td>Number of Compulsory Supervision Orders in force</td>
<td>186.8</td>
<td>99.0</td>
<td>203.4</td>
<td>72.6</td>
<td>67.4</td>
<td>87.8</td>
<td>127.4</td>
<td>98.8</td>
<td>111.9</td>
</tr>
<tr>
<td>L 2.11</td>
<td>Appeals concluded</td>
<td>4.0</td>
<td>2.4</td>
<td>8.7</td>
<td>1.2</td>
<td>1.9</td>
<td>1.0</td>
<td>4.0</td>
<td>0.8</td>
<td>1.9</td>
</tr>
<tr>
<td>L 2.12</td>
<td>Non-disclosure cases</td>
<td>20.4</td>
<td>8.3</td>
<td>39.7</td>
<td>5.0</td>
<td>5.3</td>
<td>8.2</td>
<td>13.7</td>
<td>9.9</td>
<td>12.8</td>
</tr>
</tbody>
</table>

Rates based on rate per 10,000 of child population aged under 16 years from the General Register of Scotland apart from children referred on offence grounds which are based on child population aged 8 to 15 years. Joint reports retained are not based on child population.

**Key** - Light blue: Minimum rate per population  
Orange: Maximum rate per population
<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Ayrshire</th>
<th>Central</th>
<th>Glasgow</th>
<th>Grampian</th>
<th>Highlands &amp; Islands</th>
<th>Lanarkshire/D&amp;G</th>
<th>North Strathclyde</th>
<th>South East</th>
<th>Tayside &amp; Fife</th>
</tr>
</thead>
<tbody>
<tr>
<td>L 3.1</td>
<td>Conversion rate from referral to Hearing (for children not on CSO)</td>
<td>16%</td>
<td>30%</td>
<td>22%</td>
<td>48%</td>
<td>14%</td>
<td>21%</td>
<td>24%</td>
<td>24%</td>
<td>39%</td>
</tr>
<tr>
<td>L 3.2</td>
<td>Staffing profile by FTE¹</td>
<td>35.97</td>
<td>27.89</td>
<td>62.81</td>
<td>23.43</td>
<td>19.09</td>
<td>45.94</td>
<td>42.17</td>
<td>35.63</td>
<td>43.49</td>
</tr>
<tr>
<td>L 3.3</td>
<td>Percentage of working days lost to absence – <strong>Target 4%²</strong></td>
<td>5.2%</td>
<td>8.5%</td>
<td>3.1%</td>
<td>0.7%</td>
<td>11.1%</td>
<td>5.6%</td>
<td>3.7%</td>
<td>6.6%</td>
<td>3.9%</td>
</tr>
</tbody>
</table>

**Key** -  
- **G** Target met  
- **A** Within 1.5pp of target  
- **R** Target missed

¹ Head Office and Business Support have a FTE of 68.2  
² Head Office and Business Support have an absence rate of 2.5%
2. Management Response

2.1. The results of performance work are being seen through the 50 working days indicator (N 1.1), with all localities close to or exceeding their targets. Timescales for scheduling Hearings (N 1.3) remains less positive. Locality managers are actively investigating the areas of poorer performance. In some instances, there is recognised need to adjust how staff process casework, as it may be variations in Reporter practice that creates or prevents the delay. Following on from the renewed focus, significant improvements have been seen in Q3.

2.2. Delay in casework decision-making continues to improve significantly with current levels 75% below average (N 1.2). The improvements which localities have made in this and other areas was a key focus of the Senior Operational Manager (SOM) reviews which took place in September and October. All reviews are now complete with the SOMs receiving assurance about progress against locality plans. The meetings have also provided opportunities to share ideas and approaches across localities.

2.3. In addition to the service to children and young people indicators, there was a lapsed order in the quarter. It has been fully reviewed by the locality with new grounds taken to protect the child and has been communicated to the Head of Practice and Policy.

2.4. Children referred on non-offence grounds (N 2.1) decreased, driven by Ayrshire locality where managers are engaging with partners to ensure only appropriate referrals are received after large increases in recent quarters. Child Protection Orders (CPOs) (N 2.3) have reduced but Glasgow and Tayside and Fife localities continue to experience high numbers. The findings from the inspection in Fife may help inform SCRA of any issues arising. In addition, two SCRA staff have been involved as associate inspectors for recent inspections which will help SCRA understand more about the process while enhancing relationships with the Care Inspectorate.

2.5. The report is showing increases in PHPs (N 2.5) and interim orders (N 2.9 and N 2.10). These changes were unexpected and will be monitored and looked at by SCRA’s Practice and Quality Network to understand any operational context which is occurring.

2.6. Working days lost to absence (N 3.3) continues to be above the 4% target despite both short and long term absences decreasing in the quarter. Appropriate support continues to be provided to staff experiencing chronic illness, including regular keeping in touch meetings and return to work discussions.

2.7. Financial forecasts (N 3.5 & N 3.6) point to revenue pressures. The Executive Management Team (EMT) are overseeing the deployment of a number of strategies including measures to contain translation costs while minimising the effect on service users. Creative staffing solutions are being identified to manage workloads within the current complement of staff. Capital forecasts (N 3.7) are pointing to a slight overspend which will likely be offset by programme slippage at year end. The Head of IT has identified capital spend that can be accelerated from 2016/17 should significant slippage emerge in the last quarter. The financial forecasts at this stage take no account of the likely significant revenue and capital implications of the recent fire at SCRA’s Tranent Hearing Centre.

2.8. The OPR now includes returns of ‘all about me’ forms (N 1.12). This is used to help children and young people provide their views to the Hearing and must be taken into account by the Hearing where appropriate. Options are currently being looked at to improve return rates.
### Service to children and young people

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Quarterly Results</th>
<th>Change</th>
<th>Comparative data</th>
<th>Range (min-max)</th>
<th>Trend</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 1.1</td>
<td>Decisions on referrals made within 50 working days of receipt – Target 73%</td>
<td>76.7%</td>
<td>+7.6pp</td>
<td>61.9%-76.7%</td>
<td>Up</td>
<td></td>
</tr>
<tr>
<td>N 1.2</td>
<td>Referrals over 100 days old</td>
<td>105</td>
<td>-74.6%</td>
<td>105-648</td>
<td>Down</td>
<td></td>
</tr>
<tr>
<td>N 1.3</td>
<td>Hearings scheduled to take place within 20 working days – Target 74%</td>
<td>66.3%</td>
<td>-2.3pp</td>
<td>64.8%-71.4%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 1.4</td>
<td>Initial Hearings proceeding to disposal – Target 75%</td>
<td>77.2%</td>
<td>+0.3pp</td>
<td>74.4%-79.6%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 1.5</td>
<td>Percentage of non-offence applications established at court</td>
<td>92.3%</td>
<td>+0.5pp</td>
<td>89.5%-92.8%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 1.6</td>
<td>Mid-point of days taken for offence referrals from receipt to Hearing decision</td>
<td>73</td>
<td>+10.3</td>
<td>57-73</td>
<td>Up</td>
<td></td>
</tr>
<tr>
<td>N 1.7</td>
<td>Mid-point of days taken for non-offence referrals from receipt to Hearing decision</td>
<td>114</td>
<td>+2.3</td>
<td>106-115</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 1.8</td>
<td>Written notifications of Hearing decisions sent to children and families within 5 days</td>
<td>87.3%</td>
<td>+7.1pp</td>
<td>74.8%-87.3%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 1.9</td>
<td>Hearing's decisions upheld at appeal</td>
<td>66.9%</td>
<td>+3.3pp</td>
<td>61.5%-66.9%</td>
<td>Up</td>
<td></td>
</tr>
<tr>
<td>N 1.10</td>
<td>Breach incidents (SCRA)</td>
<td>20</td>
<td>+12.7%</td>
<td>14-24</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 1.11</td>
<td>Complaints</td>
<td>12</td>
<td>+37.1%</td>
<td>5-12</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 1.12</td>
<td>All about me forms returned by children and young people to SCRA</td>
<td>440</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td></td>
</tr>
</tbody>
</table>

### Resources

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Quarterly Results</th>
<th>Change</th>
<th>Comparative data</th>
<th>Range (min-max)</th>
<th>Trend</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 3.1</td>
<td>Conversion rate from referral to Hearing (for children not on CSO)</td>
<td>23.6%</td>
<td>+0.3pp</td>
<td>22.5%-24.2%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 3.2</td>
<td>Staffing profile by FTE</td>
<td>404.6</td>
<td>-2.0%</td>
<td>400-420</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 3.3</td>
<td>The percentage of working days lost to absence - Target 4%</td>
<td>4.5%</td>
<td>-0.9pp</td>
<td>4.0%-7.4%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 3.4</td>
<td>Compliance with SCRA property standards – Target 90%</td>
<td>86.5%</td>
<td>0.0pp</td>
<td>86.5%-86.5%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 3.5</td>
<td>Forecast variance in annual revenue spends – Target 1%</td>
<td>0.8%</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>N 3.6</td>
<td>Forecast revenue savings achieved in year – Target 2.8%</td>
<td>1.6%</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>N 3.7</td>
<td>Forecast variance in annual capital spends – Target 5%</td>
<td>2.4%</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>N 3.8</td>
<td>Scottish Government efficiency savings – Target 3%</td>
<td>On target</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td>N 3.9</td>
<td>Training per employee (days)</td>
<td>0.12</td>
<td>-63.5%</td>
<td>0.12-0.45</td>
<td>Down</td>
<td></td>
</tr>
</tbody>
</table>

### Balancing Scorecard

<table>
<thead>
<tr>
<th>National</th>
<th>Quarterly Results</th>
<th>Change</th>
<th>Comparative data</th>
<th>Range (min-max)</th>
<th>Trend</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 2.1 Children referred on non-offence grounds</td>
<td>4,000</td>
<td>-4.8%</td>
<td></td>
<td>3,940-4,447</td>
<td></td>
</tr>
<tr>
<td>N 2.2 Children referred on offence grounds</td>
<td>1,028</td>
<td>-2.1%</td>
<td></td>
<td>979-1,150</td>
<td></td>
</tr>
<tr>
<td>N 2.3 Child Protection Orders (CPOs)</td>
<td>149</td>
<td>-13.9%</td>
<td></td>
<td>145-194</td>
<td></td>
</tr>
<tr>
<td>N 2.4 Joint reports retained by Reporter</td>
<td>70.8%</td>
<td>+13.0%</td>
<td></td>
<td>55.5%-70.8%</td>
<td></td>
</tr>
<tr>
<td>N 2.5 Pre-Hearing Panels</td>
<td>1,112</td>
<td>+9.0%</td>
<td></td>
<td>945-1,112</td>
<td></td>
</tr>
<tr>
<td>N 2.6 Number of Hearings</td>
<td>8,847</td>
<td>-2.5%</td>
<td></td>
<td>8,847-9,273</td>
<td>Down</td>
</tr>
<tr>
<td>N 2.7 Court applications concluded</td>
<td>802</td>
<td>+7.5%</td>
<td></td>
<td>710-802</td>
<td></td>
</tr>
<tr>
<td>N 2.8 Interim Compulsory Supervision Orders</td>
<td>744</td>
<td>+25.4%</td>
<td></td>
<td>508-744</td>
<td>Up</td>
</tr>
<tr>
<td>N 2.9 Interim Variation of Compulsory Supervision Orders</td>
<td>627</td>
<td>+18.9%</td>
<td></td>
<td>467-627</td>
<td></td>
</tr>
<tr>
<td>N 2.10 Number of Compulsory Supervision Orders in force</td>
<td>10,544</td>
<td>-2.7%</td>
<td></td>
<td>10,544-11,048</td>
<td>Down</td>
</tr>
<tr>
<td>N 2.11 Appeals concluded</td>
<td>245</td>
<td>-1.4%</td>
<td></td>
<td>233-269</td>
<td></td>
</tr>
<tr>
<td>N 2.12 Non-disclosure cases</td>
<td>1,224</td>
<td>-3.2%</td>
<td></td>
<td>1,224-1,301</td>
<td>Down</td>
</tr>
</tbody>
</table>

### Resources

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Quarterly Results</th>
<th>Change</th>
<th>Comparative data</th>
<th>Range (min-max)</th>
<th>Trend</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 4.1</td>
<td>Business Plan delivery (actions with green status)</td>
<td>64.5%</td>
<td>0.0pp</td>
<td>64.5%-65.5%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 4.2</td>
<td>Strategic Risk Register – risk scores</td>
<td>88</td>
<td>+29.4%</td>
<td>68-88</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 4.3</td>
<td>Internal audit programme - reviews complete</td>
<td>100%</td>
<td>0.0pp</td>
<td>100%-100%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 4.4</td>
<td>Quality assurance programme – case sampling undertaken</td>
<td>100%</td>
<td>0.0pp</td>
<td>100%-100%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N 4.5</td>
<td>Freedom Of Information responses responded to within 20 working days</td>
<td>100%</td>
<td>+5.0pp</td>
<td>85.7%-100.0%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Definitions

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Aim for indicator</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 1.1</td>
<td>Decisions on referrals made within 50 working days of receipt – <strong>Target 75%</strong></td>
<td>High percentage</td>
<td>Calculates the number of referrals with a final reporter decision within 50 working days of receipt divided by the total number of referrals with a final reporter decision.</td>
</tr>
<tr>
<td>N 1.2</td>
<td>Referrals over 100 days old</td>
<td>Low number</td>
<td>Counts the number of referrals which were received over 100 working days ago and have had grounds added but have not had a reporter decision. Based on the count at the end of the quarter.</td>
</tr>
<tr>
<td>N 1.3</td>
<td>Hearings scheduled to take place within 20 working days – <strong>Target 74%</strong></td>
<td>High percentage</td>
<td>Calculates the number of referrals which have a hearing scheduled within 20 working days of final reporter decision divided by the total number of referrals with a hearing scheduled.</td>
</tr>
<tr>
<td>N 1.4</td>
<td>Initial Hearings proceeding to disposal – <strong>Target 75%</strong></td>
<td>High percentage</td>
<td>Calculates the number of hearings where the grounds, CPO or CSO have been discussed for the first time which have a final outcome at that hearing divided by the total number of hearings where grounds, CPOs or CSOs have been discussed for the first time. Any hearings with an outcome of proof application are excluded from this calculation.</td>
</tr>
<tr>
<td>N 1.5</td>
<td>Percentage of non-offence applications established at court</td>
<td>High percentage</td>
<td>Calculates the number of court applications for non-offence grounds which have an established decision against at least one ground at court divided by the total number of court applications for non-offence grounds concluded.</td>
</tr>
<tr>
<td>N 1.6</td>
<td>Mid-point of days taken for offence referrals from receipt to Hearing decision</td>
<td>Low number</td>
<td>Calculates working days from receipt of referral to a final hearing decision for those offence referrals which proceed to hearing. These working days are then listed from smallest to largest and the middle value selected. Therefore if five cases took 30,35,40,50 and 70 days, the midpoint is 40.</td>
</tr>
<tr>
<td>N 1.7</td>
<td>Mid-point of days taken for non-offence referrals from receipt to Hearing decision</td>
<td>Low number</td>
<td>As above but for non-offence.</td>
</tr>
<tr>
<td>N 1.8</td>
<td>Written notifications of Hearing decisions sent to children and families within 5 days</td>
<td>High percentage</td>
<td>Calculates the number of hearing decisions notified within 5 days divided by the total number of hearing decisions notified.</td>
</tr>
<tr>
<td>N 1.9</td>
<td>Hearing's decisions upheld at appeal</td>
<td>High percentage</td>
<td>Calculates the number of children where an appeal against the Hearing decision was dismissed divided by the number of children with a final appeal outcome.</td>
</tr>
<tr>
<td>N 1.10</td>
<td>Breach incidents (SCRA)</td>
<td>Low number</td>
<td>Counts the number of breach incidents by SCRA either involving children with non-disclosure conditions or cases where case information has been erroneously disclosed.</td>
</tr>
<tr>
<td>N 1.11</td>
<td>Complaints</td>
<td>Trend info</td>
<td>Monitors the number of complaints received about the service provided by SCRA.</td>
</tr>
<tr>
<td>N 1.12</td>
<td>All about me forms returned by children and young people to SCRA</td>
<td>Trend info</td>
<td>Monitors the number of all about me forms received by SCRA from children and young people.</td>
</tr>
</tbody>
</table>

* please note that for all measures other than N 1.2 only referrals assessed as the following categories are included: Standard, CPO, S54, S48, EPA and secure admission. Custody and joint reports which have been retained by the Reporter are classed as standard referrals. This ensures only valid referrals are counted for performance and volume purposes.
<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Aim for indicator</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 2.1</td>
<td>Children referred on non-offence grounds</td>
<td>Trend info</td>
<td>Count of the number of children with a care and protection referral received.</td>
</tr>
<tr>
<td>N 2.2</td>
<td>Children referred on offence grounds</td>
<td>Trend info</td>
<td>Count of the number of children with an offence referral received.</td>
</tr>
<tr>
<td>N 2.3</td>
<td>Child Protection Orders (CPOs)</td>
<td>Trend info</td>
<td>Count of the number of CPOs received.</td>
</tr>
<tr>
<td>N 2.4</td>
<td>Joint reports retained by Reporter</td>
<td>Trend info</td>
<td>Calculates the number of joint reports which have been retained by the Reporter (becoming a standard referral) divided by the number of joint reports which have either been retained by the Procurator Fiscal or by the Reporter. Excludes those cases which are awaiting discussion.</td>
</tr>
<tr>
<td>N 2.5</td>
<td>Pre-Hearing Panels (PHPs)</td>
<td>Trend info</td>
<td>Counts the number of PHP meetings held per child. Therefore, one family with three children attending the same PHP would be counted statistically as three PHPs.</td>
</tr>
<tr>
<td>N 2.6</td>
<td>Number of Hearings</td>
<td>Trend info</td>
<td>Counts the number of hearings held per child. Therefore, one family with three children attending the same hearing would be counted statistically as three hearings.</td>
</tr>
<tr>
<td>N 2.7</td>
<td>Court applications concluded</td>
<td>Trend info</td>
<td>Counts the number of court applications to establish grounds of referral which have a final decision (established, not established and abandoned).</td>
</tr>
<tr>
<td>N 2.8</td>
<td>Interim Compulsory Supervision Orders (ICSO)</td>
<td>Trend info</td>
<td>Counts the number of children with an ICSO made.</td>
</tr>
<tr>
<td>N 2.9</td>
<td>Interim Variation of Compulsory Supervision Orders (IVCSO)</td>
<td>Trend info</td>
<td>Counts the number of children with an IVCSO made.</td>
</tr>
<tr>
<td>N 2.10</td>
<td>Number of Compulsory Supervision Orders in force (CSO)</td>
<td>Trend info</td>
<td>Counts the number of children who have a CSO in place at midnight on the last day of the quarter.</td>
</tr>
<tr>
<td>N 2.11</td>
<td>Appeals concluded</td>
<td>Trend info</td>
<td>Counts the number of children with a final appeal outcome against a Hearing’s decision.</td>
</tr>
<tr>
<td>N 2.12</td>
<td>Non-disclosure cases</td>
<td>Trend info</td>
<td>Counts the number of children with a non-disclosure provision in place as part of either a CSO or an interim order at midnight on the last day of the quarter.</td>
</tr>
</tbody>
</table>

* please note that for N 2.1 and N 2.2 only referrals assessed as the following categories are included: Standard, CPO, S54, S48, EPA and secure admission. Custody and joint reports which have been retained by the Reporter are classed as standard referrals. This ensures only valid referrals are counted for performance and volume purposes.
### Definitions

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator</th>
<th>Aim for indicator</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>N 3.3</td>
<td>Percentage of working days lost to absence – Target 4%</td>
<td>Low percentage</td>
<td>Calculates staff absence by dividing the number of days absence by the total working days available in the quarter (56 days * FTE at quarter end).</td>
</tr>
<tr>
<td>N 3.4</td>
<td>Compliance with SCRA property standards – Target 90%</td>
<td>High percentage</td>
<td>Each SCRA property is scored against a variety of measures to calculate the suitability of the property. This measure takes the average score of the properties.</td>
</tr>
<tr>
<td>N 3.5</td>
<td>Forecast variance in annual revenue spends – Target 5%</td>
<td>Within target</td>
<td>Calculates the difference between the annual revenue budget and the forecast for the budget at the quarter end expresses this as a percentage of the total revenue budget.</td>
</tr>
<tr>
<td>N 3.6</td>
<td>Forecast revenue savings achieved in year – Target 3%</td>
<td>Within target</td>
<td>Compares the forecast over/under spend from the revenue budget above against the savings target set and expresses this as a percentage of revenue.</td>
</tr>
<tr>
<td>N 3.7</td>
<td>Forecast variance in annual capital spends – Target 10%</td>
<td>Within target</td>
<td>Calculates the difference between the annual capital budget and the forecast for the budget at the quarter end expresses this as a percentage of the total capital budget.</td>
</tr>
<tr>
<td>N 3.8</td>
<td>Forecast for Scottish Government efficiency savings – Target 3%</td>
<td>Within target</td>
<td>Target based on improved efficiency of services delivered. The amount saved is the difference between the previous unit cost and what is now spent to deliver the outcome. This is divided by previous unit cost to be expressed as a percentage. Operational staff are excluded from savings eligible for inclusion within this calculation.</td>
</tr>
<tr>
<td>N 3.9</td>
<td>Training per employee (days)</td>
<td>Trend info</td>
<td>Counts the number of training days in the quarter and divides by the headcount.</td>
</tr>
<tr>
<td>No.</td>
<td>Indicator</td>
<td>Aim for indicator</td>
<td>Definition</td>
</tr>
<tr>
<td>N 4.1</td>
<td>Business Plan delivery (actions with green status)</td>
<td>High percentage</td>
<td>Counts the number of actions with green status (on target) and divides them by the total number of actions within the plan.</td>
</tr>
<tr>
<td>N 4.2</td>
<td>Strategic Risk Register – risk scores</td>
<td>Low number</td>
<td>Calculates the overall risk score based on the score of each of the items within the register. The aim is to show increasing or decreasing levels of risk for the organisation.</td>
</tr>
<tr>
<td>N 4.3</td>
<td>Internal audit programme - reviews complete</td>
<td>High percentage</td>
<td>Divides the number of reviews completed versus those planned to express the information as a percentage.</td>
</tr>
<tr>
<td>N 4.4</td>
<td>Quality assurance programme – case sampling undertaken</td>
<td>High percentage</td>
<td>Divides the number of sampling exercises completed versus those planned to express the information as a percentage.</td>
</tr>
<tr>
<td>N 4.5</td>
<td>Freedom Of Information (FOI) responses responded to within 20 working days</td>
<td>High percentage</td>
<td>Calculates the number FOI requests responded to within 20 working days divided by the total number of FOI requests due for response in the period.</td>
</tr>
</tbody>
</table>
Quarter 2 Budget Monitoring 2015/16

Accountable Director: Principal Reporter/Chief Executive
Date: 27th November 2015
Report prepared by: Head of Finance and Resources

Recommendation:

1. To review the revenue position for the year to October 2015 and approve the range of actions in section 3.9 to be implemented as required to mitigate the anticipated overspend for the full year 2015/16.

2. To review the capital position for the year to October 2015 and approve the options in section 4.8 to fully utilise the 2015/16 capital budget.

Reason for Report: Board review and approval

Resource Implications: Outwith available resources

Strategy: Within agreed plans

Consultation: EMT and Budget Holders

Equalities Duties: An Equalities Impact Assessment has not been completed at this time.

Document Classification: Not protectively marked
1. **Introduction**

1.1 This report provides a summary of SCRA’s financial position for year to October 2015 and forecast for the full year 2015/16.

2. **Background**

2.1 The total available revenue resources for 2015/16 are £21,802k, comprising £20,800k of core Grant in Aid (GiA), £400k grant funding for Voluntary Severance, £482k other income (Local Authority funded posts, shared services, rents etc.) and, lately, £120k to engage Scottish Government Digital Transformation Service (DTS) to support development of a joint CHS/SCRA IT service and operational plan and progress the joint Digital Strategy to business case stage. As previously reported there is no revenue variance from 2014/15 to be factored in to the 2015/16 budget. In order to balance the 2015/16 budget a number of centralised savings targets were created, in property, procurement and translating and interpreting. This will make achieving a balanced position at the year-end especially challenging in 2015/16.

2.2 Depreciation is reported within expenditure expense head and it should be noted that depreciation expense is a non-cash charge. A depreciation budget of £2.5m has been included in the 2015/16 budget allocation by the Scottish Government to cover depreciation, amortisation and impairment charges.

2.3 The total available capital resource for 2015/16 is £1,147k. This comprises Core Grant in Aid for capital expenditure of £500k, an anticipated capital receipt of £471k, a capital underspend of £91k in 2014/15 factored in to the 2015/16 budget and an additional £85k Grant in Aid to progress the Perth project.

3. **Revenue**

3.1 The following table summaries the position to October 2015 and the forecast outturn for the year by expense head. This does not include the impacts of Voluntary Severance and the DTS engagement mentioned in 2.1.

<table>
<thead>
<tr>
<th>Previous Full Year Actual £000</th>
<th>Expense Head</th>
<th>Budget YTD Oct £000</th>
<th>Actual YTD Oct £000</th>
<th>Variance YTD Oct £000</th>
<th>Full Year Budget £000</th>
<th>Full Year Forecast £000</th>
<th>Forecast Variance £000</th>
<th>Forecast Variance %</th>
</tr>
</thead>
<tbody>
<tr>
<td>16,218</td>
<td>Staff Costs</td>
<td>9,218</td>
<td>9,267</td>
<td>49</td>
<td>15,801</td>
<td>15,888</td>
<td>87</td>
<td>0.55%</td>
</tr>
<tr>
<td>2,739</td>
<td>Property Costs</td>
<td>1,660</td>
<td>2,142</td>
<td>-482</td>
<td>2,846</td>
<td>2,845</td>
<td>-1</td>
<td>-0.04%</td>
</tr>
<tr>
<td>244</td>
<td>Travel Costs</td>
<td>127</td>
<td>112</td>
<td>-15</td>
<td>218</td>
<td>221</td>
<td>3</td>
<td>1.38%</td>
</tr>
<tr>
<td>2,406</td>
<td>Other Operating Charges</td>
<td>1,291</td>
<td>1,317</td>
<td>26</td>
<td>2,214</td>
<td>2,376</td>
<td>162</td>
<td>7.32%</td>
</tr>
<tr>
<td>4</td>
<td>Capital Financing</td>
<td>2</td>
<td>0</td>
<td>-2</td>
<td>3</td>
<td>3</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td>200</td>
<td>Unfunded Pensions</td>
<td>117</td>
<td>89</td>
<td>-28</td>
<td>200</td>
<td>200</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td>-429</td>
<td>Other Income</td>
<td>-281</td>
<td>-283</td>
<td>-2</td>
<td>-482</td>
<td>-564</td>
<td>-82</td>
<td>17.01%</td>
</tr>
<tr>
<td>21,382</td>
<td>Sub-total</td>
<td>12,134</td>
<td>12,644</td>
<td>510</td>
<td>20,800</td>
<td>20,969</td>
<td>169</td>
<td>0.81%</td>
</tr>
<tr>
<td>-21,158</td>
<td>Grant In Aid</td>
<td>-12,133</td>
<td>-12,924</td>
<td>-791</td>
<td>-20,800</td>
<td>-20,800</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td>224</td>
<td>Sub-total</td>
<td>0</td>
<td>-280</td>
<td>-280</td>
<td>0</td>
<td>169</td>
<td>169</td>
<td>0.00%</td>
</tr>
<tr>
<td>2,529</td>
<td>Depreciation</td>
<td>0</td>
<td>0</td>
<td>2,500</td>
<td>2,500</td>
<td>0</td>
<td>0.00%</td>
<td></td>
</tr>
<tr>
<td>2,753</td>
<td>Net Total</td>
<td>0</td>
<td>-280</td>
<td>-280</td>
<td>2,500</td>
<td>2,669</td>
<td>169</td>
<td>6.76%</td>
</tr>
</tbody>
</table>

3.2 Revenue expenditure in the year to October 2015 is £510k (4.2%) over budget. The Property cost forecast largely reflects timing issues. The depreciation budget for the year is entirely posted in March.
3.3 The following table summaries the net position, excluding depreciation and unfunded pensions, to October 2015 by budget centre.

<table>
<thead>
<tr>
<th>Previous Full Year Actual £000</th>
<th>Cost Centre</th>
<th>YTD Budget £000</th>
<th>YTD Actual £000</th>
<th>YTD Variance £000</th>
<th>Full Year Budget £000</th>
<th>Full Year Forecast £000</th>
<th>Forecast Variance £000</th>
<th>Forecast Variance %</th>
</tr>
</thead>
<tbody>
<tr>
<td>308 Executive and Communications</td>
<td>186</td>
<td>171</td>
<td>-15</td>
<td>318</td>
<td>328</td>
<td>10</td>
<td>3.14%</td>
<td></td>
</tr>
<tr>
<td>1,116 Practice And Policy</td>
<td>606</td>
<td>620</td>
<td>14</td>
<td>1,039</td>
<td>1,100</td>
<td>61</td>
<td>5.87%</td>
<td></td>
</tr>
<tr>
<td>7,091 North West Area</td>
<td>4,217</td>
<td>4,542</td>
<td>325</td>
<td>7,230</td>
<td>7,231</td>
<td>1</td>
<td>0.01%</td>
<td></td>
</tr>
<tr>
<td>8,549 East and Central Scotland Area</td>
<td>4,859</td>
<td>5,049</td>
<td>190</td>
<td>8,329</td>
<td>8,440</td>
<td>111</td>
<td>1.33%</td>
<td></td>
</tr>
<tr>
<td>4,117 Support Services</td>
<td>2,149</td>
<td>2,174</td>
<td>25</td>
<td>3,684</td>
<td>3,670</td>
<td>-14</td>
<td>-0.38%</td>
<td></td>
</tr>
<tr>
<td>21,181 Total Expenditure</td>
<td>12,017</td>
<td>12,556</td>
<td>539</td>
<td>20,600</td>
<td>20,769</td>
<td>169</td>
<td>0.82%</td>
<td></td>
</tr>
</tbody>
</table>

3.4 The forecast spend by Locality is detailed as follows:

<table>
<thead>
<tr>
<th>Locality</th>
<th>YTD Variance £000</th>
<th>Forecast Variance to March £000</th>
<th>Forecast Variance to March %</th>
</tr>
</thead>
<tbody>
<tr>
<td>East &amp; Central Scotland Office</td>
<td>3</td>
<td>2</td>
<td>1.59</td>
</tr>
<tr>
<td>Tayside And Fife Locality</td>
<td>68</td>
<td>70</td>
<td>4.07</td>
</tr>
<tr>
<td>South East Locality</td>
<td>36</td>
<td>14</td>
<td>0.93</td>
</tr>
<tr>
<td>Central Locality</td>
<td>36</td>
<td>8</td>
<td>0.60</td>
</tr>
<tr>
<td>Lanarkshire, Dumfries and Galloway Locality</td>
<td>25</td>
<td>-1</td>
<td>-0.05</td>
</tr>
<tr>
<td>Ayrshire Locality</td>
<td>22</td>
<td>18</td>
<td>1.30</td>
</tr>
<tr>
<td>East And Central Scotland Area</td>
<td>190</td>
<td>111</td>
<td>1.33</td>
</tr>
<tr>
<td>North West Area Office</td>
<td>-2</td>
<td>-8</td>
<td>-4.11</td>
</tr>
<tr>
<td>Highlands And Islands Locality</td>
<td>9</td>
<td>12</td>
<td>1.10</td>
</tr>
<tr>
<td>Grampian Locality</td>
<td>70</td>
<td>-28</td>
<td>-2.07</td>
</tr>
<tr>
<td>North Strathclyde Locality</td>
<td>31</td>
<td>21</td>
<td>1.22</td>
</tr>
<tr>
<td>Glasgow Locality</td>
<td>216</td>
<td>4</td>
<td>0.15</td>
</tr>
<tr>
<td>North West Area</td>
<td>324</td>
<td>1</td>
<td>0.01</td>
</tr>
<tr>
<td>Total</td>
<td>514</td>
<td>112</td>
<td>0.72</td>
</tr>
</tbody>
</table>

The Locality position is shown in greater detail in Appendix A.

3.5 **East and Central Scotland**

East and Central Scotland Area is currently anticipating an overspend of £111k. Around £78k of this is attributable to higher-than-anticipated translation and interpretation costs. The SOM and Head of Practice and Policy are working with LMTs to ensure a coordinated, efficient national approach to translation and interpretation in the hope of managing SCRA’s cost exposure whilst supporting effective participation.

The remainder of the overspend is effectively a shortfall on meeting the 2.8% locality savings targets, due to backfilling staff absences to prevent unacceptable deterioration in service. The SOM is facilitating resource-sharing between localities where possible and LMTs are required to closely monitor spends and deploy resource creatively to reduced anticipated overspends as the year progresses.
It is hoped that careful resource management on these two fronts over the next few months will reduce the overspend in this area to around £75k.

3.6 **North West**

Despite the sizable YTD overspend, North West Area is currently anticipating an overspend of only £1.6k. In addition to property-related timing differences, the YTD picture reflects property-related spend in Bell Street that will be capitalised before the end of the year.

3.7 **Head Office**

Executive and Communications are forecasting a small overspend of £10k due to a limited capacity to make the 2.8% savings target. Opportunities to make savings from Board and audit fees will continue to be explored throughout the rest of the year.

Support Services is currently anticipating an underspend of £14k. Staff savings in Planning are largely offsetting anticipated shortfalls in centralised savings targets, shared services income and staff cost pressures in IT.

Practice and Policy is anticipating a £61k overspend due to difficulties in achieving the £35k translation and interpretation savings target and a projected £15k overspend on legal fees due to the necessity of engaging counsel. Regarding translating and interpreting, the Head of Practice and Policy is continuing to pursue opportunities for efficiencies through consistent national practice and processes and will work to reduce the forecast overspend as the year progresses.

3.8 **Budget Challenge**

In mid-November a message was issued by Scottish Government that no further discretionary spend should be approved until the overall Scottish Government savings target has been met, this to exclude any legally committed spend or grants where letters have already been issued. The exclusions seem to cover most of SCRA’s expenditure plans however a review is underway to identify any discretionary spend in the remainder of 2015/16.

3.9 **2015/16 strategy**

If all anticipated overspends materialise there is potential for a forecast revenue overspend of around £169k (0.87%) although work is underway to reduce these forecasts. This excludes potential revenue costs of between £25k and £50k as a result of a fire at SCRA’s Tranent Hearing centre. SCRA has requested support from Scottish Government to meet these additional costs.

Finance Business Partners will continue to work closely with Budget Holders to reduce potential overspend risks in order to deliver an on-budget spending outturn. EMT will closely monitor progress and agree any interventions required which could include:

- review and, if necessary, tighten the application of the Vacancy Management Procedure which was implemented at the start of August 2015;
- identify options to contain translating and interpreting costs in South East and Tayside/Fife localities;
- continued work by HO teams and managers to meet centralised savings targets such as Voluntary Severance and Properties/Estates;
- deferral of new IT initiatives until Head of IT reviews all IT priorities
- explore measures to bring legal fees back on budget; and
- exploration of further income opportunities.
4. Capital

4.1 Net expenditure in the period to October 2015 is £169k. Details of the budgets, spend to date and forecast for the year are as follows:

2015/16 Capital Budget and Forecast

<table>
<thead>
<tr>
<th>INFRASTRUCTURE PROGRAMME</th>
<th>Board-approved Budget March 2015 £000</th>
<th>Adj. £000</th>
<th>Available Budget 2015/16 £000</th>
<th>Spend YTD Oct £000</th>
<th>Full Year Forecast £000</th>
<th>Variance forecast to budget £000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Glasgow – Bell Street lift</td>
<td>51</td>
<td>50</td>
<td>101</td>
<td>56</td>
<td>107</td>
<td>6</td>
</tr>
<tr>
<td>Inverness lease and fit out</td>
<td>317</td>
<td>11</td>
<td>328</td>
<td>3</td>
<td>328</td>
<td></td>
</tr>
<tr>
<td>Lerwick lease and fit out</td>
<td>10</td>
<td>10</td>
<td>10</td>
<td>15</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Livingston finance lease</td>
<td>37</td>
<td>37</td>
<td>37</td>
<td></td>
<td>37</td>
<td></td>
</tr>
<tr>
<td>Stornoway</td>
<td>120</td>
<td>4</td>
<td>124</td>
<td>4</td>
<td>134</td>
<td>10</td>
</tr>
<tr>
<td>Perth Belhaven House Hearing Centre</td>
<td>0 85</td>
<td>85</td>
<td>85</td>
<td></td>
<td>85</td>
<td></td>
</tr>
<tr>
<td>Irvine dilapidations</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>75</td>
<td>75</td>
<td></td>
</tr>
<tr>
<td>Tranent reinstatement</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>10</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>Minor Works</td>
<td>90</td>
<td>90</td>
<td>13</td>
<td>111</td>
<td>21</td>
<td></td>
</tr>
<tr>
<td>Stirling (Gladstone Place) disposal</td>
<td>(471)</td>
<td>(471)</td>
<td>(460)</td>
<td></td>
<td>11</td>
<td></td>
</tr>
<tr>
<td>CMS development</td>
<td>50</td>
<td>35</td>
<td>35</td>
<td></td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>IT security – system accreditations</td>
<td>12</td>
<td>12</td>
<td>12</td>
<td></td>
<td>(12)</td>
<td></td>
</tr>
<tr>
<td>IT infrastructure replacement programme</td>
<td>44</td>
<td>44</td>
<td>44</td>
<td></td>
<td>58</td>
<td>14</td>
</tr>
<tr>
<td>IT initiatives – various small initiatives</td>
<td>16</td>
<td>16</td>
<td>16</td>
<td></td>
<td>5</td>
<td>(11)</td>
</tr>
<tr>
<td>CMS integration/environmental response</td>
<td>40</td>
<td>40</td>
<td>40</td>
<td></td>
<td>10</td>
<td>(30)</td>
</tr>
<tr>
<td>Finance/HR systems</td>
<td>15</td>
<td>15</td>
<td>20</td>
<td>5</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>SCRA website replacement</td>
<td>0</td>
<td>0</td>
<td>18</td>
<td></td>
<td>18</td>
<td></td>
</tr>
<tr>
<td>Infrastructure Programme Total</td>
<td>331 150</td>
<td>481</td>
<td>111</td>
<td>515</td>
<td>122</td>
<td></td>
</tr>
</tbody>
</table>

HEARINGS SYSTEM DIGITAL STRATEGY

| Electronic panel papers – devices for pilot | 35 | 35 | 0 | (35) |
| Electronic panel papers – technology solution | 50 | 50 | 28 | 28 | (22) |
| Electronic panel papers – portal | 50 | 50 | 0 | (50) |
| Digital Strategy | 0 | 0 | 29 | 29 |
| Hearings System Digital Strategy Total | 135 | 135 | 28 | 57 | (78) |

FIT FOR US PROGRAMME

| Wifi | 29 | 29 | 0 | (29) |
| Tablets and games | 2 | 2 | 2 |
| 2014/15 programme completion | 3 26 | 29 | 30 | 30 | 1 |
| Fit For Us Programme Total | 34 | 26 | 60 | 30 | 32 | (28) |
| Total capital resource | 500 | 176 | 676 | 169 | 604 | 16 |

4.2 The main delays experienced on Inverness were the conclusion of the lease and the landlords works. The landlord has now completed the initial works and will complete the installation of a lift following on from SCRA’s fitting out works. Whilst negotiation of the lease agreement took considerably longer than expected, SCRA has now concluded the lease of the property.
SCRA’s fit-out contract has been awarded following a tender exercise and the works will commence on site from the end of November with a target end date of end February 2016. Relocation of the Locality Team will follow on from the works.

Given the delays, an agreement is being negotiated with the Academy Street landlord until at least the end of March. At this stage, it is still fully anticipated that the project will be fully complete prior to 31st March 2016.

4.3 As with Inverness, the main delays on Stornoway have been the conclusion of both the lease and the landlords works. The main outstanding landlords works being the installation of both the new power supply and the fire alarm panel. As time is now of the essence, there may be an additional cost impact to SCRA’s fit-out to remedy works that the landlord has not fully completed.

The lease negotiations stalled for a period as the landlord and their solicitors proved very resistant to negotiating/conceding terms in the draft lease. The landlord’s objections have now been withdrawn and it is anticipated that the lease will be concluded imminently.

The main fit out works have been tendered and upon conclusion of the lease the contract will be awarded. It is hoped to achieve a site start by 30 November which would point to a completion in mid-March. Any further delays on the lease or start date for the fit-out will lead to a project conclusion during April 2016.

The existing Harbour View lease expires in January 2016. Property have requested a short term extension from SCRA’s existing landlord until at least end March.

4.4 The Scottish Government has recently confirmed additional net funding of £260k will be made available to SCRA to develop Belhaven House as the long term replacement for SCRA’s property in Kinnoull Street, Perth. Additional funding of £85k will be drawn down in 2015/16 to allow fit out works to commence. A further £255k will be drawn down in 2016/17 with the sale of Kinnoull Street expected to take place in 2017/18. There has been limited interest to date in the sale of Kinnoull Street.

4.5 Following a lengthy period of negotiation the sale of Gladstone Place has concluded. SCRA previously received approval from Scottish Government to retain this receipt.

4.6 The estimated cost of reinstatement works following a fire at SCRA’s Tranent Hearing Centre are up to £100k. Only £10k of this cost will fall in 2015/16 as the main works will not commence until April 2016. SCRA has flagged these costs to Sponsor Team under the Scottish Government’s self-insurance arrangements. Sponsor Team are looking at whether additional capital funding can be made available. If this is not possible then the balance of £90k will be a priority call on the 2016/17 capital budget.

4.7 The Care Inspectorate have confirmed that they will be vacating SCRA premises in Irvine at the lease break in March 2016. Care Inspectorate currently pay 68% of the costs of the premises which serve as an SCRA Hearing Centre for Ayrshire Locality. SCRA has identified a possible alternative property with lower running costs and a business case report will be prepared for EMT shortly. If SCRA do re-locate there could be a dilapidations cost of around £75k and although no final decision has been taken it is prudent to reflect this cost in the 2015/16 capital forecast.
4.8 The IT Team focused on the CMS UIIP project and the WiFi project in the first two quarters of 2015/16. The external CMS developer has completed the functionality for the panel paper pocket. In addition the IT Technical Manager led a project to move CMS hosting from the current provider to ISIS, the Scottish Government’s IT shared services provider. Ultimately the risks of the move in relation to backup and disaster recovery arrangements could not be sufficiently mitigated so CMS hosting will remain with the current provider for a further 12 months allowing time to plan full integration of CMS hosting into the ISIS data centre in Edinburgh.

Plans for the rest of the financial year have been reviewed by the joint Head of IT. The focus in the remainder of 2015/16 will be on commencing infrastructure replacement, desktop/laptop refresh, upgrades to Finance and HR systems and initial small scale Digital projects.

4.9 In relation to the Hearings System Digital Strategy drafted earlier this year, the next stage is to develop a business case with the support of the Scottish Government’s Digital Transformation Service to be completed by February 2016.

4.10 The Head of IT has developed multi-year plans for infrastructure replacement/hardware refresh starting this year. Future year plans could be accelerated into 2015/16 to absorb any capital underspend and take some pressure of future years capital.

5. Conclusions

5.1 Budget holders are anticipating revenue budget overspends of around £169k. Finance will continue to work closely with localities, Head Office Business Partners and Business Managers in monitoring spend and forecasts between now and the year end. EMT will oversee the actions set out in section 3.9 which are designed to reduce the forecast overspend.

In line with discussions with EMT and the Board there has been no carry-forward adjustment into 2015/16 as the overspend was less than £100k. It will not be possible to apply a similar overspend tolerance at the end of 2015/6.

5.2 The capital budget is currently forecast to be £16k overspent. This is dependent on a number of key assumptions particularly that the Inverness and Stornoway projects can largely be completed this year. A clear plan is in place for IT capital spend to March 2016 and acceleration of 2016/17 infrastructure replacement/hardware refresh plans is possible should resources be available this year. However underspends to date on IT and Digital projects have been diverted to meet unavoidable property costs, including a likely need to provide for dilapidation costs in Irvine. All projects will be closely monitored to ensure that the outturn is as close to the available budget as possible and it is expected that some programme slippage will emerge to offset the small forecast overspend.

6. Recommendation

6.1 To review the revenue position for the year to October 2015 and approve the range of actions in section 3.9 to be implemented as required to mitigate the anticipated overspend for the full year 2015/16.

6.2 To review the capital position for the year to October 2015 and approve the options in section 4.8 to fully utilise the 2015/16 capital budget.
### East & Central Scotland Office

<table>
<thead>
<tr>
<th>Expense Head</th>
<th>Variance Year to October</th>
<th>Forecast Variance for Year</th>
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<tbody>
<tr>
<td>Staff Costs</td>
<td>4.3</td>
<td>2.5</td>
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<tr>
<td>Travel Costs</td>
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<tr>
<td>Other Operating Charges</td>
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<tr>
<td>Other Income</td>
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<tr>
<td><strong>Net Total</strong></td>
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<td><strong>2.0</strong></td>
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### Tayside And Fife Locality

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### Central Locality

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<td><strong>18.5</strong></td>
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<td>Expense Head</td>
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<td>Highlands And Islands Locality</td>
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<tr>
<td>----------------------</td>
<td>------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td></td>
<td>Variance Year to October</td>
<td>Forecast Variance for Year</td>
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<tr>
<td>Staff Costs</td>
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<td>Property Costs</td>
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<tr>
<td></td>
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<tr>
<td></td>
<td><strong>Net Total</strong></td>
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|                      |                        |                               |                  |                           | **31.1**         | **21.5**                    |

|                      |                        |                               |                  |                           | **216.4**        | **4.2**                     |
Recommendations:

1. To outline the composition of the current workforce and workforce planning for 2016/17.

Reason for Report: For Board discussion

Resource Implications: Within approved budgets

Strategy: Sustainability

Consultation: Executive Management Team and UNISON

Equalities Duties Preliminary Assessment undertaken

Document Classification: Not Protectively Marked
1. **Introduction**

1.1 The Annual Workforce Report for 2016/17 aims to meet the needs of our Business Plan – which in turn supports the final year of SCRA’s Corporate Plan 2014-17. This Workforce Report will focus on the sustainability and resilience of staff resources, recognising that workforce planning has a significant role to play in this by considering the internal pressures of staff capacity and capability in the context of external pressures.

1.2 The challenge for workforce planning in 2016/17 will be to ensure that Locality Management Teams and Head Office functions are enabled to continue to make improvements in service delivery performance within the context of very challenging resources. Evidenced through the results of the 2015 staff survey, SCRA has seen a rise in staff morale, motivation and workload management and is striving to continue that upward trend through the provision of adequate resources, opportunities for individual and organisational growth at the same time being as flexible as possible to meet our internal and external service delivery challenges.

1.3 The purpose of the report is therefore to identify the key supports and resource challenges facing SCRA over the next twelve to eighteen months in recruiting, retaining and developing the workforce it requires. Specifically it will focus on:

- key pillars that are required to be in place to support the workforce
- analysis of the existing workforce
- workforce planning - including our flexible approach to service delivery, supportive absence management methodologies and the learning and development requirements of our workforce through corporate training and succession planning.

1.4 Although this report outlines activity and actions that will help to inform our business, financial and training plans, SCRA’s workforce planning requires to be flexible and agile to react to the needs of the service and our service users. Additionally, the outcome of the Spending Review may have an impact on how we approach our service delivery and as such an impact on our workforce plan. It will therefore be reviewed regularly, in partnership, to ensure its continued fit with the business.

1.5 The completed actions from the 2015/16 Workforce Report are highlighted in Appendix 1.

1.6 A three year Workforce Strategy will be developed to align with SCRA’s Corporate Plan 2017/20.

2. **Key Pillars**

2.1 The key principles of partnership working, recruitment and selection, pay and reward, performance management, equalities and health and wellbeing underpin the aims of this workforce report.
2.2 **Partnership working**

Partnership working is embedded within SCRA. However, there will always remain a contention between partnership and more traditional methods of employee relations dependent on the issue at hand. The well-established Partnership Agreement provides good governance to the partnership working relationship.

The maintenance of partnership working and the positive feedback from previous development sessions, highlight the importance of investing in that development.

**Action:** Promote a further partnership development day and work with UNISON to develop an appropriate agenda.

SCRA has historically allocated resources to support a FTE UNISON Branch Secretary. The current secondment ends in March 2016 which provides an opportunity to consult with UNISON on how a resource is allocated for 2016/17.

**Action:** Review the current structure of resource provision to the role of Branch Secretary. In partnership, discuss the possibility of allocating a resource across a number of UNISON Branch Executive roles so that experience, skills and knowledge is shared more broadly across the group.

2.3 **Recruitment and Selection**

Planned and effective recruitment and selection decisions provide a clear organisational message on the skills, competencies and behaviours we expect from our staff. The planned review of the current Recruitment Selection Policy and Procedures in 2015 which sought to maximise the capabilities of the e-hr system e.g. develop on-line recruitment and selection, has been delayed whilst negotiations on a new e-hr contract are underway. The contract will be implemented through an agreed project plan from 1st April, 2016 and will see system developments and enhancements throughout 2016/17.

**Action:** Develop a project plan with the e-hr provider to progress on-line electronic recruitment and selection, which will in turn support development of our policies and procedures. This will be taken forward in full partnership with UNISON.

SCRA’s recently developed Management Standards, which outline in detail the core and peripheral skills and competencies we require from our management cohort, will also inform our approach to recruitment and selection, ensuring that full consideration is given to testing these competencies thoroughly during the selection process.

**Action:** Further improvements will see the development of competency based selection decisions and the use of assessment centres for targeted recruitment campaigns.
Since November 2014 there have been 62 vacancies advertised internally, of which 64% were for full-time hours and 36% were part time hours. Of all vacancies advertised, 93% were based in Locality teams. 66% of all vacancies were for support roles. We have seen a further fall in the number of fixed term appointments this year to 58% of all recruitment from 64% in 2014/15. It is to be expected that there will be an element of fixed term working in the provision of backfill arrangements, however this still feels particularly high. SCRA should monitor and review the level of fixed term working particularly where team stability is required.

**Action:** The HR Business Partners will support Locality Management Teams to manage vacancies as they arise and to seek to reduce the level of fixed term recruitment.

### 2.4 Pay and Reward

SCRA is coming to the end of the 2013/16 three year pay agreement and work has started on developing a further multi-year pay offer. This potentially could be a two year offer dependent on SG Pay Policy Guidance, which is expected on 16th December, 2015. SCRA remains committed to recognising the value of its workforce and rewarding staff in line with SG Pay Policy Guidance and available resources. The developments of SCRA’s pay structure over the past three years means that 62% of all staff are at the top of the scale for their post and will not be eligible for progression. Whilst this is a relatively good position for SCRA in terms of financial impact, meeting expectations of staff will become increasingly difficult, whilst pay policy guidance remains restrictive.

**Action:** The pay remit development follows a benchmarking exercise to ensure that SCRA’s reward strategy remains comparable with key recruitment competitors and therefore is attractive to current and prospective employees.

**Action:** Non-pay rewards will continue to be a focus for future pay remit developments. A staff recognition scheme was explored in partnership with UNISON during 2015, but found that individual employee recognition did not fit with organisational culture at this time. A review of this position will be undertaken by the end of the 2016/17 financial year and reported to the Board.

**Action:** SCRA will seek to become an accredited Living Wage Employer. All directly employed staff, including Modern Apprentices, will be paid the Scottish Living Wage demonstrating SCRA’s commitment to providing a better standard of living for the lowest paid staff in our community. Clear links with our procurement strategy will ensure the sustainability of this accreditation.

**Action:** SCRA’s 2014/15 Equal Pay Audit has been considered in the development of the Pay Remit.
2.5 **Performance Management**

Significant developments in our performance management framework were delivered throughout 2015/16, with a particular focus on personal and continuous development. This information, if captured well, can enhance our ability to implement a cohesive and timely organisational learning plan, which will not only feed into the emerging succession plan but will also provide for personal growth in meeting the expectations of, and our commitments to, staff.

**Action:** The e-hr system is being further developed to allow for training, skills and experiences to be captured on the system through a self-service portal. In addition, it is anticipated that there will be a discrete section that will enable managers to record performance appraisal and personal development plan information. Data analysis will inform the development of individual and organisational learn plans

**Action:** Support the audit of performance appraisal and supervision in early 2016, ensuring appropriate action points are progressed to increase the effectiveness of the performance management framework.

2.5 **Equalities**

The Equalities Network continue to provide professional advice and governance to SCRA in meeting the organisation’s equalities commitments. Through the excellent work of the members of this group, SCRA is being recognised as a progressive organisation in terms of its Equalities strategies and approaches, often being asked to speak at networks and events on the proactive stance being taken. Whilst we have seen improvements in the level of the equalities data we hold on our staff and service users, for staff this has reached about 14% return rate, there is still some way to go to ensure that the level of data can inform policy and strategy development.

The 2014/15 Equal Pay Audit highlighted a pay gap between women and men of 26%. This is as a result of the mean figure, which is recommended for use by EHCR, being skewed with a higher proportion of males employed in senior positions. If SCRA used the median calculation, which is best suited to those organisations with simple short pay scales, the pay rate for women and men would be equal. However, SCRA does recognise that there are more men than women in senior positions and is seeking to understand and encourage more women into senior roles when they arise.

**Action:** The Equalities Network has commissioned a series of focus groups to explore the reasons for women not seeking to progress to more senior roles at the same rate as men, identifying any steps that may help to overcome any perceived barriers. The focus groups will be led by women and report back to the Equalities Network in April, 2016.

**Action:** To further promote and ensure that Equality Impact Assessments are routinely and consistently considered as each policy, strategy and/or organisational decision that impacts on staff is developed.
2.6 **Healthy Workforce**

The Health and Wellbeing Group continue to lead initiatives that support staff in the workplace balance everyday pressures such as stress awareness and management, ensuring that the tools available to staff meet the needs of workforce. Significant achievements in attaining the Bronze Healthy Working Lives Award and Carers Kitemark position SCRA well for making steady progress in this area. There is more to do and a further health and wellbeing survey will be undertaken in early 2016 to assess where the focus should be in providing additional supports to staff.

**Action:** To provide additional Manager’s training on stress awareness and management for those managers who were unable to attend during 2014/15 – all managers to complete this by end 2016. Further awareness training will also be available to all staff delivered by Healthy Working Lives throughout 2016.

**Action:** Undertake a further health and wellbeing survey

3. **Existing Workforce**

3.1 To identify what we need for over the next 12 – 18 months, it is important to recognise the composition of the current workforce.

3.2 **General Profile**

We have a range of employment types including full-time, part-time, job share, fixed term, term-time, compressed hours and secondments. In addition, SCRA operates a Sessional Workers Policy who can be called upon to offer support in front line roles for up to six weeks at a time.

- The 2014/15 pay remit outturn recorded 403 fte staff in post which is an overall reduction in our staffing profile of 18% since the first round of VER/VR in 2009.
- 86% of our employees are female and 14% are male – a slight increase in female employees from 83% in 2014/15. The majority of our lower paid roles are undertaken by female employees.
- 64% of employees are full-time with 36% working part-time (96% of part-time workers are female)
- The average length of service is 11.5 years (an increase of one year from 2014/15)
- Turnover has almost halved over the past eighteen months from 7% in 2013/14 to 3.9% by the end of 14/15.
3.3 **Current Establishment Profile**

The agreed establishment at 30th November, 2015 is broken down as follows:-

<table>
<thead>
<tr>
<th>Role</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Assistant Reporter</td>
<td>19.14</td>
</tr>
<tr>
<td>Locality Reporter Manager</td>
<td>23.91</td>
</tr>
<tr>
<td>Locality Support Manager</td>
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<tr>
<td>Reporter</td>
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<tr>
<td>Senior Practitioner</td>
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<td>Support Administrator</td>
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<td>Support Assistant (Reception)</td>
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</tr>
<tr>
<td>Caretaker/Security</td>
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</tr>
<tr>
<td>Business Manager</td>
<td>2</td>
</tr>
<tr>
<td>Area Assistant</td>
<td>1</td>
</tr>
<tr>
<td>EMT (including PR/CE )</td>
<td>7</td>
</tr>
<tr>
<td>Head Office roles (management)</td>
<td>51.81 (management 16.21)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>389.2</strong></td>
</tr>
</tbody>
</table>

The core establishment is further supported by 4 Modern Apprentices/Trainee Support Administrators and 2 Trainee Reporters. Some established posts are filled on a fixed term basis for reasons of backfill or temporary arrangements to support localities in the short term.

Management roles make up almost 19% of all posts across the organisation. HO represents less than 15% of the establishment and a significant percentage of those staff are front facing business partners and data providers who support statutory requirements such as production of accounts, property provision and procurement, or transactional staff for example payroll and IT systems management.

As at 30th November, there were 15.2 fte fixed term contracts which is 4% of all employment contracts. This would seem to be at a manageable level and within acceptable parameters of fixed term working. However, given that more than half of all recruitment was to temporary/fixed term positions, managers should consider the impact on workloads of continually recruiting to temporary vacancies.

Since April, 2015, 5.7 fte staff have left SCRA under the agreed Voluntary Efficiency Retiral/Redundancy Scheme, with a further 4 fte authorised to leave by the end of March 2016. This sees our workforce reach the bare minimum required to deliver our current level of services and continue to improve our performance. If resources reduce, this workforce plan will require to be flexible enough to respond to how we reshape the establishment to deliver agreed
services. SCRA has an emerging history of Localities and Head Office Teams making good decisions about how to redeploy their resources through effective local workforce planning, utilising the agreed vacancy management procedures and considering the most appropriate roles they need to deliver front line services.

**Action:** The Establishment Group regularly monitors the establishment and challenges any requests to change the shape of the organisation, within current resources. The group meets quarterly.

### 3.4 Sickness Absence

Sickness absence in 2014/15 (both long and short term) was an average of 10 days per employee (4.6% organisationally). This, compared to the national average absence rate in 2014 of 6.6 days per employee (CIPD Absence Management 2014 survey report), shows that SCRA is clearly impacted by absences significantly above the national average.

**Action:** To continue to seek to reduce the level of absences across the organisation, with 4% as a maximum but aiming to reduce this to 3% by March 2017.

The trend continues that psychological absences (stress/anxiety/depression etc) are the predominant reasons for sickness absence at 22% of all absences which is a reduction on the 2013/14 figure of 30%. The work of the Health and Wellbeing Group recognises the ongoing impact of stress and how it can affect staff at work, at home, their health and ultimately their absence from work. Cancer treatment is the next highest absence reason at 14.6%. Helpful materials from MacMillan foundation are available to managers which provide excellent advice on the management of cancer-related absences.

**Action:** Continued early recognition of stress related symptoms through discussion, observation and engagement have shown a positive impact on staff’s ability to remain at work and ultimately improve SCRA’s absence stats. Continued support will be provided to managers through appropriate training initiatives. All staff will also be trained on personal stress management.

Sickness absence statistics are provided regularly as part of the organisational performance report and where appropriate management scrutiny takes place.

**Action:** With the increasing number of unavoidable long terms absences, such as cancer related absence, we will focus on short term absences and what interventions would support a reduction in those areas of avoidable absence.

Supports are in place to support the reduction of sickness absence such as regular promotional materials on healthy eating, smoking cessation, physical exercise etc.. Additionally, management intervention in the form of sickness absence reviews, occupational health support and return to work meetings to discuss absences with individual employees are regular features of our approach to maximising attendance, as well as ensuring any reasonable adjustments are made to workloads, working patterns and physical environments to support staff returning to work.
**Action**: Regular and consistent Locality absence management information will be provided to support early management of absences to reduce potential long-term absences.

### 3.5 Diversity Profile

SCRA has an active Equality Network and is recognised as an employer which has a strong commitment to diversity. Detailed employee statistics are reported annually on SCRA’s internal and external websites in line with the specific equality duties. This year we have been awarded a Carer Positive Engaged Employer status and Healthy Working Lives Bronze Award, we have also been asked to present at a Scottish National Equality Improvement Project event by the Scottish Government and Equality and Human Rights Commission. Self-reporting improved over 2015 and we hope this upward trend coupled with work of the SCRA Equalities Network will provide us with more accurate diversity data in future.

SCRA’s current position in relation to each of the “protected characteristics” as of 30th November 2015 is as follow:-

**Age**: Staff range in age from 16 to 75 years old with the average age of employees being 45.4 years – 68.8% of the workforce are currently over the age of 40. Although these figures have remained relatively stable over the past few years, the aging profile of the organisation may mean that there will be a significant number of staff approaching retirement at the same time. To date this has not presented SCRA with any particular difficulties in terms of service delivery however, our emerging approach to succession planning will consider this aspect of risk.

**Disability**: we are a “Positive About Disabled People” employer with around 2.2% of our staff having declared a disability although the actual figure covered by the Equality Act 2010 will be higher.

**Ethnic Origin**: Racial/ethnicity data shows the majority of our staff are white (75.5%) of which 51.6% are Scottish although this may be higher and more representative of Census data as 22.63% of staff have chosen not to declare.

**Gender**: The majority of our staff continue to be female (86%). We do not foresee this changing due to our low recruitment and staff turnover levels.

**Marriage and Civil Partnership**: The majority of our staff are married/in a civil partnership/living with a partner/are widowers/in relationships (66.2%), with 14.2% being single, 2.3% divorced, and 17.3% of staff choosing not to declare.

**Pregnancy and Maternity**: SCRA has currently 14 staff on adoption/maternity leave. The majority of our staff return to work following adoption/maternity/paternity leave.

**Religion and Belief**: The majority of SCRA staff (85.6%) have not declared their religion. Of the religions/beliefs we know about, Christianity has the most
followers (10.7%) and we have small numbers of Buddhist, Muslim, Jewish, Atheist and Agnostic staff. The Equality Network has been looking at ways to recognise key religious dates and to improve greater religious/belief reporting.

**Sexual Orientation:** We know that in terms of sexual orientation: 84.5% of staff have chosen not to declare, 10.9% are heterosexual and 1.5% are Lesbian, Gay or Bisexual. SCRA has been working with LGBT Youth to make our organisation more LGBTI aware.

**Action:** We will continue to place six monthly communications on Connect in partnership with UNISON to remind staff to update their personal and sensitive information. We will report how this better understanding is making a difference to how we operate and deliver services. SCRA will adjust self-reporting fields in our HR/Payroll system following the work of the NDPB equality forum on standardised public sector questions and the updating of system software.

4. **Workforce Planning for 2016/17**

4.1 The positive steps made in our performance and improvement agenda are absolutely as a result of our workforce changing and adapting to different ways of working and prioritising. Alongside, the recently approved Organisational Development Strategy the purpose of the 2016/17 workforce plan is to support the resilience of the organisation so that it can continue to transform its performance and help to ‘stabilise’ the workforce after an intense period of change.

4.2 We have recently determined through the workload recording exercise, that our current resources meet the current demands made of us. Through engagement with staff, we believe that we have the right suite of roles to deliver our services. Our policy development continues with good reviews of policies being undertaken in partnership. For these reasons, the organisational workforce plan for the next year will focus on three main areas - an emerging succession plan, learning and development and flexibility.

4.3 The three year Workforce Strategy to be developed in 2016/17 will plan for longer term elements of development such as a review of the organisation’s job evaluation structure to determine whether there has been any drift in our grading structure

4.4 Despite the short term nature of the plan, the expectations from workforce planning remain unchanged from the last plan and aim to ensure that:

- SCRA values and supports staff in all their diversity and is clear about our high expectations of them
- our high expectations that managers will manage in an effective and flexible way, enabling SCRA to quickly respond to change are supported, are realised
- we have robust performance management systems that inform key decisions on organisational and staff performance
- the organisation is lean - with minimum bureaucracy and management layers
- we continue to review our workload capacity and allocation
we have the right roles to deliver our service
our workforce is flexible and that it can rise to meet the challenges of service delivery
we have a flexible approach to how we deliver our roles so that the structures and boundaries don’t impede the pace and progress at which we need to deliver our services and meet changing requirements
our staff are confident to take managed risks with full understanding of the possible impacts; and
there is a healthy and safe working environment.

4.5 Succession Planning

A Succession Plan, the process of identifying people to undertake unique and key management roles, has been developed to support SCRA’s business continuity planning. The Succession Plan identifies different levels of risk SCRA carries in regard to filling different posts across the organisation. The Succession Plan is an emerging plan and one we would expect to progress and mature as we explore further opportunities to support staff in their personal and professional development.

We have a good track record of succession planning for non-managerial roles such as the implementation of the Assistant Reporter and Trainee Reporters roles. However, we experience more difficulty in attracting a competitive and diverse candidate pool for management roles. Additionally, it is not yet clear at this point, from where we would recruit our senior managers given the rare skills required for the role.

The development of our Management Standards will support us in reviewing a management competency matrix for recruitment purposes. This matrix will also clearly highlight to those staff interested in progressing to management roles, any areas of individual development they may require to undertake to meet those standards.

To underpin the early Succession Plan, we need to capture more accurately what our current skills mix is within the organisation. Our enhanced e-hr system will include a specific performance management environment to record skills, experiences, learning and continuous development that will inform where we have gaps, where we can un-tap some unknown skills and what supports can be provided across localities to support complex cases. The information gathered through the performance appraisal and supervision process will build a skills database and staff should be encouraged to record CPD and other learning through a self-service function.

Action: Develop the e-hr system so that future skills gap analyses can be undertaken to inform on-going succession planning. Provide manager and staff with training on what should be recorded and how the data will be used.

Action: Ensure that the developments in the Succession Plan feed into the development of SCRA’s Recruitment and Selection Policy and Procedures.
4.6 **Learning and Development**

Over the past three years or so, learning and development has very much focused on CMS, legislation and Reporter Practice Training. There have been targeted areas of learning available specifically around stress awareness and management and access to the Diploma in Public Sector Leadership for current and aspiring managers. What has not been available is a training plan that offers opportunities to staff for corporate training programmes such as induction, time management, handling difficult conversations and so on. This has become a recognised gap. With limited internal resources, SCRA will need to think creatively in how corporate training can be sourced and delivered.

**Action:** Identify a corporate training provider, perhaps through engagement with a Local Authority, who could support SCRA in its off-the-shelf training.

There are a variety of different approaches to learning and development currently being delivered - from the Practice Team, the Accreditation Programme, Support Staff Training initiatives being led out by the Operational Development Manager, e-learning platform as well as tailored training provision in response to specific requests.

With the implementation of the revised Performance Management and Supervision Frameworks, there is a real emphasis on personal development, up-skilling and growth, as well as sharing of knowledge and experiences to support the learning and development of others. Personal Development Plans will be the outcome of the performance management discussion and this information requires to be recorded in the new e-hr environment to inform an organisational training needs analysis to feed into the development of SCRA’s training plan.

In addition, the Organisational Development Strategy sets out our clear ambition for workforce and performance development through a variety of methodologies such as management development and improvement practices as well as investing in and growing a coaching culture.

As an organisation, it is becoming increasingly important that we provide different opportunities for learning that will support a progressive workforce in a performance improvement environment. These opportunities need not be training course related but staff could be encouraged to read specific literature or talk to someone who can provide direct experience etc.

**Action:** So with all of these in mind, the different strands need to be captured into one easily accessible document/portal – SCRA’s Training Plan and associated calendar, to include all training courses, conference/seminar opportunities, literature, pod-casts/webinars etc. to ensure that staff have a menu of development opportunities.
4.7 **Flexibility**

SCRA has successfully embraced flexible working for many years through different working patterns, job roles and work locations. In some teams, there is such a range of flexible working that it has become a challenge to accommodate the range of patterns against sustaining service delivery.

However, as the way in which we work and the tools which we have available to us are changing, flexibility in its broadest sense needs to be explored. We know we have the technology to support delivering our services differently, such as home working or different work locations, and we should capitalise on the good work that a number of localities have already undertaken in working across localities in support of each other. What can we learn from that? Can we do more in making good and timely decisions for children if we are not constrained by geographical, management and role boundaries? Are there gaps that we can meet if we work differently? Can we respond to what is asked of us at short notice? To help us answer these questions and ensure that our strategies and policies support what we want to achieve, a small working group will be set up to discuss what flexibility means to SCRA and where improvements can be made.

**Action:** A small working group, representative of the organisation, will review flexible working in its broadest sense to maximise what we can contribute to the children’s hearings system with our current workforce.

SCRA’s policies and procedures go a long way to supporting significant flexibility but we need to be able to respond to the changing needs of our service and our workforce and finding the right balance that can take SCRA into the next generation of flexible working.

Although SCRA’s policies offer flexibility, conversely they do so within fairly tight parameters e.g. the flexi time scheme has clear core hours and carry-over of time accrued which, although standard, has limited use during periods of increased workloads.

**Action:** Review current policies and procedures to ensure the necessary flexibility is available to meet staff and service needs

5. **Summary**

5.1 SCRA clearly recognises that in order to achieve its strategies outlined in the Corporate Plan 2014/17, it is important to put the workforce at the heart of SCRA. Workforce Planning is fundamental to the success of SCRA in achieving its objectives particularly given the severe budget restrictions anticipated over the next 12 – 18 months.
5.2 This workforce plan is written on the basis that SCRA secures the required level of budget for the next one to two years. A standstill or reduced budget will have an impact on the plan and may require consideration of additional workforce impacts such as a sixth round of Voluntary Exits from the organisation. The plan itself will therefore be viewed as a ‘living’ document and will be responsive to the needs of the organisation.

5.3 A three year Workforce Strategy will be developed through 2016/17 to align with SCRA’s Corporate Plan.

6. Recommendation

6.1 The Board are asked to note the current composition of the workforce and the short term workforce plan for 2016/17
Appendix 1

Achievements from the 2015 Workforce Report

- A further partnership development day was held in March 2015 to agree a workplan, discuss the Mathers Review and share some learning around SCRA’s equalities agenda.
- A Head Office Partnership Group was established in July 2015 which mirrors the successful development of partnership working across localities.
- HR Business Partners continue to support LMTs in managing their local workforce as well as lead the establishment governance group.
- In November, 2015 Key Benefits Statements were issued to all staff. These statements outlined the total costs of an individual member’s employment package. The purpose to highlight the cost and impact of non-pay rewards and benefits that are available to staff.
- Young people from Who Cares? Scotland were involved in the recruitment and selection of management vacancies across the organisation.
- Most managers have now been trained on the revised Performance Management and Supervision Schemes.
- An equal pay audit was undertaken, with the results published within the statutory timescales. The outcome of the audit will focus heavily in the development of the 2016/18 reward strategy.
- Management Training on mental health awareness and management was implemented. Sessions for those that missed the training are being organised by the end of this financial year.
- Staff training on stress awareness has commenced with further training planned.
- Improved absence and attendance data was developed for consideration within the newly implemented Performance Review Meeting with Locality Teams. The data will be enhanced further and produced more frequently for local use.
- Successful transition from the LGPS final salary pension scheme to the new CARE scheme on 1st April, 2015 with regular communications to staff leading up to the change.
- Regular communications to staff regarding recording their personal and sensitive data on Itrent has seen a 14% increase in the data held, which will help to inform our equalities statistics and strategies.
- Successful second workload recording exercise was undertaken which saw 62% of all staff record nearly 20k hours of work. This has produced significant and robust data about where and for how long we spend on at work and on certain activities.
- The consultation on and review of the Support Assistant (Reception) concluded and is providing flexible options to Localities in customer care roles and initial casework administration arrangements.
- In-depth consultation on the Locality Support Manager role concluded in September 2015.
- The Principal Reporter/Chief Executive concluded the review of the Senior Operational Manager role and implementation of the Performance Review meetings with Localities.
- Early development of SCRA’s Succession Plan which outlines a talent pipeline for staff into management, with a more targeted approach of key roles.
- Successful business case to Scottish Government saw a further managed headcount reduction of 9.68 fte delivering over £360k on-going staff savings.
- Implementation of a Vacancy Management Procedure to manage recruitment to vacancies whilst achieving organisational savings targets.
SCOTTISH CHILDREN’S REPORTER ADMINISTRATION

Corporate Procurement Strategy 2015-18

Accountable Director: Head of Finance and Resources Date: 27th November 2015

**Recommendation:**

1. To approve the updated Corporate Procurement Strategy 2015-18.

**Reason for Report:** For approval

**Resource Implications:** Within approved budgets

**Strategy:** Within approved plans

**Consultation:** Executive Management Team

**Equalities Duties:** An Equalities Impact Assessment will be undertaken and report submitted to the Equalities Group.

**Document Classification:** Not protectively marked
1 Introduction

1.1 SCRA’s first Corporate Procurement Strategy was published in 2012. The Strategy has been substantially updated in light of the considerable developments in public sector procurement in the last three years and is attached at Appendix 1.

1.2 Further updating of the Strategy will be required once all guidance relating to the Procurement Reform (Scotland) Act 2014 has been issued by Scottish Government. It is anticipated that the Strategy will be updated in June 2016 and annually thereafter.

2 Background and main changes

2.1 The Strategy has been re-structured to give more prominence to procurement aims, vision and improvement activity and some of the annualised information included in the previous strategy has been removed giving the Strategy a longer shelf-life. Annual information on objectives and activity is now included in the report provided to the Board each September.

2.2 The Strategy focuses on how SCRA has and is adapting to recent changes in legislation and regulations from working with the new procurement thresholds to addressing Fair Work Practices.

2.3 The section on continuous improvement hopefully reflects a growing maturity in the organisation as it moves from implementing a range of best practices and processes to maximising value for money by focusing on effective contract management and extending the influence of procurement in SCRA with establishment of the Contracts Review Group. The new Procurement and Capability Improvement Programme review which will take place in 2016 will give us an independent assessment of how much progress we are making.

2.4 In re-drafting the Strategy the Procurement Officers reviewed the strategy documents of a number of other public bodies and have incorporated some of the best elements into the revised SCRA Strategy.

2.5 Finally every attempt has been made to make the Strategy accessible to SCRA staff at all levels of the organisation and also to external readers and suppliers.

3 Recommendation

3.1 To approve the updated Corporate Procurement Strategy 2015-18.
FOREWORD BY CHIEF EXECUTIVE

Effective and efficient procurement is very important to all public bodies and SCRA is no different in that regard. This strategy sets out how our procurement work in SCRA will benefit Localities and Head Office by ensuring that the goods and services that we consume and rely on in our day to day work represent the best value in terms of quality and price. In the last few years our procurement activity, reviewing our contracts and supplier arrangements have made a significant contribution to our ability to reduce costs by doing things differently, or together with others, thereby supporting our ability to protect frontline services to children and young people.

In 2013 SCRA introduced two Senior Delegated Procurers to support the Head of Finance & Resources in the delivery of a professional and flexible procurement service to both internal managers and external suppliers, and to ensure full compliance with EU and UK Public Sector regulations. The team’s relationship with Head Office Managers and Locality Support Managers in delivering a dynamic and responsive approach to procurement is a welcome strength in our approach.

The creation of the Senior Delegated Procurers and the expertise they have also allows SCRA to ensure that the services it sources and purchases are safe for children, young people, their families and our staff to use, are provided by organisations that can demonstrate a commitment to our values and commitments under the 2010 Equalities Act and our wider support for fair work and a Scottish Living Wage.

A solid approach to procurement, captured by this strategy, allows Localities and Teams across the country to have the kind of access to specialist support and advice they need, now and in the future, to make wise, best value decisions about goods and services, to benefit from the scale of national contracts and to vision future ways of making things ever more efficient, responsive and adaptable to our changing needs. I know the team will really appreciate you taking the time to consider this strategy and for your continued engagement with them on this important aspect of SCRA’s work.

Kind regards

Neil Hunter
Principal Reporter/Chief Executive
ABOUT SCRA

The Scottish Children's Reporter Administration (SCRA) is a national body focused on children most at risk. SCRA was formed under the Local Government (Scotland) Act 1994 and became fully operational on 1st April 1996. Our main responsibilities as set out in the Act are:

- To facilitate the work of Children's Reporters,
- To deploy and manage staff to carry out that work,
- To provide suitable accommodation for Children's Hearings.

The Children’s Hearings System provides the operational setting in which SCRA and its partner agencies work. The aim is to provide a safety net for vulnerable children and deliver tailored solutions which meet the needs of the individuals involved, while helping to build stronger families and safer communities.

STRATEGY OVERVIEW

The Procurement Reform (Scotland) Act 2014 requires any public body that spends £5 million or more in any financial year on regulated procurements to have a Procurement Strategy that sets out how it intends to carry out procurement regulated by the Act. This Strategy will be updated once further Guidance is received from Scottish Procurement early in 2016 and annually thereafter.

This Strategy replaces SCRA’s first Procurement Strategy which was published in 2012 and sets out the key principles underpinning SCRA’s approach to procurement. It has been developed in line with SCRA’s Corporate Plan 2014/17, SCRA’s Business Plan 2015/16, the Procurement Reform (Scotland) Act 2014 and the EU Directive 2014/24. This Strategy has been reviewed by SCRA’s Executive Management Team.

The purpose of the Strategy is to communicate clearly to all stakeholders how SCRA intends to carry out regulated procurements to ensure that they will:

- Contribute to carrying out SCRA’s functions and the achievement of its purposes
- Deliver value for money
- Be carried out in compliance with the Scottish Public Finance Manual (SPFM), the wider requirements of the Scottish Government’s Public Procurement Reform agenda and the UK and EU Legislative requirements.

The principal aims of SCRA Procurement are to:

- Deliver a professional and flexible procurement service to both internal managers and external suppliers, ensuring that SCRA receives best value for money in the procurement of all goods, services and works in order to deliver an effective and efficient service to children and families.
- Ensure full compliance with EU & UK Public Sector regulations giving due regard to SCRA’s needs and requirements to ensure operational effectiveness is maximised.
- Ensure SCRA’s procurement practices contribute to the Scottish Government’s objective for sustainable economic growth and contribute to the achievement of relevant National Outcomes.
Proactive management of SCRA procurement activity will play an integral role to help ensure a seamless delivery of services, ensuring legal compliance, improved efficiency, savings and benefits, whilst actively promoting the principles of equality and diversity, corporate social responsibility and sustainability.

The Procurement Team will continue to analyse and transform procurement processes and systems to enable a strategic focus. Performance reports against agreed procurement objectives will be submitted to SCRA’s Board and Executive Management Team.

PROCUREMENT VISION

In order to be effective, this Strategy has been designed to remain flexible and complement the following:

- SCRA Business Plan
- SCRA Procurement Action Plan
- Scottish Sustainable Action Plan

Our vision for the future is one where the approach to procurement and contract management is fully integrated into our business strategies and is recognised as demonstrating a performance band of Bronze – 51% to 60% across the range of Procurement & Commercial Improvement Programme (PCIP) criteria.

The vision for a modern SCRA will translate into a modern supply chain that is flexible and responsive to our needs with a strong focus on:

- Understanding and delivering best value for our customers
- Sustainable Procurement
- A balanced scorecard of performance measurement and targets

INTRODUCTION TO PROCUREMENT

“Procurement” is the process of acquiring goods, services or works from third parties to meet customer and service user needs.

The procurement process spans the whole life cycle of whatever is being purchased, from identification of needs and formation of a sourcing strategy, to options and supplier appraisals, through to the end of the contract or the useful life of an asset.

SCRA Procurement follows the “Scottish Model of Procurement” using the Scottish Government’s Procurement Journey as the basis for our policy and procedures. This Model puts procurement at the heart of Scotland’s economic recovery and it sees procurement as an integral part of policy development and service delivery.

SCRA has a Schedule of Delegated Purchasers, with the appropriate authority levels and separation of duties embedded into our finance system. All control systems are subject to internal and external audits. Any audit recommendations are published as an improvement plan, which includes action/report dates, to SCRA’s Executive Management Team.
PROCUREMENT PROCEDURES

SCRA has a range of procurement procedures dependent on the value and nature of what is being purchased:

Non-Regulated Procurement (Below £50k)

Where SCRA is seeking quotes for commissions below £50,000, invitations to quote will be sent to a minimum of three appropriate suppliers, where possible through the “Quick Quote” section of the national advertising portal, Public Contracts Scotland (PCS).

SCRA has a Delegated Purchaser based in each Locality and a number based within Head Office teams. Delegated Purchasers have authority to purchase up to a total contract value of £20k using Route 1 of the Procurement Journey. Contract requirements over £20k or of lower value and more complex nature are passed to Procurement Officers to be competed.

SCRA’s Procurement Officers share procurement best practice with Delegated Purchasers and Project Managers and have undertaken procurement training with Delegated Purchasers. Training for Budget Holders and Contract Managers will be delivered in January 2016.

Regulated Procurement (Goods & Services over £50k)

SCRA’s policy, where possible, is to advertise tender opportunities over £50,000 on the national advertising portal, Public Contracts Scotland (PCS). These may also be advertised on SCRA's website, www.scra.gov.uk. Interested suppliers must formally apply for these opportunities through the portal, and applicants will be considered in terms of their capacity and capability to meet SCRA’s requirements.

Past contract awards can be viewed on PCS and interested suppliers can apply to receive automatic notifications of any SCRA contract opportunities that may be of interest and those of many other Scottish public sector organisations.

During early strategic procurement discussions with Project Managers, options available will be discussed and agreed to ensure the most appropriate route is developed to meet their needs and ensure value for money is achieved. SCRA uses Scottish Procurement frameworks and Crown Commercial Service frameworks where appropriate.

Where there are no appropriate frameworks available, for regulated procurement (over £50k), the Procurement Team work with internal customers to design, develop and procure contracts that are fit for purpose, ensure value for money and are compliant with legislation.

SCRA uses the open process for the majority of regulated procurements to open up the opportunity to suppliers, in particular, to SME’s, and reduce paperwork and timescales.

SCRA awards contracts on the basis of the most economically advantageous tender (MEAT) which balances value for money and the required quality of goods, services or works being procured.
At the end of each regulated procurement, Procurement Officers complete a Tender Recommendation Report which reviews the procurement exercise and request approval from the Budget Holder and Principal Reporter/Chief Executive Officer before awarding the contract.

**Non-Regulated Works Contracts (Below £2m)**

Although SCRA Works contracts are non-regulated due to the value, where possible SCRA will openly advertise contract opportunities over £100k on Public Contracts Scotland. SCRA’s procedure for Works contracts is currently being updated.

**Addressing Fair Work Practices, including the Living Wage, in Procurement**

In accordance with the new Statutory Guidance for Addressing Fair Work Practices, including the Living Wage, in Procurement, SCRA will now consider, before undertaking a procurement exercise for regulated procurements and EU-regulated procurements whether it is relevant and proportionate to include a question on fair work practices as part of the competition.

**Working with Suppliers (Including SME's, Supported Businesses & Third Sector)**

To ensure transparency and to assist prospective suppliers, existing suppliers and other stakeholders, SCRA has a section for Procurement on the corporate website, [www.scra.gov.uk](http://www.scra.gov.uk), where SCRA publish the Strategy, Procurement Policy and standard Terms & Conditions and has a link to SCRA’s profile on Public Contracts Scotland and a commitment to the Scottish Government’s Suppliers Charter. This information will help suppliers to forecast when contracts will be procured and assist them in bidding for SCRA work.

SCRA is dedicated to paying suppliers promptly and includes a clause in tender documentation stating that, SCRA’s standard payment terms are payment within 30 days, however, where possible, SCRA will endeavour to meet the Scottish Government’s payment target of payment within 10 working days of receipt of a valid invoice.

SCRA also encourages suppliers to offer the same terms to any sub-contractors used on SCRA contracts.

SCRA is committed to reviewing and updating Procurement Policies and procedures to ensure that SCRA contributes to improving social, economic and environmental wellbeing where relevant in our contracts. This ongoing review will ensure that SCRA remains an inclusive organisation and encourages a diverse range of suppliers including SME’s, Supported Businesses and the Third Sector. SCRA’s tender strategies are designed to promote SME participation wherever possible and tender documentation is written in a manner which is easier to understand.

SCRA will continue to identify and reserve appropriate contracts for Supported Businesses.

SCRA has signed up to the Supplier’s Charter. Further information about this and practical information for suppliers on bidding for public sector contracts can be found using this [link](http://www.scra.gov.uk).
Implementing Community Benefit Requirements

SCRA will consider community benefit clauses within procurement exercises where relevant and proportionate to the contract, and ensure that such clauses are considered within all goods and services contracts over £50k in value. Community Benefits are extremely varied, and can range from training opportunities such as apprenticeships, to promoting careers to school children from disadvantaged areas.

In line with the Equality Act 2010 and the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012, we consider equality throughout tender processes and comply fully with legislation. Suppliers are required to provide details of any equality policies and systems that they have in place and that will be utilised when delivering the contract. This is further addressed in SCRA’s standard Terms & Conditions.

Also addressed in SCRA’s standard Terms & Conditions is the Employment Relations Act 1999 (Blacklists) Regulations 2010 which addresses blacklisting activities. This is also covered in pre-qualification documentation.

Realising Sustainability

In response to the Sustainable Procurement Duty included in the Procurement Reform (Scotland) Act 2014 SCRA will update the Procurement Policy to set out how SCRA will meet this duty including adopting best practice, meeting legal and financial obligations, securing wider economic, social and environmental benefits and encouraging the procurement of low carbon options to support the development of a low carbon economy.

SCRA will continue to consider the whole life cost and environmental impact of construction projects as appropriate, encouraging recycling and the reuse of materials through waste management plans in order to minimise waste to landfill, look to the use of low energy equipment and environmentally friendly chemicals, and maximise use of materials from sustainable sources in accordance with government buying standards.

Further, SCRA will continue to procure fairly and ethically traded goods and services in accordance with current legislation.

CONTINUOUS IMPROVEMENT

Scottish Procurement have recently introduced the Procurement & Commercial Improvement Programme (PCIP) which replaces the previous Procurement Capability Assessment (PCA). The PCIP focuses on the policies and procedures driving procurement performance and the results they deliver. Organisations will be assessed every two years. The PCIP includes a new question set with new scoring and performance bandings. The assessment results will not be comparable in any way to the PCA. SCRA will complete the PCIP Lite which is for organisations with an annual total spend between £2m and £15m and will work to ensure continuous improvement.

Procurement Officers have developed contract management guidance for internal Contract Managers, however, it is clear that further work is required to strengthen contract management practices. Following best practice, Procurement Officers will work with other SCRA Teams to further develop contract management in SCRA. To progress this, we have arranged training for Contract Managers in January 2016.
Contracts Review Group

SCRA has introduced a Contracts Review Group which will meet quarterly. The aim of this Group is to support the Procurement Team in ensuring SCRA receives best value for money in terms of cost, quality and sustainability whilst meeting legal obligations.

To achieve this aim, the Group will review current and future contract requirements, challenge the need for contracts and identify areas where savings and benefits can be achieved, review SCRA’s annual Procurement Programme, update the Procurement Risk Register and support the implementation of the Corporate Procurement Strategy.

DELIVERING THE VISION

Procurement Action Plan

An Action Plan will be produced each financial year to support the delivery of the Strategy. The Action Plan will highlight the main improvements SCRA needs to address in order to further improve our processes.

Ensuring Value for Money

SCRA Procurement aim to provide a high quality service for internal customers which is responsive, pragmatic, timely and delivers value for money.

Working with Project managers, SCRA Procurement has made a substantial contribution to the Scottish Government efficiency savings target of 3% and continue to provide value for money while maintaining the required quality of service.

SCRA’s collaborative savings from the use of Scottish Procurement frameworks has increased from £94.4k in 2013/14 to £229.7k in 2014/15. In addition, using these Scottish Government frameworks provides a quicker, compliant procurement route for Project Managers.

Consultation

SCRA Procurement work closely with the Scottish Government’s Procurement Team and other public sector organisations. SCRA collaborate with other public sector organisations through membership of a multi-agency Cluster Group which facilitates the sharing of knowledge, encourages partnership working and assists the group so that the public sector can deliver value for money, pool resources and expertise and better meet the needs of their internal customers. SCRA has participated and will continue to participate in the use of Scottish Procurement collaborative frameworks as a representative of public sector organisations.

SCRA has undertaken collaborative procurement with other organisations including Children’s Hearings Scotland, Historic Scotland and National Museums.

CONCLUSION

As part of the Procurement Reform (Scotland) Act 2014 requirements, this Procurement Strategy will be reviewed and updated in June 2016.
Overview of Policies

Accountable Director: Principal Reporter/Chief Executive  Date: 24 November 2015

Report prepared by: Principal Reporter/Chief Executive and Executive Officer

Recommendation:

The Board is asked to:-

1. note the programme of policy reviews undertaken in 2015
2. review and agree that the current approach is in line with Board agreements on policy development outlined at para 2.5
3. review the schedule planned for 2016.

Reason for Report: Board discussion/approval

Resource Implications: Within available resources

Strategy: Within agreed plans

Equalities Duties: Equalities Impact Assessment not required (individual policies are subject to EQIA on agreement and/or point of review)

Document Classification: Not protectively marked
1. **Introduction**

1.1 The Board agreed at its September 2013 meeting that an annual overview report on policies be presented for noting by the Board.

1.2 This report covers the period from January to November 2015.

2. **Overview of Policies**

2.1 Major SCRA Policies currently in place include:

- Human Resources Policies
- Health & Safety Policies
- Information Security Policies
- Data Protection Policies
- Risk Management Policy
- Fraud Policy
- Location Policy (part of Property Strategy)
- Procurement Policy
- Media Handling Policy
- Environmental Policy
- Complaints Policy

2.2 The policies are available to staff via Connect (SCRA’s intranet).

2.3 The HR Sub-Group of the National Partnership Forum deals with policies that affect employment and/or that may have an impact on staff at work e.g. Case Management System Security Policy where there is a requirement for staff to sign up to the policy.

All SCRA policies are routed via the Partnership Forum for consultation.

2.4 The health and safety policies are monitored and tracked by the Health & Safety Committee and there is currently a schedule which sets out all policies and review dates and this is overseen by the Committee.

2.5 The Board agreed in 2013 that policies which set direction, require specific high-level scrutiny and governance arrangements or are of a novel/controversial, public interest nature will be routed via the Board – for example:

- Whistleblowing, Risk Management, Fraud Policies
- Complaints
- Media Handling
- Organisational Change, Voluntary Severance/Redundancy Policy and other major revisions to SCRA terms and conditions
- Overall Health & Safety Policy Statement
3. **Review of Policies**

3.1 Over the reporting period work undertaken on HR policies is as follows:

- Leave policies brought together into one document and updated
- Review of:
  - Information Security Policies
  - Maternity and Adoption leave
  - Shared Parental Leave
  - Reporter Accreditation Prior Learning Policy
  - Succession Plan Policy
  - Job Evaluation Policy
  - LGPS Pensions Discretion Policy
  - Fraud Policy Statement
  - Records Management Policy
- Whistleblowing Policy updated in line with best practice update (full review scheduled for 2016 – see 3.4 below)
- New SCRA Accreditation Policy approved (as part of CMS Accreditation work)

3.2 The Supervision Framework has been agreed and implemented

3.3 A Staff Recognition Scheme has been developed and discussed but not progressed – this will be reviewed by end of 2016/17.

3.4 The agreed priorities for 2015 were adjusted in year as follows:

- Recruitment and Selection (which will include redeployment policy and guidance) have been moved forward into 2016 to align with the development of the e-hr system and the recruitment capabilities within there. The policy has however been kept up to date with any legislative impacts.

- Equal Opportunities Policy – this has not been progressed and will move into 2016.

- Raising Concerns Policy is still being discussed within the HR Sub Group and in particular how this links to issues like Grievance and Whistleblowing with Raising Concerns. Once this work is completed the Whistleblowing Policy will be submitted to the Board for approval.

3.5 **Health & Safety Policies** – as reported in the annual health & safety report to the September Board all policies are up to date with a review schedule in place. The following policies were reviewed in 2015:

- COSHH (Control of substances hazardous to health)
- DSE (Display Screen Equipment)
- Fire Safety
- Lone Working
- Manual Handling
- Sharps and Bodily Fluids
- Accident & Near Miss
4. **Programme for 2016**

4.1 The programme for 2016 in relation to the HR Policies (which will include those policies detailed above) is currently being reviewed by the HR Sub-Group.

4.2 SCRA’s Information Security Handbook which is essentially SCRA’s Information Policy is subject to annual review.

4.3 The following Health & Safety Policies due for revision in 2016:
   - No Smoking Policy
   - Eye Test Policy.

4.4 The Risk Management Policy is currently being reviewed and is scheduled for approval at the February Audit Committee.

5. **Recommendation:**

5.1 The Board is asked to:

1. note the programme of policy review undertaken in 2015

2. review and agree that the current approach is in line with Board agreements on policy development outlined at para 2.5

3. review the schedule planned for 2016.
SCOTTISH CHILDREN’S REPORTER ADMINISTRATION

Influencing Report: 1 June 2015 to 1 December 2015

Accountable Director: Head of Practice and Policy  
Date: December 2015

Recommendation:
1. That the Board notes the content of this report

Reason for Report: For information of Board

Resource Implications: Within approved budgets

Strategy: Within approved plans

Consultation: Practice and Policy team

Equalities Impact: An Equalities Impact Assessment is not required

Document Classification: Not protectively marked
1. Introduction

1.1 In March 2011, the Practice and Policy Team produced a report for the Board outlining the key areas where SCRA had been able to be influential and apply its professional expertise, data and research to particular issues at a national level. The Board subsequently requested that a similar report be provided on a bi-annual basis. This is the ninth such report and covers the period 1 June 2015 to 1 December 2015.

A full list of consultations and calls for evidence responded to during this period is included at Appendix 1, though informal consultations are not captured here. Due to the timescales involved, the outcomes of some of those areas of work are not yet known, so we have been unable to assess our effectiveness. In other areas, success can be difficult to quantify, so this report in some ways only gives a flavour of the main areas of activity over the last five months.

1.2 As noted in the previous reports, we are by no means seeking to take sole credit for any of the things outlined below. In many cases, success was only possible due to close and effective engagement and co-operation with a range of partners, including the Scottish Government. The areas highlighted below represent issues where we feel that SCRA has been able to make a positive and identifiable contribution.

The Team has also been fortunate in being able to call on expertise from across SCRA to ensure that we are making the most effective contribution possible. For example, many of our responses to consultations and/or inquiries are influenced by the views and expertise of front-line staff, while operational staff have also participated in working groups that developed guidance etc. While it is produced by the Practice and Policy team, the report reflects that broader organisational contribution.

2. Legislation

2.1 The Apologies (Scotland) Bill was introduced into the Parliament in April 2015 by Margaret Mitchell MSP. It makes provision for apologies to be inadmissible as evidence in certain proceedings. SCRA submitted a written response pointing out that the Bill’s wording would include children’s hearings court proceedings and would have the effect of potentially inhibiting the Reporter in establishing grounds for referral by limiting the evidence that could be led. Following a meeting with Ms Mitchell, she accepted that there was an argument to exclude the hearings system from the Bill’s scope. Further discussions have taken place with her office and with the Scottish Government about how best to ensure that the Hearings System is not adversely effected by the Bill’s provisions.
2.2 Regulations empower Children 1st, as the contractor responsible for administration of the Safeguarder panel, to monitor performance and investigate complaints. It was identified that in order to do that effectively, it would be necessary for them to have access to Safeguarder reports. However, SCRA had no legal power to share the reports with them. Following in depth discussions between SCRA, Scottish Government and Children 1st it has been agreed that a statutory power will be provided enabling such information sharing to take place.

2.3 The Scottish Government has been considering making provision to amend the law relating to the Minimum Age of Criminal Responsibility (MACR). SCRA has taken part in a number of discussions on this area, promoting the view that the MACR should be raised to 12 and offering practical solutions to issues such as retention of investigative powers. We are now part of an advisory group that is looking at the practicalities around raising the age with a view to reporting to Ministers.

3. Research

3.1 SCRA’s latest report on Permanence is due to be launched on 3 December at Ayr racecourse. Previous reports have been highly influential in shaping the thinking of the Scottish Government and other partners, as well as informing the development of the Permanence and Care Excellence (PACE) research projects around the country.

3.2 Our research report on Child Protection Orders was published in July 2015. It was described by Aberlour, Barnardos Scotland and Children 1st as “illuminating and instructive” and demonstrating SCRA’s “leadership and commitment to a vision where vulnerable children and young people in Scotland are safe, protected, and offered positive futures”.

4. Inquiries, reports, guidance, strategies, training etc

4.1 SCRA took a leading role in facilitating well-received presentations on the children’s hearings system to delegates at the IFSW European conference which took place in Scotland in September.
4.2 Concerns have been expressed by some Locality staff that children resident in secure units were sometimes having their hearings take place in the unit even where there was not an identified health and safety risk that justified such a decision. In response, SCRA produced a protocol for agreement with the secure providers that reflects our Practice Direction. Following lengthy discussions with secure providers, the protocol has now been agreed and will come into force shortly.

4.3 SCRA has supported and helped to facilitate advocacy pilots and action research in Fife, North Lanarkshire, Highland and Dundee. These are intended to demonstrate the benefit of advocacy provision for children and young people in the Hearings System and identify viable models which could be rolled out nationally.

4.4 SCRA continues to lead a Children’s Hearings Improvement Partnership (CHIP) sub-group on GIRFEC and Hearings system.

4.5 SCRA has continued to be involved in helping to shape the Corporate Parenting Practice Notes being produced by CELCIS on behalf of the Scottish Government. We are also beginning the process of developing a Corporate Parenting plan.

4.6 SCRA has been involved in a number of significant pieces of work alongside Police Scotland. Including:
- A partnership forum on concern hubs, leading to additional work on information sharing and training
- Work on the i6 IT project
- Discussions on recording of Schedule 1 offences
- Work on Joint Investigative interviews
- Productions
- Child protection strategic group

4.7 Productive tripartite meetings have taken place with the Crown Office and Police Scotland on information sharing and jointly reported cases.
5. **Other / miscellaneous**

5.1 This section covers reports and policy papers from other jurisdictions (for example England and Wales), as well as reserved issues. It may sometimes be based on visits and face to face contact rather than on formal written submissions.

5.2 In October, members of the *Independent Jersey Care Inquiry* visited Scotland to observe children’s hearings and discuss the operation of the system. They were keen to see if there were lessons to be learned that could be applied to their findings and recommendations.

6. **Recommendation**

6.1 The Board is asked to note the contents of this report.

*Appendix 1:* List of all consultations and calls for evidence responded to: 1 June 2015 to 1 December 2015
Appendix 1

List of all consultations and calls for evidence responded to between 1 June 2015 and 1 December 2015.

Please note that this list only includes formal consultations and written requests for SCRA to contribute.

June 2015
Scottish Tribunals and Administrative Justice Advisory Committee (STAJAC) consultation on the Future arrangements for carrying out the functions of the STAJAC

Scottish Government consultation on Equally Safe – Reforming the criminal law to address domestic abuse & sexual offences

July 2015
None

August 2015
Scottish Government consultation on the Rehabilitation of Offenders Act 1974

September 2015
None

October 2015
Scottish Government consultation on the Children’s Hearings (Scotland) Act 2011 (Safeguards Panel) Regulations 2012

Scottish Government consultation on Part 12 of the Children and Young People (Scotland) Act 2014

November 2015
European and External Relations Committee Inquiry into the Human Rights Act


Scottish Government consultation on Draft Regulations to amend the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012
SCOTTISH CHILDREN’S REPORTER ADMINISTRATION

Strategic and Operational Risk Registers

Accountable Director: Principal Reporter/Chief Executive  Date: 24 November 2015
Report Authors: Head of Finance & Resources Executive Officer

Recommendation:
1. To approve the Strategic Risk Register and note the Operational Risk Register.

Reason for Report: For Approval.
Resource Implications: Not applicable
Strategy: Not applicable
Consultation: Executive Management Team Operational Group Audit Committee
Equalities Duties: Equalities impact assessment not required
Document Classification: Not protectively marked
1. **Introduction**

1.1 This report provides an update to the Board on the Strategic and Operational Risk Registers.

1.2 The Risk Registers were last reviewed by the Board at its meeting on 25th June.

1.3 The Audit & Risk Committee, at its meeting on 19 November 2015, approved the risk register report for submission to the Board.

2. **Risk Management in SCRA**

2.1 SCRA's Risk Management Policy was approved by the Board in May 2012. The Board has responsibility for the system of internal control and risk management within SCRA. The Board charges the Audit & Risk Committee with overseeing the operation of the system of internal control and with ensuring robust risk management arrangements within SCRA, including reviewing the Strategic and Operational Risk Registers six-monthly.

2.2 The Risk Registers are kept under review by the Executive Management Team (EMT) and Operational Group.

2.3 The risk register format includes an assessment of both gross and net risk in order to demonstrate the impact of existing control mechanisms and to link the agreed organisational risk appetite.

2.4 The Risk Reference Group met in June 2015 when the focus for the session facilitated by Scott Moncrieff was on development of locality risks and risk appetite. Locality Risk Registers are due for completion by December 2015 and will discussed by the Group at its December meeting.

2.5 The Risk Management Policy is due for revision and was scheduled for submission to the November Audit Committee. With the consent of the Audit & Risk Committee Chair, this will be considered by the February Audit & Risk Committee to allow time for consultation/discussion/review of amendments to the policy with the Risk Reference Group.

2.6 A joint risk session involving Audit Committee members and the Risk Reference Group will be arranged for Spring 2016.

3. **Strategic Risk Register**

3.1 The Executive Management Team undertook a full review of the Strategic Risk Register in October 2015 (attached at Appendix 1).
3.2 Two risks are proposed for closure:

**Risk 1** – The existing service plan and service model (e.g. processes and procedures may be insufficient to provide a safe and effective service – the risk has shown a downward trend has reached its target risk score.

**Risk 2** – Medium term ability of CMS to support effective operations – this has remained at the target risk score as reported in June 2015.

3.3 A new risk has been added to the Strategic Risk Register in relation to financial sustainability:

**Risk 5** – Spending Review does not deliver level of resources required for medium term financial sustainability.

3.4 The Executive Management Team recently identified a risk around information governance and use of encrypted emails by some local authorities. This risk is currently being scoped and will be added to the register if appropriate.

4. **Operational Risk Register Profile**

4.1 The Operational Risk Register updated as at November 2015 is attached at Appendix 2.

4.2 A full review of the register was undertaken at the Operational Group at its October meeting. The review took account of national priority activities to support a safe and effective service with a particular focus on issues of immediate risk and delay.

4.3 Changes to the register are as follows:-

**Risk 1** – insufficient operational capacity – has been revised to reflect a further downwards trend. There is still a risk but that is now about sustainability.

**Risk 3** – Insufficient IT platform – it is proposed to close this risk given the successful conclusion of the CMS Improvement Programme.

**Risk 4** – Failure to provide full suite of operational data to partners – it is proposed to close this risk given the range and accessibility of data now available.

**Risk 5** – Impact of delays in decision-making by Reporters on Cases – it is proposed to close this risk given the improved performance figures.

**Risk 6** – synchronisation of CMS upgrades with appropriate training and guidance – it is proposed to close this risk as guidance and bespoke refresher training is being successfully delivered. Advice will be sought from the National User Group prior to removal from the register.

A new risk has been identified: non-disclosure – the risk around legal practice versus statutory requirements. This is currently being scoped and will be added to the register as appropriate.
5. **Conclusions**

5.1 The risks across both registers focus on the ongoing challenges in the delivery of a safe and effective service with the focus moving to sustainable performance delivery and quality of outcomes.

5.2 The most recent review of the registers indicate:

- Operational capacity for safe and effective service delivery remains the significant risk although as the organisation moves into a period of sustainability it is showing a downward trend.

- The closure of risks in both Registers reflects the organisation’s progress towards more sustainable performance improvement and also reflects findings from the both the staff survey and the recent CMS User survey.

- Efficiency planning and delivery of a sustainable budget are inextricably linked to operational capacity risks. The future financial position of the organisation is now one of the key core risks to operational capacity/stability. With uncertainty on the future budget position and the forthcoming spending review process these risks are showing an upward trend.

6. **Recommendation**

6.1 To approve the Strategic Risk Register and note the Operational Risk Register.

Appendix 1 – Strategic Risk Register (November 15)
Appendix 2 - Operational Risk Register (November 15)

Previous Papers:
Risk Register Report to Board – June 2015
Risk Register Report to Audit & Risk Committee – November 2015
<table>
<thead>
<tr>
<th>Risk No.</th>
<th>Reference to SCRA objectives</th>
<th>Risk Description</th>
<th>Risk Owner</th>
<th>Inherent Risk Score L'I</th>
<th>Key mitigating controls</th>
<th>Residual Risk Score L'I</th>
<th>Trend</th>
<th>Actions and Timescale</th>
<th>Risk Appetite</th>
<th>Target risk score L'I</th>
<th>Review Date</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>BP 2014/15 No. 1</td>
<td>Service Delivery</td>
<td>Senior Operational Managers/Head of Practice &amp; Policy</td>
<td>20 (4*5)</td>
<td>Approved Corporate/Business Plans, Locality Plans, Practice/Improvement Networks, Scheme of Delegation, Targeted use of temporary staffing/capacity, Devolved budgets, Workforce Plan delivery, Business Continuity Plan, SMART Working project, CMS Flexibility of Use, routine data led performance management reviews, led by SOM’s.</td>
<td>6(2*3)</td>
<td>↓</td>
<td>15/16 Locality Plan + SCRA Business Plan activities (April 15 – March 16), SMART working projects – delivery of revised Business Process activities and LEANER case processing (across 15/16), Additional skills mix via administrative and Assistant Reporter grade posts to be delivered in line with Review of Reporter Decision-making project (from March 16), Commencement of service performance reviews – October 15</td>
<td>Minimalist</td>
<td>6 (2*3)</td>
<td>Oct 15 CLOSE</td>
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<tr>
<td>Risk No.</td>
<td>Reference to SCRA objectives</td>
<td>Risk Type</td>
<td>Risk Description</td>
<td>Risk Owner</td>
<td>Inherent Risk Score L*I</td>
<td>Key mitigating controls</td>
<td>Residual Risk Score L*I</td>
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<td>Risk Appetite</td>
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<tr>
<td>3</td>
<td>BP 2014/15 No. 3</td>
<td>Reputatlon/ Governance</td>
<td>No reduction in numbers of information breaches</td>
<td>Head of Practice &amp; Policy/ Senior Operational Managers</td>
<td>16 (4*4)</td>
<td>Information Governance Action Plan. Information Governance Leads Group. Regular reports to Audit Committee.</td>
<td>9 (3*3)</td>
<td>Delivery of recommendation of ICO Audit)(ongoing) Develop and strengthen IG Leads arrangements (ongoing) One to One root cause analysis and management review of breaches (live process) Focus on high risk localities Partnership work Non Disclosure Research National Inter-agency Practice Guidance Glasgow Improvement Project Partnership working around security of addresses GIRFEC guidance</td>
<td>Minimalist</td>
<td>3 (1*3)</td>
<td>Dec 15</td>
</tr>
<tr>
<td>Risk No.</td>
<td>Reference to SCRA objectives</td>
<td>Risk Type</td>
<td>Risk Description</td>
<td>Risk Owner</td>
<td>Inherent Risk Score L*I</td>
<td>Key mitigating controls</td>
<td>Residual Risk Score L*I</td>
<td>Trend</td>
<td>Actions and Timescale</td>
<td>Risk Appetite</td>
<td>Target risk score L*I</td>
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<td>Inherent Risk Score</td>
<td>Key Mitigating Controls</td>
<td>Residual Risk Score</td>
<td>Trend</td>
<td>Actions &amp; timescales</td>
<td>Risk Appetite</td>
<td>Target risk score</td>
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<tr>
<td>1</td>
<td>Operational/Reputational</td>
<td>Insufficient operational capacity/capability to improve or sustain service quality</td>
<td>Senior Operational Managers</td>
<td>(4:4) 16</td>
<td>Consolidate temporary staffing where feasible/sustainable. Development of further phases of workload measurement and resource allocation. Capacity measurement jointly with UNISON and ongoing discussions with Scottish Government on long-term resource needs. Improved CMS performance and function. Delivery of comprehensive Locality Plan. Retention of temp Reporter and other staff beyond April 15 to prevent loss of expertise in advance of known pressure period (Summer) Reporter Capacity project initiated to free time for key reporter activities Wider adoption of inter locality assistance and support Adoption of inter locality working protocol in BCP. CMS Flexibility</td>
<td>(2:4) 8</td>
<td>─</td>
<td>Locality plans in place in each area. Quarterly review of plans by LMTs. Six monthly review by Senior Operational Managers. Six monthly business plan review. Engagement of planning officers/team with LMTs. - ongoing Provision of regular/routine performance/cms data (weekly/monthly). Three year budget settlement to be implemented 12/13 to 15/16. Opening of sustainability programme. Reporter Capacity and Court review and change programmes now ongoing with project management and sponsorship – reporting via Change Board CMS Improvement Plan implemented and user survey completed. CMS Development phase being scoped for delivery. Contracts extended for key temp staff till end June 15 in first instance and subject to review thereafter alongside budget availability/operational needs</td>
<td>Cautious</td>
<td>(2:2) 4</td>
<td>Dec 15</td>
</tr>
<tr>
<td>Operational Risk Register Risk No.</td>
<td>Risk type</td>
<td>Risk description</td>
<td>Risk Owner</td>
<td>Inherent Risk Score L*I</td>
<td>Key Mitigating Controls</td>
<td>Residual Risk Score L*I</td>
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<tr>
<td>3</td>
<td>Reputational/operational/strategic/failure to meet statutory duties</td>
<td>Insufficient IT platform to ensure operational productivity and safety - significant long term delay in decision making for children and failure to meet statutory timescales</td>
<td>Senior Operational Managers/Principal Reporter</td>
<td>2:5 (10)</td>
<td>Local compensatory workarounds' locality planning and priority setting. Review of weekly performance data and management/staff intervention. CMS improvement programme delivery. NUG programme of advice on fix list prioritisation. Use of staff overtime and additional hours where sustainable Process mapping, agreement and process redesign programme via NUG and Operational Group Improvements - core processing speed of CMS via Performance Improvement Plan User Intercace programme of improvement for CMS completing May 2015</td>
<td>2:2(4)</td>
<td>Day to day management of business critical activities - LMT's ongoing. Improvement of weekly caseload reporting to practitioners and managers through improved management of mailbox and tackling mailbox backlog - achieved and maintenance of performance – ongoing. Complete CMS options appraisal and delivery of CMS UI programme – May 15 Continued provision of RAD DMF information plus additional operational data to managers and reporters (ongoing). Implementation of agreed business process in each locality – ongoing. Delivery of risk and delay programme including medium term operational redesign via Change Board.(Sustainability, Quality, Performance programme – June 15 – April 16)</td>
<td>Open</td>
<td>(2:2)</td>
<td>4 June 15 CLOSE</td>
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</table>

| 4                               | Reporting/reputational Risk has been realised in relation to T13 | Failure to provide full suite of operational data to partners | Head of Planning & Strategy/Principal Reporter/ Locality Reporter Manager | 4:3 12 | Producing all reports that we did previously for partners however T13 is the one core gap and this has been communicated to partners. | (2:1) 2 ↓ | Partnership engagement at national and local level – ongoing. Development of alternative arrangements to monitor performance on LA reports – complete. | Minimalist | (2:1) 2 | Oct 15 CLOSE |

* The potential risk in relation to TWIG data – to be revisited at the future date
<table>
<thead>
<tr>
<th>Operational Risk Register</th>
<th>Risk type</th>
<th>Risk description</th>
<th>Risk Owner</th>
<th>Inherent Risk Score L*</th>
<th>Key Mitigating Controls</th>
<th>Residual Risk Score L*</th>
<th>Trend</th>
<th>Actions &amp; timescales</th>
<th>Risk Appetite</th>
<th>Target risk score L*</th>
<th>Next Review Date</th>
</tr>
</thead>
</table>
| 5                         | Operational/reputational | Impact of delays in decision-making by Reporters on Cases | SOMs | (4:4)16               | Management of Delay strategy  
Business Continuity Supervision  
Significant improvement in provision of frequent management information and performance data reports  
SOM Performance reviews – September onwards | 2:2(4) | ↓ | Implement CMS Improvement Programme – May 15  
Deliver MoD strategy across service – ongoing.  
Utilise Business Continuity Plan, sustainability/quality/performance programme as appropriate.  
Fully implement business process review – March 15  
Implement and monitor business plan – March 15  
Target additional resources to individual localities as appropriate - ongoing.  
Individual and locality performance review and management – ongoing | Cautious | 2:2(4) | Oct 15 CLOSER |
| New 6.                    | Operational/reputational | CMS Improvements – as the programme of improvements is implemented, the potential risks around ensuring that awareness and training for staff in implementing the changes is up to date/synchronised | Senior Operational Managers/ Principal Reporter | (4:3) 12 | Ongoing training and awareness sessions for all CMS users relative to assessed needs.  
Each upgrade is accompanied by appropriate guidance notes.  
Upgrades where necessary are accompanied by refresher/bespoke training. | (2:1) 2 | ↓ | Managers to use regular team communication methods to ensure visibility of guidance.  
Guidance is well presented and accessible to all.  
Alignment of IT Service Delivery and Training Managers to each Locality.  
Identification, via line managers of staff in most need of desk based support/guidance. | Cautious | (2:1) 2 | Oct 15 Proposal to close – seek advice from NUG |
| New 6. **Will be scoped for next Ops Group meeting (Jan 16)** | Operational/reputational | Non-disclosure – the risk around legal practice versus statutory requirements was noted | | | | | | | | | |
Present:
Carole Wilkinson (Chair), Malcolm Dickson, Andrew Miller, Bernadette Docherty, Catherine Robertson, Andrew Menzies, Anela Anwar

In attendance:
Neil Hunter, Lisa Bennett, Ed Morrison, Janis McDougall

Apologies:
Apologies were received from Douglas Yates

Item 6 Tom Philliben
Central Locality Management Team

<table>
<thead>
<tr>
<th>1.1</th>
<th>Board Development Day Note 16 April 2016 &amp; Action Plan</th>
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<tbody>
<tr>
<td></td>
<td>The note and action plan were reviewed.</td>
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</tbody>
</table>

Noted:
1. The Board previously agreed the minute of the Development Day held on 16/4/2015 at its June Board meeting.
2. Risk Reference Group – it is intended to involve Audit Committee members in a joint session – timing spring/early summer.
3. The Board Training Plan had been reviewed at the April Board Development Day.
4. The role for Board members to work alongside Managers in implementing the Organisational Development Strategy as well as SCRA’s role as a corporate parent. These issues will be progressed through the leadership programme.

Agreed:
1. Updated Board Training Plan to be circulated to Board Members. (The Plan had been reviewed at the April Development Day).
2. The 12 Year Data Analysis is an exercise worth repeating every two or three years.
|   | **SCRA/CHS Joint Board Meeting**  
Noted:  
The joint Board meeting had provided an assurance around the joint programme of work being undertaken by both organisations. | Timescale | Action |
|---|---|---|---|
| **Board Member Recruitment**  
Noted:  
1. The recruitment process is now underway for two new Board members.  
2. There has been a significant amount of activity on social media and several telephone enquiries. The closing date for receipt of applications is 20 November 2015. |   |   |
| **Summary of Feedback from Board Member Appraisals 2014/15**  
Board members reviewed the summary appraisal feedback document prepared by the Chair.  
Issues arising during discussion:  
- Digital Strategy – the joint board presentation had been extremely useful in helping Board members understand at a high level, the work underway. It would be useful to have a further discussion following conclusion of the “discovery phase”. All members agreed that it had highlighted the need for Board member expertise in this area.  
- The need to keep in focus that participation and engagement remains at the heart of the children’s hearing system in the face of increasing financial pressures.  
- Update on the new grounds for referrals to be provided for Board members.  
Agreed:  
1. The summary appraisal feedback from recent Board member appraisals.  
2. The summary document will be updated following completion of the two remaining Board member appraisals.  
3. Appraisal feedback document to be circulated to Executive Management Team members.  
4. Digital Strategy presentation to be scheduled for June 2016 Board.  
5. Update on new grounds for referrals to be scheduled for April Development Day. | By Jan 16 | CW  
Nov 15 | JMcD  
June 16 | JMcD  
April 16 | JMcD |
2.1 **Horizon scanning**

The Board reviewed its current risk appetite and identified high-profile policy areas.

**Issues arising during discussion:**
- In times of financial pressures there may be an appetite to take a more hungry versus cautious approach.
- Financial and operational risks are inextricably linked.
- The organisation will need to look at statutory and non-statutory functions in face of competing financial/service delivery pressures.
- There may be opportunities to look at more radical options – as an example to review the balance between Reporter and Assistant Reporter numbers.
- As an organisation we have committed to be more front facing with a commitment to enhanced customer focus. Less face to face contact and a move to an online service is not a service delivery/financial saving option.
- It would be useful to track the Reporter role and responsibilities and detail the level of face to face contact required.

**Noted:**
1. As referenced earlier in the meeting, plans will be made to hold a joint session involving Audit Committee members and the Risk Reference Group.
2. The recent Risk Reference Group had reviewed the current risk appetite and there was a general consensus that the definitions within each category were broad enough to allow flexibility within the groupings.
3. There will be a further opportunity to review the risk appetite as part of the revised Risk Management Policy due for approval at the February Audit Committee.
4. Current high profile policy areas for the organisation were identified as follows:
   - Stop and Search
   - Children’s Rights
   - Minimum Age of Criminal Responsibility
   - 16/17 Year Olds
Agreed
1. To retain the current risk appetite as follows:

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<tr>
<th>Type of Risk</th>
<th>Risk Appetite</th>
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<tr>
<td>Strategic/Policy Risk</td>
<td>Open to Cautious</td>
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<td>Operational/Service Delivery Risks</td>
<td>Minimalist to Cautious</td>
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<td>Finance Risk</td>
<td>Minimalist to Cautious</td>
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<td>Reputational/Credibility Risks</td>
<td>Open to Cautious</td>
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<tr>
<td>Accountability/Governance Risks</td>
<td>Open to Cautious</td>
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2. The Board will link in with the future Young People’s Board in relation to risks.

2.2. **Board Shadowing Opportunity**

The Chair advised that, as part of the Institute of Directors scheme to provide opportunities for working women to be on Boards, she had met with a young woman who was interested in shadowing SCRA Board. Her background is in community education and she is involved in health initiatives helping young people.

**Agreed:**
To offer the shadowing opportunity and note that this was a positive move for the organisation and that SCRA would also benefit in terms of two way feedback.

Jan 16  CW

2.3 **Corporate Parenting Update**

**Noted:**
1. The Update Note which set out the detail of Corporate Parenting Duties.
2. Arrangements to hold joint training sessions for both Boards and Senior Management Teams are being explored.

**Issues arising during discussion:**
- Corporate Parenting as described feels global and less about the individual child or GIRFEC
- SCRA’s piloting of the new style hearing room was highlighted as a positive example by Who Cares? Scotland
- The need to raise the profile of the Participation and Engagement Group and in particular highlight the areas of activity underway.
- The corporate parenting role as it relates to SCRA is very specific – the Reporter is acting as an agent of the state where the needs of the child are paramount.
- The Board need to feel equally able to participate and engage in corporate parenting duties

**Agreed:**
Arrangements to be progressed to hold a training session in January 2016. Once date is confirmed, invitation to be extended to CHS.

Jan 16  NH/JMcD
3. **Spending Review – Draft Submission**  
Ed Morrison spoke to the updated note on SCRA’s draft Spending Review submission 2015.

**Issues arising during discussion:**
- At the Finance accountability meeting held last week the following feedback on draft spending review scenarios was given:
  - slight surprise at percentages used in scenarios – others are looking at 5 to 10% reductions (although the message from Sponsor Team had been to reflect scenarios of 2 and 5%)
  - the need for a starker message on the impact on children and families with particular reference to delay and through delay, direct risk to children
  - reference the options considered and in particular any options to do things radically different.

- In relation to cost pressures, it is anticipated that public bodies will be expected to absorb increased pay/pension costs.

- Digital Strategy – Sponsor Team have requested fuller detail – revenue and capital figures will be refined and sent to the Finance Sponsor Team. A business case is being developed and will be presented in February 2016.

- The final spending review submission to be limited to two pages with sharp, focused messages.

- In the light of severe budget reductions for SCRA it is likely that scenarios involving compulsory redundancies would need to be considered – this is at odds with current government policy and the Board’s own position– reference to this to be included in the submission

- SCRA has faced a disproportionate reduction in real terms – 18% compared with Scottish Government overall 11%. Reference should be made to the significant savings/reductions already made by SCRA.

- The need to protect the Reporter decision-making function. Thresholds for referral are set out in the Act – in practice that can vary but that does come with risks.

- The organisation is on an improvement journey to sustain performance and improve quality and needs to be supported to deliver the improvements
- The need to specifically detail the impact on delay – work is underway to demonstrate via case scenarios of children at each stage and quantifying risk

- The nature of work is face to face and to deviate from that will lead to a reduction in service

- The information has now been captured and an analysis undertaken of what is needed to keep the organisation sustainable. The next step is to clarify what the organisation will stop doing whilst maintaining its statutory role.

- The impact of local government pay settlements will affect UNISON’s pay submission (currently being prepared)

- Where statements are made within the paper e.g breaches will increase – this needs to be quantified – why will they increase, what is the risk and impact. This should also include the impact on the workforce in terms of quality standards, morale, motivation.

- In seeking a system-wide solution to increasing translation and interpretation costs the organisation needs to make sure it does not contravene human rights.

- The current policy to support long term absences in the case of serious illnesses on full-pay may need to be revisited in the context of reduced resources.

- Plans are also being developed for a standstill budget.

**Agreed:**
The draft submission to be finalised taking account of the discussions above with a view to producing a two page document with clear, sharp messages, case scenarios and all statements qualified with impact and risks detailed.

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4. **Draft Business Plan 2016/17**

Lisa Bennett spoke to the draft Business Plan for 2016/17 highlighting the work to date and that the key message for this Plan is about delivery/sustainability.

**Issues arising during discussion:**
- The key message on delivery/sustainability reflects and links to the discussions held earlier in the meeting.
- The plan spans conclusion of the 2014/17 Corporate Plan and is about following through on previous commitments.
- It would be helpful to reference items removed from our Business Plan in the spending review paper. The Board confirmed that Children and Young People’s participation is a key priority.
- Activities could usefully be prioritised within the plan - start with business critical activities and work back from that point.
- The draft plan will be circulated to staff to identify themes and localities are already starting to consider 2016/17 performance targets and the need to stretch these wherever possible.
- Localities will move to 3 year plan to align with corporate plan.
- Use research findings where appropriate in the spending review document.

**Agreed:**
The draft Plan was in line with the organisation’s strategic direction but further consideration to be given to priorities.

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5. **Performance Reviews**

Tom Philliben gave a verbal update on the recent Performance Management Reviews.

**Noted:**
1. The first phase of performance review meetings have now been held. This was a labour intensive exercise undertaking the reviews within a fortnight but it had been useful to keep meetings together, and for both SOMs to attend all of them, in terms of learning from one to the other.
2. The meetings provided an opportunity to formally challenge local plans and status check on delivery of objectives as well as giving an assurance around locality management of staff/resources/performance.
3. Translation and interpretation is a national issue.
4. There has been cross locality sharing of ideas and cluster groups to manage operational pressures.
5. Performance has been good and in areas where there is room for improvement this is being actively managed.
6. The results of the staff survey and the children and families survey are feeding into locality plans.
7. The key now will be to keep managers motivated to continue the improvement journey. The move to align locality plans with the three year business plan cycle will assist with looking further ahead.
8. There is a recognition that the performance review meetings sit alongside the supervision framework and individual level performance management.
9. For the future, arrangements will be reviewed around the admin process for the review meetings.
10. All localities have acknowledged the excellent support from the data team and business partners.
11. Themes to emerge from the meetings include:
   - Localities do worry about demand led activity impacting on budget.
   - Translation and interpretation practice varies across localities and there is a need for a standard approach.
   - There are areas for improvement and these have been recognised and will be acted upon.
   - Operational pressures are significant and in relation to non-disclosure and data breaches even the most reliable members of staff are making mistakes.
   - Cross locality support is working well.
   - The focus now is to create a climate where ambition can be progressed.

**Issues arising during discussion:**
- There is now an openness around cross locality working with staff pro-actively contacting Managers to offer assistance and a move away from the focus being on locality performance to looking at wider/national organisational performance.
- As well as proactive assistance there is evidence of sharing of views/practice to improve performance: peer consultation/discussion/debate. It has also provided opportunities for two way learning: Senior Operational Managers/Managers.
- The Board noted the potential impact in terms of managing performance if the organisation moved to stop non-statutory work around data.
- The assurance/information gathered as part of the formal performance reviews justified the amount of effort in undertaking the meetings. These are part of a suite of information tools to drive change and efficiencies and gather evidence about improvements, impacts and benefits.
- The Senior Operational Managers have gained a level of assurance from the meetings – there were no surprises.
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<td><strong>Agreed:</strong></td>
<td>June/Dec</td>
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<td>In terms of reporting on future performance reviews, formal standalone report to be scheduled for first two reports, to be reviewed thereafter.</td>
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<td><strong>Note:</strong></td>
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<td>The Board acknowledged the significant management achievement to date around performance review arrangements.</td>
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6. **Central Locality**

The Board met informally with Central Locality staff over lunch and then held a meeting with the Locality Management Team.

The team spoke about the development work undertaken to date by the Central Locality to establish a locality identity and ensure efficient and consistent processes. The six key elements included:

1. Locality Plan
2. Identity
3. Performance
4. People
5. Partnership
6. Practice

**Noted:**

1. The Locality plan is reviewed at every Locality Team meeting.
2. There are now regular LMT meetings at both sites with all managers playing an active role, working in partnership with each other and staff feedback demonstrates there is now a confidence in the LMT.
3. Use of VC has assisted in ensuring maximum participation in team meetings rather than spending time travelling.
4. A progress group has been established to standardise panel papers, admin and support, reporter practice and cross locality working is being encouraged.
5. Positive feedback has been received from Panel Members on the quality of papers.
6. Performance discussions now take place regularly with the statistics shared with all staff. A workload equalisation exercise was undertaken and backlogs cleared. The focus now is the move towards sustainability.
7. The improvement in performance coupled with team working has increased morale considerably.
8. The 2015 staff survey results for the locality have shown the biggest improvement. Factors contributing to this include:
   - Reorganisation of working space at Ochil House.
   - Workloads are reviewed and covered across the locality.
   - Holidays and leave are discussed and managed.
   - Regular supervision sessions are held and training needs identified to help increase job satisfaction and wellbeing.
   - Staff now feel able to take part in training and staff events without the worry of impact on workloads on return to the office or upon other team members. A recent example being, this year 15 members of staff will be attending the Staff Conference – last year there was no-one from Central.
9. There is good partnership working with AST Lead Panel members and a traffic lights system is in place in relation to the Reporter scheduling hearings. LMT members attend local Panel Member training with the LSM giving a brief overview of admin procedures. This has received positive feedback. LRM have ongoing liaison with social workers.
10. Looking ahead – the locality have made considerable progress but there is more to do including:
    - taking the opportunity to review and set higher targets taking account of recent sustained good performance levels.
    - Optimise the skills, expertise and experience across the locality
    - Renewed focus on learning and development opportunities to make sure staff are equipped for the job.
    - Recent case sampling exercises have highlighted some quality aspects and steps are being taken to address these areas
11. A key role for the locality is the Senior Practitioner role – a recent risk workshop identified a gap in resourcing this role and a business case is being developed for a part-time senior practitioner role.
12. The savings target of 2.8% is currently being met due to vacancy management.
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13. In terms of the locality workforce profile, the management team are looking at reporter/assistant reporter ratio as well as consideration of the unequal mix of experience and skills at each site. South East are currently assisting Central Locality in the form of a half-time Locality Reporter Manager.

14. There is a balance to be struck between savings and operational need and most importantly what price quality.

15. CMS has assisted with workloading issues but there are limits to flexibility of workforce – distance, financial travel costs. Half of the locality hearings are outreach.

16. Team work will continue to achieve stabilisation of caseload with individual and collective responsibility across the locality.

17. There has been more transparency around workload data which helps understanding of spikes in performance. (Note – the Locality Team acknowledged the exceptional support from the data team which has driven the team forward as a locality). Excellent support has also been provided from business partners.

18. As a management team there is a commitment to continuous improvement and to be part of a high performing locality – rather than being the last in line to achieve targets the locality wants to be at the forefront.

**Issues arising during discussion:**

- There has been a transformational difference in teamwork which has been evidenced by improved performance and staff survey results and the appetite for improvement was particularly acknowledged.

- In response to a question about what had made the difference in reducing the number of breaches, the team reported:
  - the transparency with staff around breach occurrences alongside the focus being to learn from mistakes and improve rather than a “blame culture”.
  - the introduction of double checks in the process.
  - The use of stickers on envelopes with return details
  - Adherence to timescales for receipt of reports and deadlines for issue of mail
  - Taking time to do the task rather than rush things and make a mistake
  - The LMT now take collective responsibility for performance and issues are discussed as a group.
  - The LSM now takes on more of a managerial role than previously.
The locality have embraced the need for performance and quality – it is not just about numbers and are now turning their attention to properly equip and support staff to sustain performance.

Translocality working provides opportunities for staff development, sharing ideas/practices.

Court work continues to be a challenge both in terms of resourcing and budgets and the Court Project will pick up these issues nationally.

Liaison continues with the Scottish Legal Aid Board to address specific issues.

SCRA is committed to locality relationships with local authorities but is looking to innovative ways of cross boundary working.

Carole Wilkinson thanked the team members for describing the history of the locality and for their honesty and commitment around developments and improvements and acknowledged the significant progress made. Equally impressive was the commitment to continuous improvements and identification of the next steps for the locality as a whole.

7. **Ministerial Meeting – 10 December 2015**

**Agreed:**

1. The focus for the meeting will be on what the organisation requires to sustain delivery of a safe and effective service to include reference to:
   - When previously asked, the organisation has produced efficiencies and reduced headcount.
   - The organisation is now in a lean state having reduced Head Office and Manager level posts.
   - In the light of the above, to further reduce will mean desperate decisions for the organisation.
   - Major on finance linked to issues of workforce.
   - Where we sit in continuum that exists to safeguard children.
   - Link to work with children and young people.
   - Improvements, quality.
   - Raise attainment – looked after/vulnerable children.

2. A brief update on CMS to be prepared for Minister.

3. The Board need to continue to give the message to staff that the Board is supportive and will do everything to ensure the organisation is appropriately resourced.

4. Programme for 10 December:
   - Meet with Minister
   - Remuneration Committee
   - Routine Board meeting

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