

		<i>Papers</i>
1.1	AOB	
1.2	Apologies	
2.	Declarations of Interest	
3.	Updates	
4.	<b>Minutes/Committees</b>	
4.1	Minute of Board Meeting held on Wednesday 25 January 2017 Board Action Log and Workplan Matters Arising	
4.2	Minute of Remuneration & Succession Planning Committee held on Wednesday 25 January 2017	
4.3	Minute of Audit & Risk Committee held on Thursday 23 February 2017	
4.4	Minute of Board Meeting held on Monday 27 February 2017	
	<b>Reports</b>	
5.	Chief Executives Report	
6.	Organisational Performance Report (1 October – 31 December 2016)	
7.	Budget Monitoring Report 2016/17	
8.	Draft Budget Plans 2017/18	
9.	Draft Business Plan 2017-18	
10.	Draft Corporate Plan 2017-20	
11.	Corporate Parenting Website – Preview	
12.	Health & Safety Annual Report	
13.	Procurement Policy – Update	
14.	New Risks	
	Date of Next Meeting: Board Development Day – Thursday 20 April 2017 Routine Board Meeting - Thursday 22 June 2017	





**Present:**

Carole Wilkinson (Chair), Bernadette Docherty, Catherine Robertson, Martin Toye, Douglas Yates, Suzie Vestri, Anela Anwar

**In Attendance:**

Neil Hunter (Principal Reporter/Chief Executive), Ed Morrison (Head of Finance & Resources), Lisa Bennett (Head of Strategy & OD), Susan Deery (Head of Human Resources), Malcolm Schaffer (Head of Practice and Policy), Alistair Hogg (Senior Operational Manager), Thekla Garland (Scottish Government), Gillian Brown (UNISON Branch Secretary), Gillian Henderson (Information & Research Manager), Pamela Armstrong (Governance Officer).

		<b>Timescale</b>	<b>Action</b>
<b>1.1</b>	<b>AOB</b> There was no other business.		
<b>1.2</b>	<b>Apologies</b> <ul style="list-style-type: none"> <li>• Sam Anderson – Board member. Sam provided input to the meeting via email. Her comments were conveyed during discussion by the Board Chair.</li> <li>• Tom Philliben - Senior Operational Manager</li> <li>• Lawrie McDonald – Head of IT</li> <li>• Maryanne McIntyre – Press &amp; Communications Manager</li> </ul>		
<b>2.</b>	<b>Declarations of Interest</b> There were no declarations of interest.		
<b>3.</b>	<b>Minutes/Committees</b>		
<b>3.1</b>	<p><b>Minute of Meeting held on 14 December 2016</b> The minute was agreed as an accurate record of the meeting.</p> <p><b>Board Action Log and Workplan</b> The action log and workplan were reviewed.</p> <p><b>Matters Arising</b> All matters arising are covered within the agenda.</p>		

		<b>Timescale</b>	<b>Action</b>
<b>3.2</b>	<p><b>Remuneration &amp; Succession Committee Update</b> The Committee met prior to the Board meeting. As the Committee was inquorate, agenda items were discussed and the Committee Chair brought the following items to the Board for further discussion and consideration.</p> <ol style="list-style-type: none"> <li>1. Pay award proposals 2017/18. The following will be taken to the Board. <ul style="list-style-type: none"> <li>• Consider the options presented within the report</li> <li>• Approve recommendations to consider pay within the Budget Setting Challenge and Review Process.</li> </ul> </li> <li>2. Succession Planning Update – Good progress has been made and will be developed further.</li> <li>3. The new potential risk identified about staff pay.</li> </ol> <p><b>Agreed:</b></p> <ol style="list-style-type: none"> <li>1. The Board supported a delay to submission of the pay claim and for the Pay Award Proposals 2017/18 to be remitted back to EMT through the Challenge and Review process. This allows EMT an opportunity to look at an affordable pay award in line with Scottish Government policy.</li> <li>2. The Board were encouraged by the continued work around succession planning.</li> <li>3. Pay was considered a possible new risk based on the discussion between Board and Officers. The risk will be assessed for inclusion within the Strategic Risk Register.</li> </ol>		
	<b>Reports</b>		
<b>4.</b>	<p><b>Draft Budget 2017/18</b> The Head of finance introduced the report detailing draft budget plans for 2017/18 and key issues identified for budget challenge and review.</p> <p><b>Noted:</b></p> <ul style="list-style-type: none"> <li>• In September 2016 the Board reviewed and approved the updated Financial Strategy (2017-2020) and Spending Review 2016 submission. In the September report it was noted that SCRA's revenue requirement for 2016/17 was £21.993m. The report sought to secure financial sustainability over the medium term requiring continued in year support from Scottish Government for new and unforeseen pressures, 2-3% increases in annual revenue funding, delivery of efficiencies from major</li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<p>programmes, significant investment in ageing infrastructure and continued vigilance from budget holders.</p> <ul style="list-style-type: none"> <li>• The Scottish Government Spending Review has again resulted in a one year funding settlements for public sector bodies. The revenue settlement of £21.3m reflects standstill funding for 2017/18. This ends the pattern of recent years whereby SCRA's published revenue (resource) budget was supplemented by in-year transfers.</li> <li>• Budget holders have submitted draft revenue and capital budgets for 2017/18. The Finance Team has consolidated the revenue budget returns and the draft total is £22.476m which is an increase of around £1.176m compared to the 2016/17 revenue budget. It is also around £500k higher than the assessment of required funding as a result of staffing growth bids, increases in repair &amp; maintenance lines, IT, postages, printing, stationery and reduced income offset by hearing cost reductions.</li> <li>• The draft Budgets include a 2% savings target generating £347k revenue savings and the achievability of a higher target will be considered by EMT at Challenge and Review (C&amp;R) in mid-February.</li> <li>• Draft IT budgets have been increased by a net £68k mainly as a result of anticipated increases in CMS hosting charges and increased support costs for HR and Finance systems. Telephony costs have increased by £72k as a result of a need to upgrade to a new system. In both CMS hosting and telephony SCRA no longer owns associated hardware. Whilst this is a more cost-effective approach over the medium term and simplifies migration issues as hardware reaches end of life. However it does shift costs previously supported from capital allocations to revenue.</li> <li>• The Scottish Government have allocated £0.5m revenue and £2.0m capital to support the first year of the joint Digital Strategy. In due course three PID's/Business Cases will be presented for approval, meantime the Head of IT has provisionally allocated these sums across three main streams of activity.</li> <li>• The consolidated revenue budget exceeds available funding by £1.176m. However the draft budget reflects staff growth bids, pay uplift, no reduction in staff numbers and a modest savings</li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<p>target. These and other areas of the budget will be subject to scrutiny at EMT Challenge and Review in February 2017.</p> <ul style="list-style-type: none"> <li>• The total, new capital requirements identified for 2017/18 amount to £2.619m which is slightly in excess of available capital resources. However the draft plans will be rigorously reviewed at C&amp;R to ensure capital investments are aligned with business priorities and will deliver clear benefits for the hearing system.</li> <li>• The SCRA Planning and Finance Teams will review alignment between the most significant activities in the draft Business Plan and the draft Budget returns.</li> <li>• The draft revenue cash settlement for 2017/18 provides SCRA with standstill cash resources compared to 2016/17 which is a challenging outcome but not necessarily uncommon in the current very difficult context for public sector funding. However demands continue to increase in many areas of SCRA’s business and there is a real risk that the recent gains in performance and stability will be reversed forcing changes in the service delivery model. However such changes take time and Scottish Government support will be required in the intervening period.</li> </ul> <p><b>Issues arising during discussion:</b></p> <ul style="list-style-type: none"> <li>• The implications of a standstill budget have been clearly set out to the Scottish Government. SCRA need to look at ways of doing things differently, but cannot achieve this in 1 year.</li> <li>• The Minister is aware of the consequences of a stand still budget and the effects this will have on other parts of the programme. There is a need to continue an open dialogue with Government officials.</li> <li>• If SCRA are to assume future one year budget plans, service redesign is unavoidable.</li> <li>• All options will need to be considered within the challenge and review setting and ways of avoiding a voluntary severance plan of 21 FTE’s.</li> <li>• It was discussed by the Board that if you want to make changes then you need to take staff with you. Any redesign needs to meet the criteria of releasing cash.</li> <li>• Over the past two years the Board have considered the level where the service provided is disrupted.</li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<p>This is where we are now and will inevitably have consequences for service delivery if further reduced.</p> <ul style="list-style-type: none"> <li>• The Board asked can Digital salaries be moved to capital expenditure? This was not factored in originally but will feature in future discussions.</li> <li>• It was suggested that the Remuneration Committee and Board work together and have visibility of all options agreed by EMT as a result of challenge and review.</li> </ul> <p><b>Agreed:</b></p> <ul style="list-style-type: none"> <li>• The Board thanked the Head of Finance and Resources and his team for the report which set out the issues clearly.</li> <li>• The items for consideration by EMT at Challenge and review were acknowledged and discussed by the Board. While the Board have issues around any reductions in workforce, EMT are encouraged to explore all avenues with regards to budget setting. EMT agree that the service can't cope with a loss of workforce but need to consider it as an option.</li> </ul>		
<b>5.</b>	<p><b>Digital Strategy Update</b> The PR/CE introduced the report which detailed the preferred strategic direction for CMS and the creation of a Digital strategy Joint Committee.</p> <p><b>a) Case management system – options appraisal</b></p> <p><b>Noted:</b></p> <ul style="list-style-type: none"> <li>• In the Chief Executive Update report to the Board in December 2016 Members were advised that SCRA had engaged Sopra Steria via a Scottish Government Framework. Sopra Steria is a leading digital transformation company and they were engaged to help SCRA with an options appraisal and recommendations for future investment in the system.</li> <li>• The implications of these recommendations are as follows:- <ul style="list-style-type: none"> <li>○ The current CMS will run to approximately 2019 (at which point it will have been a full 6 years in operation) with ongoing maintenance and small scale developments and improvements. No significant upgrading or development of CMS will be undertaken, other than the delivery of essential planned work or work currently in pipeline.</li> </ul> </li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<ul style="list-style-type: none"> <li>○ A process of refining and updating SCRA’s core business requirements, based on experience to date of CMS and the changing nature of our needs and expectations will be undertaken</li> <li>○ Full upgrade and development to version 7 software or full system replacement. The implicit aim of market testing at this stage is to invite current product providers in the marketplace to respond to SCRA’s defined business requirements and to assess against ‘best fit’ to our longer term needs.</li> <li>○ Beyond the market testing a process of procurement will likely be required and will be planned within the overall approach. Appropriate authority and decision making at key stages will require to be explicitly mapped out.</li> </ul> <ul style="list-style-type: none"> <li>● A key consideration for EMT in accepting the recommendations of the options appraisal is its overall fit in enabling the wider Digital Strategy. Core systems development and improvement now need to be considered as critical elements in reaching our digital ambitions. Without fully functioning, sustainable core systems the digital strategy will only ever have limited impact and/or reach. The next stage in the upgrade/ development or re-provisioning of CMS now needs to be considered in itself as a key digital project. A high performing case management system is an essential component of our future joint digital ambitions.</li> </ul> <p><b>Issues arising during discussion:</b></p> <ul style="list-style-type: none"> <li>● CHS/SCRA will be going to the market place with a single, integrated set of requirements for the Hearings System.</li> <li>● CMS and other core systems are regarded as part of the overall Digital Strategy.</li> <li>● While options 3 and 4 suggest going to the market place with our requirements and what we currently have, there is the possibility that another solution may emerge highlighting parts of the current system that are usable.</li> </ul> <p><b>Agreed:</b></p> <ul style="list-style-type: none"> <li>● The Board approved the preferred strategic direction for CMS which involves going to the market place for a full upgrade and development to</li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<p>version 7 software or full system replacement of CMS.</p> <ul style="list-style-type: none"> <li>• The Board support minimal changes to CMS to support the current operational environment.</li> <li>• A link to the full options appraisal report to be sent to all Board members.</li> </ul>	<b>Immediate</b>	<b>PA</b>
<b>b)</b>	<p><b>Digital Strategy – governance and decision making arrangements</b></p> <p><b>Noted:</b></p> <ul style="list-style-type: none"> <li>• The issue of Board engagement with and oversight of the Digital Strategy was discussed at the recent joint Board meeting. Officers were tasked with developing a proposal to extend current governance arrangements. A Digital Strategy Joint Committee is proposed</li> <li>• The new Committee would complement the role and remit of the Digital Strategy Joint Oversight Board. The new Committee role should be viewed in the context of the Scottish Governments updated ICT Assurance Framework which will be implemented from early 2017.</li> <li>• The creation of the new joint Committee will provide an effective governance structure at the strategic level and will work well within the existing roles given to officers of both bodies. Roles and responsibilities will develop and mature as the joint committee establishes its work and oversight.</li> <li>• A joint investment programme and IT operational plans for 2017/18 will be developed by the joint Head of IT and approved by respective senior management teams. These will be aligned to Corporate and Business Plans in both organisations.</li> <li>• Digital transformation requires SCRA to explicitly work in partnership with hearing system partners, specifically CHS to ensure wherever possible holistic, integrated, sustainable and effective solutions are explored as the default. These partnerships require the confidence of those charged with governance and oversight. Revisions to our existing arrangements are therefore key to ensure this confidence and oversight is established and promoted.</li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<p><b>Agreed:</b></p> <ul style="list-style-type: none"> <li>• The Board agreed with the creation of a Digital Strategy Joint Committee.</li> <li>• The committee remit will be determined by the Chair of the Board, The Chair of the Audit and Risk Committee and the Principal Reporter and Chief Executive</li> <li>• SCRA and CHS Boards to be added to the governance diagram</li> </ul>	<b>Immediate</b>	<b>NH</b>
<b>6.</b>	<p><b>Research Programme</b></p> <p>The Information &amp; Research Manager introduced the report which detailed the significant progress and continued relevance of the ongoing SCRA research programme.</p> <p><b>Noted:</b></p> <ul style="list-style-type: none"> <li>• Completed research in 2016 <ul style="list-style-type: none"> <li>○ Backgrounds and outcomes for children aged 8 to 11 years old who have been referred to the Children's Reporter for offending</li> <li>○ Children &amp; families national survey</li> <li>○ The next steps towards better Hearings</li> <li>○ Women into leadership</li> </ul> </li> <li>• Contributions to other projects in 2016 <ul style="list-style-type: none"> <li>○ SCRA court project</li> <li>○ Role of the Safeguarder in the Children's Hearings System</li> </ul> </li> <li>• On-going research <ul style="list-style-type: none"> <li>○ The exploration of minority ethnic groups' understanding and awareness of child protection and the Children's Hearings System in Scotland</li> <li>○ Measuring complexity in child protection</li> <li>○ Assessment and support of the sibling relationships of long-term fostered and adopted children</li> <li>○ 16 and 17 year olds involved in the Children's Hearings System</li> </ul> </li> <li>• Research planned for 2017-18 <ul style="list-style-type: none"> <li>○ Compulsory Supervision Orders - children and young people who reside at home with one or both parents. Effectiveness of decision making and outcomes - research proposal.</li> </ul> </li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<ul style="list-style-type: none"> <li>○ Collaboration with CELCIS</li> <li>○ SCRA's Research Ethics Committee</li> </ul> <p><b>Issues arising during discussion:</b></p> <ul style="list-style-type: none"> <li>● SCRA's 2016-17 Business plan included an action for research on Planning and decision making for children and young people on compulsory measures of supervision at home. It is currently beyond the resource in the team to commit to this work and the Scottish Government sponsor team have been asked for funding in this area.</li> </ul> <p><b>Agreed:</b></p> <ul style="list-style-type: none"> <li>● The Board expressed its support and fully endorsed the research programme for 2017. The team were thanked for their hard work around information governance and the positive impact the research projects have had to date.</li> <li>● Published research material to be sent to Board members.</li> </ul>	<b>Immediate</b>	<b>PA</b>
<b>7.</b>	<p><b>Draft Corporate Plan – Update</b></p> <p>The Head of Strategy &amp; OD introduced the final draft of the Corporate Plan 2017-20.</p> <p><b>Noted:</b></p> <ul style="list-style-type: none"> <li>● Over the past 7 months, the Board has been presented with a series of reports outlining the approach being adopted to develop the Corporate Plan 2017/20, the Business Plan 2017/18 and a series of supporting strategies and plans, all of which are being aligned to provide a consistent direction and complement each other. The most recent of these reports was in December 2016.</li> <li>● Minimal changes have been made to the version of the Corporate Plan which was favourably received by the Board in December. These have involved: <ul style="list-style-type: none"> <li>○ Insertion of additional information on each of the 3 outcomes under the heading “What is the key focus of this outcome?”. This was done to aid understanding, particularly for production of Locality Plans and Head Office Team Plans that need to align with the Corporate Plan.</li> <li>○ Adjustments to the some of the summaries of key enabling strategies and plans to reflect ongoing development.</li> <li>○ Removal of Equalities from the Workforce and OD Strategy to treat as a stand-alone</li> </ul> </li> </ul>		

		<b>Timescale</b>	<b>Action</b>
	<p>strategy, to emphasise its growing importance and ensure that we take the necessary steps to integrate consideration of equalities in all aspects of our planning and service delivery.</p> <ul style="list-style-type: none"> <li>• Budgets have yet to be finalised. This will only be possible following EMT’s challenge and review exercise in mid- February, following which tables for revenue and capital budgets will be inserted in the Corporate Plan</li> <li>• Work is continuing on the Business Plan 2017/18. As explained in the December report to the Board, this is being developed as a “contribution framework” showing how different parts of the organisation help to deliver the Corporate Plan outcomes. This is quite a complex piece of work involving capturing and aligning inputs from across SCRA, but it is anticipated that it will be completed by late February, ready for implementation from the start of the period covered by the 2017/20 Corporate Plan.</li> <li>• The supporting strategies and plans are at various stages of development, and have yet to be brought fully into alignment.</li> <li>• As a result of the proposed financial settlement and the highlighted gap in resources, EMT will be undertaking an exercise to revisit the planned work for 2017/20 to ensure that we are resourced to deliver upon commitments.</li> </ul> <p><b>Issues arising during discussion:</b></p> <ul style="list-style-type: none"> <li>• The final version of the Corporate and Corporate Parenting plans will be subject to budget setting as a result of the challenge and review exercise in February.</li> <li>• A separate equalities strategy will be included and will be equalities assessed. This is currently being worked on.</li> </ul> <p><b>Agreed:</b></p> <ul style="list-style-type: none"> <li>• The Board approved the final draft of the 2017-20 Corporate plan, enabling discussions with Scottish Government to take place however it was noted that the plan and accompanying strategies may change as a result of the budget challenge and review meeting in February.</li> </ul>		

		<b>Timescale</b>	<b>Action</b>
<b>8.</b>	<b>New Risks</b>  1. Pay/Budget. The risk will be assessed for inclusion within the Strategic Risk Register. 2. CMS and the possibly of maintenance and support running out. The risk will be assessed for inclusion within the Strategic Risk Register.	<b>Mar 17</b>  <b>Mar 17</b>	<b>SD/PA</b>  <b>LMcD/EM/PA</b>
	<b>Date Of Next Meeting</b> Thursday 23 March 2017, Ochil House, Stirling		

<b>Meeting Date/Item</b>	<b>Action</b>	<b>Timescale</b>	<b>Owner</b>	<b>Comments</b>	<b>Status</b>
17/03/2016	CPD Training – Feedback on development of principles paper	Jan-17	SD	The head of Human Resource will provide a general update on succession planning to the January Board.	Complete
22/06/2016 - Chief Executives Report	Consideration to be given to measuring the number of families approached at Hearing Centres who refuse to participate in the Children and Families survey?	March 17 (or in design phase of next survey)	NH	To be considered in future design of Children and Families Survey work	Not yet due.
22/06/2016 - Digital Strategy	The requirement for approvals out with the normal cycle of Board meetings.	Sep-16	EM/NH	This can be dealt with either via revised delegations within approved limits or via a special meeting	Underway - project plans and delivery pathways will define decision making points
	A detailed report around Governance arrangements	Nov-16	EM	Joint Digital Strategy Oversight Board has considered Governance and Reporting arrangements in detail and these will be reported to joint meeting of Boards	Report on Governance arrangements to first meeting of Joint Committee in May 2017.
22/06/2016 - Review of Complaints 2016	Future reports to include a summary of any complaints outstanding.	Sep-17	MS		Not yet due.

Meeting Date/Item	Action	Timescale	Owner	Comments	Status
22/09/2016 - Financial Strategy 2017-20 and Spending Review 2016	An assumption has been made that the current pension scheme remains steady, The Board have highlighted this as a risk and will be assessed for potential addition to the risk register.	Nov-16	EM/PA	The Head of Finance will assess this risk and report to EMT on 7/12/16.	To be integrated into Finance Plan report - June 2017
14/12/2016 - Corporate Procurement Strategy	There is no specific mention of ethics or vision within key priorities. Can this be made clearer within section 4.4 Priority four: realising Sustainability.	Mar-17	EM	Will be added in finalising document	Underway
	Foreword be made a visual diagram.		EM/NH	As above	Underway
14/12/2016 - Draft Workforce Report	The Corporate Plan references outcomes while this plan talks about strategic objectives. The language will be aligned	Jan-17	LB	the Workforce OD strategy has been formatted however there is a fair bit of work still required to be done to have it ready to publish - consistency in language, text formatting etc. LB has alerted MMCI that comments will be regarding formatted version and this alignment will be picked up there.	Complete
25/01/2017 - New Risks	Pay/Budget. The risk will be assessed for inclusion within the Strategic Risk Register.	Mar-17	SD/PA		Underway

<b>Meeting Date/Item</b>	<b>Action</b>	<b>Timescale</b>	<b>Owner</b>	<b>Comments</b>	<b>Status</b>
	CMS and the possibly of maintenance and support running out. The risk will be assessed for inclusion within the Strategic Risk Register.	Mar-17	LMcD/ EM/PA	Issue covered in recent CMS Strategy Review. Risk will be included in Digital Programme PID3 risk register.	Underway

## SCRA Board Meeting Workplan

Business Item						
<b>Strategic/Corporate</b>	<b>14/12/16</b>	<b>25/1/17</b>	<b>23/3/17</b>	<b>20/4/17*</b>	<b>22/6/17</b>	<b>28/9/17</b>
Policy & Influencing Report	✓				✓	
Research Programme		✓				
Annual Strategy Seminar						
Risk Register	✓				✓	
Communications Strategy						
<b>Governance</b>						
Audit Committee Minutes	✓		✓		✓	✓
Development Day Minutes	✓				✓	
Committee Annual Reports					✓	
Feedback on Board Performance						
Nominations Committee Minutes			✓			
<b>Finance</b>						
Budget Monitoring Report	✓		✓		✓	✓
Draft Budget		✓	✓			
Annual Report & Accounts						✓
<b>Planning</b>						
Draft Corporate & Business Plan	✓	✓	✓			
Annual Workforce Planning Report	✓					
<b>Performance</b>						
Organisational Performance Report	✓		✓		✓	✓
<b>Operational</b>						
Chief Executive's Report	✓		✓		✓	✓
Complaints Review					✓	
Equalities Annual Report					✓	
Environmental Annual Report						✓
Overview of Policies Annual Report	✓					

\* Board Development Days

<b>Business Item</b>						
	<b>14/12/16</b>	<b>25/1/17</b>	<b>23/3/17</b>	<b>20/4/17*</b>	<b>22/6/17</b>	<b>28/9/17</b>
Health & Safety Annual Report			✓			
Efficiency Report						
New Bio-diversity Duties						
Procurement Strategy						
Corporate Parenting						
Participation & Engagement Update						
Digital Strategy Update		✓				
Update on New Grounds						
Performance Management Review						
HR Strategy	✓					
OD Strategy	✓					
Locality Performance Reviews	✓					
Joint Property Strategy/Action Plan						

**\* Board Development Days**

**~ Briefing paper presented to Board Development Day**

**SCOTTISH CHILDREN'S REPORTER ADMINISTRATION**

**Chief Executive's Report**

**Accountable Director:** Neil Hunter

**Date:** 23 March 2017

**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 Not Required

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

**Document Classification:** Not protectively marked

## **1. Staff Partnership**

- 1.1 The UNISON Branch are completing workplace AGM's and are also seeking a new Branch Secretary as Gillian Brown has stood down after 2 years in this role.
- 1.2 UNISON have recently written to the PR/CE seeking reassurance about standardisation and consistency of practice across SCRA and a discussion is being sought to look at areas where the trade union and SCRA can work together to address issues of alignment, implementation of policy and utilising best practice in relation to the next phase of change and modernisation.

## **2. Strategic Partnerships**

- 2.1 The Children's Hearings Improvement Partnership and the Youth Justice Improvement Board will both meet on 22 March. The respective agenda's are attached at appendix A and B. The CHIP recently undertook a workshop to review its activities, areas of focus and implementation arrangements. The vast majority of CHIP members agreed that it had been successful in providing a dynamic interagency focus on Hearing System issues, had improved key strategic working relationships and a sense of collective responsibility for the successful delivery of children's hearings, children's rights and positive outcomes for children and young people around a common ethos and values. Key issues of concern continued to be the uncertainty about delivery and implementation arrangements at local/operational level, the lack of quality outcome and impact data and the stretched capacity of agencies and lack of investment opportunities.
- 2.2 The Youth Justice Improvement Board continues to focus on issues such as Minimum Age of Criminal Responsibility (MACR) as we move towards drafting legislation, the review of secure care arrangements (undertaken by the Centre for Youth and Criminal Justice), advancing the next stage of Whole Systems Approach (WSA), focussing on life chances of young people involved in offending and the early stages of a performance framework for youth justice as it begins to be increasingly integrated I the wider GIRFEC workforce.

## **3. Feedback Loop**

- 3.1 The National Convenor has laid before Parliament his first report in relation to the feedback loop (S.181 of the 2011 Act). The feedback loop was instigated in order to provide assurance about the extent to which local authorities were implementing compulsory supervision orders and to begin to measure the overall effectiveness of the decisions of the hearings system.
- 3.2 The National Convenors report has been hampered by the relative absence of data from Local Authorities on implementation of hearings decisions and was confined to decisions involving secure care in this first phase. Even here, represent only 1% of all hearings decisions, data is weak. This is a major area of concern for all hearing system partners. Despite relatively strong data

held by SCRA as a single national agency, the absence of any robust data at local level requires prioritisation and focus.

#### **4. Requests for information between 24/11/2016 and 08/03/2017**

##### **4.1. Freedom of Information (Scotland) Act 2002**

4.1.1 Seven requests were received under the Freedom of Information (Scotland) Act 2002. All were responded to within 20 working day timescale, with an average of seven days. One request was from a journalist about staff bonuses, and one from a Scottish Parliament researcher about zero hours contracts.

4.1.2 Two requests were from one relevant person (who had also made previous FOISA requests and subject access requests). His requests were refused under section 14 of FOISA – vexatious or repeated requests. This is the first time that SCRA has applied this exemption. The requestor asked for a review of this refusal. The review was carried out within 20 working days and the refusal upheld.

4.1.3 There was one appeal to the Scottish Information Commissioner (SIC). This was from a solicitor. Before proceeding with the appeal the SIC asked if SCRA would carry out a further review and SCRA has agreed to this.

##### **4.2 Subject Access Requests**

4.2.1 There have been 12 subject access requests under the Data Protection Act 1998. Eight were from relevant persons or their solicitors. Two were from young people, one from a victim of youth crime and one from an adult in relation to abuse they'd suffered as a child.

4.2.2 Those responded to were dealt with within the 40 calendar timescale, with average of 27 days.

##### **4.3 Protection of Vulnerable Groups**

4.3.1 Five requests from Disclosure Scotland were made under the Protection of Vulnerable Groups Scheme. Two were responded to (at time of writing) both within 28 day timescale.

4.3.2 All five are for information on parents whose children have been referred.

##### **4.4 Research Update**

4.4.1 Sophie Henderson has successfully completed her work experience placement, and will start work as a full time Modern Apprentice on 20<sup>th</sup> March 2017.

4.4.2 Dr Robert Porter, Research Associate in CELCIS, started a 60 day secondment to SCRA on 8<sup>th</sup> February. Robert is carrying out research on contact decisions by Children's Hearings.

- The Scottish Government has agreed additional funding for SCRA to carry out research on outcomes for children and young people on home CSOs. This will fund an additional full time Research Officer post for 9 months, and recruitment is underway. This research will be the team's main work for 2017-18.
- Ethnic minority families and child protection in Scotland - We have completed the interviews and focus groups and are currently analysing the findings along with the earlier survey. There have been seven interviews and two focus groups with organisations working with different ethnic groups. We have also carried out two focus groups with women from the Muslim community. There were 182 responses to the survey of child protection professionals.
- Measuring complexity in child protection – we are nearing the end of data collection on 120 children born in 2003 and 120 born in 2013. The aim of this part of the research is to find out if there have been any differences over time in the complexity of children's lives and involvement in the Hearings System. The other parts of this research are assessment of changes in complexity of legislation and organisational processes.
- Criminal Advice and Remittals to the Children's Hearings System – this examined the cases of the 111 young people (16 and 17 years) where criminal courts requested advice from Hearings in 2015-16. This research was carried out as part of Gillian's fellowship with the Centre for Youth and Criminal Justice (CYCJ). A draft report has been produced which will be submitted to CYCJ before end March. If the report passes CYCJ peer review process it will be published by them.

## 4.5 Presentations

4.5.1 Gillian Henderson presented the research on sibling contact of looked after children (joint with Strathclyde University) at the Coran-BAAF Research Committee on 19<sup>th</sup> January in London; and to the National Child Protection Chairs Group on 20<sup>th</sup> January in Edinburgh

## 5. Press and Communications Team January to March 2017

### 5.1 Participation

5.1.1 Two pilot initiatives are about to get underway in April:

- 'Emoji' pilot in Falkirk and Livingston where children and young people can use emoji cards in their Hearing to let Panel Members know how they are feeling. This has been developed by SCRA in conjunction with the local ASTs and young people.
- Turning 12 and going to a Hearing? New leaflet for young people and their parents/carers/social workers that explains they will receive their Hearing papers and they might contain some sensitive information. This is being piloted in the South East Locality and Highlands and Islands.

## 5.2 Participation and property

5.2.1 After funding was successfully secured from the Scottish Government at the end of December, work is underway to improve a number of Hearing centres across the country. Here's a quick round up:-

- **Greenock** will be adopting a unique approach, with cheerful primary coloured chairs surrounding a high colourful conference table. The room will make use of the outdoor private garden over which they have a view by leaving the blinds open, and colourful blinds will be installed in the windows which overlook the street (for privacy). Their large waiting area will make use of the Model Hearing Room furnishings and a play area with a slide will be introduced.
- **Glasgow** are benefitting from two new Hearing rooms on the ground floor of Bell Street. One of these will be the Model Hearing Room approach, with bright primary coloured soft furnishings and a low table, and the other will be a calming ocean-themed Hearing room with a large canvas of a Scottish seascape covering a feature wall. There are no windows in the room so the canvas will introduce light and a sense of the outdoors. A unique 'U' shaped couch will take up a large part of the room to give a sense of openness and participation. Hearings experienced young people will help them to finalise the design.
- **Kilmarnock** has adopted the Model Hearing Room approach, with bright primary coloured soft furnishings and a low table, but they have opted for a different approach to the waiting rooms and have introduced feature walls – one with an astronaut and one as a forest. The rooms will be themed with decorations to suit the feature walls, and they have decorated the common area with bright wall art as well.
- **Stirling** has adopted its own unique design after consultation with Hearings-experienced children and young people. This will include softer furnishings and a low table. The design is still underway so more details will follow.
- **Livingston** has adopted the Model Hearing Room approach, with bright primary coloured soft furnishings and a low table. They will be using the guide from the Model hearing room to decorate their waiting room and Hearing room.
- **Aberdeen** has adopted its own unique design after consultation with children and young people. The design is still being concluded but work is underway and more details will be provided shortly.
- **Hamilton** has adopted the Model Hearing Room approach, with bright primary coloured soft furnishings and a low table. They will also use the décor used in the Glasgow Model Hearing Room to compliment the waiting and Hearing room areas and will introduce new wall art.
- **Paisley** has been working with their local Champions Board and will be introducing some new softer furnishings in their Hearing room, but will not be fully doing up their waiting and Hearing rooms as they recently introduced improvements in 2015.

## 5.3 Filming for parents/carers with learning disabilities

5.3.1 Filming is complete for SCRA's new film for parents/carers with learning disabilities who have a child or children in the Hearings System. The final touches are being made to the film (including adding a signed version and subtitles) and it will be launched in April.

## **5.4 Staff Event**

5.4.1 The Staff Event will be held on Wednesday 26 April in the Strathclyde Suite of the Royal Concert Hall, Glasgow. There's spaces for up to 200 delegates and already 150 members of staff have signed up. Planning for the day is now well underway and we have two guest speakers confirmed - John Carnochan, OBE/QPM, former Head and co-founder of the Scottish Violence Reduction Unit and Amal Azzudin an award winning campaigner for human rights and social justice.

## **5.5 Healthy Being**

5.5.1 The third edition of Healthy Being, SCRA's e-zine to promote health and wellbeing in and out of the office will be published at the end of March. This is written and designed by the Press and Communications Team in conjunction with members of the Health and Wellbeing Group.

## **5.6 Websites**

### **5.6.1 CHIP online multi-agency resource**

5.6.2 SCRA is developing a new online multi-agency resource for the Hearings System which will be hosted on the CHIP website which SCRA manages. It is a significant piece of work and two thirds of the work is now complete. It will be launched in April.

### **5.6.3 Corporate Parenting website**

5.6.4 SCRA is developing a joint website with Children's Hearings Scotland aimed at young people to explain about corporate parenting. The website will be interactive and promote the work of both organisations. The site – [www.mycorporateparents.co.uk](http://www.mycorporateparents.co.uk) will be launched on Monday 3 April.

## **6. Quality and Performance Team update**

### **6.1.1 Planning**

6.1.2 The Quality and Performance business partners held full day sessions throughout January with each of their locality management teams, taking them through the development of their 3 year locality plans. This is the first time that we have fully aligned to the Corporate Planning cycle in this way – although a year on year budget settlement isn't ideal in this process.

6.1.3 These planning days gave localities early sight of the plans and strategies for them to consider the local context and their contribution to delivering the

strategic aims. Importantly, these days continued our bottom up approach to target setting and highlighted anything going on locally that required to be lifted up into the wider strategies.

- 6.1.4 The locality plans will continue to be discussed and monitored at the performance reviews with the SOMs and kept live through the LMTs.

## **6.2 Management Development**

- 6.2.1 All managers are now fully trained by SAMH on Managing Mental Health at Work, aligned with our approach of early intervention to help staff to remain at work with the appropriate supports in place.

- 6.2.2 To support our succession plan, a Managers Certificate in Public Sector Leadership launches on 22<sup>nd</sup> March and the mix of the group is made up of LRM's, LSM's, Reporters and Support Administrators. The course has proven popular and we have a waiting list of 8 candidates who would like to be considered for future opportunities.

- 6.2.3 The wider management development programme had been paused while a review of the programme took place along with a review of our internal networks to make sure that they were working for everyone, there was minimal duplication and importantly, no gaps.

- 6.3.4 In January and February we saw the management development programme start up again, taking account of the recommendations from the review, with three development days; one for LSMs (to replace the LSM network,) our first one for Head office managers and, separately, one for LRMs. These days were a mix of information sharing, skills development, and workshop sessions. The timing of the events gave us an opportunity to update managers on the work that we are doing in relation to budget, the CMS review and the work of the digital strategy more widely. We had input from the HR business partners around difficult conversations, a workshop around business partnering and the functioning of LMTs, input and a demonstration of changes to CMS and in the afternoon sessions we continued with our coaching and action learning. The next all manager development day is in June which will have more of an external focus - a look some of the contemporary issues around with updates and consideration of outputs from our political environment – the care review etc.

- 6.2.5 We also plan to use the day to start work with our managers looking at change in the context of modernisation - An organisation that will be enabled by digital technology– how we deliver our service, who delivers it, how ready we are for change, what that may look like and start to build some momentum for the journey ahead

## **6.3 Blueprint for Children's Hearings**

- 6.3.1 Work is gathering pace with the development of a set of revised standards. We have been heavily involved in this project, working with partners and

Scottish Government as well as bringing in a number of our LRMs to develop the work internally. A paper went to CHIP yesterday (22<sup>nd</sup> March) with the proposed standards and a revised timeline for testing and implementation. This is going to be a substantial piece of work over the next year but one that we are very excited about.

## **7. Head of Practice and Policy**

- January –February 2017 a number of Reporters throughout Scotland including the Head of Practice and Policy contributed to pre-service training for panel members on role of Reporter
- Ongoing partnership meeting organised by Police Scotland and met Assistant Chief Constable afterwards on issues relating to SCRA and the Hearing System
- Various meetings together with other SCRA colleagues on development of Blueprint on Time Intervals of Children’s hearings. In particular contributed to an inter-agency workshop in Victoria Quay and linking with Scottish Court Service on what data they can contribute
- Attended Roundtable at Scottish Parliament on 15<sup>th</sup> March to be questioned by Education Committee on Children’s Hearings and impact of 2011 Act reforms.
- Liasion with COSLA on re. CHIP work and Local Authority contribution
- Worked with Internal Auditor week of 13 February looking at our information governance structure for future reporting to Audit and Risk Committee



## **AGENDA**

### **CHILDREN'S HEARINGS IMPROVEMENT PARTNERSHIP**

22 March 2017, 10.00am – 12.30pm Conference  
room 1 Victoria Quay Edinburgh

- 1. Welcome and apologies**
- 2. Minutes of December meeting and matters arising**
- 3. Working Groups – update on progress**
  - (i) Generating Evidence & Promoting Improvement – Boyd McAdam**
  - (ii) Getting it Right in the Hearings System – (including Blueprint) - Malcolm Schaffer**
- 4. Tri-Partite Group update – Neil Hunter**
- 5. Child Protection Improvement Programme – Tom McNamara**
- 6. Working Groups – update on progress (cont)**
  - (i) Learning and Development – Joanne McMeeking**
  - (ii) Permanence – including an update on the ongoing PACE work – Belinda Robertson**
- 7. AOB**
  - **Named Person – Hannah Keates**
  - **Independent Review of Care – Donald Henderson**
  - **Secure Care – Tom McNamara**
  - **Young Persons Board – Neil Hunter**
  - **Youth Justice Improvement Board – Claire Lightowler**
- 8. Date of next meeting -**

Tuesday 6 June 2017 – 10:00am – 12:30pm, Insight Institute, 22  
Richmond Street, Glasgow, G1 1XQ.

## Youth Justice Improvement Board

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### AGENDA

#### Youth Justice Improvement Board

22 March 2017, 12.30am – 15.30pm

Victoria Quav. Edinburgh

***NB – Joint lunch with CHIP members will be provided from 12:30 with the main meeting starting at 13:00***

1. **Welcome and apologies (5mins)**
2. **Minutes of December meeting and matters arising (10mins)**
3. **SG & CHIP Update (15mins)**
  - 2014 Act – announcement
  - MACR
  - Mental Health Strategy
  - Secure Care
  - YJIB/Justice Board joint session
  - Judicial Review
  - YJ Conf
  - CHIP – Claire Lightowler
4. **Implementation Groups (exception reporting) (15mins)**
  - **Advancing WSA**
  - **Improving Life Chances**
5. **Workforce and Learning and Development – Phil Denning (30mins)**
  - Framework
  - Integration Paper (David)
6. **Community Justice Scotland – Karyn McCluskey (30mins)**
7. **Police Scotland: Young People in Custody – Barry McEwan (10mins)**
8. **AOB (5mins)**
10. **Date of next meeting (Mon 6 June)**

#### Papers

1. Agenda
2. Minutes December 2016
3. Action log

- 4. Advancing WSA and Bail subgroup update**
- 5. Improving Life Chances and Opportunities for all sub-group update**
- 6. Developing Capacity and Data Improvement sub-group update**
- 7. Strategy priorities – progress to date and work still to be taken forward**
- 8. Integration paper**
- 9. CHIP minutes December 2016**

# Third Quarter Organisational Performance Report 2016/17: (1 October to 31 December 2016)

## 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. An appendix has been included at the end of this report to provide further detail on key measures as requested by the Board.
- 1.2. Members of the Board are invited to approve the Q3 Organisational Performance Report 2016/17, covering the period 1 October to 31 December 2016.

Performance measures	Target	Q3	Trend	Link
The percentage of decisions on referrals made within 50 working days of receipt	78%	76.3%	-	N 1.1
The percentage of Hearings scheduled to take place within 20 working days	76%	80.7%	-	N 1.3
The percentage of initial Hearings proceeding to disposal	76%	76.1%	down	N 1.4
The percentage of working days lost to absence	4%	6.0%	up	N 3.3
The percentage of SCRA core properties which comply with SCRA property standards	90%	89.9%	up	N 3.4
Forecast variance in annual revenue spends as a percentage of the available revenue budget	1%	0.0%	n/a	N 3.5
Forecast percentage of revenue savings achieved in the year	2.4%	2.4%	n/a	N 3.6
Forecast variance in annual capital spends as a percentage of the available capital budget	5%	0.0%	n/a	N 3.7
The Scottish Government efficiency savings target will be met	3%	On target	n/a	N 3.8

**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:

- 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 and previous four quarter's 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 3		Service to children and young people					National
No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend	Commentary
N 1.1	Decisions on referrals made within 50 working days of receipt – <b>Target 78%</b>	76.3%	-1.9pp		76.3%-79.5%	↔	Dipping below target currently. Year-to-date performance is 78%.
N 1.2	Referrals over 100 working days old	102	+64.5%		48-102	↔	Numbers back down to 80 as at 1 <sup>st</sup> February. Levels still manageable.
N 1.3	Hearings scheduled to take place within 20 working days – <b>Target 76%</b>	80.7%	+6.1pp		71.6%-80.7%	↔	Despite improving, especially in South East, Central and Glasgow localities, the indicator looks to be amber for 2016/17.
N 1.4	Initial Hearings proceeding to disposal – <b>Target 76%</b>	76.1%	-1.0pp		76.1%-77.8%	↓	Still on target for 2016/17. Deferral reasons are now implemented on the Case Management System (CMS).
N 1.5	Percentage of non-offence applications established at court	91.6%	-1.7pp		91.6%-94.0%	↔	Two localities below 85%, at a system level, it is currently difficult to dig deeper into the reasons why.
N 1.6	Mid-point for offence referrals from receipt to Hearing decision (working days)	51	-2.8 days		50-56	↔	Stable for past five quarters.
N 1.7	Mid-point for non-offence referrals from receipt to Hearing decision (working days)	117	6 days		104-117	↑	Within normal levels but the increasing trend will be monitored.
N 1.8	Written notifications of Hearing decisions sent to children and families within 5 calendar days	89.3%	-0.3pp		88.5%-92.1%	↔	Despite the dip in the quarter, performance remains strong.
N 1.9	Hearing's decisions upheld at appeal (appeal refused)	56.5%	+1.6pp		50.2%-61.0%	↔	Improved recording of appeals is now available on CMS.
N 1.10	Breach incidents (SCRA)	12	-27.3%		9-24	↔	Comprises of four non-disclosure and eight case information breach incidents.
N 1.11	Complaints	7	-12.5%		5-11	↔	The most common complaint was about process/administration (three).
N 1.12	All about me forms/children's views returned by children and young people	613	+20.3%		411-613	↑	Now includes counts of children's views which have been submitted. Likely to see further increases in this measure.

Quarter 3			Workload				National
No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend	Commentary
N 2.1	Children referred on non-offence grounds	3,784	-4.9%		3,719-4,118	↓	High volumes in Highlands & Islands locality remain concerning while Glasgow locality volumes reduced.
N 2.2	Children referred on offence grounds	1,128	+6.9%		1,016-1,128	↔	Glasgow and Grampian localities showing an upward trend.
N 2.3	Child Protection Orders (CPOs)	157	-6.5%		149-180	↔	Numbers of CPOs have reduced after the increases in the past two quarters.
N 2.4	Joint reports retained by Reporter	71.8%	-0.9pp		70.7%-75.3%	↔	Follows the strategic direction to reduce young people going into adult system.
N 2.5	Pre-Hearing Panels (PHPs)	885	-10.1%		885-1,066	↔	A case sampling report on PHPs considering the child's excusal went to the February Audit and Risk Committee.
N 2.6	Number of Hearings	8,252	-4.5%		8,252-8,866	↔	Down due to decreases in Glasgow and Grampian localities.
N 2.7	Court applications concluded	851	+10.2%		759-851	↔	At a locality level, only Lanarkshire/D&G are showing an upward trend, this will be monitored closely in quarter 4.
N 2.8	Hearing Interim Compulsory Supervision Orders	1,287	+1.2%		1,160-1,365	↔	No trends present around interim orders at this time.
N 2.9	Hearing Interim Variation of Compulsory Supervision Orders	538	-4.1%		495-605	↔	
N 2.10	Court interim orders	1,009	+0.8%		979-1,050	↔	
N 2.11	Number of Compulsory Supervision Orders in force (CSOs)	10,276	-0.8%		10,250-10,494	↔	
N 2.12	Children with appeals concluded	209	-4.0%		187-237	↔	No trend present, current quarter is within the normal range.

**Quarter 3**
**Resources**
**National**

No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend	Commentary
N 3.1	Conversion rate from referral to Hearing (for children not on CSO)	23.7%	-1.4pp		23.7%-27.0%	↔	Continuing link between high referral rates and low conversion rates in Highland & Islands locality.
N 3.2	Non-disclosure cases	1,177	-3.0%		1,177-1,232	↓	Within SCRA and with partners, there continues to be a focus on more appropriate use, helping reduce volumes.
N 3.3	Staffing profile by FTE	399.8	+0.5%		396-400	↔	Slight increase of 1.6 FTE from quarter 2.
N 3.4	Percentage of working days lost to absence – <b>Target 4%</b>	<b>6.0%</b>	+1.0pp		4.2%-6.0%	↑	Absence levels increased from quarter 2 with short-term up 0.6pp to 2.5% and long-term up 0.2pp to 3.5%.
N 3.5	Compliance with SCRA property standards – <b>Target 90%</b>	<b>89.9%</b>	+2.0pp		86.5%-89.9%	↑	Increase due mainly to improvements seen in the Irvine premises.
N 3.6	Forecast variance in annual revenue spends – <b>Target 1%</b>	<b>0.0%</b>	n/a	not applicable	n/a	n/a	Minor forecast underspend of £4k at 31 December 2016
N 3.7	Forecast revenue savings achieved in year – <b>Target 2.4%</b>	<b>2.4%</b>	n/a	not applicable	n/a	n/a	
N 3.8	Forecast variance in annual capital spends – <b>Target 5%</b>	<b>0.0%</b>	n/a	not applicable	n/a	n/a	Forecast to be on budget as per the submission to Scottish Government at 31 December 2016.
N 3.9	Scottish Government efficiency savings – <b>Target 3%</b>	<b>On target</b>	n/a	not applicable	n/a	n/a	Savings are dependent on a number of areas, the detail of which is contained in the Annual Efficiency Plan.
N 3.10	Training per employee (days)	0.63	+242%		0.12-0.63	↔	The increase was mainly due to non-disclosure and domestic abuse training.

**Quarter 3 Corporate governance National**

No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend	Commentary
N 4.1	Business Plan delivery (actions with green status)	81.6%	n/a	<p>Q1 Q2 Q3</p>	n/a	n/a	Forty of the 49 actions are on target. The majority of the amber status' are within the engagement strategy while the red is within customer focus.
N 4.2	Strategic Risk Register – risk scores	42	+9.8%		33-50	↔	The risk register was unchanged from the previous quarter.
N 4.3	Internal audit programme - reviews complete	100%	+6.3pp	<p>Q1 Q2 Q3 Q4</p>	75%-100%	↔	Nine reviews plus two follow up reviews now scheduled for the year (the locality review has been deferred).
N 4.4	Quality assurance programme – case sampling undertaken	100%	0.0pp	<p>Q1 Q2 Q3 Q4</p>	100%-100%	↔	The November Audit and Risk Committee considered the case sampling report on reporter decision making (no action on a referral). The management action plan was approved. Fieldwork for case sampling on Pre-hearing Panels was completed in full during Q3, with analysis and report being provided to the February 2017 Audit and risk committee.
N 4.5	Freedom Of Information responses responded to within 20 working days	100%	+16.0pp		71% - 100%	↔	All five responses were within timescale.

Business Plan delivery progress key:

- Action likely to be achieved
- Action on target but at risk
- Action not expected to be achieved without additional action

**Quarter 3** **Service to children and young people** **Locality**

No.	Indicator	Ayrshire	Central	Glasgow	Grampian	Highlands & Islands	Lanarkshire/D&G	North Strathclyde	South East	Tayside & Fife
L 1.1	Decisions on referrals made within 50 working days of receipt	78%	74%	71%	73%	76%	70%	79%	89%	70%
	<b>Local targets for decision making</b>	77%	80%	71%	73%	73%	75%	75%	90%	70%
L 1.2	Referrals over 100 days old	0	1	63	12	15	8	3	0	0
L 1.3	Hearings scheduled to take place within 20 working days	88%	90%	82%	77%	79%	80%	86%	73%	75%
	<b>Local targets for scheduling</b>	74%	80%	74%	74%	75%	74%	75%	80%	74%
L 1.4	Initial Hearings proceeding to disposal	69%	76%	78%	74%	72%	77%	78%	76%	80%
	<b>Local targets for disposal</b>	75%	75%	75%	75%	76%	75%	80%	75%	75%
L 1.5	Percentage of non-offence applications established at court	98%	84%	84%	99%	94%	91%	91%	90%	96%
L 1.6	Mid-point of days taken for offence referrals from receipt to Hearing decision	95	46	124	0	40	47	53	49	47
L 1.7	Mid-point of days taken for non-offence referrals from receipt to Hearing decision	127	105	163	116	79	118	122	111	104
L 1.8	Written notifications of Hearing decisions sent to children and families within 5 calendar days	70%	86%	96%	73%	89%	95%	93%	93%	98%
L 1.9a	Hearing's decisions upheld at appeal (appeal refused)	55%	85%	43%	64%	69%	44%	50%	59%	92%
L 1.9b	<i>Appeals concluded child count</i>	22	20	81	14	13	9	20	17	13
L 1.10	Breach incidents (SCRA)	1	2	2	0	0	0	4	0	3
L 1.11	Complaints	0	1	1	0	2	0	1	1	1
L 1.12	All about me forms returned by children and young people to SCRA	53	38	82	65	27	80	78	84	106

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

Quarter 3		Workload by locality						Locality		
No.	Indicator	Ayrshire	Central	Glasgow	Grampian	Highlands & Islands	Lanark-shire/D&G	North Strathclyde	South East	Tayside & Fife
L 2.1	Children referred on non-offence grounds	75.6	41.2	53.2	17.3	81.5	31.1	48.7	45.6	20.8
L 2.2	Children referred on offence grounds	20.8	41.8	46.1	12.4	35.4	26.3	19.0	23.6	14.5
L 2.3a	Child Protection Orders (CPOs)	2.1	1.0	2.9	1.0	1.5	1.3	0.9	1.4	3.3
L 2.3b	<i>Child Protection Orders (CPOs) count</i>	13	9	28	10	8	18	10	18	43
L 2.4	Joint reports retained by Reporter	76%	90%	57%	86%	78%	72%	71%	81%	83%
L 2.5	Pre-Hearing Panels	10.1	9.7	10.3	10.9	6.0	7.8	7.0	11.4	12.3
L 2.6	Number of Hearings	153.6	82.8	126.0	66.1	64.6	76.5	88.5	80.5	94.5
L 2.7	Court applications concluded	13.2	10.9	8.4	7.2	6.3	9.2	12.0	8.0	9.2
L 2.8	Hearing Interim Compulsory Supervision Orders	20.3	12.6	19.7	13.0	10.4	10.1	10.2	15.4	16.6
L 2.9	Hearing Interim Variation of Compulsory Supervision Orders	9.2	5.1	11.5	3.8	5.6	2.8	6.3	4.1	7.3
L 2.10	Court interim orders	16.1	9.8	21.4	8.9	8.5	10.7	10.0	7.4	9.4
L 2.11	Number of Compulsory Supervision Orders in force	189.0	104.8	184.5	74.3	68.4	90.2	122.9	95.2	108.1
L 2.12	Children with appeals concluded	3.5	2.3	8.3	1.4	2.5	0.6	1.8	1.3	1.0

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 -**  Minimum rate per population  Maximum rate per population

Quarter 3		Resources					Locality			
No.	Indicator	Ayrshire	Central	Glasgow	Grampian	Highlands & Islands	Lanarkshire/D&G	North Strathclyde	South East	Tayside & Fife
L 3.1	Conversion rate from referral to Hearing (for children not on CSO)	16%	27%	20%	39%	15%	35%	21%	18%	45%
L 3.2	Non-disclosure cases*	17.4	9.0	33.4	6.7	6.5	9.2	11.7	10.3	12.9
L 3.3	Staffing profile by FTE <sup>1</sup>	34.1	30.1	62.3	26.3	19.4	45.2	39.9	35.7	43.2
L 3.4	Percentage of working days lost to absence – <b>Target 4%</b> <sup>2</sup>	8.5%	11.2%	10.6%	2.2%	7.3%	7.3%	2.0%	3.7%	3.2%

\* Rates based on rate per 10,000 of child population aged under 16 years from the General Register of Scotland.

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

<sup>1</sup> Head Office and Business Support have a FTE of 63.63

<sup>2</sup> Head Office and Business Support have an absence rate of 3.4%

## 2. Management Response

- 2.1. Performance around decision making (N 1.1) has dipped in the quarter with the indicator rated as amber, however, if performance in February and March remains at or around 78%, the target will be met for the year. Referrals over 100 days (N 1.2) crept up to over 100 but have decreased since and are currently sitting between 80-90. Initial Hearings proceeding to disposal (N 1.4) and Hearing scheduling (N 1.3) both met the target in the quarter. Initial Hearing performance is likely to meet the target for the year, while Hearing scheduling looks likely to be rated as amber.
- 2.2. With the exception of children referred on non-offence grounds (N 2.1) and children subject to non-disclosure (N 3.2) which are both decreasing, casework volumes were stable. The number of Compulsory Supervision Orders (N 2.11) increased against the previous quarter for the first time since Q3 2011/12. It's too early to say whether this is the beginning of Compulsory Supervision Orders stabilising but this will be monitored over the coming quarters.
- 2.3. In terms of addressing some of the spikes which have been seen in referral volumes, further national training is being delivered to the police by SCRA on what constitutes a referral. Training days (N 3.10) increased, with national training for all reporters and support staff on non-disclosure delivered in conjunction with a new Practice Direction which was launched on the 20<sup>th</sup> February.
- 2.4. Working days lost to absence (N 3.4), continues to be above the 4% target, for the many reasons discussed during recent Board Meetings. A spike in short term absence (of 115 days) is in relation to seasonal colds, flus and vomiting bugs that have affected staff in early 2017 and which have been particularly virulent. This accounts for 54% of all short term absence with psychological absences accounting for a further 28%. As agreed in the 2017/18 workforce plan absence management will form a major focus of review this year.
- 2.5. Financial forecasts (N 3.6 and N 3.7) point to a minor underspend of £4k. These, alongside capital forecasts (N 3.8) are all on target. SCRA's draft budget from the Scottish Government for 2017/18 includes £21.3m of core revenue grant-in-aid and funding of £0.5m of revenue and £2m of capital for the first year of the Digital Strategy. In addition, SCRA has secured additional in year funding of £263k revenue and £55k capital for 2017/18. The property indicator (N 3.5) has increased to 89.9%, just below the 90% target. This was as a result of the two new properties, Perth and Irvine, having had their property scores reviewed.
- 2.6. The Blueprint for the processing of Children's Hearings is undergoing a full multi-agency review and refresh of what we assess as effective measures of success. This will have implications in particular for SCRA in what is required to be recorded and reported on as a result. This work will continue throughout 2017 and will inform the future development of the Organisational Performance Report.
- 2.7. The Corporate Plan for 2017/20 is almost complete and will be published in April and is the result of a broad range of consultation and input from across the organisation and with our partners in the Children's Hearings System. Accompanying strategies have been developed alongside to support and enable the delivery of the corporate objectives.

Service to children and young people

No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend
N 1.1	Decisions on referrals made within 50 working days of receipt – <b>Target 78%</b>	76.3%	-1.9pp		76.3%-79.5%	-
N 1.2	Referrals over 100 days old	102	+64.5%		48-102	-
N 1.3	Hearings scheduled to take place within 20 working days – <b>Target 76%</b>	80.7%	+6.1pp		71.6%-80.7%	-
N 1.4	Initial Hearings proceeding to disposal – <b>Target 76%</b>	76.1%	-1.0pp		76.1%-77.8%	down
N 1.5	Percentage of non-offence applications established at court	91.6%	-1.7pp		91.6%-94.0%	-
N 1.6	Mid-point of days taken for offence referrals from receipt to Hearing decision	51	-2.8 days		50-56	-
N 1.7	Mid-point of days taken for non-offence referrals from receipt to Hearing decision	117	6 days		104-117	up
N 1.8	Written notifications of Hearing decisions sent to children and families within 5 calendar days	89.3%	-0.3pp		88.5%-92.1%	-
N 1.9	Hearing's decisions upheld at appeal	56.5%	+1.6pp		50.2%-61.0%	-
N 1.10	Breach incidents (SCRA)	12	-27.3%		9-24	-
N 1.11	Complaints	7	-12.5%		5-11	-
N 1.12	All about me forms returned by children and young people to SCRA	613	+20.3%		411-613	up

Resources

No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend
N 3.1	Conversion rate from referral to Hearing (for children not on CSO)	23.7%	-1.4pp		23.7%-27.0%	-
N 3.2	Non-disclosure cases	1,177	-3.0%		1,177-1,232	down
N 3.3	Staffing profile by FTE	399.8	+0.5%		396-400	-
N 3.4	The percentage of working days lost to absence - <b>Target 4%</b>	6.0%	+1.0pp		4.2%-6.0%	up
N 3.5	Compliance with SCRA property standards – <b>Target 90%</b>	89.9%	+2.0pp		86.5%-89.9%	up
N 3.6	Forecast variance in annual revenue spends – <b>Target 1%</b>	0.0%	n/a	not applicable	n/a	n/a
N 3.7	Forecast revenue savings achieved in year – <b>Target 2.4%</b>	2.4%	n/a	not applicable	n/a	n/a
N 3.8	Forecast variance in annual capital spends – <b>Target 5%</b>	0.0%	n/a	not applicable	n/a	n/a
N 3.9	Scottish Government efficiency savings – <b>Target 3%</b>	On target	n/a	not applicable	n/a	n/a
N 3.10	Training per employee (days)	0.63	+242%		0.12-0.63	-

Workload

No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend
N 2.1	Children referred on non-offence grounds	3,784	-4.9%		3,719-4,118	down
N 2.2	Children referred on offence grounds	1,128	+6.9%		1,016-1,128	-
N 2.3	Child Protection Orders (CPOs)	157	-6.5%		149-180	-
N 2.4	Joint reports retained by Reporter	71.8%	-0.9pp		70.7%-75.3%	-
N 2.5	Pre-Hearing Panels	885	-10.1%		885-1,066	-
N 2.6	Number of Hearings	8,252	-4.5%		8,252-8,866	-
N 2.7	Court applications concluded	851	+10.2%		759-851	-
N 2.8	Hearing Interim Compulsory Supervision Orders	1,287	+1.2%		1,160-1,365	-
N 2.9	Hearing Interim Variation of Compulsory Supervision Orders	538	-4.1%		495-605	-
N 2.10	Court interim orders	1,009	+0.8%		979-1,050	-
N 2.11	Number of Compulsory Supervision Orders in force	10,276	-0.8%		10,250-10,494	-
N 2.12	Children with appeals concluded	209	-4.0%		187-237	-

Corporate governance

No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend
N 4.1	Business Plan delivery (actions with green status)	81.6%	n/a		n/a	n/a
N 4.2	Strategic Risk Register – (based on the residual risk scores)	42	+9.8%		33-45	-
N 4.3	Internal audit programme - reviews complete	100%	+6.3pp		75%-100%	-
N 4.4	Quality assurance programme – case sampling undertaken	100%	0.0pp		100%-100%	-
N 4.5	Freedom Of Information responses responded to within 20 working days	100%	+16.0pp		71.4%-100.0%	-

## Definitions

No.	Indicator	Aim for indicator	Definition
N 1.1	Decisions on referrals made within 50 working days of receipt – <b>Target 75%</b>	High percentage	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.
N 1.2	Referrals over 100 days old	Low number	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.
N 1.3	Hearings scheduled to take place within 20 working days – <b>Target 74%</b>	High percentage	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.
N 1.4	Initial Hearings proceeding to disposal – <b>Target 75%</b>	High percentage	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.
N 1.5	Percentage of non-offence applications established at court	High percentage	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.
N 1.6	Mid-point of days taken for offence referrals from receipt to Hearing decision	Low number	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.
N 1.7	Mid-point of days taken for non-offence referrals from receipt to Hearing decision	Low number	As above but for non-offence.
N 1.8	Written notifications of Hearing decisions sent to children and families within 5 days	High percentage	Calculates the number of hearing decisions notified within 5 calendar days divided by the total number of hearing decisions notified.
N 1.9	Hearing's decisions upheld at appeal	High percentage	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.
N 1.10	Breach incidents (SCRA)	Low number	Counts the number of breach incidents by SCRA either involving children with non-disclosure conditions or cases where case information has been erroneously disclosed.
N 1.11	Complaints	Trend info	Monitors the number of complaints received about the service provided by SCRA.
N 1.12	All about me forms returned by children and young people to SCRA	Trend info	Monitors the number of all about me forms received by SCRA from children and young people.

\* 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.

## Definitions

No.	Indicator	Aim for indicator	Definition
N 2.1	Children referred on non-offence grounds	Trend info	Count of the number of children with a care and protection referral received.
N 2.2	Children referred on offence grounds	Trend info	Count of the number of children with an offence referral received.
N 2.3	Child Protection Orders (CPOs)	Trend info	Count of the number of CPOs received.
N 2.4	Joint reports retained by Reporter	Trend info	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.
N 2.5	Pre-Hearing Panels (PHPs)	Trend info	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.
N 2.6	Number of Hearings	Trend info	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.
N 2.7	Court applications concluded	Trend info	Counts the number of court applications to establish grounds of referral which have a final decision (established, not established and abandoned).
N 2.8	Hearing Interim Compulsory Supervision Orders (ICSO)	Trend info	Counts the number of ICSOs made, varied or continued at Hearings in the period.
N 2.9	Hearing Interim Variation of Compulsory Supervision Orders (IVCSO)	Trend info	Counts the number IVCSOs made, varied or continued at court in the period.
N 2.10	Court interim orders	Trend info	Counts the number interim orders made, varied or continued at Hearings in the period.
N 2.11	Number of Compulsory Supervision Orders in force (CSO)	Trend info	Counts the number of children who have a CSO in place at midnight on the last day of the quarter.
N 2.12	Appeals concluded	Trend info	Counts the number of children with a final appeal outcome against a Hearing's decision.

\* 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.

No.	Indicator	Aim for indicator	Definition
N 3.1	Conversion rate from referral to Hearing (for children not on CSO)	Trend info	Total number of referrals (for children not on CSO) where the Reporter decision was to go to a Hearing divided by the total number of referrals with valid Reporter decisions in the period (for children not on CSO).
N 3.2	Non-disclosure cases	Trend info	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.

## Definitions

No.	Indicator	Aim for indicator	Definition
N 3.3	Staffing profile by FTE	Trend info	Counts full time equivalent staff in post at the quarter end based on a 35 hour working week, so for example, two staff working 17.5 hours per week each equates to one FTE.
N 3.4	Percentage of working days lost to absence – Target 4%	Low percentage	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).
N 3.5	Compliance with SCRA property standards – Target 90%	High percentage	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.
N 3.6	Forecast variance in annual revenue spends – Target 5%	Within target	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.
N 3.7	Forecast revenue savings achieved in year – Target 3%	Within target	Compares the forecast over/under spend from the revenue budget above against the savings target set and expresses this as a percentage of revenue.
N 3.8	Forecast variance in annual capital spends – Target 10%	Within target	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.
N 3.9	Forecast for Scottish Government efficiency savings – Target 3%	Within target	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.
N 3.10	Training per employee (days)	Trend info	Counts the number of training days in the quarter and divides by the headcount.
No.	Indicator	Aim for indicator	Definition
N 4.1	Business Plan delivery (actions with green status)	High percentage	Counts the number of actions with green status (on target) and divides them by the total number of actions within the plan.
N 4.2	Strategic Risk Register – risk scores	Low number	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.
N 4.3	Internal audit programme - reviews complete	High percentage	Divides the number of reviews completed versus those planned to express the information as a percentage.
N 4.4	Quality assurance programme – case sampling undertaken	High percentage	Divides the number of sampling exercises completed versus those planned to express the information as a percentage.
N 4.5	Freedom Of Information (FOI) responses responded to within 20 working days	High percentage	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.

## Introduction

This appendix provides additional detail about key measures within the report. It is important to read the data definitions on page 12 of this report to understand the counting conventions for each of the measures below:

6,447 referrals had a Reporter decision, 76.3% of which were within 50 working days – see N 1.1

1,088 referrals had a Hearing scheduled after a Reporter decision, 80.7% within 20 working days– see N 1.3

3,997 initial grounds (excluding grounds proceeding to court), CPO or review Hearings were held, 76.1% of which proceeded to disposal – see N 1.4

8,083 notifications of Hearing decisions were sent to children and families, 89.3% within 5 calendar days – see N 1.8

8,222 Hearings had outcomes in the quarter. Of these:

62.4% of Hearings included a review of a Compulsory Supervision Order

26.2% of Hearings included grounds

23.8% of Hearings included the issuing or renewal of interim orders

2.0% of Hearings included Child Protection Orders at the second working day stage

Please note, Hearings may be convened for more than one reason so the individual percentages will add up to more than 100%.

**SCOTTISH CHILDREN'S REPORTER ADMINISTRATION**

Budget Monitoring Report Period 11 2016-17

**Accountable Director:** Principal Reporter/Chief Executive      **Date:** 23 March 2017

**Report prepared by:** Head of Finance and Resources

**Recommendations:**

1. To approve revised revenue forecasts and the year-end strategy (section 3.9) to utilise underspends to support 2017/18 budget plans.
2. To approve revised capital forecasts and the year-end strategy (section 4.7) to utilise underspends to complete projects which have been delayed into 2017/18.

**Reason for Report:** Board review and approval

**Resource Implications:** Outwith available resources

**Strategy:** Within agreed plans

**Consultation:** Sponsor Team, 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 February 2017 and forecast for the full year 2016/17.

## 2. Background

- 2.1 The total available revenue resources for 2016/17 are £21,945k, comprising £21,563k of core Grant in Aid (GiA) and £382k other income (Local Authority funded posts, shared services, rents etc.). The GiA includes £263k of in year resources. As part of the budget construction, £50k was allocated as the revenue overspend for 2015/16. In order to balance the 2016/17 budget a few centralised savings targets were created, the largest being in property. These have proved challenging to achieve.
- 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 2016/17 budget allocation by the Scottish Government to cover depreciation, amortisation and impairment charges.
- 2.3 The total available capital resource for 2016/17 is £1,282k. This comprises Core Grant in Aid for capital expenditure of £970k, an anticipated capital receipt of £80k, additional Grant in Aid of £167k to finalise Tranent re-instatement works, in year capital funding of £55k and carry forward from 2015/16 of £10k.

## 3. Revenue

- 3.1 The following table summarises the position to February 2016 and the forecast outturn for the year by expense head (based on January actuals).

Previous Full Year Actual £000	Expense Head	Budget YTD February £000	Actual YTD February £000	Variance YTD February £000	Full Year Budget £000	Full Year Forecast £000	Forecast Variance £000	Forecast Variance %
15,764	Staff Costs	14,851	14,690	(161)	16,201	16,137	(64)	-0.40%
2,862	Property Costs	2,573	2,669	96	2,807	2,799	(8)	-0.29%
228	Travel Costs	213	195	(18)	232	235	3	1.29%
2,543	Other Operating Charges	2,245	2,040	(205)	2,513	2,455	(58)	-2.31%
3	Capital Financing	3	3	0	3	3	0	0.00%
185	Unfunded Pensions	173	122	(51)	189	189	0	0.00%
-577	Other Income	(350)	(426)	(76)	(382)	(366)	16	-4.19%
<b>21,008</b>	<b>Sub-total</b>	<b>19,708</b>	<b>19,293</b>	<b>(415)</b>	<b>21,563</b>	<b>21,452</b>	<b>(111)</b>	<b>-0.51%</b>
-20,987	Grant In Aid	(19,708)	(19,900)	(192)	(21,563)	(21,563)	0	0.00%
<b>21</b>	<b>Sub-total</b>	<b>0</b>	<b>(607)</b>	<b>(607)</b>	<b>0</b>	<b>(111)</b>	<b>(111)</b>	
2,170	Depreciation	0	0	0	2,500	2,500	0	0.00%
<b>2,191</b>	<b>Net Total</b>	<b>0</b>	<b>(607)</b>	<b>(607)</b>	<b>2,500</b>	<b>2,389</b>	<b>(111)</b>	

- 3.2 Revenue expenditure in the year to February 2017 is £607k under budget, largely due to timing differences. The depreciation budget for the year is entirely posted in March.

3.3 The following table summarises the net position, excluding depreciation and unfunded pensions, to February 2017 by budget centre.

Previous Full Year Actual £000	Cost Centre	YTD Budget £000	YTD Actual £000	YTD Variance £000	Full Year Budget £000	Full Year Forecast £000	Forecast Variance £000	Forecast Variance %
279	Executive	249	257	8	272	284	12	4.41%
178	Communication	207	160	(47)	226	191	(35)	(15.49%)
1,086	Practice And Policy	974	906	(68)	1,096	1,066	(30)	(2.74%)
7,181	North West Area	6,754	6,772	18	7,383	7,350	(33)	(0.45%)
8,370	East and Central Scotland Area	7,794	7,803	9	8,517	8,508	(9)	(0.11%)
3,729	Support Services	3,557	3,273	(284)	3,880	3,864	(16)	(0.41%)
<b>20,823</b>	<b>Total Expenditure</b>	<b>19,535</b>	<b>19,171</b>	<b>(364)</b>	<b>21,374</b>	<b>21,263</b>	<b>(111)</b>	<b>(0.52%)</b>

3.4 The forecast spend by Locality is detailed as follows:

Locality	YTD variance £000	Forecast Variance to February £000	Forecast Variance to February %
East & Central Scotland Office	4	4	3.07
Tayside And Fife Locality	6	(1)	(0.07)
South East Locality	(43)	(22)	(1.43)
Central Locality	22	(15)	(1.14)
Lanarkshire, Dumfries and Galloway Locality	49	24	1.11
Ayrshire Locality	(29)	1	0.09
<b>East And Central Scotland Area</b>	<b>9</b>	<b>(9)</b>	
North West Area Office	3	(2)	(1.14)
Highlands And Islands Locality	35	14	1.35
Grampian Locality	(32)	3	0.23
North Strathclyde Locality	(2)	9	0.50
Glasgow Locality	14	(57)	(1.08)
<b>North West Area</b>	<b>18</b>	<b>(33)</b>	
<b>Total</b>	<b>27</b>	<b>(42)</b>	

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 underspend of £9k, largely due to translation and interpretation savings coupled with diligent vacancy management. A few significant risks remain in places around the need to cover long-term staff absence and court cases, but these are unlikely to move the forecast into an overall overspend position.

### 3.6 North West

North West Area is currently anticipating an underspend of £33k. The major risk to this underspend is unexpectedly high translation and interpretation invoices. However Finance and the Business Manager are working with the locality to minimise the chances of any unexpected costs.

### 3.7 Head Office

Communications are currently forecasting to exceed their 2.4% savings targets, as staff savings within Communications will not fully be recycled within that team.

Support Services is currently anticipating an underspend of £16k and Practice and Policy is reported as anticipating a £30k underspend.

### 3.8 In Year Resources

Sponsor Team have confirmed approval of SCRA's In Year Resources bid as shown in the table below. These sums are reflected in the Grant in Aid figures set out in section 2.1 and section 2.3.

Description	Revenue £k	Capital £k	Total £k
IT Operational Plan capacity	100		100
IT – replacement of telephony system	25		25
Glasgow – translation & interpretation	30		30
Hearing room improvements		40	40
New Going to a Hearing DVD		15	15
Support to Young People's Board (YPB)	25		25
Extend L&D programme	20		20
Ayrshire compensation case	33		33
Stationery and other minor items	30		30
<b>Total</b>	<b>263</b>	<b>55</b>	<b>318</b>

The funding of £30k to accelerate planned 2017/18 expenditure on stationery and other minor items has been budgeted and forecast in the current year split evenly between East & Central and North West. Whilst every effort will be made to commit expenditure before 31<sup>st</sup> March budget holders have been advised that any unspent funding will be carried forward to 2017/18.

### 3.9 2016/17 year-end strategy

The EMT targeted a revenue underspend in 2016/17. Budget holders have responded to this and the latest forecast shows an underspend of £111k which will be used to reduce the pressure on the 2017/18 revenue budget.

The HR team are carrying out a final review of training deliverables and spend. The provisional assessment suggests there may be some slippage of up to £17k into 2017/18. If this is the case next year's training budget will be increased once final figures are confirmed.

In addition the In Year funding of £25k for YPB and £20k for Learning & Development will be moved into 2017/18 as it has not been possible to deliver the planned activity in the current financial year.

## 4. Capital

4.1 Net expenditure in the period to January 2017 is £688k. Details of the budgets, spend to date and forecast for the year are as follows:

### 2016/17 Capital Budget and Forecast

	Board-approved Budget March 2016 £000	Adj. £000	Available Budget 2016/17 £000	Spend YTD Jan £000	Full Year Forecast £000	Variance forecast to budget £000
Inverness lease and fit out	25	10	35	49	52	15
Inverness Dilapidations	0	(112)	(112)	1	(102)	10
Irvine Sovereign House	60		60	66	66	6
Livingston finance lease	38		38	0	38	0
Stornoway	14		14	21	22	8
Stornoway Dilapidations	0		0	(21)	(21)	(21)
Perth Belhaven House Hearing Centre	304		304	271	309	5
Tranent reinstatement	257		257	231	250	(7)
Minor Works	194	40	234	54	170	(64)
Perth (Kinnoull Street) disposal	(80)		(80)	(87)	(87)	(7)
Clydebank disposal	0		0	(23)	(23)	(23)
IT – Infrastructure, Applications, Data, Business	325	21	346	107	372	26
HR System upgrade		25	25	19	19	(6)
Finance system upgrade		36	36	0	0	(36)
Telephony system replacement		30	30	0	30	0
Going to Court DVD		15	15	0	16	1
<b>Total capital resource</b>	<b>1,137</b>	<b>65</b>	<b>1,202</b>	<b>688</b>	<b>1,109</b>	<b>(93)</b>

- 4.2 The Inverness and Stornoway projects are complete. Project closure reports have been considered by the Change Board.
- 4.3 The new Perth building was opened in November 2016 and a project closure report has been considered by the Change Board. The Property Team continue to oversee completion of works on the snagging list. A valuation of Belhaven House has been instructed following which impairment on Belhaven House and Charles Street will be assessed and reflected in the 2016/17 financial statements.
- 4.4 The Tranent Hearing Centre and new Irvine premises have been operational for some time. A project closure report on Irvine has been considered by the Change Board.
- 4.5 Included in Minor Works is the Hearing Room improvement programme. Capital of £80k was allocated to the programme, including £40k of In Year funding. After a huge effort by the lead team and Localities a total spend of £60k has been achieved and the balance of the programme will be completed in 2017/18.
- 4.6 The IT Team are continuing to focus on the priority objectives in the IT Operational Plan 2016/17, namely revised arrangements for CMS hosting and upgrade of the wide area network (moving onto the Scottish Wide Area Network) and local area networks. In addition the team are overseeing the migration to the MITEL telephony system, provided by ISIS, as the current system will be moving out of support towards the end of this financial year. Activity on these projects will continue right up to year end ensuring that despite the low year to date spend the budget will be fully utilised.

- 4.7 As referenced in previous reports latest indications are still that the landlord at Academy Street, Inverness is not pursuing SCRA for significant reinstatement costs at SCRA's former leased premises. This allowed capital resources to be re-allocated to the IT Programme.
- 4.8 The underspend of £93k in the table at 4.1 above is largely attributable to delays and the underspend will be required to support completion of four projects in 2017/18: Stranraer external works (£19k), Fraserburgh external works (£18k), hearing room improvements (£20k) and Finance system upgrade (£36k).

## **5. Conclusions**

- 5.1 Budget holders are forecasting net revenue budget underspends of around £96k. This underspend will be used to reduce the pressure on the 2017/18 budget. In addition In Year funding of £45k for YPB and L&D will now be utilised in 2017/18. Finance continue to work closely with localities, Head Office Business Partners and Business Managers in monitoring spend and forecasts between now and the year end.
- 5.2 The capital budget is currently forecast to be underspent by £93k due to delays on four projects. All planned activities in the IT programme are expected to be delivered by the end of March 2017.

## **6. Recommendations**

- 6.1 To approve revised revenue forecasts and the year-end strategy (section 3.9) to utilise underspends to support 2017/18 budget plans.
- 6.2 To approve revised capital forecasts and the year-end strategy (section 4.7) to utilise underspends to complete projects which have been delayed into 2017/18.

## Appendix A

### East & Central Scotland Office

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	3.4	3.2
Travel Costs	0.8	0.5
Other Operating Charges	(0.2)	0.0
<b>Net Total</b>	<b>4.0</b>	<b>3.7</b>

### Tayside And Fife Locality

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	15.5	17.2
Property Costs	6.1	(4.0)
Travel Costs	3.3	5.0
Other Operating Charges	(27.3)	(19.5)
Other Income	8.3	0.0
<b>Net Total</b>	<b>5.9</b>	<b>(1.3)</b>

### South East Locality

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	(10.8)	(5.5)
Property Costs	(4.5)	1.0
Travel Costs	1.3	2.5
Other Operating Charges	(30.3)	(20.2)
Other Income	1.2	0.0
<b>Net Total</b>	<b>(43.1)</b>	<b>(22.2)</b>

### Central Locality

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	(13.1)	(16.6)
Property Costs	42.1	(1.5)
Travel Costs	0.9	0.8
Other Operating Charges	(7.8)	2.0
Other Income	(0.2)	0.0
<b>Net Total</b>	<b>21.8</b>	<b>(15.4)</b>

### Lanarks Dumfs Gallwy Locality

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	6.2	20.8
Property Costs	69.0	1.5
Travel Costs	0.9	1.5
Other Operating Charges	(10.0)	1.4
Other Income	(16.5)	(0.8)
<b>Net Total</b>	<b>49.5</b>	<b>24.4</b>

**Ayrshire Locality**

Expense Head	Variance Year to Date October	Forecast Variance for Year
Staff Costs	(4.0)	0.5
Property Costs	(16.0)	(1.5)
Travel Costs	(5.6)	(3.5)
Other Operating Charges	(3.4)	5.8
<b>Net Total</b>	<b>(29.0)</b>	<b>1.3</b>

**North West Area Office**

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	(2.9)	(2.6)
Property Costs	5.4	0.0
Travel Costs	(0.4)	0.5
<b>Net Total</b>	<b>2.2</b>	<b>(2.1)</b>

**Highlands And Islands Locality**

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	57.7	61.3
Property Costs	34.1	7.7
Travel Costs	(4.7)	(1.0)
Other Operating Charges	(20.1)	(8.9)
Other Income	(32.0)	(45.0)
<b>Net Total</b>	<b>35.1</b>	<b>14.1</b>

**Grampian Locality**

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	(9.1)	(20.7)
Property Costs	(12.4)	0.0
Travel Costs	(2.7)	(1.5)
Other Operating Charges	10.4	25.5
Other Income	(18.1)	0.0
<b>Net Total</b>	<b>(31.9)</b>	<b>3.3</b>

**North Strathclyde Locality**

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	10.5	4.2
Property Costs	(0.4)	0.0
Travel Costs	(0.6)	1.5
Other Operating Charges	(10.4)	3.0
Other Income	(0.8)	0.0
<b>Net Total</b>	<b>(1.7)</b>	<b>8.7</b>

**Glasgow Locality**

Expense Head	Variance Year to date February	Forecast Variance for Year
Staff Costs	(66.3)	(72.7)
Property Costs	96.9	(1.0)
Travel Costs	(2.4)	0.0
Other Operating Charges	(14.2)	17.0
<b>Net Total</b>	<b>14.0</b>	<b>(56.7)</b>

**SCOTTISH CHILDREN'S REPORTER ADMINISTRATION**  
**HEALTH AND SAFETY UPDATE**

**Accountable Director:** Head of Human Resources                      **Date:** 23 March 2017  
**Report Author:** Health and Safety Adviser

**Recommendations:**

- 1. To consider the terms of this report and current/future activities.**

**Reason for Report:** Board Update

**Resource Implications:** Within approved budgets

**Consultation:** EMT

**Document Classification:** Unmarked

**Equality Impact Assessment:** Not applicable

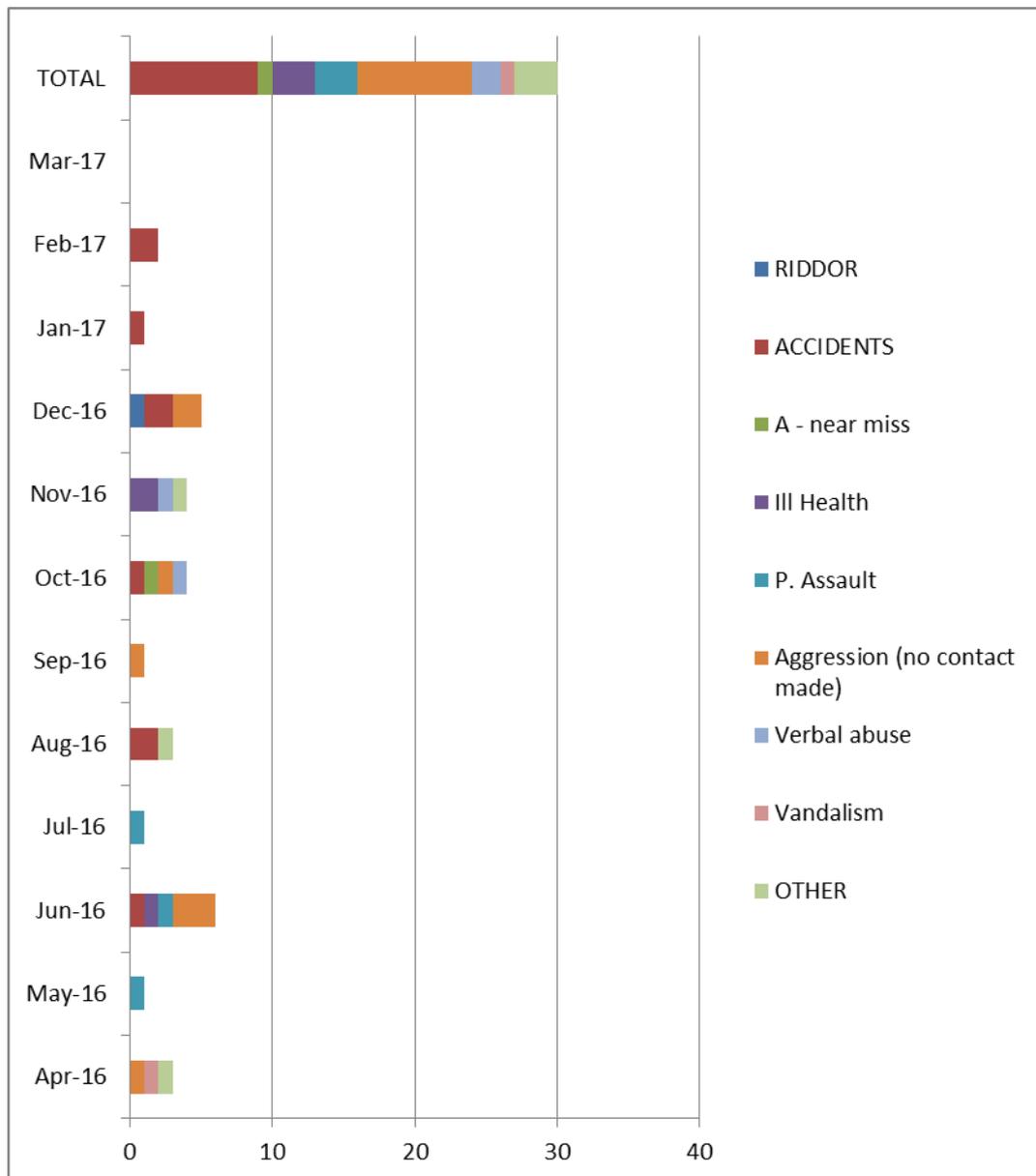
## 1. Introduction

1.1 This purpose of this report is to provide annual data to the Board on Health and Safety activity across SCRA for the year 2016/17. In addition, the paper outlines current developments and training provision for staff.

## 2.0 Accident and Incident Reporting

2.1 Since 1<sup>st</sup> April 2016 and until the 20<sup>th</sup> February 2017, there have been a total of 30 incidents reported to the Health and Safety Adviser which includes one incident which was reported under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (2013)

Table 1 - Provides a breakdown of incidents per month by type.



- 2.2 This is a slight increase from the previous year when 27 incidents were reported within the same recording period. There were more accidents reported (8 compared to 6 from the previous year) and incidents involving aggression (non-contact) though the number of physical assaults has remained constant at 3 for both years.
- 2.3 Attached at Appendix 1, for information, is a report on the rate and nature of incidents since 2009 and includes reference to the annual Unison Violence in the Workplace Reports. The report provides statistics on the number of incidents involving violence towards public sector staff and although primarily aimed towards hospital staff, police and social work, reference is made to Non Departmental Public Bodies.

### **3.0 Policy Development**

- 3.1 A Drugs and Alcohol Policy was approved by the Health and Safety Committee during 2016.
- 3.2 Revisions to the Display Screen Equipment Policy, First Aid Policy plus a newly developed Health and Safety Policy Statement and Risk Assessment summary document were also approved by the Committee.
- 3.3 In 2017 the Workplace Guidance document which covers topics such as lighting, ventilation, doors and windows will be reviewed and will consider a section on Noise and Working in Open Plan environments protocols.
- 3.4 Other policies due for review include;
- Control of Substances Hazardous to Health (COSHH)
  - Sharps and Bodily Fluid
  - Fire Safety
  - Manual Handling

In addition, forms currently in use such as the pregnancy risk assessment and Display Screen Equipment form will also be re-assessed.

### **4.0 Training**

- 4.1 E-learning has now been widely adopted by SCRA to provide all staff with learning modules. Staff were asked to complete six modules on H&S between February 2016 and October 2016. Five of the courses were mandatory for all staff with the final course on Handling Violence and Aggression recommended mandatory for frontline staff only.
- 4.2 Table 2 provides a breakdown the detail of staff participation in each course (these figures were recorded on the 22<sup>nd</sup> November 2016 as provided adequate time for staff to complete the courses).

**Table 2 Access to E-Learning Courses**

<b>Course Name</b>	<b>Accessed Course</b>	<b>Successfully completed</b>	<b>Started but not completed</b>	<b>Completed but did not pass the course</b>
Handling Violence & Aggression	139	114	8	17
DSE Training	174	149	24	1
DSE Risk Assessment	130	139	4	1*
Intro to Health & Safety	279	273	3	3
Manual Handling	140	126	9	5
Fire Awareness	286	281	5	0
<b>Total</b>	<b>1350</b>	<b>1181</b>	<b>75</b>	<b>95</b>

\* this figure is misleading as to “pass” the assessment staff must provide “positive” answers for every single question. If they answer honestly and say they have back pain for example, even if it’s not related to the workstation it would still result in a “fail”. All staff were advised when this course was released to email a copy to their LSM for review which should help identify the genuine concerns that do need to be addressed.

- 4.3 An action plan will be developed by the Health and Safety Adviser to ensure that all staff either complete the mandatory courses or take the course again where staff have failed. This action will be completed by end March, 2017. Access to the Health and Safety e-learning modules outlined in Table 2 is available to all staff until the Summer of 2017.

## **5.0 Health and Wellbeing**

- 5.1 SCRA successfully retained the Bronze Award from Healthy Working Lives at the end of 2016. In order to maintain this, SCRA must undertake a specified number of health initiatives each year such as events where physical activities or healthy eating etc. are encouraged.
- 5.2 Work is now underway towards attaining the Silver Award with the launch of a new online Health and Wellbeing newsletter “Healthy Being” in August 2016, which focuses on interesting articles on Mindfulness, new initiatives and policy developments, healthy eating and encouraging indoor and outdoor activity. A competition was run in the second edition with a Fitbit® activity monitor as the prize. Feedback from staff has been very positive and a further competition is scheduled for the next edition which will aim to encourage staff to get out and about as Spring approaches and the weather improves.

5.3 As a result of the newsletter, several offices including Ochil House and Livingston have expressed interest in starting a lunchtime walking group. The Health and Wellbeing Group will support these initiatives and promote further roll-out.

## **6.0 Recommendations**

The Board are asked to consider the data and developments outlined in this paper.

## HEALTH AND SAFETY INCIDENT REPORT STATISTICAL SUMMARY (APRIL 2009 – 25<sup>th</sup> February 2017)

### 1. Introduction

1.1 Since April 2009, SCRA has recorded incidents involving both verbal and physical aggression in their statistics provided to the Board annually. This summary report looks at the number of incidents reported to the Health and Safety Adviser within the period April 2009 – 20<sup>th</sup> February 2017).

### 2. Incidents since April 2009

2.1 There have been a total of 271 incidents reported from staff employed within SCRA.

2.2 Table 1 provides a breakdown by year. This equates to an average of 33.8 incidents per year.

**Table 1 Number of incidents reported to the SCRA since April 2009**

Year	Number of Incidents / Accidents
1st April 2009 - 31st March 2010	61
1st April 2010 - 31st March 2011	33
1st April 2011 - 31st March 2012	21
1st April 2012 - 31st March 2013	19
1st April 2013 - 31st March 2014	36
1st April 2014 - 31st March 2015	44
1st April 2015 - 31st March 2016	26
1st April 2016 – 20 <sup>th</sup> February 2017*	31
<b>TOTAL</b>	<b>271</b>

\* not full recording year

2.3 Table 2 provides a breakdown of the type of incidents that were reported during that period.

**Table 2 Type of Incidents reported 1<sup>st</sup> April 2016 – 20<sup>th</sup> February 2017**

Date	RIDDOR	Accidents	Near Miss	Ill Health	P.Assault (Total)	Verbal/ Non Contact	Vandalism	OTHER	TOTAL
2009/10	4	14	3	6	4	16	2	12	61
2010/11	1	6	2	3	1	7	4	9	33
2011/12	2	9	1	3	2	2	1	1	21
2012/13	1	8	0	2	2	4	0	2	19
2013/14	3	4	2	3	5	10	4	5	36
2014/15	1	7	1	8	4	17	5	1	44
2015/16	2	4	1	6	3	6	2	2	26
2016/17	1	9	1	3	3	10	1	3	31
<b>Total incidents</b>	<b>15</b>	<b>61</b>	<b>11</b>	<b>34</b>	<b>24</b>	<b>72</b>	<b>19</b>	<b>35</b>	<b>271</b>

In the last recording period (1<sup>st</sup> April 2016) there have been 31 incidents reported. This shows a slight increase on the previous year.

### 3. Breakdown of incidents

- 3.1 Since April 2009 there have been 61 accidents reported (which have resulted in some form of injury to either staff or an individual visiting an SCRA premises such as a social worker or family member).
- 3.2 In addition to this figure, there have also been 15 incidents reported to the Health & Safety Executive under The Reporting of Diseases and Dangerous Occurrences Regulations 1995 (as amended 2013) since April 2009 (Table 3). None of the incidents reported have resulted in further scrutiny from the HSE.

**Table 3 Incidents reported to the Health and Safety Executive**

Year	Incidents involving staff	Incidents involving others	Total number of incidents
2009/10	3	1	4
2010/11	1	0	1
2011/12	0	2	2
2012/13	0	1	1
2013/14	3	0	3
2014/15	1	0	1
2015/16	1	1	2
2016/17	0	1	1
<b>TOTAL</b>	<b>9</b>	<b>6</b>	<b>15</b>

Breakdown of these figures reveal of the 9 incidents involving SCRA staff members the reason for these have been as follows;

- Manual handling incident (1) Back injury
- Equipment failure (2) Finger crush (window failure)  
Back (chair mechanism)
- Slip, trip or fall (5) 3 back injuries as a result of
  - Ill health
  - Footwear
  - Wet floor (sign was up)
 Knee (slip on stairwell)  
Hand (occurred between sites at kerb)
- Stress (as a result of assault) (1) Punched on arm but stress on sick note

- 3.3 According to the Health and Safety Executive slips, trips and falls account for most of the incidents that occur within an office environment which would also appear to be the case for RIDDOR incidents reported by the SCRA with 5 out of the 9 incidents being a result of some form of slip, trip or fall.
- 3.4 There have been 6 incidents involving people attending hearings over the years. These have included 3 children (2 of which for self-inflicted injuries as a result of punching a wall / window to the hand and escorted to the hospital from our premises). The third incident involved an injury to the head which the

family presented at reception and an ambulance was called. It was unsure at the time how the incident was caused as there were no witnesses.

- 3.5 Of the other 3 incidents involving attendees to SCRA premises, two involved panel members as a result of equipment failure (hand injury due to door mechanism issue) with the third reported by an employee of the Care Inspectorate using the shared facilities (back injury after a toilet seat moved).

#### **4. Compensation Claims**

- 4.1 There have been no claims for compensation within the last 5 years

#### **5. Near Misses**

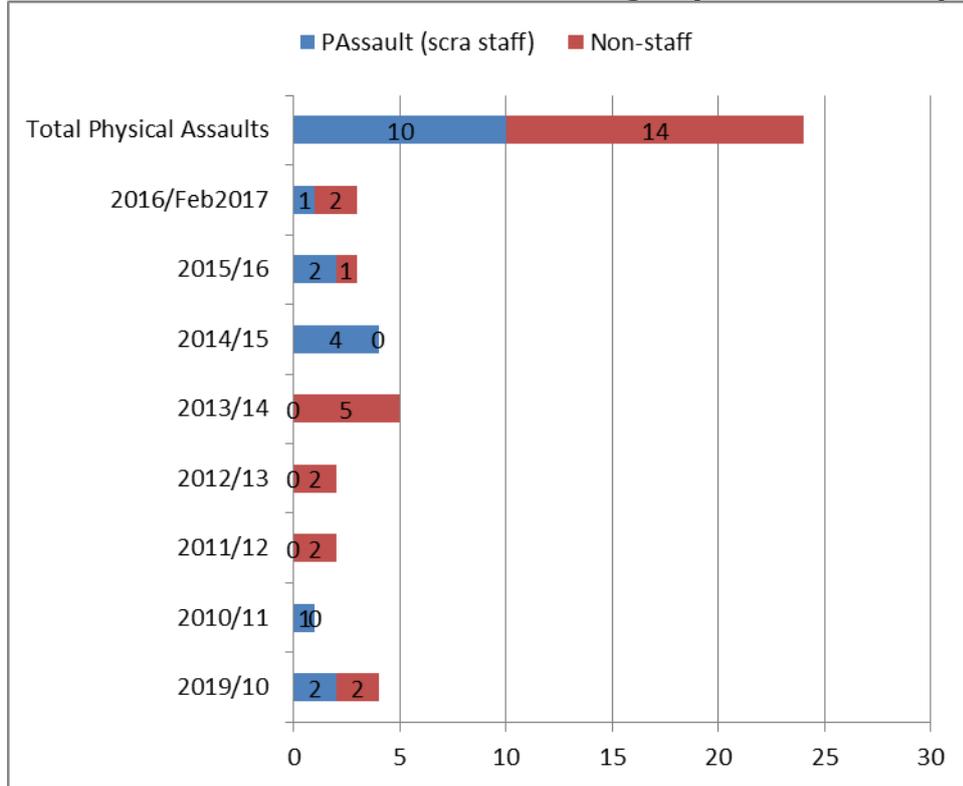
- 5.1 Since April 2009, there have been 11 near miss incidents reported. Near Miss incidents are often underreported across industry (NHS and construction prime examples where this frequently occurs). However, near miss incidents provide valuable information as they can identify and remove potential sources of injury to employees.

- 5.2 An example where a near miss potentially prevented injury to a child would be the removal of a toy from within a waiting room at Aberdeen in the summer of 2009. A father attending a hearing alerted staff that one of the toys that had been left in the room was broken. Staff removed the toy thus removing the credible risk of injury to another child attending the premises. Staff are therefore reminded to remain vigilant while in the workplace and report damage to any premises to the property department as well as report any incidents and near misses to the H&S adviser.

#### **6. Physical Violence**

- 6.1 Physical violence for the purpose of statistical analysis has been defined as “whereby someone attending a hearing physically strikes an individual or aims and throws an item with the intent of causing harm to said person”
- 6.2 To date there have been 24 reported incidents of physical violence – Table 3 provides a breakdown by year since 2009.

**Table 3 Number of incidents involving Physical Violence Apr 2009 to date**



6.3 Of this number, 10 were aimed directly at SCRA employees. This is considered to be low given the nature of the work undertaken where emotions are often running high during hearings.

6.4 Data from other studies looking at violence towards NHS employees and social workers would suggest that staff working with people with learning disabilities and autism, older people with dementia, and to some degree people with mental health or substance abuse issues are the ones most at risk within these care settings and mental health undoubtedly plays a role in some of the reported cases. However, unless the person has a diagnosed and /or discloses their mental health issue, the recording of incidents as a result of this cannot be reported.

6.5 Within SCRA, violence towards staff tends to show that in many of the incidents the employee was seen as blocking the persons exit and thus “removed” to allow them to exit the room rather than the sole objective for the violence with aggression aimed towards;

- the panel (making the decision with regards to the child)
- social worker (providing reports on the family)
- legal representative (providing legal advice to a family member)
- other family members (child against parent and / or parent vs parent / grandparent).

## **7. Verbal Abuse / Non-contact aggression**

- 7.1 Verbal abuse is subjective depending on the individual and while this is recorded, it is probably the tip of the iceberg with regards to the actual number of incidents that occur across the organisation each year. There are undoubtedly incidents that are not reported as the Reporter or Receptionist involved does not consider them serious enough to report at the time i.e. tension within the hearing room with raised voice and shouting but not aimed towards staff or those attending the hearing directly but more a case of shouting about the system or not being heard.
- 7.2 SCRA's priority focus has been to support children attending the hearing to ascertain their views on the procedure and to work towards making it less intimidating. This has led to the implementation of new hearing suites which incorporates low level coffee tables and a more informal room layout to the traditional large rectangular table with the panel of 3 on one side and the family on the other. Initial feedback from those attending have been positive and where there has been an incident, staff noted that it was actually easier to remove the person from the room with the new layout.
- 7.3 Verbal abuse remains prevalent and is unlikely to decrease given the volatile nature of the hearings and those attending. Training on dealing with aggression provided by SCRA has allowed staff to recognise escalating situations and identify when a police presence is required. Good communication between SCRA and Police Scotland should also ensure that when their presence is requested, this is based on evidence such as previous incidents reported to the H&S Adviser.

## **8. Vandalism**

- 8.1 Since April 2009 there has been a total of 19 incidents reported which have involved some form of vandalism. Most of the reports of vandalism have been directed towards SCRA property rather than property belonging to members of staff and have been dealt with quickly by the Property Department once reported.

## **9. First Aid**

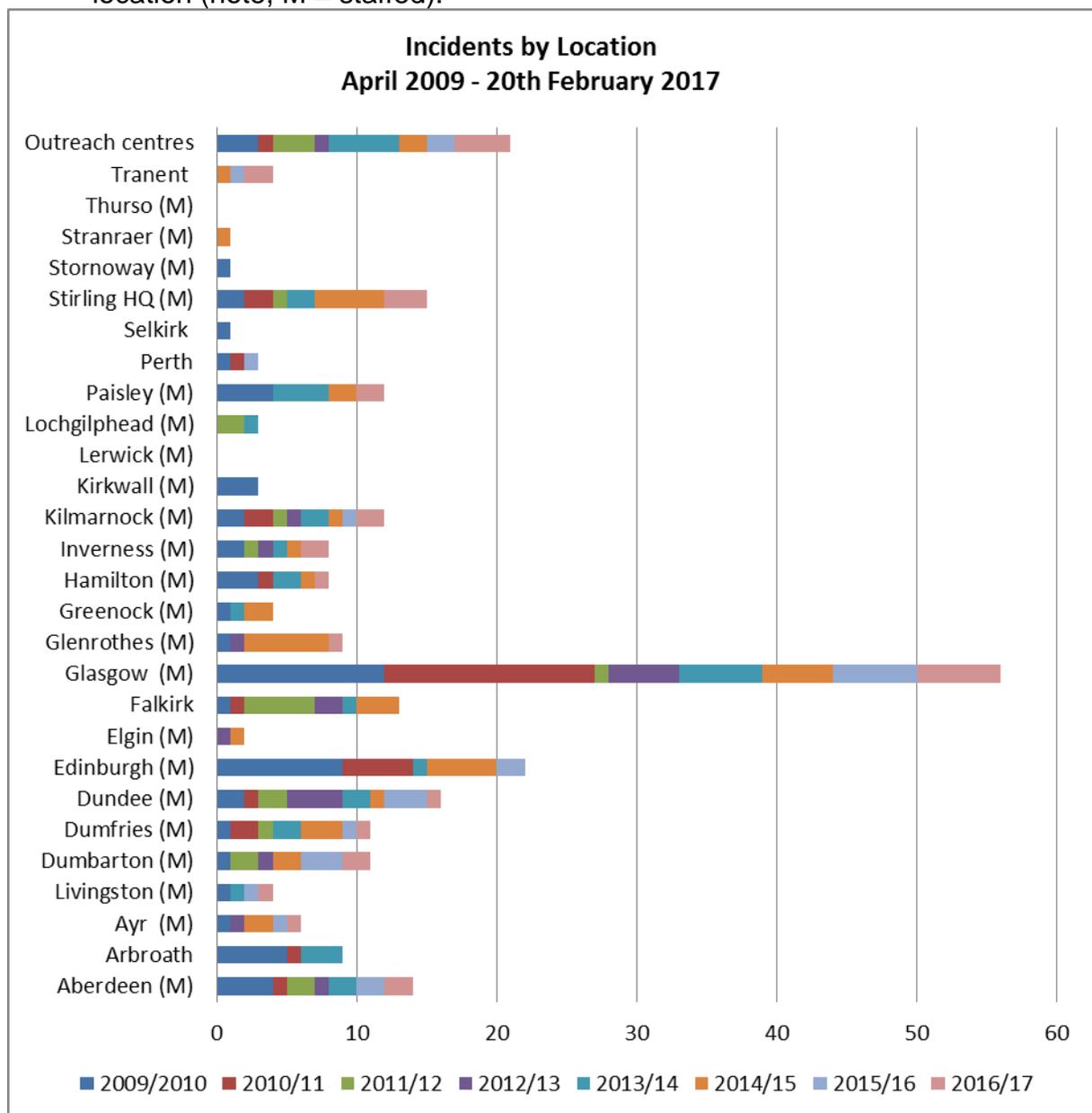
- 9.1 Ill health account for 12.5% of incidents reported since April 2009 to date. The majority of these incidents involve attendees to SCRA hearings rather than actual members of staff from within the organisation. Where required, SCRA staff have administered first aid or called emergency services for assistance and have remained with the individual until the paramedics have arrived.
- 9.2 Recruitment of First Aiders remains an issue for some offices despite the course having been reduced from three days to one day and courses being offered at locations across the country. The Health and Safety (First Aid) Regulations 1981 recommend one first aider per 50 staff members (though this also depends on the type of industry and risk of injury to staff employed).

At present there are seven fully qualified first aiders who are in receipt of the first aid allowance. In addition there are a further nine Emergency First Aiders. The role of a first aider includes ensuring the first aid box contains adequate supplies, though this also falls under the remit of the LSM to check during their monthly workplace inspection.

## 10. Incidents by Location

10.1 Glasgow is the largest SCRA office within Scotland and handles the most cases both on a daily and annual basis. It comes as little surprise therefore that Glasgow has reported more incidents than any other location over the last eight years (although 2011/12 records a much lower incident rate)

Table 4 provides a breakdown of the number of incidents each year at each location (note, M = staffed).



## **11. Unison Annual Survey of Violence in the workplace**

- 11.1 Since 2006, Unison Scotland has undertaken an annual survey of assaults to public sectors workers. This has been done by requesting the figures from each organisation under a Freedom of Information request. While responses from local government and the health services have provided a relatively detailed report over the years, responses from Non Departmental Public Bodies (NDPBs) have been inconsistent over the years. SCRA has consistently responded to these requests for information.
- 11.2 The latest report from Unison (published October 2016) shows the total number of assaults towards public sector workers (all sectors) has increased to 41,143 and 17,605 within Scottish Government locations – almost doubling in the ten years since the requests for this type of information have been made.
- 11.3 The report from October 2016 observes that six NDPBs responded to the request for information, reporting a total of 27 assaults towards staff members. A small breakdown of the figures were given with the Care Inspectorate (an organisation comparable in size to the SCRA with employees spread across Scotland) reporting 13 incidents and Skills Scotland reporting 6. Unfortunately it is not possible from the figures provided within the reports to provide a detailed breakdown from each of the NDPBs over the years (or even indeed within each year) though links to each of these reports can be found at the end of this report.
- 11.4 In 2015, SEPA reported 5 assaults towards their staff with Skills Scotland reporting 14. SCRA noted 7 assaults. A total of 26 incidents were recorded across all the NDPBs which would indicate that no other bodies reported incidents for this year.
- 11.5 In 2014, again, 5 NDPBs (of which SCRA were included) responded to the request. According to the report there were 37 assaults on staff within these NDPBs which includes the 2 at the SCRA which would indicate that the other 35 incidents were spread across the other 4 NDPBs. SEPA and Skills Development Scotland were named in the report though a breakdown of incidents for each organisation was not provided.

## **12. Conclusion**

- 12.1 The number of incidents reported to the Health and Safety Advisor since 2009 has remained relatively static with an average of 33.8 per year. Incidents reported to the Health and Safety Executive have also remained static with an average of 1.9 per year.
- 12.2 Violence within the workplace remains relatively low where comparisons with NDPBs are possible. However, in relation to other organisations which deal with individuals with issues such as mental health, the figures remain low.

Unison Report – Violence in the Workplace

**2016 report**

[http://www.unison-scotland.org/library/ViolentAssaultsonPublicServiceStaff\\_UNISONScotlandSurvey\\_Oct2016.pdf](http://www.unison-scotland.org/library/ViolentAssaultsonPublicServiceStaff_UNISONScotlandSurvey_Oct2016.pdf)

**SCOTTISH CHILDREN'S REPORTER ADMINISTRATION**

**PROCUREMENT POLICY UPDATE**

**Accountable Director:** Principal Reporter/Chief Executive Officer

**Report Prepared By:** Head of Finance and Resources

**Date:** 23 March 2017

**Recommendations:**

1. To approve the updated Procurement Policy Manual which further aligns SCRA with Scottish Public Sector best practice.

**Reason for Report:** For approval

**Resource Implications:** Not applicable

**Strategy:** In accordance with approved Procurement Policy

**Consultation:** Scottish Procurement Directorate (Scottish Procurement)

**Equalities Duties:** An equalities impact assessment is not required.

**Document Classification:** Not protectively marked

## **1. Introduction**

- 1.1 SCRA's current Procurement Policy was published in August 2012. This has been substantially reviewed and updated to reflect Regulation changes effective from 18<sup>th</sup> April 2016 and to ensure compliance with latest best practice and is attached at Appendix 1.
- 1.2 The Policy will be reviewed every two years.

## **2. Background and Main Changes**

- 2.1 The Policy has been re-structured to comply with current Procurement best practice and provides links to the Procurement Journey.
- 2.2 By using links to the Procurement Journey, this removes the need to have the additional documents currently in use, i.e. the Procurement Guide and Aide Memoir.
- 2.3 As works contracts below £2m are non-regulated, the thresholds for Works contracts have been altered as follows:

Section 6.6 - the limit for advertising Works contracts has been increased to above £100k (Goods and Services are above £50k). This means that we could invite chosen suppliers to bid through Quick Quote rather than advertising them on the national portal.

Section 6.7 - states that it is not always possible to obtain prior quotations for small works contracts – the limit has been increased from £5k to £10k.

- 2.4 In re-drafting the Policy the Procurement Officer reviewed the Scottish Procurement Policy Manual and Policies of a number of other public bodies and have incorporated some of the best elements into the revised SCRA Policy Manual.
- 2.5 Finally every attempt has been made to make the Policy Manual 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 Procurement Policy Manual and the recommendation that the Procurement Guide and Aid Memoir are no longer required.

# SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

## PROCUREMENT POLICY MANUAL

### VERSION 1.0

Version:	1.0
Issue Date:	November 2016
Changes:	Complete review of previous Policy and updated to reflect Regulation changes effective from 18 April 2016
Prepared by:	Helen Mora, Procurement Officer
Approved by:	Executive Management Team
Next Review Date:	2 Years

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## 1. INTRODUCTION AND SCOPE

This manual provides guidance on the rules that apply to the Scottish Children's Reporter Administration (SCRA) staff who are involved in procurement activity and sets out the process that must be followed for each procurement exercise the organisation undertakes.

Adherence to the policies set out in this Manual is mandatory for all staff.

This manual should be read in conjunction with the [Scottish Procurement Policy Handbook](#) (applicable to the wider public sector, including the Scottish Government), the [Construction Procurement Manual](#) (managing or delivering construction/works projects), the [Procurement Journey](#) (a toolkit providing practical guidance on procurement procedures) and other guidance issued by [Scottish Procurement](#), including [Scottish Procurement Policy Notes](#) (which provide updates on legal and Procurement Policy developments). Account must also be taken of the relevant legal framework and statutory guidance published under the Procurement Reform (Scotland) Act 2014.

The rules set out in the [Scottish Procurement Policy Handbook](#) and this manual are designed to ensure that procurement activity is:

- Focussed on the delivery of Value for Money (VfM) .
- Conducted to high professional standards and to relevant guidance and to the relevant legal requirements.
- Overseen by appropriately trained and authorised staff to minimise the risk of legal challenge to SCRA and its staff.

**No member of staff may commit to a purchase or award a contract without written Delegated Purchasing Authority.**

## 2. DEFINITION

'Procurement' is the process of buying goods, services and works from external suppliers. The procurement process begins when a need to buy something is identified and will generally end after the contract is awarded.

Contract management will be carried out throughout the duration of the contract. The role of Contract Manager is usually performed by the business area for whom the contract has been awarded (with support from SCRA's Procurement Team). Information on Contract Management is available in the [Procurement Journey](#).

## 3. KEY PRINCIPLES OF PROCUREMENT POLICY

### **EU Procurement Obligations and Principals**

All procurement activity must comply with European Union (EU) principles of:

- Transparency
- Equal treatment and non-discrimination

- Proportionality
- Mutual recognition

### **Legal Aspects**

Contracts for the procurement of goods, services and works must be in writing and awarded by a Delegated Purchasing Officer (DPO) with relevant Delegated Purchasing Authority (DPA) ([see Section 4](#)).

### **Value for Money**

Contracts should be awarded on the basis of VfM ([see Section 7](#)).

### **Competition & Advertising**

Contracts must be awarded through genuine and effective competition unless there are exceptional reasons to the contrary ([see Section 6.6](#)).

However, where a contract does not exist and there is a need to buy low value/low risk goods and services operational areas can use their Government Procurement Card (GPC – also known as EPC) to purchase directly from the supplier.

### **Ethical Standards**

DPO's must adhere to and apply the highest ethical standards in their procurement activity ([see Section 12](#)).

### **Buying Sustainably**

DPOs must consider sustainability in their procurement activity ([see Section 8](#)).

### **Separation of Duties**

The roles of Budget Holder/Customer and DPO should be kept separate ([see Section 6.4](#)).

### **Consultancy Services**

The procurement of consultancy services must adhere to the [Scottish Government Consultancy Procedures](#) ([see Section 10](#)).

## **4. LEGAL FRAMEWORK**

Public sector procurement in Scotland takes place within a framework of rules including:

- Treaty on the functioning of the European Union (EU)
- EU Procurement Directives
- The [Public Contracts \(Scotland\) Regulations 2012](#) (as amended)
- The [Utilities Contracts \(Scotland\) Regulations 2012](#)
- The [Public Contracts \(Scotland\) Regulations 2015](#) (for contracts commenced on or after 18<sup>th</sup> April 2016)
- The [Procurement \(Scotland\) Regulations 2016](#) (for contracts commenced on or after 18<sup>th</sup> April 2016)
- The [Concession Contracts \(Scotland\) Regulations 2016](#) (for contracts commenced on or after 18<sup>th</sup> April 2016)
- The [Utilities Contracts \(Scotland\) Regulations 2016](#) (for contracts commenced on or after 18<sup>th</sup> April 2016)
- European Court of Justice and national case law

## **4.1 Regulated Procurement**

For the purposes of the Procurement Reform (Scotland) Act 2014, a “regulated procurement” is any procedure carried out by a contracting authority in relation to the award of a proposed regulated contract, including, in particular, the seeking of offers in relation to the contract, the selection of economic operators and the award of a regulated contract by a contracting authority.

A contract is regulated if it is a public contract, the estimated value of the contract is equal to or greater than the contract threshold and the contract is not an excluded contract.

The contract thresholds are currently :

Goods and Services:	£50,000
Works:	£2,000,000

## **4.2 Formal Challenges**

Formal challenges and complaints may be brought against SCRA alleging a breach of these rules. The consequences of a successful challenge may, depending on the nature of the breach, result in SCRA being fined; the duration of a contract being shortened; award of damages against SCRA; and reputational damage to SCRA.

Any challenges must be reported to the Procurement Team immediately and any correspondence from legal advisors challenging the procurement process or contract award decision must be forwarded to Procurement.

## **5. PROCUREMENT JOURNEY**

The Procurement Journey provides a step by step guide to carrying out a procurement exercise and is intended to support all levels of procurement activities and to help manage the expectations of stakeholders, customers and suppliers alike, It facilitates best practice and consistency across the Scottish public sector.

The Procurement Journey is split into three different routes and includes a decision matrix to determine the route to be used. SCRA’s Delegated Purchasing Officers (DPO’s) must only use Route 1. Use of Route 1 is mandatory for all procurements over £10k.

Where Route 1 is required for contracts above £20,000 or where Routes 2 or 3 are required, these competitions must be managed by SCRA’s Procurement Officer(s).

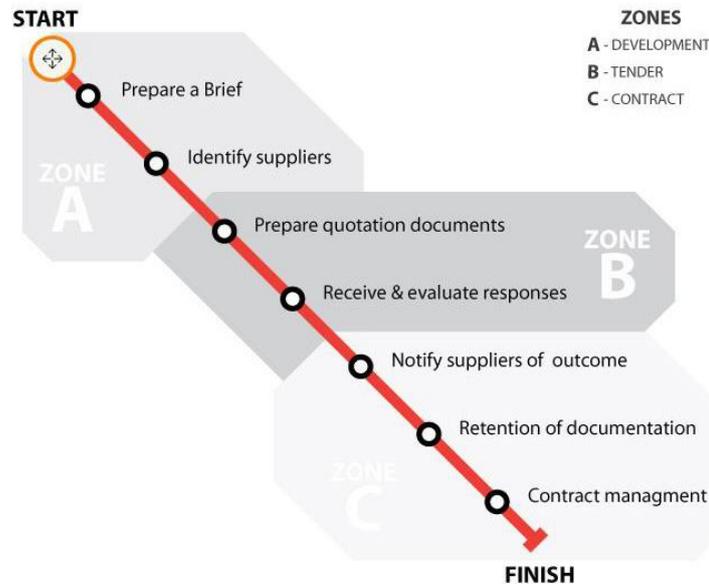
## **6. PROCUREMENT ROLES/ RESPONSIBILITIES AND COMPLIANCE**

This section outlines the roles, responsibilities and actions necessary for procurement compliance. The Head of Finance & Resources has been charged by the Principal Reporter/Chief Executive to determine best practice purchasing arrangements for SCRA and to seek to establish these consistently throughout.

### **6.1 Procurement Process**

The SCRA adheres to Scottish Procurement's Procurement Journey below:

### Route 1 Procurement Toolkit – for use by Delegated Purchasers



### Routes 2 & 3 Procurement Toolkit – for use by Procurement Officers only



## 6.2 Delegated Purchasing Authority (DPA)

The Principal Reporter/Chief Executive is responsible for the scheme of Delegated Purchasing Authority (DPA) across SCRA and has delegated purchasing authority to the Procurement Officers for this purpose. This delegation allows for further delegation to suitable staff that have responsibility for low value low risk procurements.

The Procurement Officers will maintain a central Register of Delegated Purchasers to allow the dissemination of information and advice, the identification and development

of a Procurement Training Programme and periodic reports to SCRA management and/or our Auditor's on the number of non-procurement staff who are actively involved in the procurement process and have completed the appropriate levels of training.

DPA is the authority to enter into a contract for goods, services and works and in doing so, to take responsibility for overseeing the process leading up to, and including, the award of a contract and any subsequent changes to that contract.

DPA is:

- Required for competition of contracts where an existing contract/framework agreement does not already exist. It is also required for running mini competitions against an authorised Scottish Procurement framework agreement or for the modification of an existing contract.
- Granted to permanent SCRA staff, authorised in writing by the Procurement Officer. This will be based on the business need and training/experience of the staff concerned. It will specify the value of contracts (excluding VAT) that the individual will be authorised to award.
- Intended to allow Head Office/Locality Teams the opportunity to manage their appropriate purchasing requirements within their local business area.
- Personal to an individual only whilst occupying their current position unless they are seconded to another post within the organisation to carry out their procurement role in that post. DPA does not automatically transfer to their successor should they leave their current post nor does it transfer with them to another post. If DPA is to be withdrawn by the Procurement Officer for any reason this will be confirmed in writing.

DPA is not:

- To be confused with financial/budgetary authority which is detailed in SCRA's Scheme of Delegation (available on [Connect](#)).
- Required to purchase goods, services or works from single supplier framework agreements awarded or approved by the Procurement Team or Scottish Procurement.
- The authority to approve a contract without following a genuine and effective competition – this is known as a Non Competitive Action (NCA) ([see Section 9](#)).

Individuals with DPA are known as Delegated Purchasing Officers (DPO).

Details of existing [SCRA regulated Contracts and Frameworks](#) can be found on PCS. Further details can be obtained from the Procurement Officers.

Details of existing contracts and framework agreements that SCRA may use, which were awarded or approved by [Scottish Procurement](#) or [Crown Commercial Services](#) are available using the links above.

### **6.3 Commitment of a Contract**

A contract is a legally binding agreement between SCRA and one or more suppliers for the supply of specified goods, services or works. The contract sets out the details of what SCRA is buying, from whom and the rights and obligations of the parties.

All contracts except, as mentioned above, existing single supplier framework agreements, must be awarded by a DPO with the appropriate level of authority.

All SCRA low value/low risk contracts (below £20,000) awarded by DPO's must be in writing using the [template document](#) from Route 1 of the Procurement Journey, although legally contracts can be made by word of mouth, or implied by the action of the parties. Therefore in discussions with suppliers it is essential that staff take care to ensure that a contract is not unintentionally created.

Details of contracts awarded should be recorded by all DPO's and be readily available on request from the Procurement Officer.

All purchases made using the GPC must comply with SCRA's GPC procedures. The limit for a single transaction by GPC is £10k with a maximum monthly spend of £15k.

All contracts awarded by SCRA should normally be subject to Scots Law. This is provided in the SCRA Standard Terms and Conditions which have been designed for straightforward or routine purchases of goods or services. These Terms & Conditions can be found on [Connect](#).

Any proposed change, amendment or alternative form of conditions by the DPO or supplier should in the first instance be referred to the Procurement Officer for approval before agreeing to non-standard contract conditions.

#### **6.4 Separation of Duties**

In any procurement process, the key roles of Budget Holder and Purchaser should NOT be performed by the same individual.

The Budget Holder should have authority to commission goods, services or works and to provide financial authority for the expenditure. The Purchaser should have the relevant authority to commit the organisation to a contract for the purchase of the goods, services or works for the full term of the contract.

The Procurement Officer must be alerted to planned or possible procurements outwith the level of the DPO's authority, or if the purchase is novel or deemed to be high risk.

There are at least two defined roles in a procurement process:

- The internal stakeholder who perceives the need and prepares the Business Case, where necessary, to obtain any necessary approval to spend.
- The DPO who is responsible for ensuring that the procurement process fully complies with SCRA's Procurement Policy.

A DPO should not:

- Be responsible for any financial approvals connected with contracts that they have authority to approve.
- Act as Budget Holder.
- Be an approver on SCRA's Finance Process Manager (FPM) system.

These roles must be separated in order to protect the staff concerned from accusations of impropriety.

In the case of works contracts, roles and responsibilities are set out in the [Scottish Public Finance Manual \(SPFM\)](#) and the [Construction Procurement Manual](#).

## 6.5 Approvals

It is SCRA Policy that all procurements expected to be above £20,000 should have a Procurement Strategy completed by the Procurement Officer in conjunction with the internal customer. The Procurement Strategy should be approved by the Head of Finance & Resources before commencing with the competition.

A Capital Proposal should be prepared by the internal customer for all Capital expenditure expected to be between £1,000 and £25,000. This should be submitted to the Head of Finance & Resources for approval. A [template](#) is available on Connect.

A [Business Case](#) should be prepared by the Project Owner for all Capital or Revenue projects expected to be in excess of £25,000. Internal customers must consult with all relevant Teams, including Procurement, before submitting the Business Case for approval by the Executive Management Team (EMT).

## 6.6 Competition and Advertising

It is SCRA policy that goods, services and works must be awarded through genuine and effective competition unless there are convincing reasons to the contrary ([see section 9](#)). DPOs are responsible for identifying the most appropriate procurement process that is likely to offer the best VfM. Advice should be sought from the Procurement Officer(s).

Before commencing a new competition, the availability of existing [contracts and framework](#) agreements must be considered. New competitions should normally only be launched where the requirement cannot be met through an existing contract.

All purchases between £1k and £10k that are not on an existing contract must have three verbal quotations from different suppliers before making a decision on the basis of VfM. Details of the quotations should be recorded on file.

Procurement processes for each form of competition are outlined within the Procurement Journey and must be used for all procurements above £10k.

In addition to the OJEU publication requirements, the [Procurement Reform \(Scotland\) Act 2014](#) requires all public bodies who are conducting a regulated procurement to publicise their intention to seek offers (contract notice) and the award of a contract or framework agreement (contract award notice) on [Public Contracts Scotland](#) (PCS). The PCS info centre contains further information on how public bodies can meet their publication obligation.

This means that all regulated contracts for goods and services with an anticipated value of £50,000 and above (excluding VAT) and for contracts for works with an anticipated value of £2,000,000 and above (excluding VAT) must be advertised on the [Public Contracts Scotland](#) (PCS) advertising portal. The value of the contract is the total amount, net of VAT, which SCRA expects to pay over the full duration of the contract (including any options to extend).

All contracts with an anticipated value of less than £50,000 (Goods & Services) and £100,000 (Works) but above £10,000 (excluding VAT) will require to be done by Quick Quote (an online competition process within PCS which allows staff to approach selected suppliers, who are registered on PCS). Quick Quote must only be used where the DPO:

- Ensures that there is no existing contract/framework agreement which could be accessed.
- Satisfies themselves that using Quick Quote meets their obligations for adequate publicity
- Ensures that the procurement/mini-competition is for low value/low risk goods, services or works.

The thresholds for procurement activities within SCRA are outlined in the table below:

Estimated Value (ex VAT)	Procurement Journey Route	Procurement Lead	Minimum Standards
<£1,000	Not Required	DPO	Can be purchased via GPC cards. Alternatively, quotes can be sought following the Route 1 procedure below.
£1,000 - £10,000	Not Required (Route 1 can be used)	DPO	Minimum of three verbal/telephone quotes. Details to be recorded on file. Payment by GPC card. Recommend using Public Contracts Scotland (PCS) Quick Quote where possible.
£10,000 - £20,000	Route 1	DPO or Procurement Officer	Not less than 3 written quotations must be received.  Use of PCS Quick Quote is mandatory for these competitions
£20,000 - £50,000 (Goods & Services) £100,000 (Works)	Route 1 or Route 2	Procurement Officer	Formal competitive tendering exercise, led by SCRA Procurement Officer. Use of PCS Quick Quote is mandatory.  These may also be advertised via a full PCS national notice where deemed necessary.
£50,000 (Goods & Services) £100,000 (Works) – OJEU Threshold *	Route 2	Procurement Officer	Formal competitive tendering exercise, led by SCRA Procurement Officer, advertised via PCS and conducted in accordance with Procurement (Scotland) Regulations 2016
> OJEU Threshold	Route 3	Procurement Officer	Formal competitive tendering exercise, led by SCRA Procurement Officer, advertised via PCS OJEU procedure and conducted in accordance with the relevant EU procurement directives and Public Contracts (Scotland) Regulations 2015.

\* The OJEU threshold for Supplies and Services is currently £164,176 and £4,104,394 for Works. This threshold changes every two years. The next change will be applied from January 2018.

## **6.7 Works Contracts**

It is recognised that for small works contracts (up to £10k) it is not always possible to obtain prior quotations or to use the GPC for Works contracts.

The Public Contracts (Scotland) Regulations 2015 sets out at Schedule 2 those activities that are defined as Works. These activities describe works that form the basis of the types of project undertaken by SCRA's Property Team.

## **6.8 Contract Documentation**

It is SCRA Policy that documentation covering the key stages of the procurement of goods, services and works is retained on file. The DPO responsible for carrying out the procurement activity is responsible for ensuring that there is a file for each contract and for ensuring that key documents are filed timeously. A Contract Reference Number can be obtained from the Procurement Officer.

## **6.9 Contracts Register and Transparency**

The Procurement Reform (Scotland) Act 2014 requires all public sector contracting organisations to keep and maintain a Contracts Register, and to provide an internet-based publicly viewable version of it to include all regulated procurements which commence on or after 18<sup>th</sup> April 2016. This Contract Register will be maintained and updated by the Procurement Team as a regulated contract is a public contract (for goods and services) with a value greater than £50,000.

It is, however, the responsibility of all DPOs to ensure that they maintain a record of all lower value contracts they award. The Procurement Team may periodically request details of contracts awarded.

## **7. VALUE FOR MONEY (VfM)**

VfM is defined as the optimum combination of whole life costs and quality (or fitness for purpose) to meet the customer's requirements. Depending on the nature of the contract, whole life cost may include implementation costs, ongoing operating costs and end-of-life disposal.

The [Scottish Model of Procurement](#) promotes VfM as being an appropriate balance between cost or price, quality and sustainability. In addition, a Procurement Strategy sets a framework in which a contracting authority will work to ensure that its procurement activities deliver value for money, how it plans to meet its procurement obligations and how these targets are subsequently met. In delivering VfM, cost or price, quality and sustainability are all factors which should be taken into account when establishing contract award criteria.

It is SCRA policy that contracts must be awarded on the basis of VfM.

## **8. BUYING SUSTAINABLY**

SCRA is committed to buying goods, services and works in a sustainable manner.

This is done in a way that:

- Achieves VfM on a whole life cost basis; and
- Delivers benefits not only for the organisation but for society, the economy and the environment.

SCRA will derive the greatest benefits through ensuring that, where appropriate, sustainability is embedded and proportionately applied to all its procurement decisions and activities. At the heart of this process will be a [The Sustainability Test](#).

[The Procurement Reform \(Scotland\) Act 2014](#) builds on the work achieved so far in the reform of public procurement in Scotland. It establishes laws about sustainable public procurement to maximise the social, environmental and economic benefits through effective and efficient procurement activity.

The Sustainable Procurement Duty encompasses these elements. Smart use of procurement can play a key role in promoting jobs and growth, encouraging innovation, boosting training and apprenticeship opportunities and helping small and medium enterprises (SME's), third sector organisations and supported businesses to compete effectively for contracts.

## **9. NON COMPETITIVE ACTION (NCA)**

All goods, services and works must be bought by genuine and effective competition. NCA is only granted in **exceptional** circumstances. It is strictly limited to situations where competition is not deemed appropriate (further information is available on [Saltire](#)).

SCRA's Procurement Officer(s) must be consulted about any proposal to award a contract without competition before using the [NCA Template](#).

For NCA procurements up to £10,000 (excluding VAT), approval must be given by the Procurement Officer and for procurements over £10,000 approval must be given by the Principal Reporter/Chief Executive. The Procurement Officer must log all NCA's on the Contracts Register.

In all cases, the guiding principles are that NCA approval is by someone other than the DPO who will undertake the procurement, to ensure adequate separation of duties. The NCA justification and approval must be formally recorded on file.

## **10. CONSULTANCY SERVICES**

Robust procedures must be followed for the engagement of consultancy services to ensure that these resources are used sparingly, appropriately and effectively.

Before any procurement process takes place, a Business Case (based on the amount that SCRA expects to pay for the requirement), must be prepared by the appropriate Budget Holder/customer and passed to the Procurement Officer(s) for completion of Section 4 before being submitted to EMT for approval.

The [Scottish Government Consultancy Procedures](#) provide guidance on the use of consultancy services.

## **11. CONTRACT MANAGEMENT**

Contract Management is an essential part of the contracting process. Contract monitoring procedures are the essential key to ensuring that the contractor meets the service levels set out in the contract and to ensuring continuing value for money.

A Contract Manager should always be appointed to manage any contract for goods, services or works and recorded on the Contract Register. The Procurement Team are responsible for maintaining the Contract Register.

The Contract Manager within SCRA must ensure that Procurement are advised and consulted on all amendments, additions and/or deletions to a contract to ensure that the Register does not contain outdated or false information.

Contract management guidance is provided in the [Procurement Journey](#).

## **12. ETHICAL STANDARDS**

Staff must preserve the highest standards of honesty, integrity, impartiality and objectivity in all dealings with suppliers and potential suppliers as detailed in SCRA's [Staff Code of Conduct](#) and the [Scottish Procurement Policy Handbook](#).

DPOs and all other staff involved in procurement (including Line Managers) must read and familiarise themselves with this guidance and its associated documents.

## **13. FRAUD RESPONSE PROCEDURES**

SCRA's policy on fraud/corruption is set out in the [Fraud Protection Policy](#) which is available on the intranet. The Policy sets out in more detail procedures for fraud prevention, detection and the investigating and reporting of fraud or corruption.

## Annex A: Glossary

- **Competition**  
contracts must be awarded through genuine and effective competition unless there are convincing reasons to the contrary.
- **Contract**  
is a legally binding agreement between SCRA and one or more suppliers for the supply of specified goods, services or works. The contract sets out the details of what SCRA is buying and being delivered with and the rights and obligations of both of the parties.
- **Contract register**  
register of all regulated SCRA contracts.
- **Delegated Purchasing Authority (DPA)**  
is the authority to enter into a contract for goods, services and works and oversee the process leading up to and including the award of a contract and any subsequent changes.
- **Delegated Purchasing Officer (DPO)**  
a permanent SCRA individual with Delegated Purchasing Authority.
- **Framework agreement**  
Is an agreement between SCRA and one or more suppliers for the supply of specified goods, services or works over a set period of time. The framework agreement has agreed terms and conditions and a pricing structure defined. The main difference between framework agreement and a contract is that a framework does not state the quantity of the goods, services or works, or when they will be bought. Individual contracts specifying the quantity and timescale are awarded under the terms of the framework agreement.
- **Government Procurement Card (GPC)**  
is a corporate charge card used for low value, ad-hoc purchases that are not covered by existing contracts or framework agreements for transactions £5,000 (excluding VAT) or less.
- **Non Competitive Action (NCA)**  
is an approval process which permits a contract without competition to be awarded.
- **Procurement**  
is the process of buying goods, services or works from external suppliers.
- **Procurement Journey**  
a toolkit providing practical guidance on procurement procedures.
- **Public Contracts Scotland (PCS)**  
the national advertising portal used to advertise all SCRA goods, services or works contract opportunities.
- **Quick Quote**  
is an online quotation facility using the Public Contracts Scotland portal which allows buyers to obtain competitive quotes electronically for low value requirements. Details of the QQ are created online and sent to a selected list of suppliers, who can then complete the required details and submit their quotation using the secure postbox. QQs are only distributed to the selected suppliers and are not made public on the website.

- **Regulated Contract**  
a public contract with a value of more than £50,000.
- **Scottish Procurement Policy Notes (SPPN)**  
guidance issued by Scottish Procurement providing updates on legal and procurement policy developments.
- **Scottish Public Finance Manual (SPFM)**  
provides guidance to SCRA and other public bodies on the proper handling and reporting of public funds.
- **Sustainability**  
a process whereby SCRA meet its needs for goods, services, works in a way that achieves VfM on a whole life basis and generates benefits not only to SCRA, but also to society, the economy and the environment.
- **Value for Money (VfM)**  
the optimum combination of whole life costs and quality to meet the customer's requirement.