

		<i>Papers</i>
1.1	AOB	
1.2	Apologies	
2.	Declarations of Interest	
3.	Updates	
4.	Minutes	
4.1	Minute of Meeting held on 26 March 2015 Board Action Log and Workplan Matters Arising	Attached
4.2	Board Development Day Minute of 16 April 2015	Attached
4.3	Audit Committee <ul style="list-style-type: none"> • Draft Minute of 21 May 2015 • Audit Committee Annual Report 	Attached
4.4	Nominations Committee <ul style="list-style-type: none"> • Minute of 18 March 2015 • Draft Minute of 6 May 2015 	Attached
	Reports	
5.	Chief Executive's Report	Attached
6.	CHS/SCRA Joint Work Programme Update	Attached
7.	Shared Services Proposal	Attached
8.	Children's Hearings System Digital Strategy	Attached
9.	2014/15 Budget Outturn and 2015/16 Budget Pressures	Attached
10.	Environmental Report	Attached
11.	Fourth Quarter/Year-end Organisational Performance Report 2014/15: (1 April 2014 to 31 March 2015)*	Attached
12.	Review of Complaints	Attached
13.	Influencing Report: 1 December 2014 to 1 June 2015	Attached
14.	Risks <ul style="list-style-type: none"> • Strategic and Operational Risk Registers • New Risks 	Attached
15.	Date of Next Meeting: 24 September 2015	

*** Item 11 – Organisational Performance Report**

Please note that any annual data contained within this publication is subject to Official Statistics legislation and is therefore embargoed until the Official Statistics release date of the 30th July.



Board Action Log as at June 2015

Meeting Date/ Item	Action	Timescale	Owner	Comments	Status
25/9/14 Updates	Joint Business Meeting (SCRA/CHS) to be scheduled for Spring 2015	Aug 15	NH	Will be progressed with CHS. Board agreed at its recent Development Day timing for meeting to be delayed to allow sufficient time for progress to be made on action plan.	Not yet due
22/1/15 Joint CHS/SCRA Progress report	Joint progress report to be scheduled for June Board meeting	June 15	NH	On agenda – 25/6/15	Complete
11/12/14 Minute 25/9/14	Chair to confirm Board lead for partnership	Jan 15 By Autumn 15	CW	Chair planning to discuss with Board Members as part of annual appraisals - in the meantime links with Unison are being maintained through the Chair.	Progressing
11/12/14 Minute 25/9/14	Report on new Bio-diversity duties to be scheduled for Board consideration	March 15 June 15	EM	Report scheduled into workplan. Revised to June Board meeting – will be incorporated within Environmental report.	Complete – Report on June agenda

Meeting Date/ Item	Action	Timescale	Owner	Comments	Status
22/1/15 Reward & Recognition Scheme for Staff	Proposal being considered by HR Sub-Group and progress will be reported to Remuneration Committee	June 15	NH/SD		Complete – on Remuneration Committee June agenda
22/1/15 Audit Minute	An overarching Communications Strategy to be prepared and scheduled for Board approval.	October 2015	NH		Not yet due
22/1/15 Children's Hearings Scotland Act 2011 Progress Report	Head of Practice & Policy to link in with Anela Anwar in relation to forced marriage ground and lessons learned Financial information to be collated on implications of the Act and reported to Board.	June 15	MS MS	Date being organised Contained within Finance Report on agenda 25/6/15	Underway Complete
26/3/15 Inspection Themes Annual Report	Timing to be confirmed for annual report		NH	Scheduled for September	Not yet due
26/3/15 Nominations Committee	Board skills matrix to be updated	April 15	CW		Complete
26/3/15 CE Report	Digital Strategy for Hearings System to be presented to Board in June 2015	June 15	EJ	Report on agenda 25/6/15	Complete

Meeting Date/ Item	Action	Timescale	Owner	Comments	Status
26/3/15 CE Report	Records Management Plan to be presented to September Board	Sept 15	MS		Not yet due
26/3/15 CE Report	New Going to a Hearing Film – link to be sent to Board Members	April 15	JMcD		Complete
26/3/15 Senior Operational Managers – Review and Development of Functions	Further report to September Board meeting	Sept 15	NH		Not yet due
26/3/15 OPR	Time to be scheduled at April Development Day to discuss gaps and issues on OPR	April 15	CW	With agreement of all Board Members discussion took place at conclusion of May Audit Committee	Complete
26/3/15 Shared Services Proposal	Further report to June Board	June 15	EJ	Report on agenda 25/6/15	Complete

Scottish Children's Reporter Administration

**Minutes of SCRA Board Meeting
held on Thursday 26 March 2015 at Ochil House, Stirling**

Present:

Carole Wilkinson (Chair)
Malcolm Dickson
Andrew Miller
Bernadette Docherty
Catherine Robertson
Anela Anwar

In attendance

Neil Hunter, Principal Reporter/Chief Executive
Malcolm Schaffer, Head of Practice & Policy
Ed Morrison, Head of Finance & Resources
Alistair Hogg, Senior Operational Manager
Susan Deery, HR Manager
Janis McDougall, Executive Officer (Minutes)
Thekla Garland, Scottish Government

		Timescale	Action
1.	AOB There were no additional items of business.		
2.	Apologies Apologies were received from the following Board Members - Douglas Yates and Andrew Miller. Note – Both Board Members had submitted comments on the reports which the Chair fed into the discussion during the meeting. Apologies were also received from the Director of Support Services, the Head of Planning & Strategy and the UNISON Branch Secretary.		
2.	Declarations of Interest There were no declarations of interest.		
3.	Updates Malcolm Dickson <ul style="list-style-type: none"> Maintaining contact with Police Scotland – a further routine meeting has been scheduled and there is monitoring/overview of a wide range of activity between Police Scotland and SCRA. SCRA is represented on the Police Stop and Search Working Group by the Principal Reporter/Chief Executive. 		

		Timescale	Action
4.	<p>Andrew Miller</p> <ul style="list-style-type: none"> As part of elected member work, has been involved in working with the Minister supporting a family having some difficulties with issues around children and deportation. <p>Anela Anwar</p> <ul style="list-style-type: none"> Attended two meetings of the Nominations Committee <p>Bernadette Docherty</p> <ul style="list-style-type: none"> Attendance at February Audit Committee Represented SCRA at the recent Scottish Association of Social Work Awards – the event provided an opportunity to network and in particular to meet with Alan Baird, the Chief Social Work Adviser to Scottish Government. Reviewed the publication of the document “Vision and Strategy for Social Services in Scotland 2015-2020” <p>Catherine Robertson</p> <ul style="list-style-type: none"> Attendance at February Audit Committee Reviewing the recent Pension documents circulated to Board members in particular the Pension Fund Valuation <p>Carole Wilkinson</p> <ul style="list-style-type: none"> Held regular meeting with Robert Marshall Along with Anela Anwar and Andrew Miller progressing the work of the Nominations Committee. Meetings in relation to diversity on Boards held with Ian Bruce from the Commissioner’s office, and NHS Foundation Trust in England and Sport Wales. A meeting will also be arranged with Mike Foulis, Scottish Government to discuss how SCRA can do things differently for the next recruitment round. There is a significant amount of activity underway via the Equalities Network. SQA Board recently received a presentation from Who Cares on Corporate Parenting and Children in Education. The issue around scheduling of hearings came up and in particular one example given was hearings being scheduled during exam periods with the result the young person missed an exam. 		

		Timescale	Action
5.1.	<p>Minute of Meeting held on 22 January 2015</p> <p>The minute was agreed as a correct record.</p> <p>The action log and workplan were reviewed.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. General – where an action is showing as not yet due for many of these tasks progress is picked up through the various reports on the Board agenda – e.g. Young People’s Board – via the Chief Executive’s routine report. 2. A session on organisational performance reporting has been scheduled for the Board Development Day which will include a retrospective look at trends and issues. 3. Inspection Themes Annual Report – timing for this report coming to be Board will be confirmed (currently scheduled for June 15 meeting). <p>Agreed:</p> <p>To add the Nominations Committee minute to the workplan.</p>	tbc	NH
5.2.	<p>Audit Committee Minute of 19 February 2015</p> <p>Malcolm Dickson, Audit Committee Chair spoke in detail to the draft Audit Committee minute of 19 February 2015.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. Case information and non-disclosure breaches – slow and steady progress is being made and there continues to be a focus/monitoring on information governance. 2. The Information Governance Working Group which was set up as a short-life working group has now ceased. Andrew Menzies, as Board lead for information governance will retain oversight of this area of work which will now be taken on by the Information Governance Leads Group. 3. The ICO who recently undertook a review at Children’s Hearings Scotland referenced the positive engagement between SCRA/CHS on information governance issues. 4. The External Audit fee will remain at the same level for this year. 5. Positive Internal Audit reports received in relation to: Procurement and Financial Controls, Shared Services and Workforce Planning. 		

		Timescale	Action
	<p>6. Risk Management – an action plan and timescale has now been drawn up to further embed SCRA’s approach to risk management.</p> <p>7. Pensions continue to be a challenging issue for SCRA as for all other public sector organisations.</p> <p>8. The Audit Committee conducted its annual self-assessment exercise and will be included in the annual report scheduled for the May Audit and June Board meetings.</p> <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • It was confirmed that the External Audit fee is remaining at the same level for the same number of days. • ICO Recommendations – it was noted that SCRA, for operational reasons, has accepted the risk around choosing not to uniquely mark each set of casework papers which are sent out with an anonymous identifier This decision was taken on operational grounds and balance of risk versus gains. • The ICO will place a note on their website reporting that SCRA audit is now complete and there will be no further actions/follow-up required. • There are three separate audit functions – external, internal and SCRA’s own audit review function. Case sampling is part of the management function and therefore conducted as part of SCRA’s own audit function. Where a business process is involved internal auditors are involved as appropriate. • The Risk Management Group being established will initially meet two monthly and report to the Operational Group. 		
5.3	<p>Nominations Committee The Chair introduced this item.</p> <p>Noted:</p> <p>1. The draft minute of the first meeting of the Committee which had focused on its role and purpose and discussed areas for doing things differently for the next Board recruitment round to fill the two vacancies in May 2016.</p>		

		Timescale	Action
	<p>2. The second meeting was held on 18 March. A summary of issues discussed was as follows:</p> <ul style="list-style-type: none"> • Feedback from the Commissioner’s Office is that there is scope and flexibility around the process provided everyone is treated equally, the process is open and transparent and that no element contradicts the Code for the Ministerial Appointments. • SCRA’s will be the pilot for doing things differently. • The next meeting will focus on the skills matrix and timetable setting out the steps in the process for the recruitment round. (The skills matrix will be updated at the April Board Development Day). • Fiona McLeod, SCRA’s current interim Minister is leading on diversity on Boards and the Chair will write seeking a meeting. <p>3. The option currently exists to co-opt to sub-committees to fill an identified skills gap and also to provide opportunities for potential Board candidates.</p> <p>4. One option to be explored is the potential, where there has been more than one appointable candidate to a vacancy for those applicants to be held on file pending another vacancy arising.</p> <p>5. There is an open invitation to all Board members to attend Nomination Committee meetings.</p>	April 15	CW
6.	<p>Chief Executive’s Report</p> <p>The Principal Reporter/Chief Executive spoke to the update report which detailed the wide range of activity across the organisation.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. The National Partnership Forum Development Day took place on 24 March 2015. It was a positive and constructive day. CMS was used a case study example of working together. Neil Murdoch, HR Business Partner gave a useful presentation on the equalities strategy. 2. Mental Health awareness training for managers has now been completed. Planning is now underway to rollout out Mindfulness training. 3. SCRA continues to be a prominent member of the Children’s Hearings Improvement Partnership. 4. SCRA has recently joined the Police Scotland Short Life Working Group on Stop and Search. 		

		Timescale	Action
	<ul style="list-style-type: none"> Children and Families Survey – discussion took place about the potential of a booster survey to ensure diversity of responses. Anela Anwar to link in with the Head of Practice and Policy/Research Team about plans for the survey next year. It was noted that the Equalities Network is picking up the issue of children and young people with disabilities. <p>In concluding consideration of the report, Board Members referenced the breadth of the routine report and that the operational aspect contained within it was evidencing that the organisation is moving towards a more stable, sustainable position.</p>		
7.	<p>Senior Operational Managers – Review and Development of Functions</p> <p>The Principal Reporter/Chief Executive spoke to the report which detailed the work undertaken to date on the review and development of the Senior Operational Manager (SOM) role.</p> <p>Noted:</p> <ol style="list-style-type: none"> The initial headline results have identified two consistent themes: (1) that the SOM role should be developed more specifically to assist in the performance review and improvement of localities through the introduction of a formal, regularised and supported operational performance review mechanism within each locality and (2) an increase in the support arrangements aligned to each SOM in order to deliver this developed function. The original timeline set by the Executive Team Management Team to complete this function review has not been met. There are a number of areas in order to complete the review that need to be more fully explored, mainly through further discussion and testing of the recommendations with EMT, LMT's and other stakeholders. Further more detailed thought will be required about the practicalities of providing additional infrastructure to the Senior Operational Manager role, the how and what within a diminishing organisational resource – although it is without doubt something which will be required for the sustainability of these posts and should be considered an organisational priority. Work will continue over the next few months led by the Principal Reporter/Chief Executive in filling out the detail of these recommendations and any wider implication or consequence that need to be considered. 		

		Timescale	Action
	<p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • The review will consider the functions and then identify the structure to boost capacity to allow the Senior Operational Managers to carry out their role. • There are currently 26 Locality Reporters Managers making the span of control significant. Opportunities will be taken when they arise to review LRM posts but the organisation is not far away from being at the minimum level required. • The Senior Operational Managers are considering co-location with those who will be supporting them and looking to move away from sticking to the current boundaries and adopt a more holistic approach. • The role needs to be developed in the context of the organisation's empowerment/devolution framework but within agreed boundaries to ensure locality alignment. • The review of the Senior Operational Manager role was discussed extensively at the Remuneration Committee. <p>Agreed:</p> <ol style="list-style-type: none"> 1. To approve that the Principal Reporter/Chief Executive begin a wider process of engagement on the content and initial proposals within this report. 2. To approve submission of a further report from the Principal Reporter/Chief Executive in September 2015 in discussion with the Senior Operational Managers on a final set of arrangements/proposals for implementation in October 2015. 	Sept 15	NH
8.	<p>2014/15 Budget Monitoring</p> <p>The Head of Finance & Resources introduced the report which set out the revenue and capital positions for the year to January 2015? and the forecast for the full year 2014/15.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. Since writing the budget monitoring report, the Sponsor Team has secured an additional £100k of resource. This will be utilised as follows: <ul style="list-style-type: none"> • to bring/forward an element of pension payment for 2015/16 into 2014/15 and paid to Falkirk Council 		

		Timescale	Action
	<ul style="list-style-type: none"> • For 2015/16 – (1) to allocate £50k in 2015/16 to fund digital strategy work; (2) £16k to reduce the savings target to 2.8% (from 2.9%) and (3) the balance allocated to legal costs in 2014/15 and 2015/16. <ol style="list-style-type: none"> 2. Sponsor Team had previously secured an additional £150k in recognition that the organisation had taken all possible steps to manage its resources in the face of unavoidable operational costs. 3. The 2014/15 forecast overspend is now £27k. 4. A programme of work with localities (particularly with those who were overspent) is underway around consistency with the clear message that localities do need to balance budgets in year. 5. A national policy position will be established in relation to the provision of translation and interpretation services. 6. There will be no overspend flexibility at the end of 2015/16. 7. Capital – the variation is being managed in-year with a small underspend forecast but this will not have significant implications for 2015/16. 		
	<p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • It will be important to give particular attention to those localities not coming in on budget. • There is a process in place to review posts (permanent and temporary) as they become vacant and prior to recruitment. This is a balancing act in terms of calculated risk about future operational needs and costs. Letting some temporary staff go now may incur future costs in replacing them in other parts of the country, particularly as many posts will come with a 3 month lead in period. • Translation and Interpretation services are provided via the Scottish Government framework. As previously reported work is underway exploring different issues – how the contract is used, consistency of application, national policy position about how and when services are required. The work will also take account of quality and cost issues. Any guidance issued on when services are required will need to be really thorough. <p>Agreed: To approve that, given the current revenue position, no carry forward overspend to 2015/16 is required.</p>		

		Timescale	Action
9.	<p>Organisational Performance Report: Quarter 3 2014/15</p> <p>The Principal Reporter/Chief Executive introduced the Quarter 3 2014/15 Organisational Performance Report.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. Performance on decision making within 50 working days and scheduling Hearings within 20 working days have improved in the quarter but are still below target. Clearing backlogs as part of the sustainability programme continues to put additional pressure on both the 50 day target (as more old cases are decided) and the 20 day scheduling target when grounds are taken to Hearing. Both targets are unachievable for 2014/15, but the work including locality generated improvement targets will lay the foundations for stronger performance in 2015/16. 2. The Managers Briefing Event on the 12th March looked at the current situation facing SCRA and also options for the future. This included a round table exercise exploring what we could do differently supported by the Executive Management Team (EMT) “Shaping our sustainable future” consultation document. A programme of service redesign will emerge in 2015/16 focussed around segments 1 (receipt and registration of referral) and segment 2 (reporter decision making) and segment 4 Court strategy/processes under the overall umbrella of sustainability, quality, performance. Project briefs and Initiation Documents will be prepared over the course of the spring period and reported to the Change Board for consideration. 3. By October 2015 SCRA will introduce a formal twice yearly review of locality performance led by the Senior Operational Managers. This will be data led and be based on critical enquiry, with a clear continuous improvement focus. Those areas of performance which comprise our KPIs will be central, as will utilisation of resources, customer care and engagement and staff development. This will help strengthen our scrutiny and accountability arrangements within the organisation and visibility of action/commitments. 		

		Timescale	Action
	<p>4. The current forecast revenue overspend of £177k (0.8%) incorporates the savings target shortfall which reflects the fact that operational staffing pressures in most localities are proving very challenging. Following the latest review of year end forecasts with Scottish Government, SCRA has received additional grant of £150k in March 2015. As a result, the forecast overspend will reduce to £27k which is within the limit of overspends that can be dealt with in year. Therefore no carry forward of overspend to 2015/16 will be required.</p> <p>5. The organisation wide workload survey has been discussed at locality meetings, facilitated by members of the Workload Sub Committee. In addition, it was also discussed at the Locality Support Manager Network meeting on the 4th March and the Managers Briefing Event to thank managers for their help and to enlist their support for a repeat of the survey which is to be held during the last two weeks of April.</p> <p>6. SCRA's third national survey of children and their families coming to Hearings is taking place throughout March. The survey will provide SCRA with evidence of improvement and identify areas for action in the provision of our service to children and their families. Results are due to be published by the end of June.</p> <p>7. A case sampling exercise around deferred Hearings is currently underway. The learning from this will help develop strategies to improve performance against our KPI measuring initial Hearings proceeding to disposal.</p> <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • Progress has been made across the key indicators. • Further discussion would be helpful on the level of detail contained in the report and for contextual information to sit alongside the numbers e.g. while percentages are good, it would be helpful to have the numbers also. It would also be helpful to see presentation of the most critical indicators in one place. • There was a divergence of views around the level of detailed required for presentation to the Board although it was acknowledged that the level of detail provides an assurance that the Senior Operational Managers have the information needed to challenge their localities. 		

		Timescale	Action
	<ul style="list-style-type: none"> The organisational performance report is part of the range of management tools to challenge and question performance variations and for use in discussions with partners. <p>Agreed:</p> <ol style="list-style-type: none"> To approve the Third Quarter Organisational Performance Report 2014/15 (1 October to 31 December 2014). To continue to develop the OPR report further with the current arrangements as the base and to keep levels of detail under review. To allocate time at the April Board Development Day to discuss gaps and issues on organisational performance arising from the longitudinal data analysis. 	April 15	CW
10.	<p>Draft Budget Plans 2015/16</p> <p>The Head of Finance & Resources spoke to the report seeking approval of the draft 2015/16 revenue and capital budgets, the staffing establishment and delegation of the minor works capital budget to the Executive Management Team.</p> <p>Noted:</p> <ol style="list-style-type: none"> A Stage 1 Equality Impact Assessment has been undertaken with no negative impact identified. Feedback on the assessment will be received from the Equalities Network. VR – the original in year savings target of £70k has been increased to £160k in 2015/16 with full year savings of £290k in 2016/17. The additional funding from Scottish Government as reported under Item 8 Budget Monitoring has resulted in a savings target of 2.8% (previously 2.9%). Public Bodies are expected to deliver efficiencies of 3% per annum and reductions in the cost of transactional services. The 2014/15 3% target will be met through efficiency savings including voluntary severance savings, procurement savings and savings in property costs and shared service income. The current Financial Plan will be further developed and updated to ensure long term financial sustainability and inform the next Scottish Government Spending review in summer/autumn 2015. An updated Plan will be presented to Board Members in June 2015. The Perth capital project, which has been deferred, has been logged with Scottish Government as a budget pressure. 		

		Timescale	Action
	<p>7. A positive meeting has been held with the Transformation and Shared Services Team in relation to the Digital Strategy for the Hearings System.</p> <p>8. In arriving at a balanced budget for 2015/16 the Executive Management Team have made tough choices and deprioritised areas of spend that would have been viewed in any previous year as desirable.</p> <p>9. Challenging savings/cost reduction assumptions in the following areas have largely closed the budget gap of £1.26m:</p> <ul style="list-style-type: none"> • General Savings Target • Property Savings • Contracts Savings • Benefits Realisation Programme Savings • VER/VR savings • Lower increase in employer pension costs. <p>10. The main capital projects for 2015/16 are the property projects in Inverness and Stornoway, the first phase of the Hearings System Digital Strategy and a significant range of IT projects which will deliver further improvements to the CMS and update the underlying IT infrastructure.</p> <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • The issue of rationalisation of Hearing Rooms will be picked up as part of the Property Strategy and Outreach Hearing Centres plans. • There is a centralised training budget for Head Office Teams (Support Services budget heading). • There is no general contingency fund but there are some small centralised pots e.g. maternity leave cover. • The general savings target will be challenging and there is a process in place for a robust approach to vacancy management. Every vacant post will be reviewed with the Senior Operational Managers appropriately challenging decisions on vacancies. • The assumption of capital receipt of £471k for disposal of Gladstone Place in 2015/16 is robust - it is due to settle in April 2015. • The ability now exists via CMS for cross locality support to be provided without the need for staff to be located within the locality needing assistance and localities are starting to use this facility. • All budget costs will be monitored closely. 		

		Timescale	Action
	<ul style="list-style-type: none"> • Discussions are on-going in relation to future CMS hosting. Any change to the hosting arrangements will be undertaken on the basis that there will be no diminution in service and actions in place to mitigate the risk of any disruption to CMS. • Board members acknowledged the significant amount of work undertaken at head office and locality level to achieve a balanced budget. It was also noted that the organisation is approaching a point where it may not be possible to balance the budget in future years. • Budget risks have been logged with Scottish Government via the Finance Accountability meeting. • The organisation has now achieved more stability in relation to CMS with staff feeling more positive. • Planning work will need to be undertaken for the next round of pay discussions leading to a new pay remit from April 2016. <p>Agreed:</p> <ol style="list-style-type: none"> 1. To approve the draft 2015/16 revenue and capital budgets. 2. To approve the staffing establishment of 396.17 FTEs, reducing to 390.17 FTEs by March 2016 following the conclusion of round 5 voluntary severance. 3. To delegate approval of the minor works capital budget to the Executive Management Team. 		
11.	<p>Business Planning 2015/16</p> <p>The Principal Reporter/Chief Executive introduced the report detailed SCRA's Business Plan for 2015/16.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. The Board have seen draft versions of the Business Plan and provided the strategic direction. 2. The Plan has been widely consulted on throughout the organisation, with Scottish Government and with Children's Hearings Scotland. 3. It is a challenging but achievable business plan with appropriate alignment between the budget and business plan. 4. Activities are grouped under SCRA's core strategies: <ul style="list-style-type: none"> • Sustainability • Improved quality and performance • Customer Focus • Engagement along with a new heading of Infrastructure Maintenance and Development. 		

		Timescale	Action
	<p>5. There has been a recalibration of targets in response to major changes in SCRA's operating environment. Further background information has been provided to Scottish Government on the revised targets. Sponsor Team have been very supportive during discussions on targets and confirmation has been received from the Public Bodies Unit that this approach to targets is acceptable.</p> <p>6. The Plan will be presented to the Minister for noting.</p> <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • Customer Focus – the use of “All About Me” forms to assist with measuring performance will be explored for next year. • The Board are supportive of the recalibration of targets to take account of the current operating environment. <p>Agreed: Subject to the following amendments:</p> <ul style="list-style-type: none"> • The target 2015/16 for “the percentage of revenue savings achieved in the year” should be 2.8%. • Governance Arrangements – Operational Management Team to be changed to “Operational Group”. • Core Strategy 2 – Customer Focus <ul style="list-style-type: none"> ○ change no 2 to read “we will improve our arrangements for children and young people by: ..” ○ add new bullet to no. 5 – “promote children and young people’s ability to participate in and influence their hearing” • Core Strategy 3 Engagement – change no.8 to read “We will recruit a third cohort of Modern Apprentices and progress the planning and development of a Young People’s Board” <p>to approve the final version of the Business Plan 2015/16, including the recalibration of targets from those previously included in the 2014/17 Corporate Plan.</p>		
12.	<p>Customer Focus Project – Our Customer Commitment</p> <p>The Principal Reporter/Chief Executive spoke to the report which provided an update on progress towards launching a new customer “charter” for SCRA.</p>		

		Timescale	Action
	<p>Noted:</p> <ol style="list-style-type: none"> 1. SCRA's new Customer Commitment will replace the current Service Standards. 2. There has been a significant consultation exercise – both internal and external and feedback from young people is that the Customer Commitment is clear and easy to understand. 3. It will provide greater clarity for customers of what they can expect from us and how they can help us to help them, while maintaining consistency of SCRA's overall approach. 4. Localities will routinely survey children and young people and the results will be distributed to the localities to demonstrate effective customer care/help inform improvements. 5. A publication plan has been developed, covering both internal and external communications and will be implemented from March to June 2015. <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • The Customer Commitment has been crafted by young people. • The potential to re-order/group the commitments to be explored and to delete the reference to aggressive behaviour. <p>Agreed: Subject to the above, to approve SCRA's Customer Commitment and publication plan.</p>		
13.	<p>Equalities Network Annual Report</p> <p>The Principal Reporter/Chief Executive introduced the report which updated members on the work that the SCRA Equalities Network has carried out since July 2014.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. The significant progress made since the Equality Act 2010 came into law on 5 April 2011. 2. Under the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012: <ul style="list-style-type: none"> • The publication of SCRA's Revised Equality Outcomes • SCRA's Equal Pay Audit and Statement December 2014 • SCRA's Employee Statistics 		

		Timescale	Action
	<p>3. SCRA has achieved Carer's Kitemark Award Status.</p> <p>4. Work is underway on developing a new e-learning diversity course. SCRA is working with UNISON to raise awareness of training courses. Mandatory diversity and equality training has previously been delivered in SCRA and further follow up will be planned.</p> <p>5. SCRA continues to attend and be an active member of the Justice Equality and Diversity Sub Group of the Justice Board and the NDPB Equality Forum.</p> <p>6. The NDPB Equality Forum is now exploring mentoring and continues to share best practice and develop consistency in equality work across the public sector.</p> <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • It is challenging to get staff to self-report on protected characteristics. In encouraging staff to do this, it will be important to explain why this is helpful and provide an explanation of how the information will be used. • The Equalities Network now has an HR Business Partner leading on this area and the workplan has benefited from this dedicated support. • Equalities work should be embedded as part of business as usual rather than an "add on". • The training priorities were selected as part of a wider programme – disability and mental health were identified as a gap and the start of a rolling programme. • As part of the Justice Diversity Equalities Group, SCRA will draw on expertise from that group. • Unconscious bias training will be delivered to Board, EMT and wider staff group via the Justice arrangements. • Training has been delivered in-house by the HR Team and going forward it is hoped to build on this and deliver courses locally. • Mandatory diversity and equality training will continue to be a feature. Whole workforce extraction needs to be well planned and balanced against a range of priorities.. • The equalities network does have locality representation but it is hoped to increase this. • There is a standing invitation to Board members to attend meetings of the Equalities Network. 		

		Timescale	Action
	<p>Agreed:</p> <ol style="list-style-type: none"> 1. To continue the devolvement of equalities activity to the Equalities Network. 2. The equality network priorities for 2015/16 as detailed in the report. 3. To approve the publication of SCRA's Mainstreaming and Progress on Equality Outcomes Report March 2015 in line with The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012. 4. The HR Manager to link in with Anela Anwar (Board Member) in relation to establishing/developing further equalities contacts. 		
14.	<p>Shared Services Proposal</p> <p>The Head of Finance & Resources spoke to the report which detailed progress on the review of shared services.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. SCRA and CHS Boards agreed in December to review the shared services agreement and to explore the option of creating a small number of jointly funded posts where this mutually benefits both organisations. 2. It has not been possible to progress as far as originally intended in the consideration of joint points as CHS are undertaking a full organisational review of their structural needs. 3. To allow CHS the leadership space to conclude this activity, it has been agreed to support their Business As Usual needs by continuing to provide shared services for a period of six months. 4. A further report will come forward to the Board in June outlining the next steps. 5. SCRA Finance team continue to investigate the treatment of shared services income for VAT purposes, with support from the VAT Director at Scott Moncrieff. <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • VAT Threshold – the Head of Finance & Resources explained that income in relation to children's reporters secondments falls into the category of specialist posts and viewed as non-taxable supplies but this position, along with VAT position in relation to property rental and shared services income is being reviewed with the VAT Manager at Scottish Government to ensure it is correct. Once the position is confirmed by Scottish Government the next stage will be to seek a ruling from HMRC. 	June 15	EJ

		Timescale	Action
	<ul style="list-style-type: none"> Both SCRA and CHS Boards are aligned to the approach to shared services and this will be an area for discussion at the joint board meeting in August/September. <p>Agreed:</p> <ol style="list-style-type: none"> To approve the agreement to provide shared services to Children's Hearings Scotland for the six-month period between 1 April 2015 and 30 September 2015. To approve that a further report is presented to the SCRA Board in June 2015 outlining the shared services and joint posts proposals beyond September 2015. 		
15.	<p>New Risks There were no new risks identified.</p>		
16.	<p>Date of Next Meeting: Board Development Day 16 April 2015 - Kilmarnock Routine Board Meeting: 25 June 2015</p>		

SCRA Board Meeting Workplan 2015

Business Item								
Strategic/Corporate	11/12/14	22/1/15	26/3/15	16/4/15*	25/6/15	24/9/15	5/11/15*	10/12/15
Policy & Influencing Report	✓	✓			✓			✓
Research Programme		✓						
Annual Strategy Seminar						✓		
Risk Register	✓				✓			✓
Corporate Procurement Strategy						✓		✓
Communications Strategy						✓		
Governance								
Audit Committee Minutes	✓	✓	✓		✓	✓		✓
Remuneration Committee Minutes		✓				✓		
Development Day Minutes	✓	✓			✓			✓
Committee Annual Reports					✓			
Feedback on Board Performance							✓	
Nominations Committee Minutes					✓	✓		
Finance								
Budget Monitoring Report	✓		✓		✓	✓		✓
Draft Budget		✓	✓					
Annual Report & Accounts						✓		
Planning								
Draft Corporate & Business Plan	✓	✓	✓					✓
Annual Workforce Planning Report								
Performance								
Organisational Performance Report	✓		✓		✓	✓		✓
Operational								
Chief Executive's Report	✓		✓		✓	✓		✓
Complaints Review					✓			
Equalities Annual Report			✓					
Environmental Update			✓		✓			
Overview of Policies Annual Report	✓							✓
Inspection Themes Annual Report						✓ tbc		

* Board Development Days

SCRA Board Meeting Workplan 2015

Business Item								
	11/12/14	22/1/15	26/3/15	16/4/15*	25/6/15	24/9/15	5/11/15*	10/12/15
Health & Safety Annual Report						✓		
Efficiency Report						✓		
Children's Hearings (S) Act 2011	✓	✓			✓ **			
Young People's Board						✓		
Equalities Annual Report			✓					
New Bio-diversity Duties			✓		✓			
Procurement Strategy								✓
Communications Strategy								✓

* Board Development Days

** Update contained in Finance Report on agenda for 25/6/15

**Scottish Children's Reporter Administration
Minute of Board Development Day
held on Thursday 16 April 2015 at SCRA Office Kilmarnock**

Present:

Anela Anwar
Malcolm Dickson
Bernadette Docherty
Catherine Robertson
Carole Wilkinson
Douglas Yates

Apologies

Andrew Miller
Andrew Menzies

In attendance

Neil Hunter
Alistair Hogg
Tom Philliben
Malcolm Schaffer
Donald Lamb

1. Board skills matrix

(a) Issues arising during discussion

There is scope from public bodies to build on the stated generic skills.
We need to think about what a Board for the future (5-10 years) might look like:-

- Awareness of issues faced by children and young people in Scotland – how do we ensure all board members have this kind of awareness
- Balance between 'governance' – those technical aspects and more innovative/challenging contributions – steady state and forward progression
- Children's social work services – key partners – knowledge of this on the board is essential – as is of the justice system more widely. There should always be some presence of these skills.
- It's the mix – the blend – the sum total of individuals experience which is under constant review.
- Organisational development – delivery of successful change is a key skill gap. Private sector – background – pace of change can be helpful in challenging public sector norms.
- Cutting edge – what's round the corner – technology – future platforms – access to expertise – access to collaboratives in the public sector.

How do we set about advertising/translating this to recruitment approach? Nominations Committee are planning this.

- Gender balance has been a strength in the recent board – and should be maintained.
- Lessons learned from Boards that have struggled – where does this go and how is it captured?
- Use of co-option – to Committees only and not the Board – might be a way to fill needs and gaps.
- Age and experience – challenges of people who are still working. Very difficult to balance the needs both – but necessary otherwise skewed towards people who are retired.

Young people’s perspective, carers and parents perspective (including foster carers – how do we make this real?). Does the YP board possibly fill this need, alongside other representative agencies (WC?S/Includem) – noted WC?S seminar with public bodies on corporate parenting is arranged.

New legislation – key immediate challenges

- **Integration of health and social work** – different arrangements for children’s services will be challenging and inevitably will have risk of loss of focus
- **Named person and GIRFEC** – significant implications much more than we thought – SCRA leadership

Public appointments remains the key process and governance – our attempt here is to shape and adapt how we apply this, adapt language, improve accessibility and selection process methodology.

(b) Agreed

Summary of discussion to nominations committee for its consideration.

Action CW/NH

2. Training Plan

(a) Issues arising during discussion

- Risk workshop – for Board members – maybe some attendance at June managers event?
- Diversity and equality – need to refresh this as its been 2 years since last event and incorporate into programme.
- Briefing sessions and seminars – range of issues – external speakers – with staff members. (e.g. managers event) forward planning.

(b) Agreed

Chair and CEO to develop as above. Invite to Risk workshop in June to be considered/actioned

Action NH/CW

3. Risk appetite

(a) Issues arising during discussion

- Reputation and governance. Why were these considered as open initially – first exercise was individual returns towards a collective agreement collective – should now be removed as causing uncertainty.
- Investment in the hearing system – need to risk reputation a little more with some (government as one example) – whereas reputation with partners is separate with arguably a different appetite.
- Access to Ministers – how do we make this work more regularly for the Board to present important perspective and advice (as per function).

(b) Agreed

Risk appetite – unchanged and should be subject to review again at future audit risk workshop (as above)

4. 12 year data analysis

Donald Lamb led the Board through this extensive data presentation

(a) Referrals and key policy and legislative change

- Anti-Social Behaviour Orders
- Early and Effective Intervention/Whole System Approach
- Pre – Referral Screening
- Ministerial Task Force
- Significant Case Review's
- Offence referrals –levelling out after year on year falls.

(b) Ages

- Increased in younger ages – both referrals and CSO's
- Small increase at 16/17 years being retained
- Impact of new grounds – e.g. forced marriage in the future
- Court applications – increase for younger children

(c) CPO's

Influenced by:-

- Significant cases and reviews
- Policy reviews
- Inspections

- General upward incline
- Operational consequences – unpredictable workload – Hearings and Court

- Can be influenced by single authorities/phenomena
- Regional operation of the hearing system – how does that work – helpful/unhelpful? Extent to which some professionals have any regard to this (e.g. solicitors)

(d) Reporter decisions

- Current measures – steep rise
- Insufficient evidence to proceed– needs further understanding of this and perhaps partnership focus
- No action – dropping

(e) Decision making performance

- Varying contrasts on performance across the country
- 100 day performance – big spikes have been experienced as a result of both degree of focus and degree of challenges – currently as good as ever it has been at any time in SCRA

(f) Hearings and PHP's/BM's

- Fluctuations with new act. More settled picture likely to emerge
- Workload of a PHP is much more than business meetings – so numbers are only part of the story – labour effort is significant and ongoing
- Policy intent – visibility and rights – being delivered – but labour effort is with squarely with SCRA
- Dispensation – very different practices across the country. Pick up through ongoing liaison
- Case sampling exercise on deferred hearings will provide insights on what's underneath this 30% churn rate. Much of it will be legitimate and for good reason.

(g) Other issues

- Average age – referrals dropping
- Initial hearings not continued – decrease – more deferrals
- Hearing scheduling – impact of HMG scheduling
- Court – need for qualitative data to understand it better
- Appeals – doubled over time – new case law may lead to further changes. Number of successful appeals is the key – not necessarily global numbers.
- Context – revenue, staff costs, skills mix, reporter role

5. Ayrshire LMT

The Chair welcomed members of the Ayrshire LMT. The meeting was joined by:-

Lorraine Dalton – Locality Support Manager
Janet Robertson - Locality Support Manager
Lorraine Fraser - Locality Support Manager
Neil McKinlay – Locality Reporter Manager

Alan Mulrooney (LRM) and Lynne McCormack (LSM) were unable to attend.

(a) Locality resilience and cross Locality working

The LMT wanted to discuss their experiences over the last 12 months and in particular the difficulties they have had in relation to demands and resources and how they have set about tackling these internally and with assistance from the wider organisation. The LMT would describe the key components of this and their experience as managers in plotting a way forward.

Ayrshire had long been characterised by:-

- Previous, longstanding good performance
- Changes in management/turnover
- High levels of maternity leave with periodic cover

In 2014 the Locality experienced in addition to the above high levels of sickness absence and a high level of outreach hearing centres to cover – all of which had both physical and psychological impact in the workforce. There were both internal and external factors at play. The Locality resilience however was very low, as low as it has historically been. There was a 'perfect storm' in the Locality as a whole.

The challenging organisational savings target meant a reduction in temporary staffing available to provide any cross cover/resilience. But in general prior to the 'the storm' the LMT felt in a good place – felt able to focus on delivery of savings and the horizon looked clear.

- Run of court cases – factored staffing up to cover cases – time burden
- LTS – impact on other people – stress building up – was visible and we could see and feel it
- Annual leave – compounded staffing problems – but people needed a break
- Backlog – focus only on urgent cases – advice from SOM to initiate this business continuity approach

Permission was sought from the SOM to commit necessary resources and to overspend , but this in itself, because of time lag involved and resources available was in itself not sufficient. The LMT issues an SOS to rest of the country directly via the LSM's.

The focus of the SOS was the outcomes backlog – 170+ - relative terms very high for Ayrshire

There was a good response to the ask for help – was surprised by this – contrast to previous experiences – more respectful culture, less competitive – more empathy –

Pride in not asking for help - need to get over that as a collegiate group – culture change has been evident. LSM network – has led to a lot more mutual respect and support. This says something about the confidence of other teamsto be able and willing to help.

CMS facilitated the asks – batches of 10 cases to each helping team – learning about limitations of scanning capacity and management of queues. Journey travelled in getting the system right.

Learning points

- Should have used business continuity plan (BCP) earlier – structured approach to re-prioritising
- Resilience and vulnerability – has led directly to review of co-location and focus on outreach hearings and staff resilience.

(b) Ayrshire Integration

The LMT described the current project to integrate all Ayrshire services on a single site. In part this has been accelerated by the experience describes at 5(a) and is focussed on long term resilience and efficiency.

Balanced consultation – based on concrete things that are tangible...plan a – single floor – and a plan b – dependent on costs

Longer term plans – Ayr – reconfigure and seek lease... digital connectivity is key for remaining sites

In terms of outreach hearing centres a number of actions were taken:-

- Girvan and Kilbirnie – not up to standard...reception/facilities
- OHC strategy –MA's report – actions against plan
- Anonymity and much greater need for confidentiality and sensitivity
- Largs – closed
- Careful management of partner and provision of evidence for change

Working with other localities – see – model of mail room - revised job description and consultation with Unison on deployment of roles/. Headcount and imposition of parameters around staffing – add complexity to the situation and reduce levers.

Modern Apprentices – very positive experience – want to do more if possible. Wins for everyone. Desire to see MA's succeed. Different model – level of support locally etc. There is a high degree of support required but the end results are well worth it.

6. GIRFEC – Children and Young People (Scotland) Act 2014

Nick Hobbs joined the meeting. He introduced the draft SCRA approach to the current consultation on the 2014 Act guidance. Recent work has focussed on the Hearing system and GIRFEC needing to be seen as one continuum

We are moving this forward via events at the Children's Hearings Improvement Partnership and recent Managers events. With a focus on implications for the hearing system

Wellbeing – broadly accepted – what does this mean for hearing system where we work to 'welfare'. Steer from government is that wellbeing should replace welfare and be interchangeable with welfare. Interchangeability may be unhelpful – and could be risks

Treatment of 16/17 year old – 2014 act scope – 2011 act to 16...what should we be planning for – our policy is retention – in practice – less consistent

(a) Named person

Resources and skills – education and health 'cause for concern' – risk of overwhelm and risks having ongoing meaningfulness. Need to be confident about discriminating different types and levels of information.

Amalgamation of concern – and information sharing – and co-ordinated links to single professional mall bits of info not necessarily forming a necessary whole – between but also within agencies.

Visibility of Reporter and compulsory measures needs to be strengthened.

Doesn't deal with higher level concerns adequately – approach will deal with low level concerns.

How do we move along the continuum – by what means/ measures.

Childs plan and lead professional need ongoing discussion and clarity.

Pass points between services– well being and welfare alignment is key. Its here that gaps in understanding could be important.

Thresholds – Referral to reporter and alignment to work done by MS via CHIP

(b) Childs Plan

If used well – very useful. SCRA should make the point about a national framework.

Child should have one plan – should be truly multi –agency ...reporter role on investigation should consider the plan – but not be constrained by it – nor feel unable to see it as inadequate - must avoid child's plan being used to circumvent Reporter independence or to challenge panel decision/authority.

Need for balance between children's rights and criminal investigation – see reference in guidance – we need to come out firmly on needs of the child.

(c) Corporate parents

SCRA became a Corporate Parent (CP) on 1/4/15 – formal guidance awaited – timetable for formal reporting....practical ways to discharge CP duties within context/statutory obligations of the agency

Need to think of SCRA activity in Corporate Parent terms increasingly

UNCRC and equality duties – could form basis of November development day.

(d) Summary

Board endorsed the necessary focus on implications for the Hearing System and general approach being taken.

DRAFT

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

Audit Committee Annual Report for 2014/15

Accountable Board Member: Malcolm Dickson **Date:** 2 June 2015

Report Authors: Head of Finance & Resources
Executive Officer

Recommendations:

1. To approve the Audit Committee Annual Report for 2014/15 for submission to the Board.
2. To approve the revised Audit Committee Terms of Reference.

Reason for Report: For approval.

Resource Implications: Not applicable

Strategy: Not applicable

Equalities Duties: Equalities Impact Assessment Not Required

Document Classification Not protectively marked

1. Introduction

- 1.1 The purpose of this report is to summarise the work undertaken by SCRA's Audit Committee in 2014/15 and to support preparation of the Governance Statement.

2. Context of the Audit Committee

- 2.1 The Audit Committee's Terms of Reference are attached at Appendix 1. These were reviewed by the Audit Committee at its February self-assessment session and will be presented annually to the Board for approval as part of this report.

- 2.2 The Audit Committee's membership for 2014-15 was as follows:

Malcolm Dickson, Chair
Andrew Menzies, Deputy Chair
Bernadette Docherty
Catherine Robertson

- 2.3 The meetings of the Committee are attended by the SCRA Chair, the Principal Reporter/Chief Executive, the Head of Finance & Resources and the Internal and External Auditors. Other members of the Executive Management Team attend on a regular basis with input from other officers as appropriate. The Executive Officer took minutes for all meetings of the Committee in 2014/15.

- 2.4 The Committee met four times in 2014/15: May 2014, August 2014, November 2014 and February 2015.

- 2.5 The agenda for each Committee meeting is drafted by the Head of Finance & Resources and approved by the Audit Committee Chair. In addition a pre-agenda briefing (if required) is held with the Audit Chair involving the Principal Reporter/Chief Executive and Head of Finance & Resources. An overview of the 2014/15 meeting agendas is attached at Appendix 2 and Appendix 3 shows delivery against planned outputs for the year.

- 2.6 The External Auditors, PriceWaterhouseCoopers and the internal auditors Scott Moncrieff were in place throughout 2014/15.

3. Assurance

- 3.1 The Audit Committee gains assurance from the reports submitted by the three audit leads and from the management response to audit recommendations. The audit plans, developed using SCRA's current strategic objectives and a risk based approach to identification of priority areas for audit review, between them cover a wide range of operational, financial and governance systems.
- 3.2 The focus of financial reporting in the year was the presentation of the 2013/14 Annual Accounts and the External Auditor's report on the 2013/14 Audit in August 2014. In the year ended 31 March 2014, SCRA reported an excess of expenditure over income of £26,257,000 against revenue grant-in-aid of £21,940,000 with a resulting negative impact on the General Fund Reserve. The General Fund Reserve had a surplus of £11,177,000 and the Pension Reserve had a deficit of £31,878,000 compared to £9,223,000 as at March 2013. The Auditor expressed an unqualified opinion on the 2013/14 financial statements.
- 3.3 The external and internal auditors have delivered to plans and timelines throughout 2014/15. There has been co-operation between both sets of auditors and between the auditors and SCRA staff and this has been acknowledged in audit reports. Having assessed the Internal Audit function the external auditors were able to place reliance on the work of the internal auditors in a number of areas. Management has agreed with all audit recommendations identified in 2014/15.
- 3.4 Risk management is a key priority for the Board, alongside performance and financial management. The role of the Audit Committee in relation to risk management is to help the Board address the key financial and other risks facing the SCRA in carrying out its statutory functions and working towards its strategic objectives. This involves Audit Committee members considering any new risks at each Committee meeting, scrutinising the Strategic and Operational Risk Registers every six months and participating in an annual risk mapping exercise at the main Board. Risk is a standing item at Board, Committee and Management Team meetings.
- 3.5 The Internal Auditor reviewed risk management arrangements in 2014-15 and improvements to current arrangements will be implemented, including establishment of a Risk Reference Group to oversee development of Locality risk management.

- 3.6 SCRA/CHS joint risks are monitored via the regular Chief Executive SCRA/CHS Liaison meetings with any risks being escalated to Board level as appropriate.
- 3.7 A number of the joint risks have been closed and a refresh of the risks will be undertaken at the joint Board meeting being scheduled for Autumn 2015.
- 3.8 No business critical recommendations were identified by the auditors in 2014/15.

4. Impact

- 4.1 Throughout the year as well as the routine business for the Audit Committee as with last year there was a particular focus on information governance, quality assurance and case management. The case management system focus moved from development and stability to operational sustainability and resilience.
- 4.2 The Executive Management Team has welcomed the rigor of Audit Committee's scrutiny and advice which has maintained an appropriate balance between scrutiny and support.
- 4.3 The Audit Committee has achieved the following during 2014/15:
 - tracking and influencing progress on non disclosure and case information breaches
 - reviewing compliance with, and implementation of the ICO Audit recommendations.
 - scrutinising the organisation's risk profile, providing input and scrutiny on the application and review of SCRA's risk management approach and commissioning the internal auditors to review risk management arrangements and agreed an action plan to further embed risk management arrangements at locality level
 - approving and overseeing Internal and External Audit programme plans
 - providing scrutiny and direction to SCRA Senior Managers on implementation of Internal and External Audit recommendations across the year
 - approving SCRA's Quality Assurance programme
 - assessing the work of the Audit Committee against relevant standards as developed by Audit Scotland and aligning practice as required
 - receiving and responding to reports in relation to progress and risks in relation to the SCRA Pension Fund (Falkirk LGPS)
 - The following Audit Scotland reports fed into the organisation's operations during 2014/15: Scotland's public finances – a follow up audit: Progress in meeting the challenges. SCRA has also been involved in Audit Scotland's Managing ICT Contracts Follow Up which will report in 2015/16.

5. Audit Committee Self Assessment

- 5.1 Audit Committee members undertook its annual self-assessment exercise in February 2015.
- 5.2 There were no significant areas of concern identified.
- 5.3 Changes agreed and areas identified where the Committee could improve upon its current level of effectiveness were:
- Keeping non-Audit Committee members informed – the potential to hold sessions on specific issues outwith the normal board sessions was agreed to keep all Board members up-to-date
 - Training – all Committee members have undertaken basic training but it was agreed that it would be beneficial to observe other Audit Committee meetings.
 - To set aside time once or twice a year after Audit Committee meetings to review corporate governance failures as a learning tool.
 - As part of overall assurance, it would be useful for Audit Committee members to attend one or two internal meetings.
- 5.4 Risk Appetite – the Committee reviewed SCRA’s current risk appetite and the revised appetite was scheduled for discussion at the April Board Development Day.

6. Plans for 2015/16

- 6.1 The Audit Committee will meet in May 2015, August 2015, November 2015 and February 2016. The focus of the meetings will be as follows:

May 2015

Internal Audit Annual Report
Audit Committee Annual Report
Annual Audit Plan (Internal Audit)
Internal Audit Reviews (per Annual Plan)
External Audit: Accounting Policies
Risk Management
Pensions Update
Interim Management Letter (External Audit)
Governance Statement

August 2015

External Audit Report on the Annual Accounts

Annual Accounts 2013/14

Internal Audit Reviews (per Annual Plan)

Private Meetings with Internal/External Auditors (Audit Committee Members only)

Fraud

(At conclusion of meeting – Review/Discussion of Corporate Governance Failures)

November 2015

External Audit Annual Report

Internal Audit Reviews (per Annual Plan)

Risk Management

Pensions Update

February 2016

Annual Audit Plan (External Audit)

Internal Audit Reviews (per Annual Plan)

Audit Committee Self-Assessment

(At conclusion of meeting – Review/Discussion of Corporate Governance Failures)

- 6.2 Regular Progress Reports will be presented throughout the year by the Internal and External Auditors. Regular reports on Quality Assurance & Performance and Audit Recommendations will be presented to the Audit Committee.
- 6.3 To ensure that the Audit Committee has a mechanism to keep it aware of topical, legal and regulatory issues, the External Auditors have been requested to provide a regular update report detailing issues relevant to SCRA.

7. Recommendations

- 7.1 To approve the Internal Audit Committee Annual Report 2014/15.
- 7.2 To approve the revised Audit Committee Terms of Reference.

Audit Committee Terms of Reference

Changes marked in bold and italics

The Board has established an Audit Committee as a Committee of the Board to support them in their responsibilities for issues of risk, control and governance and associated assurance through a process of constructive challenge.

Constitution

1. The Audit Committee shall consist of four members of the Board, with the Chair of the Board and the Principal Reporter/Chief Executive as *ex officio* members.
2. The Chair of the Committee will be at the discretion of the Board and membership of the Committee will be reviewed as required by the Board from time to time.
3. The quorum required to be present at any meeting of the Committee shall comprise no fewer than two members.
4. The Internal Auditor and External Auditor will attend meetings of the Committee at the request of the Chair and other officers as appropriate. The Committee will from time to time meet with the Internal Auditor and External Auditor in private.
5. The Committee will report to the Board on its deliberations and will take any directions from the Board on any course of action which it should take, either generally or on any specific matter. A copy of the Minutes will normally form the basis of the Report.
6. The Committee will review its own effectiveness and provide an overview report to the Board annually on the Committee's work and key considerations.
7. The Audit Committee may
 - (i) co-opt additional members for a period not exceeding a year to provide specialist skills, knowledge and experience , and
 - (ii) procure specialist ad-hoc advice at the expense of the organisation, subject to budgets agreed by the Principal Reporter/Chief Executive

The Remit

To promote and demonstrate high standards of corporate governance, by:

- Helping the Board address the key ~~financial and other~~ risks facing the SCRA in carrying out its statutory functions and working towards its strategic objectives;

- Providing assurances relating to:
 - corporate governance requirements for the organisation
 - strategic processes for risk, control and governance
 - the Governance statement
 - the effectiveness of the internal control environment
- Based on a needs assessment, agreeing a regular and responsive programme of audit on the management and control of work within the Administration and receiving reports on that audit;
- Deciding on the most efficient and effective means of carrying out the agreed programme of audit;
- Reporting on the planned activity and results of both internal and external audit, and on the adequacy of management response to issues identified by audit activity, including external audit's management letter/report,
- Overseeing the finalisation and submission of the accounting policies, the accounts, including the process for review of the accounts **and governance statement** prior to submission for audit, levels of error identified, and the management's letter of representation to the external auditors
- Alerting the Board and, where necessary, Scottish Ministers to factors which might affect the ability of the Administration to carry out its statutory functions and achieve its strategic objectives.
- Consider any proposals for tendering for internal services or for the purchase of non-audit services from contractors who provide audit services.
- **Overseeing and alerting the Board, where appropriate Advising** on anti-fraud policies, whistle-blowing processes, and arrangements for special investigations

Date: February 2015

Agenda items in 2014/15

Lead	May 14	August 14	November 14	February 15
External Audit	<ul style="list-style-type: none"> ▪ Interim Management Letter 	<ul style="list-style-type: none"> ▪ Report to those Charged with Governance on the 2013/14 Audit (ISA 260), Management Representation Letter 2013/14 and Annual Report 2013/14 ▪ General update on changes to Pension Schemes 	<ul style="list-style-type: none"> ▪ Update Report 	<ul style="list-style-type: none"> ▪ External Audit Plan 2014/15 ▪ General Update Report
Internal Audit	<ul style="list-style-type: none"> ▪ Strategic & Annual Internal Audit Plan 2014/15 ▪ Annual Report 2013/14 ▪ Follow-up Review 	<ul style="list-style-type: none"> ▪ Annual Plan Progress Review ▪ Key Performance Indicators ▪ Post Implementation Review of CMS ▪ Developing SCRA's Approach to Risk Management 	<ul style="list-style-type: none"> ▪ Annual Plan Progress Review ▪ Audit Recommendations Follow-up ▪ Internal & External Communications Review 	<ul style="list-style-type: none"> ▪ Procurement & Financial Controls Checklist ▪ Shared Services ▪ Workforce Planning ▪ Draft Annual Plan 15/16 ▪ Developing SCRA's Approach to Risk Management
Head of Finance & Resources	<ul style="list-style-type: none"> ▪ Draft Annual Accounts 2013/14 ▪ Accounting Policies ▪ Governance Statement ▪ Strategic & Operational Risk Registers ▪ Pensions Update ▪ Developing SCRA's Approach to Risk Management 	<ul style="list-style-type: none"> ▪ Draft Annual Accounts 2013/14 ▪ Case Management Analysis Update ▪ Pensions Changes 	<ul style="list-style-type: none"> ▪ Strategic and Operational Risk Registers ▪ Pensions Update ▪ Annual Fraud Report ▪ CMS User Interface Improvement Plan Update 	<ul style="list-style-type: none"> ▪ Pensions Update

Lead	May 2014	August 2014	November 2014	February 2015
Head of Planning & Strategy	<ul style="list-style-type: none"> ▪ Quality Assurance Work Programme ▪ Report on Case Sampling on Appeals ▪ Report on Case Sampling on Drafting of Statement of Grounds 	<ul style="list-style-type: none"> ▪ SCRA Annual Report 2013/14 ▪ Reporter Decision-making for Children subject to a Compulsory Supervision Order ▪ Management of Delay Review 	<ul style="list-style-type: none"> • Case Sampling on Pre-Hearing Processes and Practice • Sustainability, Quality and Performance • Annual Report – Joint Inspection of Children’s Services • Case Sampling Action Plan 	<ul style="list-style-type: none"> ▪ Quality Assurance & Performance – Report on Case Sampling/Audit Programme 2015/16 ▪ Quality Assurance Report on Observation of the Reporter at a Children’s Hearing
Head of Practice & Policy	<ul style="list-style-type: none"> ▪ Case Information & Non-Disclosure Breaches 	<ul style="list-style-type: none"> ▪ Case Information & Non-Disclosure Breaches ▪ Lapsed Orders 	<ul style="list-style-type: none"> ▪ Breaches of Non-Disclosure Orders and Case Information ▪ Lapsed Orders 	<ul style="list-style-type: none"> ▪ Breaches of Non-Disclosure Orders & Case Information
Director of Support Services	<ul style="list-style-type: none"> ▪ ICO Data Protection Audit 	<ul style="list-style-type: none"> ▪ ICO Data Protection Audit of SCRA – Action Plan Progress Report 	<ul style="list-style-type: none"> ▪ ICO Data Protection Audit of SCRA – Action Plan Update 	<ul style="list-style-type: none"> • ICO Audit – Follow-Up Report
Audit Committee Chair	Audit Committee Annual Report 2013/14	Private Meetings with Internal/External Auditors (Committee Members only)		<ul style="list-style-type: none"> ▪ Audit Committee Self-Assessment
Information Governance Working Group Chair				<ul style="list-style-type: none"> ▪ Information Governance Working Group – Report on Future of Group

Delivery of 2014/15 Audit Plans

Quality Assurance Planned Outputs	Status
SCRA's Quality Assurance Framework & Work Programme	Report to May 2014 meeting
Outcomes of Case Sampling	Reports to May, August, November 2014 and February 2015 meetings

Internal Audit Planned Outputs	Status
Localities Review	Report to May 2015 meeting
Post Implementation Review of CMS	Report August 2014 meeting
Developing SCRA's Approach to Risk Management	Report August 2014 and February 2015 meetings
Internal & External Communications Review	Report to February 2015 meeting
Procurement and Financial Controls Checklist	Report to February 2015 meeting
Shared Services	Report to February 2015 meeting
Workforce Planning	Report to February 2015 meeting
Internal Audit Recommendations Follow-up Review	Report to May and November 2014 meetings
Key Performance Indicators	Report to August 2014 meeting
Strategic Annual Internal Audit Plan 2014/15	Report to May and November 2014 meetings
Annual Report 2013/14	Report to May 2014 meeting
Annual Plan Progress Reviews	Reports to August and November 2014 meetings
Strategic and Annual Internal Audit Plan 2015/16 - draft	Report to February 2015 meeting

External Audit Planned Outputs	Status
Progress Reports	Updates on topical issues to August, November 2014 and February 15 meetings.
Review of Internal Controls 2013/14	Report to May 2014 meeting
Report to those Charged with Governance on the 2012/13 Audit	Report to August 2014 meeting
Annual Plan 2014/15	Report to February 2015 meeting

**Scottish Children's Reporter Administration
Minutes of SCRA Audit Committee
held on 21 May 2015 at Ochil House, Stirling**

Present:

Malcolm Dickson (Chair)
Andrew Menzies
Bernadette Docherty
Catherine Robertson

In attendance:

Carole Wilkinson (SCRA Chair)
Neil Hunter (Principal Reporter/Chief Executive)
Ed Morrison (Head of Finance & Resources)
Malcolm Schaffer (Head of Practice & Policy)
Elliot Jackson (Head of Planning & Strategy)
Janis McDougall (Executive Officer)
Kirsty MacDiarmid (Quality Assurance Manager) - Observer

Internal Auditors (Scott Moncrieff)

Robert Mackenzie
Susan Mackay

External Auditors (PricewaterhouseCoopers)

Claire Connor

		Timescale	Action
1.	AOB There were no additional items of business.		
2.	Apologies Apologies were received from Lyndsey Paterson, PWC.		
3.	Declarations of Interest There were no declarations of interest.		
4.	Minute of Meeting held on 19 February 2015 The minute was agreed as a correct record. The action log and workplan were reviewed. Noted: 1. Quality Assurance Programme – the content of future reports to be expanded to include context/justification for inclusion of topics in the final programme as well as those topics considered but not included. 2. CMS – a closure report on the CMS User Interface Programme will be scheduled into the workplan for a report to August Audit Committee.	Immediate Aug 15	EJ JMcD EM
5.	Matters Arising There were no matters arising.		

		Timescale	Action
6.	Information Governance		
6.1	<p>Case Information & Non-Disclosure Breaches 2014/2015</p> <p>The Head of Practice & Policy introduced the report which detailed the numbers of Non-Disclosure Orders and Case Information Breaches reported in 2014-15.</p> <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • Glasgow - 25% of their cases are non disclosure. Work is ongoing with the City Council and CELCIS to address the high volume – to date the numbers have not reduced. Arrangements are now in place (via national guidance) for joint reviews of breaches to take place with local authorities. • Dialogue continues at locality level re non-disclosure orders. • Consultation by Scottish Government GIRFEC team on Child’s Plan has led to SCRA reflecting on vulnerability of addresses where mentioned frequently in reports. (This was raised in SCRA’s response). There will not be standard template for a child’s plan – there will be individual local authority discretion. • The Senior Operational Manager has completed a review of the case information breaches in Lanarkshire and Dumfries & Galloway. No pattern has been identified that would account for the increase in breaches. • Generally in reviewing case information breaches - the issue around the need for a final check of papers before insertion into the envelope is a recurring theme. The message has been communicated to Teams that it is preferable to have a deferred hearing than sending out papers in a rush at the last minute which result in wrong papers being issued. • Developments in IT may begin to reduce the risk of issue of wrong papers e.g. Panel Pocket, electronic transmission are being scoped and developed now. • The issue around accuracy of information in particular address details is being progressed via Social Work Scotland and Police Scotland. • The IG Leads Group has learning/sharing of best practice as a standing item on its meeting agenda. • The Case Studies were extremely helpful in demonstrating/providing an understanding of how breaches had occurred. 		

		Timescale	Action
	<p>Noted:</p> <ol style="list-style-type: none"> 1. In 2014-15 there were 55 breaches of Non-Disclosure Orders which happened in 44 incidents. Twenty-eight of these breaches were caused by SCRA in 23 incidents. This was an increase in the numbers of non-disclosure orders breached by SCRA from previous years. 2. There were 82 breaches of case information reported in 2014/15 and in 57 of these incidents SCRA was the cause. This is a decrease from previous years in both the numbers of all reported case information breaches and those caused by SCRA. 3. Risk – no case information breaches were assessed as high risk. In Quarter 4 2014/15 one of the nine Non-Disclosure Order breach incidents was assessed as high risk. 4. SCRA continues to work with partners to raise awareness on appropriate application of the non-disclosure conditions and prevention of breaches. 5. SCRA's Information & Research Team has carried out research on Non-Disclosure Orders and Rule 16, in particular on decision making and management of cases. The report is scheduled for completion by end June 2015. <p>In concluding discussion of this item, the Committee acknowledged that although the figures had increased, they represented a small percentage of all communications issued. Progress is being made at national level by engaging with partners and internally there remains a focus on information governance. The ICO Action Plan has been implemented and is tracked at management and Audit Committee level.</p>		
7.	<p>Audit Committee Annual Report 2014/15</p> <p>The Chair of Audit introduced the report which summarised the work undertaken by SCRA's Audit Committee in 2014/15 and to support the preparation of SCRA's Governance Statement.</p>		

		Timescale	Action
	<p>Noted:</p> <ol style="list-style-type: none"> 1. As well as the routine business for the Audit Committee there was a particular focus on information governance, quality assurance and case management. The case management system moved from development and stability to operational sustainability and resilience. 2. The Executive Management Team has welcomed the rigor of Audit Committee's detailed approach which has maintained an appropriate balance between scrutiny and support. 3. The Committee has reviewed its terms of reference and proposed minor amendments. <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • Workplan - timing of sessions to review/discuss corporate governance failures to be amended to August and February meetings. Note – The PR/CE/Executive Officer will link in with the Internal and External Auditors to source suitable public reports on governance failures. • Clarification to be provided at para 3.2 in relation to the reported excess of expenditure over income. • Joint Risks (SCRA/CHS) – the PR/CE advised that a number of risks have been closed and that it is proposed to start afresh in terms of considering joint risks. Reference to be included in report that the joint risks will be refreshed at the joint Board meeting (SCRA/CHS) scheduled for autumn. <p>Agreed:</p> <p>To approve the Audit Committee Annual Report subject to the amendments noted above and the revised Audit Committee Terms of Reference for submission to the Board.</p>	June 15	JMcD
8.	Quality Assurance and Performance		
8.1	<p>Case Sampling Report on Deferred Hearings</p> <p>The Head of Planning & Strategy spoke to the Case Sampling Report on Deferred Hearings.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. The exercise sought to identify any learning about whether or how the number of deferred hearings could be reduced. Any hearing that is deferred for avoidable reasons can potentially cause distress to children and families, by requiring attendance at a further hearing. 		

		Timescale	Action
	<p>2. Any hearing that is deferred costs money and time for all participants, including children and families, professionals and panel members. The cost of a deferred hearing for SCRA alone is at least around £83.</p> <p>3. The reasons for deferring a hearing are multi-faceted. Where reasons for deferring the hearing were known, these fell into 13 separate categories. Lack of attendance by a child or relevant person was the most common reason for hearings being deferred and hearing deferred for attendance of an individual amount to 40.3% (191) hearings. In five of these hearings, SCRA could have taken action in advance of the hearing, which may have prevented the hearing being deferred.</p> <p>4. Reasons are not captured on SCRA's Case Management System and there is a need to scope the delivery of this functionality over the course of the CMS development programme. SCRA's CMS Change Authorisation Board will consider a change request to enable the reasons for deferring a hearing to be recorded.</p> <p>5. Reviewers concluded that in almost 85% of hearings, there was no action that SCRA could have taken that may have prevented the hearing from being deferred. There were some examples where earlier notification and earlier requests for reports could have been made.</p> <p>6. Reviewers concluded that SCRA may have been able to take alternative action that could have prevented the hearing deferred in 15% (72 cases).</p> <p>7. There was some poor recording in relation to the purpose(s), decision(s) and reasons to defer the hearing.</p> <p>8. The findings of the exercise will be shared with all Reporters in local practice meetings to ensure compliance with Practice Direction and statute.</p> <p>9. There is a robust management action plan arising from the report in place which will be monitored and tracked via the Practice & Quality Network.</p> <p>Issues arising during discussion: The issue around social workers not turning up related primarily to one Local Authority area but the position there is now known to be improving.</p>		

		Timescale	Action
	<ul style="list-style-type: none"> • The percentage of cases being deferred due to the lack of a social work report was low. • Case sampling reports provide real value in terms of progressing issues with partners. • Safeguarders work to a timescale of producing a report 35 working days from the date of notification. There is an issue around how quickly SCRA undertakes notification to them – this is being addressed. Regular meetings are held with the Scottish Safeguarders' Association and Children 1st. • In the longer term, secure electronic transmission of papers will help with issues of delay. • The recurring theme of inaccurate recording also arises in this report. In response to a question raised by a Board member, the Head of Practice & Policy confirmed that in the vast majority of cases the implication of a missing statutory reference is immaterial although it is more serious in some cases than others. • Recording is a core/fundamental element of the role of the Reporter. Inaccurate recording does have an impact of children, young people and families and also has financial implications. • The Practice & Quality Network track and monitor the action plan arising from case sampling reports. • There is a linked piece of work underway via CHIP – the group recently considered a paper by Social Work Scotland on What Makes a Good Hearing, focussing on the pre-planning, delivery and outcome aspects. • The new video "Going to a Hearing" produced by SCRA is now on SCRA's website. <p>Agreed: To note the findings of the case sampling exercise on Deferred Hearings and to approve the management action plan.</p>		
9.	External Audit		
9.1	<p>Annual Accounts 2014/15</p> <p>The Head of Finance & Resources spoke to the report which detailed arrangements for the preparation of SCRA's 2014/15 Annual Accounts.</p>		

		Timescale	Action
	<p>Noted:</p> <ol style="list-style-type: none"> 1. There are no changes to the Financial Reporting Manual or updates from Audit Scotland which effect presentation and disclosure requirements in the 2014/15 Annual Accounts. 2. The Accounting Policies have not changed from those adopted in preparation of the 2013/14 financial statements. 3. The key dates in the preparation of SCRA's 2014/15 financial statements. 4. The sensitivity analysis within the review of accounting policies and estimation techniques will need to be updated with the latest information received from the Pension Fund Actuaries. (The IAS19 valuation has just been received and is showing a significant increase in the deficit – the Head of Finance & Resources is scheduled with meet with Hymans Robertson on 22/5/15). The valuation has been shared with SCRA's External Auditors. 5. VAT – The Head of Finance & Resources has met with the VAT Manager at Scottish Government in relation to shared services. The view is that the mutual assistance clause in the legislation may be sufficient in terms of statutory requirements to exclude VAT applicability. The next step is to submit a technical enquiry form to HMRC. <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • Pensions <ol style="list-style-type: none"> (1) The external auditors (PWC) confirmed that the actuarial assumptions were within the normal range. As part of the normal year-end work, the external auditors will be looking at these. (2) The Head of Finance & Resources will update Andrew Menzies and Catherine Robertson following the meeting with Hymans Robertson. • Governance Statement <ol style="list-style-type: none"> (1) There was a question around the content of the governance statement - e.g. there is no overall description of governance; no mention of staff recruitment/training or a Whistleblowing Policy or that policies are in place and fit for purpose. 		

		Timescale	Action
	<p>The Head of Finance & Resources confirmed that the statement followed the guidance set out in the Scottish Public Finance Manual but that he would review the content in line with Audit Committee discussion with a view to including additional information.</p> <p>(2) A reference to information governance being a standing item on the Audit Committee agenda will also be included.</p> <p>(3) The text to be reviewed to ensure consistency of terminology.</p> <p>Agreed:</p> <ol style="list-style-type: none"> 1. To approve SCRA's accounting policies for adoption in preparation of the 2014/15 financial statements. 2. To approve the Governance Statement for inclusion in the 2014/15 Annual Accounts subject to amendments as detailed above. 	August 15	EM
9.2	<p>Audit Committee Update Clare Connor, External Auditor spoke to the update date report.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. The external audit planning process is now complete in advance of the year end audit visit (June 2015). 2. The Audit Scotland ICT follow-up report is due for publication and will be submitted to the first available Audit Committee. 3. For future reports detailing submission dates for planned work it would useful to show the corresponding Audit Committee dates to demonstrate that the Committee is meeting its deadlines. 4. The internal and external auditors would be able to assist the Committee in providing access to source material in relation to corporate governance failures. (The Audit Committee has agreed to set up two sessions per year to review corporate governance failures). 		PWC
10.	Internal Audit		
10.1	<p>Follow-up Review Susan Mackay, Scott Moncrieff spoke to the report which provided updates on the outstanding internal audit recommendations from previous financial years as well as the recommendations from 2014/15 internal audit reports.</p>		

		Timescale	Action
	<p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • Significant process has been made on the recommendations since the last update report six months ago. • In response to a question raised around the delay in relation to action point 4.1 – Shared Services Time Recording - the Head of Planning & Strategy advised that the tool has been developed and is currently being tested before rollout. <p>Noted:</p> <ol style="list-style-type: none"> 1. A total of 22 recommendations were followed up: 13 were completed; 3 not yet due; 2 outstanding; and 4 partially complete. 2. The recommendations from the risk management strategy in May 2014 have been superseded by the recommendations from the second risk management review during 2014/15 and reported to the Audit Committee in February 2015. These recommendations will be reported on in the next follow-up report in November 2015. 3. The two year time delay in relation to Operating Procedures is linked to the detailed piece of work necessary and now well underway to produce a national standard set of casework processes. This is being guided by the National Users Group (NUG) 		
10.2	<p>Localities Review: Tayside & Fife</p> <p>Susan Mackay, Scott Moncrieff introduced the report which detailing the findings of the Tayside & Fife Localities Review.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. The findings from the high level review of controls in place including effective leadership, decision making, communication, planning and performance management. 2. Some areas for improvement have been identified which if addressed will further enhance efficiency and effectiveness. 3. The Management Response indicated the two low level recommendations were accepted and will be taken forward within the timescales detailed in the Management Action Plan. 		

		Timescale	Action
	<p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • There was a general issue raised by the Committee about the category of recommendations. For example - there were one or two instances of significant processes not happening in the locality and a report outcome of two low level recommendations which seemed out of alignment. The expectation would have been for a higher level grading of recommendations. <p>The Internal Auditors confirmed that significant material and additional information had been reviewed to provide assurances, that arrangements were in place but that these arrangements needed to be further developed. To have made stronger recommendations would have been unfair to the locality and not reflective of the actual situation on the ground. The focus is on development and continuous improvement.</p> <p>The Principal Reporter/Chief Executive reported that he had attended the recent Tayside and Fife Locality Management Team. The team had found the audit exercise robust with over 40 documents having been reviewed over 3 days. Across all localities there are a number of inadequacies in locality planning and these are being addressed in the 2015/16 planning cycle.</p> <p>The Locality have made significant improvements since the time of the internal audit review and taken on board the recommendations. Locality targets have been set and management arrangements have been transformed.</p> <p>The Performance Management Scheme has been re-launched to the service and training has been undertaken by Managers. A case sampling audit is due for later this financial year.</p> <p>The HR Manager confirmed that there are checks in place to ensure appraisals are carried out.</p> <p>Both the Chair of Audit Committee and the Internal Auditors noted that the Localities Review was conducted against specific audit objectives, agreed by the Audit Committee, and that the focus of the recommendations was therefore on areas of improvement relating to these objectives. Nevertheless the Chair concluded that healthy differences of interpretation of audit findings would arise occasionally and that all concerned would learn from this.</p>		

		Timescale	Action
10.3	<p>Annual Report 2014/15 Robert Mackenzie, Scott Moncrieff spoke to the Internal Audit Annual Report which detailed activity undertaken during the year ended 31 March 2015.</p> <p>Noted:</p> <ol style="list-style-type: none"> 1. The strategic internal audit plan was agreed in consultation with senior management and formally approved by the Audit Committee. 2. Reports were provided on: Internal & External Communications, Shared Services, Workforce Planning, Financial Systems Healthcheck/Procurement, Locality Reviews and two Follow-Up Audit Recommendation reports. 3. SCRA has a framework of controls in place that provides reasonable assurance regarding the effective and efficient achievement of the organisation's objectives and the management of key risks. 4. Proper arrangements are in place, in the areas reviewed, to promote value for money, deliver best value and secure regularity and propriety in the administration and operation of the organisation. <p>Agreed: A further version of the report to be issued to Audit Committee members which details the reconciliation of the planned days (67) to actual days (50). This was confirmed as –</p> <ul style="list-style-type: none"> • 5 days reduction in Shared Services review • 5 days added for Risk Management • 5 days reduction in Locality Reviews • 2 days reduction in Communications review • 10 days for ICT delivery delayed 	June 15	Scott Moncrieff
10.4	<p>Annual Plan 2015/16 Robert Mackenzie, Scott Moncrieff spoke to the Internal Audit Plan for 2015/16.</p> <p>Noted: The Plan has been updated to reflect comments and changes proposed by management and those made at the February 2015 Audit Committee.</p> <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> • The plan is covering all relevant areas in terms of business activity and areas currently flagged on the Strategic and Operational Risk Registers. 		

		Timescale	Action
	<ul style="list-style-type: none"> It would be helpful to have early indication of any issues arising from the Sustainability Review (without compromising the independence of the report) to feed into the Spending Review process. <p>Agreed: To approve the Internal Audit Plan for 2015/16.</p>		
11.	Risk Management		
11.1	<p>Strategic and Operational Risk Registers</p> <p>The Principal Reporter/Chief Executive introduced the report which provided an update on the Strategic and Operational Risk Registers.</p> <p>Noted:</p> <ol style="list-style-type: none"> The first meeting of the Risk Reference Group has taken place and arrangements are underway to hold a Risk Workshop in June facilitated by the internal auditors. The risks across both registers focus on the ongoing challenges in the delivery of a safe and effective service at a time of continued change and introduction of new working methods. The focus for the organisation is now to move to sustainable performance delivery and quality of outcomes. The most recent review of the registers indicate: <ul style="list-style-type: none"> Operational capacity for safe and effective service delivery remains the significant risk. A full revision of actions and timescales has been undertaken with advice from the Operational Group/Senior Operational Managers. Service plan and business model (linked to operational capacity) continue to show as high risks but stabilising/improving. The current actions are thought to be adequate but require more time to sufficiently apply. Medium term ability of CMS to support effective operations – as reported in December, it was expected this risk would decrease and this has been achieved. Efficiency plan and delivery of sustainable budget are inextricably linked to operational capacity risks and are therefore showing a continued upward trend. 		

		Timescale	Action
	<p>Issue arising during discussion:</p> <ul style="list-style-type: none"> An annual risk session for the Board will be planned for the November Development Day – this is in alignment with the planning process for feedback from staff planning events as part of the bottom-up approach. <p>Agreed: To note the Operational Risk Register and approve the Strategic Risk Register.</p>	Nov 15	JMcD
12.	<p>Pensions Update</p> <p>The Head of Finance & Resources spoke to the Pensions Update report.</p> <p>Noted:</p> <ol style="list-style-type: none"> The business at the Pensions and Investment Conference in April included: <ul style="list-style-type: none"> Review of 2014 Valuation Presentations on: Investment Strategy; The LGPS Landscape; Key Industry Developments and Investment Performance Review; Key Economic and Industry Trends; and Club Vita overview and results. The detailed report on the business conducted at the Pensions Committee/Panel March 2015 and in particular the: <ul style="list-style-type: none"> Funding Strategy Statement The Actuarial Valuation as at 31/3 2014 Review of Investment Strategy General Governance Matters Budget 2015/16 & Class & Group Actions Fund Manager Performance Review Private Equity and Alternatives Update Fund Manager Reviews <p>Issues arising during discussion:</p> <ul style="list-style-type: none"> Clarification on the differences between the three year valuation and the IAS19 exercise will be sought at the meeting with Hymans Robertson. <ul style="list-style-type: none"> The Head of Finance & Resources to ask Falkirk Council how employees can exercise their right to transfer their pension to a defined contribution arrangement and report back to the Audit Committee on arrangements. 	EM	Aug 15

		Timescale	Action
	<ul style="list-style-type: none"> • SCRA does have an Employers' Discretionary Policy which provides flexibility whilst maintaining the necessary balance in terms of operational and financial constraints. • The forthcoming changes in relation to increases in NI costs for employees – the NI rebate of 1.4% of earnings between the lower and upper earnings limits for employees will end in April 2016. <p>Agreed:</p> <ol style="list-style-type: none"> 1. The Employers' Discretionary Policy to be re-submitted to Remuneration Committee for confirmation as the current organisational practice. 2. The increased employee NI costs referenced above to be scheduled for National Partnership Forum. 	<p>June 15</p> <p>June 15</p>	<p>SD</p> <p>EM/SD</p>
13.	<p>New Risks Noted:</p> <p>No new risks were identified but the potential re-emergence of the risk on Financial Sustainability was noted.</p>		
14.	<p>Topical/Regulatory Issues</p> <p>Information provided at Item 9.2 above.</p>		
15.	<p>Date of Next Meeting: Thursday 20 August 2015</p>		

Note:

At the conclusion of the meeting, Audit Committee members discussed the format and content of the Organisational Performance Report with the Principal Reporter/Chief Executive and staff concerned. Discussion focused on the rationale for the current content including confirming the performance measures for which the Board was held to account by Scottish Government. The report provided a wealth of information and Board Members confirmed that the data quality was excellent.

It was agreed that some further work would be undertaken:

- (1) to provide a one page summary sheet
- (2) consider a balanced measurement of overall performances (targets and actuals) with an emphasis on services for children and young people
- (3) to look at reducing the number of indicators.

Scottish Children's Reporter Administration

Minutes of SCRA SCRA Nominations Committee
held on 6 May 2015 at Scottish Government Victoria Quay Edinburgh

Present:

Carole Wilkinson (Chair)
Anela Anwar (Board Member)
Thekla Garland (Scottish Government)
Susan Deery (SCRA)
Maryanne McIntyre (SCRA)

		Timescale	Action
1.1	AOB There were no additional items of business identified.		
1.2	Apologies Apologies were received from Neil Hunter, PR/CE, SCRA and Andrew Miller, Board Member.		
2.	Declarations of Interest There were no declarations of interest.		
3.1	Minutes of the meeting held on 18 March 2015 The minutes were agreed as a correct record		
3.2	Matters Arising There were no matters arising.		
3.3	Chair's Opening Comments The Chair drew attention to the paper outlining the timeline for the next round of appointments and all agreed the timetable was tight. This means there is a great deal of work to do ahead of the next meeting in August. It was agreed we would circulate draft papers by email over the coming weeks to progress our discussions. The Chair identified the following as the work programme (in no particular order): <ul style="list-style-type: none"> i) Skills Matrix ii) Application Form iii) Guidance and related information iv) Advertising Strategy 		

		Timescale	Action
4.	<p>Skills Matrix</p> <p>A paper had been circulated outlining the discussion by Board Members at their Development Day on 16 April.</p> <p>Issues Arising:</p> <ol style="list-style-type: none"> 1. The need to think longer term and not try to fill all the gaps in the next round. 2. To think about the gaps in knowledge and experience the two departing members leave, recognising some we can't fill e.g. their eight years knowledge. 3. Three key areas identified: <ul style="list-style-type: none"> • digital/new technology; • rapidly changing environment; and • justice/court/legal background. <p>Agreed: Chair to redraft the skills matrix taking account of the discussion and in preparation for next the appointment round.</p>	1/6/15	CW/JMcD
5.	<p>Timeline and Process for Board Appointments</p> <p>A paper was circulated outlining the timeline, process and key steps. Thekla Garland indicated she had taken initial soundings and broadly the timetable was correct. She did point out that there was no guarantee Ministers would appoint ahead of the Election in May 2016 and we needed to be aware of this possibility.</p> <p>Agreed:</p> <ol style="list-style-type: none"> 1. This would be the timetable we would use as our guide. 2. The paper to be shared with PACE colleagues. 		
6.	<p>Guidance and Application Form</p> <p>Copies from the previous round of appointments had been circulated to give members of the Committee an idea of current forms.</p>		

		Timescale	Action
6.1	<p>Guidance Note</p> <p>Issues:</p> <ul style="list-style-type: none"> • There was concern that the guidance note was too long and therefore perhaps not helpful. It was thought some of the information could be signposted(e.g. pages 3+4) rather than spelt out in detail. • We should improve the look of the note to make it more friendly and attractive. • There are key areas that need to be covered, we identified these as, approach is competency based, important to set out what you did/have done, and what you bring to the Board, including life experience. • Important to explain Fit and Proper Person • Include information about the Panel including any additional participants e.g. PACE staff and Young Person's Panel. • Section about posting on time we thought unnecessary maybe a message about getting the application in on time. • Timetable information is important. • The content from page 7 was queried, some was thought not relevant at this stage, e.g. anything post appointment. • Include what happens next (ref page 5) <p>Agreed:</p> <ol style="list-style-type: none"> 1. The guidance note would be reworked to shorten and simplify it. 2. To investigate different look and presentation. 	<p>1/6/15</p> <p>1/6/15</p>	<p>SD</p> <p>MMcl</p>
6.2	<p>Application Form</p> <p>Issues:</p> <ul style="list-style-type: none"> • The form would benefit from separating into 3 sections, these are, application, monitoring form, conflict/declarations etc. • Some concern about word limit not allowing applicants sufficient space, proposal to increase to up to 500 words. • Thought it would be useful to put life history section first and improve the guidance in the box above the space to write answer, to encourage work and personal content. • Limit number of questions , no more than 3. <p>Agreed:</p> <p>Susan to redraft the application form based on the discussion.</p>	<p>1/6/15</p>	<p>SD</p>

		Timescale	Action
7.	<p>Communication Strategy</p> <p>We discussed the importance of communicating the vacancies in such a way as to capture the attention of a wide range of potential applicants. We need a plan that makes use of a range of tools, spans the period from August right through to the closing date, and we should see it as part of a wider strategy. This is an opportunity to promote the Hearings System. The Annual Report might be an opportunity to advertise the 2 vacancies or at least the publicity around it.</p> <p>Agreed: Maryanne will map out a communication plan and consider how we might use the Annual Report and other opportunities as part of a longer term strategy.</p>	1/6/15	MMcI
8.	<p>Role Description and Background Note</p> <p>Issues: The notes would benefit from rewriting to make SCRA and the role of a Board Member come alive. Important to emphasise what SCRA is about, what applicant might bring to the role and how he/she could make a difference. This is also an opportunity to emphasise diversity.</p> <p>Agreed: Carole to redraft with help of Janis.</p>	1/6/15	CW/JMcD
9.	<p>Next Steps</p> <ol style="list-style-type: none"> 1. Redraft and circulate papers as outlined above. 2. Thekla to seek meeting with PACE to discuss our plans. CW to provide dates she is available for a joint meeting. 3. To invite PACE and Eleanor Manson to the August meeting. 4. Carole to update Ian Bruce. 		
10.	<p>Date of Next Meeting</p> <p>4 August 2015 10.30 am Ochil House Stirling</p>		

**Scottish Children's Reporter Administration
Minutes of SCRA Nominations Committee
held on 18 March 2015 at Ochil House, Stirling**

Present:

Carole Wilkinson (Chair)
Anela Anwar
Thekla Garland (Scottish Government)

In attendance:

Janis McDougall, Executive Officer

		Timescale	Action
1.	AOB There were no additional items of business.		
2.	Apologies Apologies were received from Andrew Miller, Board Member and from the Principal Reporter/Chief Executive, the HR Manager and the Press & Comms Manager.		
3.	Declarations of Interest There were no declarations of interest.		
4.	Minute of Meeting held on 22 January 2015 The minute was agreed as a correct record.		
5.	Chair's Report Back from Meetings Noted: Public Appointments 1. Public Appointments are extremely positive about the work to date on creating a more diverse Board and are keen to support SCRA in that work. (The Chair had an opportunity to meet Stuart Allan, the New Commissioner who endorsed Ian Bruce's comments). 2. The Cabinet Secretary, Shona Robison, is leading the diversity on boards agenda with Fiona Mcleod in support. 3. The Wellbeing and Diversity Team, Public Appointments in Scotland are undertaking some work on mentoring and support. 4. There is no requirement to use the current application form – a different design could be used. The main issues are (1) elicit information that helps to short-list and find out about the applicant, (2) that the process is open and transparent and (3) that everyone is treated equally. 5. Public Appointments would like to use SCRA as a pilot for doing things differently for SCRA's next recruitment round.		

		Timescale	Action
	<p>NHS Foundation Trust - Nottingham</p> <p>6. The Chair had the opportunity to meet with Dean Fathers Chair of Nottingham NHS Foundation Trust to hear about their work on creating a diverse Board.</p> <p>7. The Trust provides opportunities to find out what being on a board is about including attending Board meetings/Committees.</p> <p>8. Board members are encouraged to act as mentors/shadow Board Members.</p> <p>CHS/SSC</p> <p>9. Both organisations interesting in working with SCRA to look at opportunities for shadowing/running sessions for potential candidates to learn about what being a Board member means</p> <p>Welsh Government</p> <p>10. The Chair is due to have a telephone call later today with Adele Baumgardt, Sports Wales to discuss their programme on diversity.</p> <p>Agreed: Chair to write to Fiona Mcleod to seek a meeting in relation to developing a project to help create more diverse Boards.</p>	March 2015	CW
6.	<p>Discussion – How can we do things differently</p> <p>Issues arising:</p> <ul style="list-style-type: none"> • The operating context for the hearings system is changing – there is now a focus on the digital strategy and similarly Boards need members who will bring experience of that different context and a knowledge of different ways of working. • The need to avoid being “tokenistic” in trying to move towards a more diverse Board. • The Board would benefit from having a representative from service users albeit with an appropriate balance within the overall membership. 		

		Timescale	Action
	<ul style="list-style-type: none"> • The Board has made a conscious decision not to recruit a young person onto SCRA's Board but rather pursue the agenda for a Young Person's Board for the Hearings System. • If the Board is very experienced then other members can support others who may not have all generic skills - for example 'leadership skills'. • To explore the possibility of running a few workshop sessions for potential Board members on specific issues e.g. governance, strategy, risk • Provide the opportunity to shadow Board members/mentoring and opportunities to observe a Board meeting allowing people to identify areas where they would benefit from additional support/learning. • The key to creating a more diverse Board is the ability to find potential members from different backgrounds etc. This could be achieved by linking into local and partner networks and use of social media. • The need to get the message across that everyone has their own specialism within the Board but that all Board members should feed into all areas of discussion (not just their own area). • The role of the Board needs to be set out clearly and expectations of all Board members – this should include the bigger picture for the organisation – vision, objectives etc not just approving “technical” elements of the business. • As part of raising awareness to attract the right people look at opportunities to use SCRA's website to have snap shot of a Board meeting, video clip etc. Advertise opportunities to right people with right message – what change do you want to make. 		
		Timescale	Action

	<ul style="list-style-type: none"> • There is a need to dispel the myth about the process and make it accessible to everyone not just those who had already involved in/have experience of the public sector. • The current process is extremely formal – putting people at ease will be a key component to move away from receiving applications from “the usual suspects”. • The current application form does not lend itself to being able to list all skills/experience – the word limit does have the potential to put some people at a disadvantage. <p>The form could be reviewed so that the first part is asking people to tell us the skills they bring and their experience.</p> <p>The guidance needs to be slimmed down and language reviewed. There needs to be a reference to the Young People’s Panel and also that there will be an opportunity at the interview to expand on/evidence your skills and experience.</p> <ul style="list-style-type: none"> • It would be useful to seek feedback from unsuccessful applicants from the last round of Board member recruitment. <p>Agreed:</p> <ol style="list-style-type: none"> 1. The agenda for more diversity on SCRA Board is wider than the current Scottish Government gender focus. 2. Session on review of skills matrix to be scheduled for April Board Development Day. 3. Generic Skills – position to be clarified around changing wording of the skills as currently drafted. 4. Current Guidance and Application Form to be circulated round Nominations Committee members. 5. PACE to be invited to August meeting. (Request to be made for the PACE rep who was involved in the last SCRA recruitment round). 	<p>April 15</p> <p>April 15</p> <p>April 15</p> <p>By Aug 15 April 15</p>	<p>CW</p> <p>CWS/TG</p> <p>CW</p> <p>TG</p>
--	---	---	---

		Timescale	Action
	<p>6. Briefing Paper to be prepared setting out timeline and steps in process for the recruitment round.</p> <p>7. Clarification to be sought on scope of flexibility around the process. (It was acknowledged that there will be some steps in the process that need to remain fixed).</p> <p>8. To check with PACE if it would possible to seek feedback from last recruitment round from unsuccessful applicants. (If feedback is collated there needs to be mechanism to learn from this).</p>	<p>May 15</p> <p>May 15</p> <p>May 15</p>	<p>CW</p> <p>CW</p> <p>TG/CW</p>
7.	<p>Agenda for Next meeting:</p> <p>The agenda for the next meeting was agreed as follows:</p> <ol style="list-style-type: none"> 1. Briefing note for discussion with Ian Bruce, Public Appointments and PACE setting out outline of rationale/process for next recruitment round 2. Timetable for appointments process. 3. Skills Matrix Review 		
8.	<p>Future Meetings</p> <p>Dates were agreed as follows:</p> <ul style="list-style-type: none"> • 19 May 2015 at 10.30 a.m. (subsequently changed to 6 May 2015 at 11.00 a.m. at Victoria Quay, Edinburgh) • 4 August 2015 at 10.30 a.m. (Stirling) 		

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

Chief Executive's Report

Accountable Director: Neil Hunter

Date: 5 June 2015

Recommendation:

1. To note the content of the Chief Executive's Report

Reason for Report: At request of Board

Resource Implications: n/a

Strategy: n/a

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

Equalities Impact Assessment 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 National Partnership Development day was successful and has led to the revision of the Forums workplace. The key issues and themes for the day are shown at appendix A. We anticipate that Public Bodies will shortly be required to report on the Working Together Review which was completed jointly with the STUC and the recommendations of which the Scottish Government has accepted. This is likely to require employee representation across the spectrum of organisational functions and within a spirit of open, transparent collaboration between trades unions and management. SCRA will feel well placed to fulfil the aspirations of this future requirement given the emphasis we have placed on partnership

2. Cross Government Working

- 2.1 Sponsor Team advised that an emergency budget for 2015-16 is to be announced on 8 July 2015. Reductions in 2015/16 budgets are expected.
- 2.2 With regard to the Scottish Government spending review, Sponsor have advised that the revenue budget cuts over the Spending Review period are likely to be in double digits. The review will cover 3 years, with figures expected late September and final figures required to be published in late October. Capital budgets may not be so severely affected.
- 2.3 SCRA has already submitted draft revenue and capital budget requirements for 2016/17 and 2018/19 as requested by the Education-Finance Team. However Sponsor advised that SCRA should start looking in detail at scenarios including standstill and reduced funding and that SCRA activities should be prioritised as follows:
- Legal commitments
 - Ministerial Commitments
 - Manifesto Commitments
 - New commitments for 2016 Election
 - “Nice to do”
- 2.4 Sponsor stressed that where an activity may have to be stopped, the implications, including any possible upfront costs, should be made clear. Given the possible severity of the cuts, it was agreed that SCRA Finance Team and Sponsor Team would hold additional meetings between July and early September to look at budget scenarios and the implications for SCRA business. The first meeting has been scheduled for 14th July 2015.

3. Strategic Partnerships

Youth Justice

- 3.1 Senior Operational Manager still leading on high risk and transitions young people’s group (YJ). Scottish Government have released their plan for a refreshed approach to YJ aligned with the wider justice board. Recent successes include publication of the CARM guidance for practitioners (Care and Risk Management).

3.2 The Senior Operational Manager (East and Central) is the SCRA lead on executive governance group for the Centre for Youth and Criminal Justice at Strathclyde University – this Centre is part of the on-going evaluation of a proposed future amalgamation of number of such bodies in one “Child Wellbeing” Centre. There has been a very positive appraisal of the IVY project – consultation clinic resource for practitioners working with high risk young people.

CHIP

3.3 The Children’s Hearings Improvement Partnership (CHIP) continues to develop positively. Recent activity has focussed on:

- developing a single CHIP brand to represent the unity of the partnership and ensure that key documents and pieces of work can be clearly identified. SCRA Communications team were responsible for developing the brand which is universally welcomed by CHIP members
- The creation of a joint digital strategy board with lines of accountability to CHIP to ensure the correct level of partnership engagement, buy in and oversight
- A cross sector seminar, planned for the autumn of 2015 to address the challenges and opportunities of implementing the Children and Young People (Scotland) Act 2014 with a particular emphasis on ensuring alignment between GIRFEC provisions (particularly Named person and child’s plan) and Children’s Hearings.
- Involvement in the development of the first set of national standards for Safeguarders in conjunction with Children 1st
- Construction of a high level strategic commitment from all CHIP partners on developing the strength of the voice of the child in the Hearing

3.4 SCRA and CHS are scheduled to deliver a joint input to CoSLA Children and Young Peoples Executive Group in September.

Justice Board

3.5 SCRA is a member of the Justice Board which brings together agencies from across Justice - Court Services, Crown Office, Police Scotland, Scottish Prison Service, Legal Aid Board etc. The Justice Board is a highly collaborative forum where reform, improvement and leadership of justice services is of core concern. The Cabinet Secretary for Justice has attended a number of meetings and laid out ministerial expectations about the pace of service reform, the necessity of outcomes being delivered across services and of removing unnecessary barriers to change and further integration.

3.6 SCRA’s contribution is to focus on ensuring that children and young people’s issues are given prominence - for example in relation to domestic abuse where the necessary cross over between the offender pathway and the child’s pathway need to be understood in order that the needs of children are not overlooked and the hearing and justice systems can effectively co-ordinate and work at an appropriate pace for children.

4. Communications

- 4.1 SCRA Customer Charter – Our Customer Commitment has been launched. Customer satisfaction electronic feedback surveys using tablets are now underway in the Stirling Hearings Centre.
- 4.2 We have launched online podcasts of young people talking about their experiences of going to a hearing and things they wish they had known before their hearing.
- 4.3 SCRA's Model Publication Scheme 2015 is now live on our website (see section 8). This was a significant piece of work with a huge labour effort from many teams across the organisation.
- 4.4 SCRA have produced a new look All About Me form for young people (following feedback from them) – it is available in paper format and electronic format.
- 4.5 The Team has produced a brand and supporting style guide for the Children's Hearings Improvement Partnership.

5. Media

- 5.1 Lerwick Reporter Shirley Mackay took part in a pre-recorded BBC Radio Shetland programme where young people discuss topics of interest (this one is on the hearings system). The programme will be broadcast sometime in the summer.

6. Participation and Engagement

- 6.1 SCRA has our first young person on the Launchpad work experience initiative join the organisation. She is working in the reception team in Bell Street.
- 6.2 Recruitment is underway for three Modern Apprentices who will be based in Kilmarnock, Inverness and Stirling (Head Office).

Young Peoples Board

- 6.3 The planning group supporting the early development work on a young people's board is bringing forward proposals for a short term development worker post to achieve some initial capacity and momentum and to begin to co-ordinate the process of dialogue with young people across Scotland, partly through local agencies and partly directly with existing groups of young people. SCRA will absorb the initial costs of this behalf of partners but is seeking longer term funding for the project as a whole from a number of non-statutory sources.
- 6.4 The improvement to Hearing suite environments under the 'Fit for Us' programme continues. Projects about to be completed are in Glasgow, Edinburgh, Paisley, Glenrothes and Dundee. The pilot hearing room revisions and redesign planned for Bell Street are due to commence at the end of June.

7. Information Requests

7.1 In period 26/03/2015 to 04/06/2015:

- Two requests under the Freedom of Information (Scotland) Act 2002 (FOISA) both from solicitors requesting 3rd party information on behalf of their clients.
- In both cases the information requested was exempt from release.
- One request took over 20 days to respond to.
- There were no requests for review or appeals to the Scottish Information Commissioner.

7.2 In the same period SCRA received 13 subject access requests under the Data Protection Act 1998, from individuals (or their solicitors) requesting personal information on themselves or their children. One of these requests was later withdrawn. There were no appeals to the Information Commissioner's Office.

7.3 SCRA received 7 requests from Disclosure Scotland under the Protection of Vulnerable Groups Scheme. Five of these related to parents of children who have been referred. Two were about individuals who were referred to the Reporter as children and the information requested was about decisions made on these referrals.

8. SCRA's Publication Scheme under FOISA

8.1 On 5 March 2015, CEO/PR was contacted by the Scottish Information Commissioner (SIC) to submit SCRA's revised Publication Scheme by end May 15 (this is a statutory requirement under FOISA). Publication Schemes come under review every 4 years, and must be approved by the SIC.

8.2 As part of the process in preparing the new Publication Scheme, SCRA reviewed the information that was held on its web site in its current Scheme. To be open and accountable as a public body, further information has been included in the Publication Scheme - this includes Board, EMT and other committee agendas, minutes and papers. All are checked for exemptions before being put onto the web site. Such documents will now be routinely published on SCRA web site.

8.3 On the agreement of the SIC, SCRA's Publication Scheme was submitted on 1st June. We are awaiting the SIC's approval of it.

9. Research

9.1 SCRA has completed its research, commissioned by the Scottish Government, 'Permanence Planning and Decision Making for Looked After Children in Scotland: Adoption and Children (Scotland) Act 2007'. The first draft of the report was submitted to Scottish Government for comment on 29th May. We are awaiting comments from the Scottish Government which is considering publication in early September.

9.2 SCRA completed its research on Child Protection Orders. This will be shared with partners and CHIP with publication later this summer. This report is now available for SCRA Board members and will be circulated.

9.3 The report on the 2015 Children & Families survey will be produced by end June. Responses were lower than the previous survey, and there was variation between Localities – see below:

Locality	Adults (all)	Young people (12+)	Children (7-11)	Young children (5 & 6)	Total
Ayrshire	12	8	20	9	49
Central	23	12	5	1	41
Glasgow	25	13	12	2	52
Grampian	22	11	6	2	41
Highlands & Islands	13	9	3	0	25
Lanarkshire, Dumfries & Galloway	41	17	5	3	66
North Strathclyde	35	8	9	2	54
South East	24	6	7	0	37
Tayside & Fife	114	23	8	5	150
Total	309	107	75	24	515

10. Locality Devolution and Empowerment – Update

10.1 In June 2014 the PR/CE reported in some detail about progress made in relation to devolved decision making and culture change in SCRA. That report recommended that the following areas of work required to be developed and undertaken across the course of the last 12 months:-

- Re-appraise our approach to performance management – individual/team/locality/organisational which emphasises individual accountability, supported through improved data at all levels and focus on support and supervision, enabling clearer individual objective setting.
- Make sure the data we generate and provide is as useful as Localities need it to be to support systematic performance review and intervention. This needs to be as far as possible systematic and self-directing locally with the national support providing the ‘helicopter view’ to support deployment of resources to problems
- To develop more frequent opportunities for networks of managers and staff to come together to examine and resolve issues
- Revitalised learning opportunities for us all about managing and leading in a devolved and empowering culture
- Investing in Locality Governance arrangements – through more alignment and/or integration of National Support resources.

- Work with LMT's and SOM's to review this role and to identify adjustments and approach
- Activities which unify our leadership cohort – bringing people together more frequently through more regularised management events across the year

10.2 We have made significant progress in all of these areas. Examples include

- There has been significant programme of development of our data reporting capability in support of Locality performance review. This includes the revised 4 quadrant operational performance reports being delivered monthly, weekly reports to practitioners and managers, bespoke data requests, national top line indicators etc. There is a very clear sense that we have the strongest, most helpful data and corresponding analysis that we have had in SCRA for some time. This is truly aligned to supporting LMT's discharge their performance review and management functions with the best tools possible.
- In 2015 we launched our revised SCRA support and appraisal scheme to help deliver improved individual objectives linked more concisely to locality plans and specific performance issues. We reflected this approach in the revised Locality Planning Guidance which has been drive via the Performance and Improvement Network with representation from across the service.
- We have establishes a Managers network, bringing leaders from across the service together 3 times a year to look at common issues, programmes of activity and to shorten our lines of direct face to face communication.
- The approach and methodology of Business partners has been extended further across the service. LMT's – have very clear networks of support from national teams and generally rate the quality of these highly. It puts the LMT in the centre of the decision making prove, supported, advised and enabled by national teams
- In 2015 we launched the Senior Operational Manager review which will have a significant impact on the organisations level of reassurance on issues of performance, risk, resource utilisation and quality. It will further assist wit the alignment of national and local teams, have a very clear proactive alert and intervention function, will formalise the centrality of Locality plans as vehicles for accountability and provide LMT' with a formal challenge and review which they have welcomed.
- The SCRA Organisational Development Strategy is being developed to pull together the multiple strands of activity in the organisation including the leadership and management programme, learning and development activities, performance, customer focus and quality. This reinforces and supports the ongoing need for culture change in support of our model of devolved decision making and empowering approaches and behaviours. This will be brought to Board in September 15 for approval.

11. Head of Practice and Policy

11.1 Key areas of focus since the last Board meeting have been:-

- Working with Scottish Government officials to discuss draft youth offending strategy and offer comments and support
- Together with Indiya Kurlus presented paper on reporter decision making at BASPCAN international conference in Edinburgh
- Met legal officials from N Ireland and Queensland who were interested in developing aspects of hearing system in their countries
- Contributing to group set up by Scottish Court Service reviewing evidence and procedure especially relating to children and vulnerable witnesses in criminal justice system
- Met Margaret Mitchell MSP to discuss implications of a Bill she is introducing on apologies for children 's hearing system
- Working with Police Scotland in the development of risk and concern hubs and their links with SCRA
- Contributing to Sheriff training on appeals at Judicial Institute

12. Senior Operational Managers

12.1 There is a sense of increasing stability across the country, which is probably down to a number of factors:

- Familiarity with the 2011 Act
- Improvement to CMS. The User Interface Improvement Programme is almost complete and feedback is very positive that it has made a difference.
- Stabilisation of staffing. A lot of work has taken place over the last 18 months to clarify the establishment in each Locality, and the last VR/VER round did not target front-line operational staff. This has given Localities a degree of certainty around their staffing, which helps greatly with morale and planning.

12.2 Performance continues to improve, with delay in decision-making significantly improved. The number of cases over 100 Working Days is now less than 200, which equates to about 2 cases per Reporter. Support work appears to be well under control.

12.3 Performance on delay and segment 1 (registration of referrals) has continued to improve across the country

12.4 No formal reporting yet on locality budget monitoring but all are working closely with business partners to balance operational requirements with the need to make savings.

12.5 Of two court proofs we "outsourced" to alternative locality reporters, one has concluded successfully and the other is progressing to a final witness and submissions. Initial feedback from the reporters conducting the cases has been very positive in terms of their own sense of confidence and the standing of SCRA in the conduct of such cases. A more formal review will take place in due course .

12.5 Locality Plans will all be finalised by the Board Meeting.

13. Central

- 13.1 There have been a number of changed arrangements within Central LMT which have led to a revised approach to issues of performance and improvement.

14. Tayside and Fife

- 14.1 Performance improvement in Tayside Fife has been sustained post extra investment. Can be fragile with still a higher than seems sensible level of CPO activity. Publication of Significant Case Review report into death a child (MK) attracted a wide range of comment and scrutiny. The local Child Protection Committee is advancing the recommendations and SCRA as a CPC partner is playing its full part in this.

15. Ayrshire

- 15.1 The On-going plans for move of Ayr team into Kilmarnock in November 15 is part of the Ayrshire Integration programme. With concurrent changes to operating model – drawing on experience from other Localities – notably Glasgow and South East.

16. Lanarkshire, Dumfries and Galloway

- 16.1 Lanarkshire now operating all on one floor with further integration of systems and processes underway. Inspections reports have been published in all three Local Authority areas with very positive ratings for North Lanarkshire, good ratings for South Lanarkshire and progress noted in the follow up report for Dumfries and Galloway.

17. Glasgow

- 17.1 There have been a number of staff movements over the last 2 or 3 months, but these have now stabilised, and the Locality has just completed its latest equalisation of work exercise. This ensures that all Reporters have a broadly similar workload. Glasgow reviews workload every 6 months and the process is now becoming slicker with experience.
- 17.2 Some issues arising with reception are being dealt with through good partnership work, and there is now a project to look at better integration of reception into the broader support of the Locality.
- 17.3 Some difficulties in partnership relations between the LMT and Unison at the end of last year have now been resolved. The National Partnership Agreement has been enhanced by a local agreement.

18. North Strathclyde

- 18.1 Staff absence is still an issue, but not as acute as it was last year. There has been a lot of staff movement, but a successful recruitment process has secured excellent new staff for the Locality.

18.2 Performance has been largely excellent. Some parts of the Locality have been a bit stretched and this is reflected in the performance figures, but overall the Locality is a high performer.

18.3 The LRM's have been heavily involved in the recent Renfrewshire inspection.

19. Grampian

19.1 A Locality Development Day took place at the end of May. This was well received and provided staff input to the Locality Plan.

19.2 Performance is high, with all work under control. Some staff movement is causing a bit of pressure, but the Locality is coping with this well.

19.3 One of the LRM's has been heavily involved in the recent Aberdeenshire Inspection.

19.4 Major work was undertaken in March to replace the air conditioning system. This work was completed with minimal disruption, but there is a bit of delay in gaining the approval needed to make the system operational. This should be rectified very soon.

20. Highlands and Islands

20.1 The Locality has had advanced discussions with the Participation Officer with a view to hosting a Modern Apprentice.

20.2 The Locality is heavily involved in property projects. Inverness is the major project, with plans in place. We are awaiting the landlord to complete some preliminary works before we can proceed with our own works. Stornoway is also well advanced, but with a bit of delay outwith our control. This is not causing any major concerns. Lerwick office has been reconfigured and should be almost complete.

20.3 The Locality has been focussing on reducing delay and this has improved in the last few weeks.

National Partnership Forum Development Day – 25 March 2015

1. A more consistent approach

- Partnership remains variable in different parts of country e.g. staff feel unhappy in some areas because they are not consulted
- Engagement issue – some people think playing catch-up
 - Need earlier engagement
 - Minimum level of engagement
 - No representation in some offices

Engagement early

Can feel painful at the time – good use of time and energy worthwhile investment

2. The purpose of engagement

- Communication and Clarity – need to be clear about what we are engaging in. Not necessarily what is going to happen sometime its about how to facilitate a change
- Satisfy range of expectations – Central was an example – but had to have a consultation and engagement
- Recording discussion behind decision
- Merit in feeding in views regardless of outcomes

Engagement

- Trial-error-learn
- But keep trying – examples of where this has happened
- Honesty and openness – some progress here

3. Capacity

Mix of roles – some gaps (e.g. Manager – SA (Rec))

Operational Capacity

Capacity remains difficult + some stewards under pressure

Some teams have taken opportunity to do planned workload/caseload – adjustments

Time spent is generally constructive

4. People and Workforce

Demographics/talents/skills/experience of the future – new type of workforce

Different (unknown?) expectations

- The Job
- Complexity and lawyers
- Consistency plus avoiding one size fits all

- Diversity of tasks
- Need to engage people's skills/knowledge more – still tendency to go “top down”
- Engage people in redesign – avoid later problems by engaging people earlier

5. Culture

More open/progressive approach to management/leadership – maintaining that culture

Sense of belonging and ownership in SCRA

Common purpose

6. Relationships

Manager and employee – more constructive partnership approach HR/UNISON on most (but not all) occasions

Manager and employee – more constructive partnership approach HR/UNISON on most (but not all) occasions. Can influence future direction

7. Partnership

Investment of time and resources for good return

- Respect, Trust for Roles
- Business Partners model adds value
- Best interests
- Roles clear
- Rep/HR/Manager

UNISON role

Can set as key broker for managers/employees to get to settlement\

UNISON seen as a useless thing – not representing members

CMS case example

1. Many lessons to learn about future re-design + engagement of trade union and role
2. Powerful honesty in comms
3. Keeping comms alive was crucial

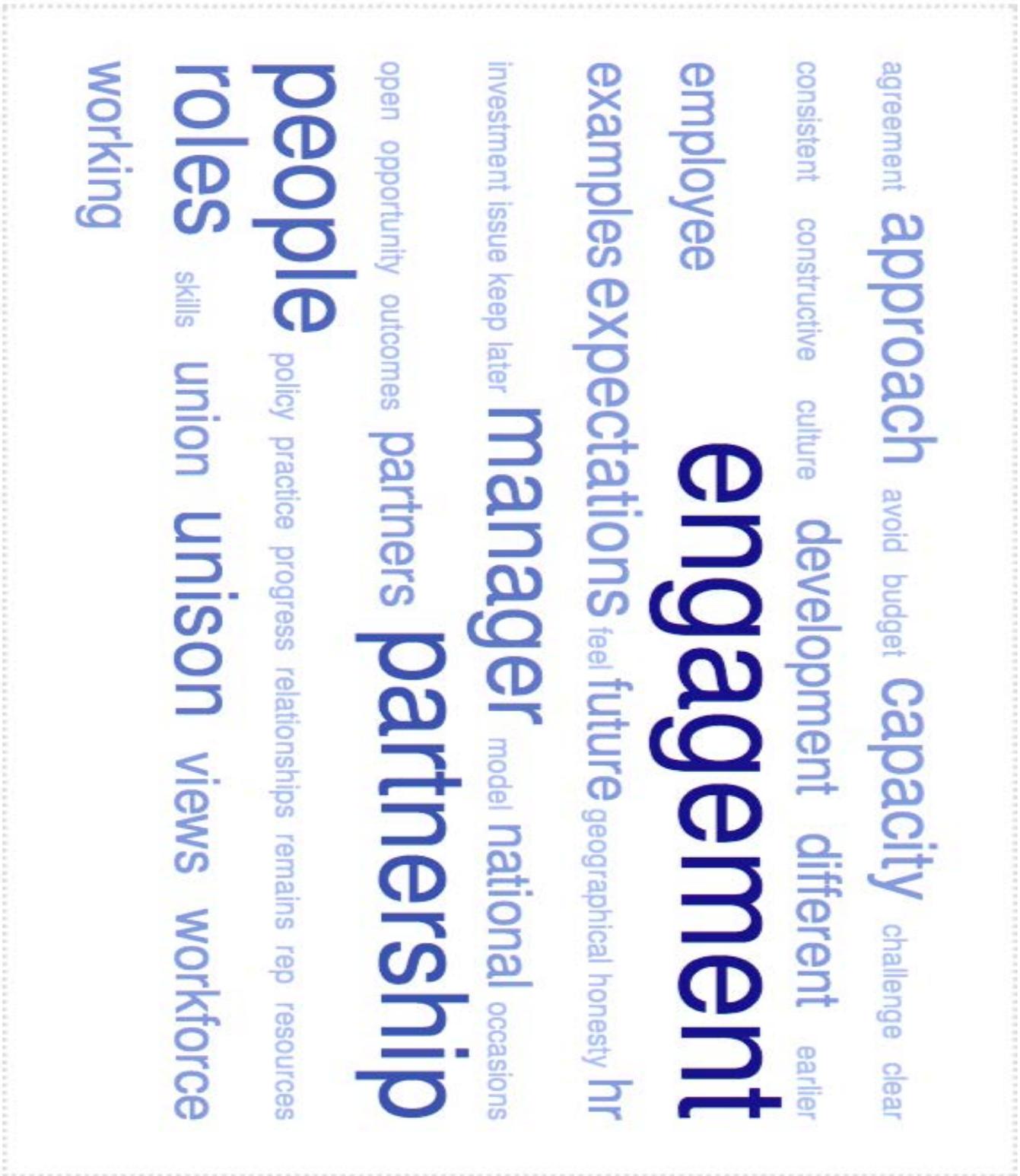
8. SWOT

- Strengths
 - Serving us well
 - Workloading
- Sub-groups
 - Policy – joint policy development writing
 - Framework in place – needs developed
 - Workforce very dedicated
 - One Trade Union – single union agreement
- Challenges

- Views from whole staff group – geographical representation
- Need to facilitate partnership working
- Opportunities
 - Letting people know the extent to which they can influence outcomes
 - Promoting success
- Threats
 - Finance
- Partnership Agreement
 - Engagement maybe a bit later than it should be
 - Gauge how partnership working
 - Geographical differences plus perceptions of how it's working
 - Need to stick with model for as long as possible
- External Environment
 - - Corporate Parenting
 - Reduced Resources
 - GIRFEC
 - Reduced budgets for partners
 - More obligations – improved performance
 - More engagement with partners to inform them of our needs
 - Inconsistent use of roles – seniors + assistant

9. National Partnership Priorities

- (a) Capacity for Reps – can we create some guidance around this
- What is expectation
 - What are ideas/existing ways of doing this
- (b) Setting agendas and doing Minutes/Actions Points
- Expectations
 - Examples of good practice
 - Achieving the balance
- (c) Budget Issues
- How involved should UNISON be in challenge and review – locally/nationally
- (d) Continued Development of LMT's
- Analysis and views on best practice
 - Support and guidance



SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

CHS/SCRA – JOINT WORK PROGRAMME UPDATE

Accountable Director: Neil Hunter

Date: 25 June 2015

Recommendation:

1. To note the progress since 2013 in the agreed work programmes between CHS and SCRA
2. To agree headline areas for the next joint session of the CHS and SCRA Boards in Autumn 2015

Reason for Report: *At Board request*

Resource Implications: *None*

Strategy: *Within existing strategies*

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

Equalities Impact Assessment Required/Completed

Yes

No

Issues/action points:-

Consultation: CHS National Convenor

Document Classification: Open

1. Purpose of this report

- 1.1 To update SCRA Board Members on progress against the agreed joint priorities of the CHS and SCRA Boards.

2. Background Information

- 2.1 The respective Boards of CHS and SCRA have a common concern to oversee the improvement and development of the Children's Hearings System as well as providing oversight over the discharge of the mutual assistance (s.183) obligations of the National Convenor and Principal Reporter, balanced against the independent functioning of these statutory roles.
- 2.2 In the course of the last 3 years the Board have met to agree joint priorities for the organisations. These priorities are advanced via the Chief Executives through a number of structured programmes and liaison arrangements.
- 2.3 The purpose of this report is to chart our progress over this period (2013-2015) and enable the appropriate preparatory work to be undertaken in advance of the planned joint session in autumn 2015.
- 2.4 Much has been achieved during this initial phase of the organisations joint work. Issues that were initially developmental and speculative have now developed into high impact, visible, business as usual programmes. This is in no small measure a reflection of the drive and energy of the officers involved. Some areas of early thinking are now coming to fruition via structured programmes of change and investment. Others have been reviewed and adapted appropriately as circumstances change.

3. Programme priorities – 2013/14

- 3.1 The agreed programme for 2013/4 was as follows:-
 - Implementation and further development of joint Hearings Management guidance.
 - Complete work on the AST/SCRA joint framework which will guide Area Convenors and Locality Reporter Managers on the pitch, content and delivery of the CHS/SCRA and partners business agenda at local level.
 - Delivery of joint ADSW/CHS/SCRA operational framework
 - Jointly develop a business case and proof of concept for the electronic exchange of Hearings papers.
 - Further joint work on use of tools and methods for improved participation of children and young people and clearer ways to transmit view of children and young people across Reporter and Panel Member communities.

- Explore opportunities on how we can use SCRA's Participation Officer to promote a whole-systems approach to participation and engagement
- Work together to influence key decision making fora – LACSIG – review of home supervision etc. – implications of children and young people's bill etc.
- Assist SG to revise and refresh strategic arrangements for Children's Hearings System.
- Continue to widen out joint work with national strategic partners. Support visibility of Children's Hearings

3.2 A detailed update on these activities is shown in this report at Appendix A.

4. Programme priorities for 14/15

4.1 At its last joint meeting on 6 August 2014 the respective Boards agreed the following priorities for the National Convenor and Principal Reporter to pursue:-

- Digital Strategy for the Hearings System
- Property Strategy for the Hearings System
- Voice of the Child
- Strategic Influencing and Partnership
- Information Governance
- Feedback Loop – Reporting Obligations
- Joint Risks

4.2 An ambitious programme of work is underway in pursuit of these priorities

4.3 Digital Strategy for the Hearings System

4.3.1 The Digital Strategy development is now at an advanced state and is being proposed for agreement between Boards in the summer of 2015. The multi-agency Children's Hearings Improvement Partnership (CHIP) has endorsed the strategic vision which underpins the current document. The CHIP has agreed, subject to both Boards assent, a Joint Digital Strategy Board with lines of accountability to partners via CHIP as well as individual reporting to both CHS and SCRA Boards. An investment plan, business plan and delivery plan are now in development and will be submitted to Scottish Government for consideration. The SG Digital Services Board are fully engaged in scrutinising and challenging the strategy and delivery proposals. This also gives CHS/SCRA access to highly specialist support advice from the wider IT field, will help us with cross portfolio approvals and has already assisted us with the planned recruitment of a single joint Head of IT between CHS and SCRA.

4.4 A property strategy for the Hearing system

- 4.4.1 Work has commenced on a single property strategy for the Hearings system and will be available in initial form in September/October 2015. A number of areas of work are planned between CHS and SCRA – prioritising outreach hearing centres for improvement, replacement or discontinuation, planning local consultations and listening events where necessary, developing joint standards for buildings and visioning future purpose and function of our estate, anticipating any recommendations from the judiciary led review of evidence and procedure, in which SCRA are involved.
- 4.4.2 The property strategy will take into account and adapt to the significant reductions in availability to capital spend in recent and in future years.

4.5 Voice of the Child

- 4.5.1 Modern Apprentices – we plan to recruit a further 3 young people in 2015 to a 2 year SVQ. Builds on successful first 2 phases of MA work and development of the model with a more national focus..
- 4.5.2 Two the three current MA group have moved to SCRA traineeships and one to a permanent SCRA post. A wider geographical spread from young people across Scotland is being pursued with a continued focus on young people who have experience of the Hearing System.
- 4.5.3 Going to a Children’s Hearing – updated information film which has been refreshed and improved and launched in Spring 2015.
- 4.5.4 Pre-hearing visits – re launched with supporting guidance and information pack as part of SCRA’s wider customer care work programme. Focus is on raising awareness, promoting the availability of pre-hearing support and visits. It’s important that Social Work practitioners are more aware of the pre hearing support available as part of overall preparation and support for children and young people.
- 4.5.5 Social Workers e -book – has been produced to support the induction process of newly qualified Social Workers to the Hearing System with a strong focus on engagement, participation and good practice. We are using the national meeting of SW Training Officers to promote information to support induction/training/CPD on the hearing system including the e-book, the prehearing inter professional approach/standards and tools and materials to support engagement. E-books for Teachers and Foster carers have also been developed.
- 4.5.6 Property inspection and improvement programmes – planned into the 15/16 SCRA budget process – 4 sites being targeted. Model Hearing room – being piloted in Glasgow

- 4.5.7 Young People's Board for the Hearing System – the proposal is supported by the CHIP and a joint planning group has been established an a development post will be recruited in autumn 2015 to develop next phase
- 4.5.8 Links with Care Inspectorate – Young Inspectors programme – ongoing and some participation in the training for YP is being planned
- 4.5.9 Engagement and Participation Officer has continued to build strong links with the Children's Rights Officer's network.
- 4.5.10 We are using the Children and Young People (Scotland) Act 2014 to highlight issues of engagement, participation, advocacy. These are all issues which are fundamental to the child's plan and delivery of resonant services – therefore a clear continuum exists between this and the Hearing System.

5. Strategic Influencing and Partnership

- 5.1 CHS and SCRA continue to offer a strong core element of the Children's Hearings Improvement Partnership – which has extensive reach across partners in justice, local authorities and children's services. This has proven to be an effective way of developing strong partnerships with as wide a range of bodies and organisations as possible and a very effective use of CHS and SCRA time.
- 5.2 CHS and SCRA continue to co-operate extensively on responding to consultations which are of importance to the Hearing System – most notable in relation to the 2014 Act arrangements, Court Reform etc.

6. Information Governance

- 6.1. A successful joint information Governance Group has been established between CHS and SCRA which focusses on all issues of data security and information governance.
- 6.2 Early issues addressed include:-
- Ensuring systems are in place for updating panel members addresses for SCRA
 - Sharing information about progress of our respective complaints systems and where appropriate a means to pass on compliant if about the other agency
 - Developing a means to record when panel member's papers have been returned after a hearing, in line with Information Commissioner recommendation.

7. Feedback Loop

- 7.1 Extensive discussion have been ongoing between CHS, SCRA and Local Authorities about making the feedback loop work effectively. The National Convenor carries the statutory responsibility but SCRA plays an important role in assisting with alignment to existing national data sets. The first tranche of reports from Local Authorities is due in August 2015, limited to implementation of secure orders and expanding based on improved capability thereafter.

8. Joint Risks

- 8.1 The last session of the CHS and SCRA Boards reviewed the joint risk register and closed the majority of risks. A further review is underway and will be reported in the autumn follow up session

9. Future priorities

- 9.1 An autumn joint session of the two Boards is planned. The 7 existing priorities remain relevant and significant for both organisations. The joint Information Governance group may be considered as business as usual given the strong focus and commitment which has been shown already.

10. Recommendations

- a) To note the progress since 2013 in the agreed work programmes between CHS and SCRA
- b) To agree headline areas for the next joint session of the CHS and SCRA Boards in Autumn 2015

Appendix A

Joint CHS/SCRA Objectives for 2013/14

Objective 13/14	Progress	Status
Implementation and further development of joint Hearings Management guidance.	Complete. Hearings Management Group continues to make a strong and influential contribution to operational practice on the ground.	Now incorporated as business as usual and visible on the operational landscape. HMG survey in 2015 provides evidence of positive and tangible impact.
Complete work on the AST/SCRA joint framework which will guide Area Convenors and Locality Reporter Managers on the pitch, content and delivery of the CHS/SCRA and partners business agenda at local level.	Complete. Joint group established and framework developed	Need to consider some proportionate follow up/survey work. Some evidence on the ground of more structured Locality/AST business focus.
Delivery of joint ADSW/CHS/SCRA operational framework	Complete.	Planning for refresh/update underway via tripartite group
Jointly develop a business case and proof of concept for the electronic exchange of Hearings papers	Within digital strategy	For completion 15/16. Significant development of CMS functionality has been scoped/delivered (e.g. panel pocket)

Objective 13/14	Progress	Status
Further joint work on use of tools and methods for improved participation of children and young people and clearer ways to transmit view of children and young people across Reporter and Panel Member communities.	Ongoing via joint Engagement and Participation Group	Significant progress made – now considered core joint business/business as usual
Explore opportunities on how we can use SCRA's Participation Officer to promote a whole-systems approach to participation and engagement	Ongoing – Engagement and Participation Group is well established joint structure between CHS and SCRA	Business as usual
Work together to influence key decision making fora – LACSIG – review of home supervision etc. – implications of children and young people's bill etc.	LACSIG disbanded.	Issues outstanding are now dealt with via CHIP
Assist SG to revise and refresh strategic arrangements for Children's Hearings System.	Children's Hearings Improvement Partnership developed in 14/15 with significant CHS/SCRA input.	Potential to make significant contribution re: GIRFEC/whole system development on learning and improvement etc.
Continue to widen out joint work with national strategic partners. Support visibility of Children's Hearings	As above re CHIP	

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

Shared Services Proposal

Accountable Director: Head of Planning and Strategy

Date: 9 June 2015

Recommendation:

1. Approve the agreement to provide shared services to CHS for the period between 1 July 2015 and 31 March 2018.

Reason for Report: For Approval

Resource Implications: Within approved budgets

Strategy: Within approved plans

Consultation: SCRA Executive Management Team
CHS Senior Management Team

Equalities Duties: An equalities impact assessment is not required

Document Classification: Not protectively marked

1. Introduction

- 1.1 The SCRA and CHS Boards agreed in December 2014 to review the shared services agreement and to explore the option of creating a small number of jointly funded posts where it mutually benefits both organisations. In March 2015, the Boards approved an interim proposal for SCRA to provide shared services to CHS for a period of six-months between 31 March 2015 and 30 September 2015 to allow CHS time and space to finalise their requirements and conclude their consultation on their management structure.
- 1.2 The purpose of this report is to update the Board on the latest discussions and to seek approval for SCRA to provide shared service to CHS for the period 1 July 2015 to 31 March 2018, with a review of the new arrangements to be carried out by December 2015.

2. Shared Services

- 2.1 SCRA has delivered shared services to CHS since 2011. The services that are delivered broadly fall into the four main categories of Finance and Accounting; HR and Payroll; Health and Safety; and Business Support. Under the current arrangement, all shared services are delivered in return for a fixed core charge per annum, with CHS able to buy additional development and support days out with this core at a fixed daily rate, the quantity, delivery and remit of them by mutual agreement.
- 2.2 Under the recommended model going forward, CHS pay a reduced core charge, only covering accounts payable, payroll, learning and development, health and safety and business support. Strategic finance, operational finance and Human Resources will be provided through a “joint post” arrangement (section 3), whereby CHS reimburse SCRA for a proportion of individuals’ staff costs in return for agreed services.
- 2.3 If the Board approved the recommendation, the shared services agreement, in the form of a Memorandum of Understanding (MoU), would be signed by both CEOs/Accountable Officers. This MOU will be revised to reflect the Auditors’ comments identified during the recent Shared Services Internal Audit. There are robust governance arrangements in place which are set out within the MoU.
- 2.4 The shared service operates on a cost recovery model and the forecast costs have been agreed between Joe Campbell, Interim Director of Finance and Corporate Services at CHS and Ed Morrison, Head of Finance and Resources at SCRA at the same charge out rates for 2014/15. This agreement has also been approved by both CEOs/Accountable officers.
- 2.5 SCRA have met recently with the SG VAT Manager to discuss application of VAT to shared services charges between SCRA and CHS. The VAT Manager was content that the services provided by SCRA to CHS are in fulfilment of their statutory obligation as set out in section 183 of the Children’s Hearings Scotland Act 2011 – Mutual Assistance. However on the advice of the VAT Manager, SCRA will be submitting a Technical Query Form to HMRC to validate this position

3. Joint Posts

- 3.1 The leadership teams of SCRA and CHS have identified Human Resources, Finance and IT as areas where they believe would add value and deliver economies of scale to both organisations if they were delivered on a joint basis. These posts would sit outside the shared services provision and would be funded on a shared basis by both organisations. The proposals are as follows:

Human Resources

- 3.2 To remove the number of HR services days from the shared services contract and appoint an HR Business Partner to work across SCRA and CHS. This would be funded on a 50/50 basis with the business partner working 2.5 days within each organisation. The purpose of this role would be to provide onsite HR support and advice to senior officers and teams.

Finance

- 3.3 To remove the number of finance days from the shared services contract and appoint a Finance Business Partner to work across SCRA and CHS. This will deliver 0.5 FTE support to CHS provided in the main by SCRA accountancy staff supported by the wider SCRA Finance Team. The purpose of this role would be to undertake a range of operational finance duties previously delivered within the existing shared services contract and by the CHS Directors of Finance, including treasury management, budgeting, management accounting and financial accounting.
- 3.4 CHS have also identified the need for further strategic financial support in light of their new structure. CHS have chosen to replace the Interim Director of Corporate Services and Finance and the Director of Panel and Area Support Teams with a single Depute Chief Executive post. This post will oversee the financial management of the organisation and provide advice to the Accountable Officer, however as the new post holder is not an accountant, the CHS Board have asked SCRA to provide strategic financial advice on a 1-day per week basis. The purpose of this role would be to attend the Board, Audit Committee and the monthly Senior Management Team Meeting, providing key input from a governance, assurance and financial sustainability perspective.

Information Technology

- 3.5 SCRA and CHS have recognised the need to recruit a senior technical leader to build and deliver a coherent IT strategies for both organisations. In addition, this role would be a key enabler for the delivery of the digital strategy for the Children's Hearings System. This role would be funded on a 50/50 basis with the business partner working 2.5 days within each organisation. The Board agreed to the Senior Team pursuing this option in March and following discussions with the Digital Transformation Team at the Scottish Government, the post will be advertised week commencing 15 June 2015.

- 3.6 The previous MOU between the two bodies governing the shared services arrangements, including escalation procedures and review points, will be adapted in light of audit recommendations and lessons learned from the last four years, with additional safeguards in place relating to the provision of the joint posts (e.g. recruitment in the event of staff turnover).

4. Shared service charges

- 4.1 The figures are subject to final agreement with CHS however at this stage the core charge reduces to £25k (including 30 drawdown days) and joint post charges for HR and Finance amount to £70k. CHS will employ the senior IT post and charge 50% of salary costs to SCRA.

5. A Scottish Government Perspective

- 5.1 The Scottish Government view the shared services agreement as an excellent development between two public bodies within the same sector. They regarded the 'manner and spirit' in the way in which it works as 'entirely in keeping with the Scottish Government's corporate expectations of public bodies'. They also reflected positively on our ability to maintain the separation and independence of both organisations, whilst delivering a corporate support service.
- 5.2 Most recently the Scottish Governments remuneration group have commended SCRA and CHS for the innovative use of joint posts.

6. Recommendation

The Board are asked to:

- 6.1 Approve the agreement to provide shared services to CHS for the period between 1 July 2015 and 31 March 2018.

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

Review of Complaints - June 2015

Accountable Director: Head of Practice & Policy

Date: 15 June 2015

Recommendations:

- 1 To approve the report and actions taken

Reason for Report:

To provide an annual review of SCRA complaints as originally requested by Board June 2013

Resource Implications:

None

Strategy:

SCRA Complaints Procedure,

Consultation:

Executive Management Team

Equalities Duties:

Equalities Impact Assessment not required – not a change to policy or practice

Document Classification:

Not protectively marked

Fourth Quarter Organisational Performance Report 2014/15: (1st January to 31 March 2015)

1. Introduction

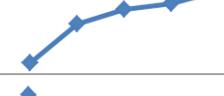
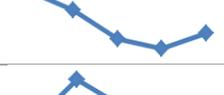
- 1.1. As a result of Board feedback on the quarter 1 2014/15 OPR, a prototype report was developed for quarter 2 2014/15. The Board had been seeking a more concise report which enables a fuller focus on the key areas of performance throughout SCRA. It has been agreed that the best method to deliver this is through a balanced scorecard approach which attributes measures within the organisation into four quadrants. This has now been adopted as the new format. Continuing feedback from the OPR will be used to inform future development.
- 1.2. Members of the Board are invited to approve the Q4 2014/15, covering the period 1 January to 31 March 2015.

Performance measures	Target	Q4	Trend	Link
The percentage of decisions on referrals made within 50 working days of receipt	75%	69.8%	-	N 1.1
The percentage of Hearings scheduled to take place within 20 working days	74%	70.9%	-	N 1.3
The percentage of initial Hearings proceeding to disposal	75%	74.9%	-	N 1.4
The percentage of SCRA core properties which comply with SCRA property standards	90%	86.5%	-	N 3.4
Variance in annual revenue spends as a percentage of the available revenue budget	5%	1.6%		N 3.5
The percentage of revenue savings achieved in the year	3%	2.4%		N 3.6
Variance in annual capital spends as a percentage of the available capital budget	10%	10.9%		N 3.7
The Scottish Government efficiency savings target will be met	3%	On target		N 3.8

Notes:

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

Quarter 4		Service to children and young people			National	
No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend
N 1.1	Decisions on referrals made within 50 working days of receipt – Target 75%	69.8%	+6.6%		56.9%-71.1%	↔
N 1.2	Referrals over 100 days old	289	-56.4%		289-868	↓
N 1.3	Hearings scheduled to take place within 20 working days – Target 74%	70.9%	2.6%		64.2%-73.0%	↔
N 1.4	Initial Hearings proceeding to disposal – Target 75%	74.9%	-2.7%		74.2%-81.4%	↔
N 1.5	Percentage of non-offence applications established at court	89.4%	-3.4%		89.4%-94.3%	↔
N 1.6	Mid-point of days taken for offence referrals from receipt to Hearing decision	60	-5.1		57-80	↔
N 1.7	Mid-point of days taken for non-offence referrals from receipt to Hearing decision	119	+5.0		107-124	↔
N 1.8	Written notifications of Hearing decisions sent to children and families within 5 days	87.3%	+14.9%		67.9%-87.3%	↑
N 1.9	Hearing's decisions upheld at appeal (appeal refused)	61.4%	+0.4%		53.8%-64.7%	↔
N 1.11	Complaints	7	-48.1%		5-21	↔

Quarter 4		Workload			National	
No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend
N 2.1	Children referred on non-offence grounds	4,220	-4.6%		3,940-5,160	↔
N 2.2	Children referred on offence grounds	1,062	+3.2%		979-1,150	↔
N 2.3	Child Protection Orders (CPOs)	162	-20.3%		162-238	↓
N 2.4	Joint reports retained by Reporter	62.0%	+11.2%		38.5%-62.0%	↑
N 2.5	Pre-Hearing Panels	1,072	-8.2%		945-1,430	↔
N 2.6	Number of Hearings	8,892	-4.3%		8,892-9,551	↓
N 2.7	Court applications concluded	746	-2.0%		746-769	↔
N 2.8	Interim Compulsory Supervision Orders	611	+9.4%		499-635	↔
N 2.9	Interim Variation of Compulsory Supervision Orders	467	-5.9%		402-567	↔
N 2.10	Number of Compulsory Supervision Orders in force	10,741	-3.7%		10,741-11,419	↓
N 2.11	Appeals concluded	233	-8.5%		222-286	↔
N 2.12	Non-disclosure cases	1,770	-0.5%		1,758-1,798	↔

Quarter 4	Resources	National
-----------	-----------	----------

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)	23.1%	+1.7%		18.8%-23.1%	
N 3.2	Staffing profile by FTE	419	+1.0%		412-420	
N 3.3	Staff attendance	94.8%	-0.5%		92.6%-96.5%	
N 3.4	Compliance with SCRA property standards – Target 90%	86.5%	+0.3%		85.2%-86.5%	
N 3.5	Variance in annual revenue spends – Target 5%	1.6%	n/a	not applicable	n/a	n/a
N 3.6	Revenue savings achieved in year – Target 3%	2.4%	n/a	not applicable	n/a	n/a
N 3.7	Variance in annual capital spends – Target 10%	10.9%	n/a	not applicable	n/a	n/a
N 3.8	Scottish Government efficiency savings – Target 3%	On target	n/a	not applicable	n/a	n/a
N 3.9	Training per employee (days)	0.28	-40.0%		0.28-0.61	

Quarter 4 Corporate governance National

No.	Indicator	Quarterly Results	Change	Comparative data	Range (min-max)	Trend
N 4.1	Business Plan delivery (actions with green status)	79.2%	+13.9%		58.3% - 79.2%	n/a
N 4.2	Strategic Risk Register – risk scores	68	-5.2%		68-83	↔
N 4.3	Internal audit programme - reviews complete	100%	n/a	n/a	n/a	n/a
N 4.4	Quality assurance programme – case sampling undertaken	100%	n/a	n/a	n/a	n/a
N 4.5	Freedom Of Information responses responded to within 20 working days	100%	+5.3%		85.7%-100.0%	↔

Quarter 4		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 – Target 75%	74%	62%	63%	71%	68%	73%	62%	89%	54%
L 1.2	Referrals over 100 days old	5	126	65	5	48	18	18	0	4
L 1.3	Hearings scheduled to take place within 20 working days – Target 74%	51%	74%	69%	81%	79%	81%	77%	55%	75%
L 1.4	Initial Hearings proceeding to disposal – Target 75%	71%	73%	74%	78%	85%	69%	73%	78%	81%
L 1.5	Percentage of non-offence applications established at court	99%	87%	72%	96%	71%	94%	86%	95%	93%
L 1.6	Mid-point of days taken for offence referrals from receipt to Hearing decision	76	56	113	50	25	60	54	45	49
L 1.7	Mid-point of days taken for non-offence referrals from receipt to Hearing decision	142	140	134	92	78	118	138	120	95
L 1.8	Written notifications of Hearing decisions sent to children and families within 5 days	69%	97%	92%	92%	93%	88%	80%	91%	91%
L 1.9a	Hearing's decisions upheld at appeal	80%	38%	48%	70%	86%	82%	90%	38%	43%
L 1.9b	<i>Appeals concluded child count</i>	25	16	69	10	7	44	20	21	21

Quarter 4		Workload by locality						Locality		
No.	Indicator	Ayrshire	Central	Glasgow	Grampian	Highlands & Islands	Lanarkshire/D&G	North Strathclyde	South East	Tayside & Fife
L 2.1	Children referred on non-offence grounds	126.7	48.8	58.3	15.6	47.5	39.1	51.2	43.2	27.8
L 2.2	Children referred on offence grounds	31.4	26.6	44.4	5.2	28.8	31.5	17.6	21.7	16.2
L 2.3a	Child Protection Orders (CPOs)	0.8	1.7	3.7	0.6	1.5	0.5	1.2	1.5	3.9
L 2.3b	<i>Child Protection Orders (CPOs) count</i>	5	15	36	6	8	7	13	20	52
L 2.4	Joint reports retained by Reporter	75%	76%	54%	28%	83%	67%	61%	64%	52%
L 2.5	Pre-Hearing Panels	13.0	13.5	14.5	7.8	5.7	11.3	9.2	13.7	14.1
L 2.6	Number of Hearings	155.0	91.9	165.0	57.2	65.1	78.5	103.8	87.9	92.9
L 2.7	Court applications concluded	11.5	8.3	10.3	5.2	4.2	7.3	9.1	7.9	9.2
L 2.8	Interim Compulsory Supervision Orders	8.3	6.3	10.2	4.1	5.7	4.3	3.3	7.6	10.5
L 2.9	Interim Variation of Compulsory Supervision Orders	7.5	8.1	5.8	3.2	3.8	4.0	5.0	6.0	3.9
L 2.10	Number of Compulsory Supervision Orders in force	182.8	104.0	214.0	77.0	71.8	88.3	134.9	100.0	110.3
L 2.11	Appeals concluded	4.0	1.8	7.1	1.0	1.3	3.1	1.8	1.6	1.6
L 2.12	Non-disclosure cases	25.7	15.0	54.7	8.8	10.1	11.0	17.0	17.7	18.0

Rates based on rate per 10,000 of child population aged under 15 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.

Quarter 4
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)	15%	17%	27%	36%	24%	24%	22%	24%	38%
L 3.2	Staffing profile by FTE ¹	35.6	31.4	62.7	26.8	19.6	44.6	43.4	37.6	45.7
L 3.3	Staff attendance ²	93.8%	92.2%	92.8%	98.7%	96.7%	91.7%	94.0%	96.0%	94.8%

¹ Head Office and Business Support have a FTE of 71.6

² Head Office and Business Support have an attendance rate of 97.2%

2. Management Response

2.1. Performance against our accountable indicators has been challenging in the quarter with decision making and Hearing scheduling both missing target. This continues to be addressed in a number of ways:

- Local target setting for decision making timescales, with improved monthly performance information to localities;
- The continued focus on clearing backlogs in terms of referrals awaiting a Reporter decision;
- Additional focus on Hearing scheduling by its incorporation into the refreshed weekly top line performance reports;
- A further management event in August focussing on performance around Hearings; and
- Commencement of two new programmes looking at decision making and court to identify any improvements that can be made to practice or process.

2.2. Performance on initial Hearings proceeding to disposal remains close to target. Additionally, the recent quality assurance report on case sampling of deferred Hearings has provided insights and recommendations for reducing deferral rates. These results are being shared with other agencies through the Children's Hearings Improvement Partnership to reduce unnecessary Hearings.

2.3. While no carry forward of revenue overspend to 2015/16 will be required, the operational staffing pressures have led to the revenue savings target being missed for the year. April and May salaries are being reviewed to ensure that this most significant area of revenue spend stays within budget. The early evidence is that this is the case for all localities.

2.4. Property compliance is amber for the year. Projects in Inverness, Stornoway, Lerwick are now scheduled to complete in Q1 2015/16. These projects, and a delay in the Perth project, all of which were scheduled of 2014/15 have impacted on achievement of the target. Capital expenditure is also rated as amber. Additional monitoring of capital spend is now being undertaken by the Change Board through infrastructure milestones with early forecasts captured and actions taken to address any issues.

2.5. Information from the measures in the workload quadrant will be combined with the results from the workload survey undertaken in April to better allow us to use our available resources as effectively as possible through workforce planning.

2.6. Underpinning the operational work has been the development of the 2015/16 locality plans. These plans provide a commitment to the work which localities will take in the next year to improve services to families, children and young people as well as improving partnership work. These plans are in the process of being signed-off by the Senior Operational Managers (SOMs) and will form the cornerstone of the six monthly reviews which the SOMs are undertaking with localities to monitor progress and ensure accountability.

2.7. While the corporate governance quadrant is still under development, full internal audit and quality assurance programmes have been delivered. In addition, nineteen of the twenty four Business Plan actions were delivered with significant progress made in the other five.

2.8. SCRA's annual staff survey is currently underway. This is a commitment undertaken by the organisation to understand and act upon staff views, with the results influencing key strategic work through the organisation.

Definitions

No.	Indicator	Aim for indicator	Definition
N 1.1	Decisions on referrals made within 50 working days of receipt – Target 75%	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 – Target 74%	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 – Target 75%	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 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.

* 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	Interim Compulsory Supervision Orders (ICSO)	Trend info	Counts the number of children with an ICSO made.
N 2.9	Interim Variation of Compulsory Supervision Orders (IVCSO)	Trend info	Counts the number of children with an IVCSO made.
N 2.10	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 2.11	Appeals concluded	Trend info	Counts the number of children with a final appeal outcome against a Hearing's decision.
N 2.12	Non-disclosure cases	Trend info	Counts the number of children with a non-disclosure provision in place (either rule 16 or other) at midnight on the last day of the quarter.

* 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	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.

Definitions

No.	Indicator	Aim for indicator	Definition
N 3.3	Staff attendance	High percentage	Calculates staff attendance by subtracting the number of days absence from the total working days available in the quarter (56 days * FTE at quarter end) and dividing this by the total working days available.
N 3.4	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 3.5	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 3.6	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 3.7	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 3.8	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 3.9	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.

1. Introduction

1.1 SCRA's complaints procedure came in at the end of 2011 following a full review by a working party drawn from all over SCRA and having regard to guidelines from the Scottish Public Ombudsman. In particular the new process was designed:

- To allow for more proactive recording of issues as complaints
- To encourage greater resolution at front line
- To encourage greater visibility of issues of learning for SCRA

1.2 A report was last done for the Board in June 2014 and it was asked that an annual report be presented. Actions identified from last year's complaints included:

- A need to work on the reduction of delay - The Board will be aware of the action taken through the Sustainability Programme which has resulted in significant reductions in delay
- Improving customer care, especially when hearings running late - This has been reviewed through the Hearing Management Group, in particular around respective responsibilities of SCRA staff and chair of hearing. Several members of SCRA are undertaking a customer care qualification.
- Improvements in internal logging and understanding of complaints - We have developed and introduced an internal training programme for managers in order to improve the handling of complaints. Initial feedback has been positive

2. Number and Source of Complaints

2.1 42 complaints were received in the last year, a substantial drop from 72 the previous year and 79 the year before. As in previous years there is a under reporting of issues resolved at front line but no indication that this is more than previous years. There have been less multiple complaints by particular individuals in comparison with previous years. In relation to topics, the area that has featured much less this year has been delays in reporter decision making, hopefully indicating progress in the Sustainability Programme.

2.2 16 of the complaints were received from relevant persons and a further 11 from other carers, - mainly foster parents and grandparents. Only one was received from a child/young person, the same as the previous year. That latter figure is one we are complacent about and recognise that in improving participation we should also wish to encourage greater ability of young people to complain where a service is not provided. The one complaint received was upheld in relation to scheduling of a hearing where the young person was on holiday. The complaint was properly upheld.

2.3 We received 6 complaints from victims of youth crime and a further 5 from parents of victims. These were received following information from SCRA Victim Information Officers about our actions in a case. Some related to dissatisfaction with the decision taken from a victim's point of view, others related to process and have been helpful in identifying potential weaknesses. These are referred to in section 7

3 Locality

3.1 Locality reporting was more evenly spread than last year. Glasgow had 6, South East 2, Tayside and Fife 3, North Strathclyde 9, Lanarkshire and Dumfries 6, Central 9, Highland 2, Grampian 3 and Ayrshire 2.

3.2 The most significant drop in the volume of complaints was in Glasgow.

4. Nature of Complaints

4.1 Complaints were identified within the following categories:

- Children's hearing process and /or administration -11(28 previous year)
- SCRA staff conduct and customer relations -7 (18 previous year)
- Data protection -9(12 previous year)
- Referral and reporter decisions -15(12 previous year)
- Communications – 0(4 previous year)
- SCRA property- 0 (1 previous year)

4.2 In relation to children's hearing process these may often relate to issues of dissatisfaction with not just SCRA but panel members as well. We have established an Information Governance Group with CHS to ensure there is an overview of how joint complaints are considered. On several occasions these relate to cases where there are disputes between parents and either the reporter or panel members are seen as taking sides. They have not been upheld.

4.3 In one case, a mother and child felt that they were given insufficient protection by SCRA against contact with the father within the hearing centre. That complaint was upheld and led to a review of property and process in an individual office. It has also been used in the Hearing Management Group to review joint practice. In another case, referred to previously, a child justifiably complained about being brought back from holiday to attend a hearing which ended up not proceeding. This case is one of several that have led to discussion within CHIP and with Social Work (Scotland) about ensuring better hearings that take proper account of the child's circumstances and views in scheduling as well as in decision making.

- 4.4 Complaints about data breaches have, in the main, been upheld although there were a couple of cases where SCRA acted in good faith, upon wrong information given by partner agencies. That has been highlighted nationally and a new procedure suggested for social workers to alert SCRA to changes in a family's address.
- 4.5 Victims or relatives of victims have made more complaints than last year, usually about the outcome of a case. Reporters have tried to respond, as have Victim Information Officers, but there are limits on the degree of personal information about the decision that can be shared. Unfortunately, decisions in the best interests of a child may not always be compatible with the wishes of a victim. There have, however, been justifiable complaints about the undue length that productions are retained eg a child's mobile phone and we have remedied that where it has arisen.
- 4.6 Complaints received from panel members have related to both process and efficiency of particular teams. Whilst we have not upheld process complaints, we have recognised that a complaint about a particular team's efficiency in dealing with panel papers was justified and this led to senior management intervention.

5. Complaint Resolution

- 5.1 32 out of 42 complaints have been resolved thus far, of which 11 were upheld and 9 upheld in part.
- 5.2 32 out of 42 were acknowledged within three days, 22 were answered in full within 20 days. Where more time is needed, we should always inform the complainant.

6. Referrals to the Scottish Public Ombudsman

- 6.1 Where a complaint is not upheld by SCRA the complainant is advised that in the event of continuing dissatisfaction, he/she may contact the SPSO.
- 6.2 In 2012/13 four cases were referred to the Ombudsman and none were upheld. In 2013/14, two were referred, one upheld in entirety, one in part. We have had no complaints referred to the Ombudsman in the last year.
- 6.3 We have met the Ombudsman in the last year to look at any improvements possible in our process. This has led to a stronger line being taken in relation to 'vexatious' complainants and to the introduction of an internal training programme as referenced below.

7. Actions Recommended/Taken

- 7.1 A number of managers have received further training from the Ombudsman's staff. We have consequently adopted their material (with permission) and have put together an internal training programme for all managers. This has been delivered once thus far with very good feedback.
- 7.2 Lessons from data breaches have been taken forward through the Information Governance Leads Group and reported to the Audit Committee. Where they involve other agencies they have been referred on.
- 7.3 We have logged several issues from victims which we shall take forward with the police, including handling of communications and productions.
- 7.4 We are working with CHS both through the Hearing Management Group and the joint Information Governance Group to improve the quality of family experience at hearings and ensure that where joint complaints are made, they are dealt with properly and cross over issues are sorted

8. Conclusion and Recommendations

- 8.1 The Board is asked for comments on the report and on any improvements that can be made to the information provided and the actions highlighted

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

Influencing Report: 1 December 2014 to 1 June 2015

Accountable Director: Head of Practice and Policy **Date:** June 2015

Recommendation:

- 1. That the Board notes the content of this report**

Reason for Report: *For information of Board*

Resource Implications: *Within approved budgets*

Strategy: *Within approved plans*

Consultation: *Practice and Policy team*

Document Classification: *Not protectively marked*

1. Introduction

- 1.1 In March 2011, the Practice and Policy Team produced a report for the Board outlining the key areas where SCRA had been able to be influential and apply its professional expertise, data and research to particular issues at a national level. The Board subsequently requested that a similar report be provided on a bi-annual basis. This is the eighth such report and covers the period 1 December 2014 to 1 June 2015.

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

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

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

2. Legislation

- 2.1 The **Children's Hearings (Scotland) Act 2011** has continued to be a focus for activity over this period. The amendments that we sought via the Children and Young People (Scotland) Act 2014 were included in the legislation which was passed by the Parliament. SCRA worked closely with CHS and Scottish Government colleagues on implementation of these amendments, including providing comments on amendments to the Procedural Rules. The legislative changes came into force on 26 January 2015.

The 2011 Act includes a provision empowering the Scottish Civil Justice Council (SCJC) to make rules of court which would **prevent a Relevant Person from personally questioning a child or other vulnerable witness**. This reflects similar provisions that exist in the criminal courts. The power was included in the Act at SCRA's request. However, the SCJC has raised a number of questions, including whether existing Rules are adequate to cover the situation and if there are ECHR issues in relation to Article 6. SCRA continues to work with Scottish Government colleagues to respond to these questions and to persuade the SCJC to take action and make the Rules necessary for implementation of these protections.

- 2.2 We continue to work with Scottish Government colleagues towards an **information sharing** power which would allow SCRA to share information in a range of situations including with Child Protection Committees during pre-inspection case audits and with relevant bodies operating the National Referral Mechanism on suspected child trafficking cases.
- 2.3 The Scottish Government has been considering making provision to amend the law relating to the **Minimum Age of Criminal Responsibility** (MACR). SCRA has taken part in a number of discussions on this area, promoting the view that the MACR should be raised to 12 and offering practical solutions to issues such as retention of investigative powers.
- 2.4 SCRA has received positive comments from the Scottish Government on our response to the **consultation on the GIRFEC statutory guidance**. The response was produced jointly with CHS and was based on comments from the SCRA Board, senior managers from both organisations, the CHIP sub-group and a workshop attended by Reporters and Panel Members from across the country.
- 2.5 SCRA was consulted during the drafting process for the **Scottish Elections (Reduction of Voting Age) Bill**. We sought to ensure that anonymous registration will be available for children subject to non-disclosure orders made by a hearing or by a Sheriff. This has been incorporated in the Bill. We also made clear the importance of ensuring that social workers are aware of their responsibility to support young people to register safely.

3. Research

- 3.1 SCRA took part in a workshop at the international British Association for the Study and Prevention of Child Abuse and Neglect (BASPCAN) conference in Edinburgh on 14th April. Malcolm Schaffer (Head of Practice and Policy) and Indiya Kurlus (Research Officer) delivered a well-received paper entitled **“Assessing evidence for compulsory measures of intervention – Children’s Reporter decision making”**.
- 3.2 SCRA has been invited to give a presentation to the Society of Local Authority Lawyers and Administrators (SOLAR) on **“Risks and our mutual responsibilities for the personal data of children and families”**. The presentation will be delivered by Data Protection Officer Katie Brownlee at the end of June.
- 3.3 SCRA has been invited to join a Scottish Government/NHS steering group on **the future of children and young people’s well-being surveys in Scotland**. It will report to Ministers in August, and is intended to inform commissioning from 2016 onwards. Lucy Hanson (Research Officer) is the SCRA member.
- 3.4 Information and Research Manager, Gillian Henderson, has been invited by BAAF to be a member of the Advisory Network for the BAAF-funded longitudinal research **“Permanently Progressing – a study of permanence in Scotland”**.
- 3.5 Support Assistant (Information), Zoie Sneddon’s paper **“Children’s Hearings in Scotland – how the involvement of young people as Modern Apprentices has led to improvements in service delivery”** has been accepted for publication in the Journal of the International Association of Youth and Family Judges and Magistrates. Publication is expected in July.

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

- 4.1 The Scottish Parliament's Standards, Procedures and Public Appointments Committee issued its report on **Legislation and the Scottish Parliament**. One of the recommendations is that all legislation be published in draft before being laid in Parliament. This was a key message in SCRA's submission to the inquiry and we are quoted in the report on this point.
- 4.2 Concerns have been expressed by some Locality staff that children resident in secure units were sometimes having their hearings take place in the unit even where there was not an identified health and safety risk that justified such a decision. In response, SCRA produced a **protocol for agreement with the secure providers** that reflects our Practice Direction. It makes clear that there is a presumption against holding a child's hearing in secure premises because this may give the impression to the child or others involved in the process that the child will return to secure accommodation after the hearing's decision. It also provides a clear framework for the secure unit to communicate any potential risk to the reporter in order that a properly informed decision can be taken about the most appropriate location for the hearing. The protocol was presented to the Scottish government's Secure Network and broad agreement was given by the secure providers present to the content of the protocol, subject to some minor amendments that are being taken forward. It is intended that the protocol will come into force on 23 June 2015.
- 4.3 The Head of Practice and Policy has been taking part in a review of evidence and procedure, led by the Scottish Courts Service into aspects of criminal law procedure and especially treatment of children.

5. Other / miscellaneous

- 5.1 This section covers reports and policy papers from other jurisdictions (for example England and Wales), as well as reserved issues. It may sometimes be based on visits and face to face contact rather than on formal written submissions.
- 5.2 In April, SCRA and CHS hosted a visit from a **Joint Standing Committee of the Western Australian Parliament**. The committee members were particularly interested in the hearings system's operation in relation to child sexual abuse, and in the GIRFEC agenda.

- 5.3 Also in April, SCRA and CHS were able to facilitate a visit from **Professor Penny Darbyshire**, an expert on the English legal system and criminal procedure. She attended hearings in Glasgow before meeting with CHS and SCRA officials to discuss the operation of the hearings system.
- 5.4 A **Northern Irish official conducting a review of Access to Justice** visited Scotland in May. He was able to attend a Hearing session and to meet with SCRA and CHS officials. He was particularly interested in legal aid and the hearings system as an alternative to family law courts.
- 5.5 SCRA was visited in May by an Australian lawyer who had been awarded a **Churchill Fellowship to explore the establishment of a child protection law specialist accreditation program** in Queensland, Australia. He observed hearings and met with the Head of Practice and Policy.

6. Horizon Scanning

- 6.1 SCRA continues to pursue opportunities with the Scottish Courts Service, the Scottish Civil Justice Council and with the Scottish Government to enable the use of **electronic signatures and electronic submission of documents** throughout the hearings system.

7. Recommendation

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

Appendix 1: **List of all consultations and calls for evidence responded to: 1 December 2014 to 1 June 2015.**

List of all consultations and calls for evidence responded to between 1 December 2014 and 1 June 2015

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

December 2014

None

January 2015

None

February 2015

Scottish Parliament Education and Culture Committee's call for Stage 1 evidence on the BSL (Scotland) Bill

Police Scotland consultation on their Under Age Sexual Activity Standard Operating Procedure

March 2015

Scottish Government consultation on Corporate Parenting Guidance

April 2015

None

May 2015

Scottish Government's consultation on the draft Statutory Guidance for Parts 4, 5 and 18 (Section 96) of the Children and Young People (Scotland) Act 2014
(response produced jointly with CHS)

Scottish Parliament Justice Committee call for Stage 1 evidence on the Apologies (Scotland) Bill

Scottish Government consultation on Proposed draft Climate Change (Reporting on Climate Change Duties) (Scotland) Order 2015

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

Strategic and Operational Risk Registers

Accountable Director: Principal Reporter/Chief Executive **Date:** 2 June 2015

Report Authors: Head of Finance & Resources
Executive Officer

Recommendation:

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

Reason for Report: For Approval.

Resource Implications: Not applicable

Strategy: Not applicable

Consultation: Executive Management Team
Operational Group
Audit Committee

Equalities Duties: Equalities impact assessment not required

Document Classification: Not protectively marked

1. Introduction

- 1.1 This report provides an update to the Board on the Strategic and Operational Risk Registers.
- 1.2 The Risk Registers were last reviewed by the Audit Committee at its meeting on 21 May 2015.

2. Risk Management in SCRA

- 2.1 SCRA's Risk Management Policy was approved by the Board in May 2012. The Board has responsibility for the system of internal control and risk management within SCRA. The Board charges the Audit Committee with overseeing the operation of the system of internal control and with ensuring robust risk management arrangements within SCRA, including reviewing the Strategic and Operational Risk Registers six-monthly.
- 2.2 The Risk Registers are kept under review by the Executive Management Team (EMT) and Operational Group.
- 2.3 The risk register format includes an assessment of both gross and net risk in order to demonstrate the impact of existing control mechanisms and to link the agreed organisational risk appetite.
- 2.4 The Internal Auditor reviewed risk management arrangements in 2014-15 and improvements to current arrangements will be implemented, including establishment of a Risk Reference Group to oversee development of Locality risk management.
- 2.5 The first meeting of the Risk Reference Group has taken place and arrangements are underway to hold a Risk Workshop in June facilitated by the internal auditors.

3. Strategic Risk Register

- 3.1 The Executive Management Team undertook a full review of the Strategic Risk Register in April 2015 (attached at Appendix 1).
- 3.2 The risks remain as previously reported but two of risks have a changed trend:

Risk 1 – The existing service plan and service model (e.g. processes and procedures may be insufficient to provide a safe and effective service – has changed from an upward trend to stable.

Risk 2 – Medium term ability of CMS to support effective operations – has changed from an upward trend to downwards.

4. Operational Risk Register Profile

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

4.2 A full review of the register was undertaken at the Operational Group at its March meeting and individually by the Senior Operational managers in April 2015. The review took account of national priority activities to support a safe and effective service with a particular focus on issues of immediate risk and delay.

4.3 Three risks have been updated to reflect a changed/improved trend:-

Risk 1 – insufficient operational capacity – has been revised to reflect a stabilised risk (from a rising risk), as a result of the efficacy of a battery of operational support measures/interventions and improved performance measures. This risk will be reviewed again in June and it is expected that the trend can be further revised to decreasing.

Risk 3 – Insufficient IT platform – this risk trend has been reduced to a decreasing risk as the successful delivery of the CMS improvement programmes (infrastructure and User Improvement) draw to a close and we move to the system development phase.

Risk 6 – synchronisation of CMS upgrades with appropriate training and guidance – moved to a stable trend as guidance and bespoke and refresher training is being successfully delivered

4.4 Risk 4 - Failure to provide full suite of operational data to partners has been realised insofar as TI3 (LA reports in 20 days) remains unavailable due to technical and counting convention/workflow differences between RAD and CMS. Alternative data is made available to all Local Authorities to allow them to track report completion.

5. Conclusions

5.1 The risks across both registers focus on the ongoing challenges in the delivery of a safe and effective service at a time of continued change and introduction of new working methods. The focus for the organisation is now to move to sustainable performance delivery and quality of outcomes.

5.2 The most recent review of the registers indicate:

- Operational capacity for safe and effective service delivery remains the significant risk. A full revision of actions and timescales has been undertaken with advice from the Operational Group/SOM's.
- Service plan and business model (linked to operational capacity) continue

to show as high risks but stabilising/improving. The current actions are thought to be adequate but require more time to sufficiently apply.

- Medium term ability of CMS to support effective operations – as reported in December, it was expected this risk would decrease and this has been achieved.
- Efficiency plan and delivery of sustainable budget are inextricably linked to operational capacity risks and are therefore showing a continued upward trend.

6. Recommendation

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

Appendix 1 – Strategic Risk Register (April 15)

Appendix 2 - Operational Risk Register (April 15)

Previous Papers:

Risk Register Report to Board – December 2014

Risk Register Report to Audit Committee May 2015

Strategic Risk Register April 2015

Risk No.	Reference to SCRA objectives	Risk Type	Risk Description	Risk Owner	Inherent Risk Score L*I	Key mitigating controls	Residual Risk Score L*I	Trend	Actions and Timescale	Risk Appetite	Target risk score L*I	Review Date
1	BP 2014/15 No. 1	Service Delivery	The existing service plan and service model (e.g. processes and procedures) may be insufficient to provide a safe and effective service	Senior Operational Managers/ Head of Practice & Policy	20 (4*5)	Approved Corporate/Business Plans. Locality Plans. Practice/Improvement Networks. Scheme of Delegation. Targeted use of temporary staffing/capacity. Devolved budgets. Workforce Plan delivery. Business Continuity Plan. SMART Working project.	16 (4*4)	↔	15/16 Locality Plan + SCRA Business Plan activities SMART working projects – delivery of revised Business Process activities and LEANER case processing Additional administrative and Assistant Reporter grade posts to be delivered in line with Review of Reporter Decision-making project.	Minimalist	6 (2*3)	June 15
2	BP 2014/15 No. 2	Service Delivery	Medium term ability of CMS to support effective operations	Head of Finance & Resources	20 (4*5)	Change Advisory Board (CCAB), CMS Performance Improvement Plan (PIP), Business Continuity Plan, Baseline performance measures, National User Group	16 (4*4)	↓	Weekly data reports. CMS Q3/4 Plan. Targeted use of temporary staff (reporters, support) Implementation of CMS UI Programme (to May 15) Additional development resources targeted as required. Ongoing investment in supporting infrastructure. Training of locality staff – ongoing.	Open to cautious	6 (2*3)	June 15 Will be reviewed with proposal to close risk.
3	BP 2014/15 No. 3	Reputation/ Governance	No reduction in numbers of information breaches	Head of Practice & Policy/ Senior Operational Managers	New 16 (4*4)	Information Governance Action Plan. Information Governance Working Group. Regular reports to Audit Committee.	9 (3*3)	↔	Delivery of recommendation of ICO Audit (March 14) Develop IG Leads arrangements One to One root cause analysis and management review of breaches (live process) Focus on high risk localities	Minimalist	3 (1*3)	June 15

Risk No.	Reference to SCRA objectives	Risk Type	Risk Description	Risk Owner	Inherent Risk Score L*I	Key mitigating controls	Residual Risk Score L*I	Trend	Actions and Timescale	Risk Appetite	Target risk score L*I	Review Date
4	BP 2014/15 Nos. 6 and 7	Service Delivery/ Finance	Efficiency plans do not deliver additional capacity or reduce costs	Head of Planning & Strategy/Head of Finance & Resources	New 12 (4*3)	Change Programme scrutiny of Benefits Realisation Programme. Efficiency Plan. Financial Strategy	9 (3*3)	↑	<p>Delivery of SMART working programme to identify new ways of working – ongoing</p> <p>The CMS UIP is due to deliver time savings in outputs functionality- May 15.</p> <p>Four distinct clusters of activity/change. performance review and sustainability/ quality/performance programme delivery – Nov-June15</p> <p>Delivery of Business Plan priorities/savings March 16</p> <p>The SCRA/UNISON workload assessment exercise will publish key findings on time intensive activity (to inform improvement priorities) – extended to second phase – June 15</p> <p>Review of BRP savings activity.</p>	Minimalist	3 (1*3)	June 15

Operational Risk Register –April 2015

Risk No.	Risk type	Risk description	Risk Owner	Inherent Risk Score L*I	Key Mitigating Controls	Residual Risk Score L*I	Trend	Actions & timescales	Risk Appetite	Target risk score L*I	Next Review Date
1	Operational/Reputational	Insufficient operational capacity/capability to improve or sustain service quality	Senior Operational Managers	(4:4) 16	Consolidate temporary staffing where feasible/sustainable. Development of further phases of workload measurement and resource allocation. Capacity measurement jointly with UNISON and ongoing discussions with Scottish Government on long-term resource needs. Improved CMS performance and function. Delivery of comprehensive Locality Plan. Retention of temp Reporter and other staff beyond April 15 to prevent loss of expertise in advance of known pressure period (Summer) Reporter decision making project initiated to free time for key reporter activities Wider adoption of inter locality assistance and support Adoption of inter locality working protocol in BCP	(2:4) 8	—	Locality plans in place in each area. Quarterly review of plans by LMTs. Six monthly review by Senior Operational Managers. Six monthly business plan review. Engagement of planning officers/team with LMTs. Provision of regular/routine performance/cms data (weekly/monthly). Three year budget settlement to be implemented 12/13 to 15/16. Opening of sustainability programme. Project sponsor agreed April 15 for RDM and Court change modules. Full PIDs to be in place by end June 15 Implement CMS Improvement Plan – end May 15 Contracts extended for key temp staff till end June 15 in first instance	Cautious	(2:2) 4	June 15
2	Non compliance with legal duty/reputational	Failure to implement SCRA's Security Policy Framework and Strategic Framework for Information Management	Information & Research Manager	(4;4) 16	Information Governance Working Group comprehensive plan and actions in place. Locality leads for IG identified and leading delivery at local level. Ad hoc national support programmes. Ongoing staff training Lead by Senior Operational Managers of Breach Reviews Adoption of Principles Paper by CHIP	(3:3) 9	—	Individual Locality leads - distilling necessary activity at team level - Ongoing. Continued review and learning from current adverse incidents/breaches/ near misses - Ongoing – Rapid dissemination of learning outcomes to local teams. Deliver training and staff awareness programmes across 2014 via e-learning portal – ongoing. Implement ICO Audit recommendations Ongoing . Strengthen role of IG Leads at locality level and continued LMT focus on information governance.	Minimalist	(2:3) 6	June 15

Operational Risk Register Risk No.	Risk type	Risk description	Risk Owner	Inherent Risk Score L*I	Key Mitigating Controls	Residual Risk Score L*I	Trend	Actions & timescales	Risk Appetite	Target risk score L*I	Next Review Date
3	Reputational/operational/strategic/failure to meet statutory duties	Insufficient IT platform to ensure operational productivity and safety - significant long term delay in decision making for children and failure to meet statutory timescales	Senior Operational Managers/ Principal Reporter	2:5 (10)	Local compensatory 'work arounds' locality planning and priority setting. Review of weekly performance data and management/staff intervention. CMS improvement programme delivery. NUG programme of advice on fix list prioritisation. Use of staff overtime and additional hours where sustainable Process mapping, agreement and process redesign programme via NUG and Operational Group Improvements - core processing speed of CMS via Performance Improvement Plan User Interface programme of improvement for CMS completing May 2015	2:5(10)	↓	Day to day management of business critical activities - LMT's ongoing. Improvement of weekly caseload reporting to practitioners and managers through improved management of mailbox and tackling mailbox backlog - achieved and maintenance of performance – ongoing. Complete CMS options appraisal and delivery of CMS UI programme – May 15 Continued provision of RAD DMF information plus additional operational data to managers and reporters (ongoing). Implementation of agreed business process in each locality – ongoing. Delivery of risk and delay programme including medium term operational redesign via Change Board.(Sustainability, Quality, Performance programme – June 15 – April 16)	Open	(2:2) 4	June 15
4	Reporting/reputational Risk has been realised in relation to T13	Failure to provide full suite of operational data to partners	Head of Planning & Strategy/ Principal Reporter/ Locality Reporter Manager	(4:3) 12	Producing all reports that we did previously for partners however T13 is the one core gap and this has been communicated to partners.	(3:2) 6	—	Partnership engagement at national and local level – ongoing. Development of alternative arrangements to monitor performance on LA reports – complete.	Minimalist	(2:1) 2	June 15

Operational Risk Register Risk No.	Risk type	Risk description	Risk Owner	Inherent Risk Score L*I	Key Mitigating Controls	Residual Risk Score L*I	Trend	Actions & timescales	Risk Appetite	Target risk score L*I	Next Review Date
5	Operational/reputational	Impact of delays in decision-making by Reporters on Cases	SOMs	(4:4)16	Management of Delay strategy Business Continuity Supervision Significant improvement in provision of frequent management information and performance data reports	2:3(6)	—	Implement CMS Improvement Programme – May 15 Deliver MoD strategy across service – ongoing. Utilise Business Continuity Plan, sustainability/quality/performance programme as appropriate. Fully implement business process review – March 15 Implement and monitor business plan – March 15 Target additional resources to individual localities as appropriate - ongoing. Individual and locality performance review and management – ongoing.	Cautious	2:2(4)	June 15
New 6.	Operational/reputational	CMS Improvements – as the programme of improvements is implemented, the potential risks around ensuring that awareness and training for staff in implementing the changes is up to date/synchronised	Senior Operational Managers/ Principal Reporter	(4:3) 12	Ongoing training and awareness sessions for all CMS users relative to assessed needs. Each upgrade is accompanied by appropriate guidance notes. Upgrades where necessary are accompanied by refresher/bespoke training.	(3:2) 6	—	Managers to use regular team communication methods to ensure visibility of guidance. Guidance is well presented and accessible to all. Alignment of IT Service Delivery and Training Managers to each Locality. Identification, via line managers of staff in most need of desk based support/guidance.	Cautious	(2:1) 2	June 15

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

Environmental Report

Accountable Director: Principal Reporter/Chief Executive

Date: 12th June 2015

Report Author: Head of Property

Recommendation:

1. To note the contents of this report, the public sector duties placed on SCRA and the expected impact of new environmental regulations.
2. To delegate responsibility to EMT to put in place suitable arrangements for the coordination, resourcing and management of activities to meet our Climate Change and Environmental duties.
3. Further reports will be brought back to the Board to provide updates on the actions taken in relation to climate change mitigation, adaptation and sustainability.

Reason for Report: To Update Board On Progress

Resource Implications: Not within available resources

Strategy: Within agreed plans

Consultation: EMT, SCRA Environmental Group

Equalities Duties A preliminary Equalities Impact Assessment has been completed.

Document Classification: Not protectively marked

1.0 Introduction

- 1.1 The purpose of this report is to provide the Board with an update on recently introduced, and planned, regulations under Environmental legislation.
- 1.2 These regulations have significant implications for SCRA that require to be considered in the context of existing resources and commitments.

2.0 Background

- 2.1 Part 4 of the Climate Change (Scotland) Act 2009 came into force on 1 January 2011 and places specific environmental duties on public sector organisations. The Act requires SCRA to comply with the following duties in the course of exercising its functions:
 - Mitigation – to contribute towards reducing greenhouse gas emissions
 - Adaptation – to deliver any statutory climate change adaptation programme
 - Sustainability – to embed sustainability as a core organisational value
- 2.2 In June 2015, the Scottish Government announced that the 2013 annual emission target had been missed. This is the fourth consecutive year that the target has been missed and if the Government's ambitious target of reducing greenhouse gas emissions by 42% before 2020 (80% by 2050) are to be achieved then further action is required.
- 2.3 The public sector is expected to be a role model for responding to the threat of climate change. New regulations are being introduced that reinforce the duties contained within Part 4 of the Climate Change Act and will require more robust statutory reporting on our organisation's environmental strategy and targets.
- 2.4 In addition, further environmental and sustainability regulations are being introduced that will impact directly on our property, the management of our estate and how the organisation secures the goods, services and works it requires.

3.0 New and Forthcoming Regulatory Changes

- 3.1 The existing and planned regulations will require an increasing strategic and resource commitment by SCRA to meet the duties placed on public sector organisations. The following section covers the main areas where changes are being introduced:
 - Biodiversity Reporting
 - Climate Change Reporting
 - Energy Performance Certificates (EPCs)
 - Energy Performance and Emissions Assessment (Non-Domestic Buildings)
 - Sustainable Procurement

3.2 Biodiversity Reporting

The Biodiversity duty was originally introduced with the Nature Conservation (Scotland) Act 2004 and requires every public body “to further the conservation of biodiversity so far as is consistent with the proper exercise of those functions”.

The Wildlife and Natural Environment (Scotland) Act 2011 reinforces the provisions of the 2004 Act and widens the duty to include the publication of a report, at least every 3 years, detailing the strategy and actions taken by the public body to contribute towards conservation of biodiversity.

In terms of the format of the report, the Act indicates that this can be in “such form and published in such manner” as the public body thinks fit and incorporated within another report prepared by the body. It is proposed, therefore that this will be incorporated within the SCRA annual sustainability report.

3.3 Climate Change Reporting

The Scottish Government undertook a consultation exercise between February and May this year regarding the introduction of regulations under Section 46 of the Climate Change (Scotland) Act. As the Government’s emissions target has not been achieved for three consecutive years, the new regulations are intended to improve reporting and encourage public bodies to meet their climate change duties.

Under the proposed regulations, public bodies categorised as “major players” will be statutorily required to prepare more detailed annual reports on their environmental performance using a standardised reporting system. This change will bring Scotland into line with mandatory reporting in England.

SCRA currently prepares an annual public sector sustainability report (PSSR) along with our annual report. As we are designated as a “major player”, it will be necessary to prepare a more comprehensive and robust annual climate change report under the Section 46 regulations. The new regulations are expected to be in force by November 2015 and the first standardised report for the 2015/16 year is to be prepared and submitted by October 2016. Subsequent reports completed within 6 months of year end. For reporting against 2014/15 performance, “major players” are expected to prepare and submit their report on a voluntary basis using the trial reporting format contained within the draft regulation. EMT recommend that SCRA do not adopt the new standardised report format but try to expand the existing sustainability report providing a bridge to the new reporting areas.

The draft standard report is attached at Appendix A and requires organisations to record their strategies, performance and progress against the following areas:

- Governance, Management and Strategy
- Corporate Emissions, Targets and Projects
- Adaptation
- Procurement

3.4 Energy Performance Certificates (EPCs)

The requirement to produce energy performance certificates was originally introduced in 2009 and required public buildings over 1000 Sqm to display an EPC.

From July 2015, the threshold for public sector organisations to undertake and display an EPC will be reduced to buildings that are 250sqm or larger. For SCRA this covers all but the smallest of our properties and will require EPC surveys to be undertaken by registered assessors.

3.5 Energy Performance and Emissions Assessment (Non-Domestic Buildings)

Under section 63 of the Climate Change (Scotland) Act, Scottish Ministers will introduce regulations for energy performance and emissions assessment of commercial properties. The regulations will also require owners of affected buildings to carry out the necessary works to improve energy performance and reduce emissions.

Initially, the regulations will only apply to larger buildings over 1000 Sqm, which involves the 3 largest properties in SCRA's estate. The same approach was adopted with the introduction of EPCs in 2009, so it can be expected that the requirement will be extended to smaller buildings over time. The implementation timetable has recently been published and it is expected that the regulations will be brought in during November and come into effect from June 2016. Guidance to accompany the new regulations is expected by the end of this year.

3.6 Sustainable Procurement

The Procurement Reform (Scotland) Act 2014 received Royal Assent in June 2014 and a number of new regulations are expected to be in place towards the end of 2015. This will include a Sustainable Procurement Duty requiring sustainability and environmental factors to be considered in every procurement exercise. The Procurement Act also includes a specific amendment to the Climate Change Act for the Scottish Ministers to introduce regulations to ensure that a specified proportion of the goods or works procured by public bodies use recycled or recyclable products.

3.7 The introduction of the regulations set out above can be seen to be directly related to the three areas of mitigation, adaptation and sustainability covered at 2.1.

4.0 Actions and Next Steps

4.1 SCRA's Environmental Group met again in May to discuss the various regulatory changes outlined in section 3 along with the priority project areas identified previously.

4.2 The closing date for submissions on the Climate Change Reporting consultation was 29th May and SCRA's response is attached at Appendix B. The proposals contained in the draft regulations were considered by the group and supported in principle. The main areas of concern related to SCRA's designation as a "major player" and whether a more proportionate approach should be applied to less environmentally influential organisations.

Around 150 organisations have been listed by Scottish Government as "major players" and for the purposes of the regulations, they are considered to be:

- Public bodies with large estates and large numbers of staff
- Public bodies with a high impact and influence, e.g. Scottish Government, local authorities, SEPA, SNH
- Public bodies with large expenditure
- Public bodies that provide an auditing or regulatory function

SCRA's response to the consultation reflects our concern regarding the major player status along with the financial and resource implications of the new reporting requirements. Taking into consideration SCRA's dispersed estate and our work with children & families, however, it could be argued that the organisation does have an influential (although not immediately obvious) role as a "major player".

- 4.3 Going forward, our Corporate and Business Plans will need to have an increasing focus on our environmental duties and our strategy / plan for contributing towards climate change mitigation, adaptation and sustainability.
- 4.4 Within the proposed reporting template attached at Appendix A, there is reference to both the Climate Change and Flexible Framework Assessment Tools. These tools have been developed for Scottish Government to allow public sector organisations to self-assess their progress towards achieving their duties. It is intended to formally undertake both of these assessment exercises with members of the senior management team to benchmark current performance and develop appropriate action plans.
- 4.5 The requirement to report on Biodiversity will be taken forward by the Environment Group for inclusion in the annual report. Biodiversity forms one of the main project areas that were identified previously by the Environment Group (listed below) and these will be referenced in the new Climate Change Report. In addition, there are a number of other significant organisation projects that are not currently labelled as environmental projects but include environmental benefits. These include our digital strategy and progress towards reducing paper usage. Significantly, many of the projects that SCRA is currently progressing to reduce our operational costs have environmental and sustainability benefits.
- Estate Rationalisation
 - Utility Metering / Consumption
 - Waste Minimisation
 - Business Travel
 - Sustainable Procurement
 - Biodiversity
 - Staff Awareness and Engagement
 - Improving Data Collection
- 4.6 The new regulations concerning the environmental performance of our buildings will be incorporated into the work of the Property Team to determine the financial and resourcing impact. It is expected that future refurbishment and minor works projects will need to include an increasing element of adaptations to meet the requirements of current and future environmental regulations.
- 4.7 The implications of the changes contained within the Procurement Reform Act, and the sustainable procurement duty, will be reported to the Board as part of the annual Procurement and Efficiency report.

- 4.8 At present, the activities that SCRA must undertake to comply with our climate change duties are being undertaken by a number of staff across Head Office teams in addition to their existing roles. Support to public sector organisations is available through Resource Efficient Scotland and Zero Waste Scotland and SCRA has made initial contact to find out the help that is available. In addition EMT have requested that the Environmental Group consider opportunities to collaborate with other public sector bodies and perhaps jointly fund a secondment from Scottish Government to assist.
- 4.9 EMT will receive a report from the Environmental Group on whether it is necessary to strengthen and formalise the existing arrangements for meeting our climate change duties. In the first instance, it is proposed to include Environmental Management projects within the Infrastructure Programme overseen by the Change Board.

5.0 Conclusions

- 5.1 The legislative, financial and resourcing impact of the Government's environmental policies will start to have a significant impact during 2015/16. As new regulations become effective, it is expected that the pace of change will increase over time to meet the 2020 and 2050 commitments.
- 5.2 The Government's targets for reducing greenhouse gas emissions were missed for the four reporting years 2010 to 2013. If targets continue to be missed it is likely that further legislation will be introduced to force the pace of change.
- 5.3 For SCRA, continued investment and dedicated resources will be necessary to mitigate the environmental impact of the services we provide. Buildings, technology and systems will need to be adapted over time to ensure that we can reduce our impact on the environment and deliver our services more sustainably. The Scottish Government expectation is that environmental considerations will be mainstreamed within public sector organisations and feature prominently in all strategy, planning and business decisions.

6.0 Recommendations

- 6.1 To note the contents of this report, the public sector duties placed on SCRA and the expected impact of new environmental regulations.
- 6.2 To delegate responsibility to EMT to put in place suitable arrangements for the coordination, resourcing and management of activities to meet our Climate Change and Environmental duties.
- 6.3 Further reports will be brought back to the Board to provide updates on the actions taken in relation to climate change mitigation, adaptation and sustainability.

PART 1: ORGANISATIONAL PROFILE

1(a) Name of organisation
Provide the name of the organisation that is the subject of this report ("the organisation").

1(b) Type of the organisation

1(c) Number of FTE staff in the organisation

1(d) Alternative metrics used by the organisation
Specify any other metrics that the organisation uses to assess its performance in relation to climate change and sustainability (add rows as required).

<i>Metric</i>	<i>Units</i>	<i>Value</i>	<i>Comments</i>

1(e) Overall budget of the organisation
Specify approximate £/annum for the report year.

1(f) Report year
Specify the report year e.g. 2015/2016.

PART 2: GOVERNANCE, MANAGEMENT AND STRATEGY

Governance and management

2(a) How is climate change governed in the organisation?
Provide a summary of the roles played by the organisation's governance bodies and members. Include reference to adaptation, transport, business travel, waste, information and communication technology (ICT), procurement and behaviour change if these sit outside main climate change governance.

2(b) How is climate change managed and delivered by the organisation?
Provide a summary of how decision-making is managed and how responsibility is allocated to the organisation's senior staff, departmental heads etc. Include reference to adaptation, transport, business travel, waste, ICT, procurement and behaviour change if these sit outside its main climate change delivery structures.

Strategy

2(c) Does the organisation have specific climate change mitigation and adaptation objectives in its corporate plan or similar document?
Provide a brief summary of objectives if they exist.

<i>Wording of objective</i>	<i>Name of document</i>

2(d) How is climate change action embedded across the organisation?

Provide a brief summary of how climate change action for mitigation and adaptation is embedded within the organisation's services / departments, etc.

2(e) Does the organisation have a climate change plan or strategy?

If yes, provide the name and/or link to any such document.

2(f) Does the organisation have any plans, strategies or policies covering the following areas that include climate change?

Provide the name of any such document and the timeframe covered.

<i>Topic area</i>	<i>Name of document</i>	<i>Time period covered</i>	<i>Comments</i>
Adaptation			
Business travel			
Energy efficiency			
Fleet transport			
ICT			
Renewable energy			
Sustainable / renewable heat			
Waste management			
Water and sewerage			
Other			

2(g) What are the organisation's top 5 priorities for climate change governance, management and strategy for the year ahead?

Provide a brief summary of the organisation's areas and activities of focus for the year ahead.

2(h) Has the organisation used the Climate Change Assessment Tool⁽⁴⁾ to self-assess its capability / performance?

If yes, please provide details of the key findings and resultant action taken.

Further information

2(i) Supporting information and best practice

Provide any other relevant supporting information and any examples of best practice by the organisation in relation to governance, management and strategy.

⁽⁴⁾ This refers to the tool developed by Resource Efficient Scotland for the purposes of self-assessing an organisation's capability / performance in relation to climate change.

Projects and changes

- 3(e) **Estimated total annual carbon savings from all projects implemented by the organisation in the report year**
 If no projects were implemented against an emissions source, enter "0".
 If the organisation does not have any information for an emissions source, enter "Unknown".
 If the organisation does not include the emissions source in its carbon footprint, enter "N/A".

<i>Emissions source</i>	<i>Total estimated annual carbon savings (tCO₂e)</i>	<i>Comments</i>
Electricity		
Natural gas		
Other heating fuels		
Waste		
Water and sewerage		
Travel		
Fleet transport		
Other (specify in comments)		
Total		

- 3(f) **Detail the top 10 carbon reduction projects implemented by the organisation in the report year**
 Provide details of the top 10 projects (based on estimated emissions savings) implemented in the report year.

<i>Project name</i>	<i>Funding source</i>	<i>First full year of CO₂e savings</i>	<i>Capital cost (£)</i>	<i>Operational cost (£/annum)</i>	<i>Project lifetime (years)</i>	<i>Primary fuel / emission source saved</i>	<i>Estimated carbon savings per year (tCO₂e/annum)</i>	<i>Estimated costs savings (£/annum)</i>	<i>Savings figures are estimated or actual</i>	<i>Comments</i>

- 3(g) **Estimated decrease or increase in emissions from other sources in the report year**
 If the organisation's corporate emissions increased or decreased for any other reason in the report year, provide an estimate of the amount and direction.

<i>Emissions source</i>	<i>Total estimated annual emissions (tCO₂e)</i>	<i>Increase or decrease in emissions</i>	<i>Comments</i>
Estate changes			
Service provision			
Staff numbers			
Other (specify in comments)			
Total			

- 3(h) **Anticipated annual carbon savings from all projects implemented by the organisation in the year ahead**
 If no projects are expected to be implemented against an emissions source, enter "0".
 If the organisation does not have any information for an emissions source, enter "Unknown".
 If the organisation does not include the emissions source in its carbon footprint, enter "N/A".

<i>Emissions source</i>	<i>Total estimated annual carbon savings (tCO₂e)</i>	<i>Comments</i>
Electricity		
Natural gas		
Other heating fuels		
Waste		
Water and sewerage		
Travel		
Fleet transport		
Other (specify in comments)		
Total		

- 3(i) **Estimated decrease or increase in emissions from other sources in the year ahead**
 If the organisation's corporate emissions are likely to increase or decrease for any other reason in the year ahead, provide an estimate of the amount and direction.

<i>Emissions source</i>	<i>Total estimated annual emissions (tCO₂e)</i>	<i>Increase or decrease in emissions</i>	<i>Comments</i>
Estate changes			
Service provision			
Staff numbers			
Other (specify in comments)			
Total			

- 3(j) **Total carbon reduction project savings since baseline year**
 If the organisation has data available, estimate the total emissions savings made from projects since the organisation's baseline year.

<i>Total savings</i>	<i>Total estimated emissions savings (tCO₂e)</i>	<i>Comments</i>
Total project savings since baseline year		

Further information

- 3(k) **Supporting information and best practice**
 Provide any other relevant supporting information and any examples of best practice by the organisation in relation to corporate emissions, targets and projects.

PART 4: ADAPTATION

Assessing and managing risk

- 4(a) **Has the organisation assessed current and future climate-related risks?**
 If yes, provide a reference or link to any such risk assessment(s).

- 4(b) **What arrangements does the organisation have in place to manage climate-related risks?**
 Provide details of any climate change adaptation risk management procedures, strategies, action plans and any adaptation policies and actions included across policy areas.

Taking action

- 4(c) **What action has the organisation taken to adapt to climate change?**
 Include details of work to increase awareness of the need to adapt to climate change and build the capacity of staff and stakeholders to assess risk and implement action.

- 4(d) Where applicable, what progress has the organisation made in delivering the policies and proposals referenced N1, N2, N3, B1, B2, B3, S1, S2 and S3 in the Scottish Climate Change Adaptation Programme^(a) (“the Programme”)? If the organisation is listed in the Programme as an organisation responsible for the delivery of one or more policies and proposals under the objectives N1, N2, N3, B1, B2, B3, S1, S2 and S3, provide details of the progress made by the organisation in delivering each policy or proposal in the report year. If it is not responsible for delivering any policy or proposal under a particular objective enter “N/A” in the ‘Delivery progress’ column for that objective.

Objective	Objective reference	Theme	Policy / proposal reference	Delivery progress made	Comments
Understand the effects of climate change and their impacts on the natural environment.	N1	Natural Environment			
Support a healthy and diverse natural environment with capacity to adapt.	N2	Natural Environment			
Sustain and enhance the benefits, goods and services that the natural environment provides.	N3	Natural Environment			
Understand the effects of climate change and their impacts on buildings and infrastructure networks.	B1	Buildings and infrastructure networks			
Provide the knowledge, skills and tools to manage climate change impacts on buildings and infrastructure.	B2	Buildings and infrastructure networks			
Increase the resilience of buildings and infrastructure networks to sustain and enhance the benefits and services provided.	B3	Buildings and infrastructure networks			
Understand the effects of climate change and their impacts on people, homes and communities.	S1	Society			
Increase the awareness of the impacts of climate change to enable people to adapt to future extreme weather events.	S2	Society			
Support our health services and emergency responders to enable them to respond effectively to the increased pressures associated with a changing climate.	S3	Society			

^(a) The Programme aims to address impacts identified for Scotland in the UK-wide climate change risk assessment which are not otherwise addressed by the UK-wide National Adaptation Programme through policy in relation to reserved matters.

Review, monitoring and evaluation

- 4(e) What arrangements does the organisation have in place to review current and future climate risks? Provide details of arrangements to review current and future climate risks, for example, what timescales are in place to review the climate change risk assessments referred to in Question 4(a) and adaptation strategies, plans and policies in Question 4(b).

- 4(f) What arrangements does the organisation have in place to monitor and evaluate the impact of the adaptation actions? Please provide details of monitoring and evaluation criteria and adaptation indicators used to assess the effectiveness of actions detailed under Question 4(c) and Question 4(d).

Future priorities for adaptation

- 4(g) What are the organisation’s top 5 climate change adaptation priorities for the year ahead? Provide a summary of the areas and activities of focus for the year ahead.

Further information

- 4(h) Supporting information and best practice Provide any other relevant supporting information and any examples of best practice by the organisation in relation to adaptation.

PART 5: PROCUREMENT

Flexible Framework Assessment Tool^(a)

5(a) When did the organisation last complete the Flexible Framework Assessment Tool?
 Include the month (e.g. April 2015).

5(b) What scores were achieved by the organisation when it last used this tool?

<i>Name of target</i>	<i>Level achieved (completed)</i>	<i>Target level</i>	<i>Date to be achieved</i>	<i>Comments</i>
People				
Policy				
Process				
Suppliers				
Results				

Climate change and sustainable procurement

5(c) Incorporating climate change / sustainability into new build projects
 Provide a brief description of how climate change / sustainability issues were taken into account in the design and procurement of any new build projects by the organisation in the report year.

^(a) This refers to the tool developed by the UK Sustainable Procurement Task Force for the purposes of charting an organisation’s progress towards achieving sustainable procurement.

5(d) Achievements in incorporating climate change / sustainability into procurement
 Provide a brief description of any achievements by the organisation in incorporating climate change / sustainability considerations into procurement in the report year.

5(e) Challenges to incorporating climate change / sustainability into procurement
 Provide a brief description of any challenges identified by the organisation.

5(f) How procurement policies contribute to compliance with climate change duties
 Provide information relating to how the procurement policies of the organisation have contributed to its compliance with climate changes duties.

5(g) How procurement activity has contributed to compliance with climate change duties
 Provide information relating to how procurement activity by the organisation has contributed to its compliance with climate changes duties.

Further information

5(h) Supporting information and best practice
 Provide any other relevant supporting information and any examples of best practice by the organisation in relation to procurement.

PART 6: VALIDATION AND DECLARATION

- 6(a) Internal validation process**
 Briefly describe the organisation’s internal validation process, if any, of the data or information contained within this report.

--

- 6(b) Peer validation process**
 Briefly describe the organisation’s peer validation process, if any, of the data or information contained within this report.

--

- 6(c) External validation process**
 Briefly describe the organisation’s external validation process, if any, of the data or information contained within this report.

--

- 6(d) Declaration**
 I confirm that the information in this report is accurate and provides a fair representation of the organisation’s performance in relation to climate change.

Name	
Role in the organisation	
Date	

CONSULTATION QUESTIONNAIRE

Question 1: Do you agree that the powers in the Climate Change (Scotland) Act 2009 should be used to improve climate change reporting by public bodies?

Yes

Comments

The powers in the Act give the Scottish Government the ability to require reports to be prepared and to set out the format of those reports. It is agreed that adequate reporting should be undertaken by public bodies. To date, SCRA has prepared annual reports providing information on performance. However, the proposed amendments to the reporting format are expected to increase the organisational resources necessary to comply with the new requirements during a period where resources are being reduced. The proportionality of the information being gathered should be carefully considered in relation to public bodies' core functions.

Question 2: Do you agree that standardised reporting will improve the quality and consistency of climate change information reported by public sector major players?

Yes

Comments

In principle and over time it could be expected that standardised reporting will improve the quality and consistency of information. However, the current "major players" list covers a wide range of public bodies that are at various stages in relation to their climate change duties. Inevitably, more detailed and standardised reporting will highlight those bodies that do not have climate change at the core of their organisational role. To meet the reporting requirements it is anticipated that existing resources will require to be diverted to ensure compliance. At a time of increasingly constrained resources this is likely to be a challenge. The benefits for public sector bodies themselves could be more clearly set out, particularly in terms of how the information is intended to be used. For example if the standardised reporting is intended to identify barriers and carries with it the potential for increased Scottish Government resource to overcome these barriers, this should be made clear.

Question 3: Do you agree with the policy subjects and questions included in the proposed climate change reporting form (see Schedule 2 to the draft order)?

Yes

Comments

The policy subjects and questions are relevant and cover a good range of areas. For a number of organisations designated “major players” that do not have climate change and environmental matters firmly embedded in the organisational makeup (particularly organisations whose primary focus of work is not environment related) the additional reporting will require significant additional resources.

It would also seem desirable to ensure that public bodies could meet other reporting requirements through inclusion within a single report. For example the separate duty for reporting on Biodiversity could be included as part of a single report. It would be helpful for the Scottish Government to ensure that these requirements are joined up so far as is possible, both to minimise workload and to ensure that the maximum possible value is extracted from the reports themselves.

Question 4: What would you consider to be an appropriate deadline date for the annual submission of climate change public bodies duties reports?

Comments

The draft order specifies a period of 6 months from the financial year end for submission of reports. Allowing for the resources and internal procedures necessary for compilation of reports, as well as time delays retrieving key data, we consider that a revised period of 9 months from the end of the financial year would be more practical.

Question 5: Based on your current level of climate change/sustainability reporting, are there any additional resource implications associated with the proposed reporting requirement?

Comments:

The new reporting requirements are expected to lead to an increased level of time and resources being dedicated by SCRA to meet our climate change/sustainability reporting duty. It is expected that new internal data gathering systems and processes will be required which will divert resources from supporting the delivery of core operational functions.

Question 6: For public sector respondents only:

- **Do you agree with the list of “major players” in Schedule 1 to the draft order?**

No

Comments:

The phrase may be misleading as use of the term “major players” suggests that these are organisations that have environment/climate change at the core of their organisational functions. This would indicate organisations such as SEPA and SNH. Whilst all public sector bodies have a role to play in contributing towards climate change reduction, in a number of cases organisations currently designated as “major players” are unlikely to have major influence or impact.

- **Would you voluntarily provide additional climate change information if recommended by the Scottish Government?**

Yes

Comments

SCRA would seek to respond positively to any such request. As we have noted above, the currently proposed reporting requirement and any additional voluntary information will have significant time and resourcing implications that will impact upon support provided to core operational functions.

Question 7: What guidance should be provided for climate change public bodies duties reporting?

Comments

For public bodies, like SCRA, that do not have climate change/environmental work at the core of their statutory functions, additional guidance and support will be essential.

In terms of specifics, guidance on how to extrapolate information where exact information isn't available, for example, water use where there is no water meter or electricity use in shared premises. For a diverse estate such as SCRA's, correctly calculating this is critical to providing accurate figures.

Question 8: How do you think climate change public bodies duties reports should be monitored?

Comments

Any monitoring undertaken of the reports should be accompanied by extensive support and assistance to enable less experienced organisations to develop and improve over time. A monitoring approach based on encouragement, support and the sharing of good practice rather than penalisation would be welcomed.

Question 9: What should the consequences be if a major player does not comply with the climate change public bodies duties?

Comments

Financial penalties for non-compliance are not considered appropriate, particularly for less developed organisations for whom meeting the reporting requirements will involve the commitment of significant resources. The use of any form of “league table” is also not considered appropriate and the focus should be on supporting organisations to fulfil the duties.

Question 10: Do you believe climate change public bodies duties reports should be validated prior to submission?

Yes, independent Yes, internal Yes, peer to peer Not Needed

Comments

Validation of reports prior to submission will reduce the time available for preparation of the report. SCRA has no experience of this process although it is anticipated that it will necessitate further commitment of time and resources.

Question 11: Would you be content for your climate change public bodies duties report to be published annually on the Sustainable Scotland Network (SSN) website?

Yes

Comments

N/A

Question 12: How much time would your organisation expect to spend preparing a report in accordance with the draft order? (include any external consultancy time)

Comments

The consultation document suggests 20 hours per organisation to complete the report. Given the current level of development of SCRA’s climate change systems and processes, it is expected that the time commitment to produce the report will significantly exceed this estimate and involve contributions from various individuals and parts of the organisation to bring the information together in a meaningful and useable form.

Question 13: With reference to the draft BRIA, do you think that the policy proposal presented may impact on business, the third sector (voluntary) or any other relevant areas?

Comments

Unable to comment

Question 14: Do you think that the policy proposal presented may impact on people differently depending on characteristics such as age, disability, gender, race, religion or belief, sexual orientation, gender identity or marriage or civil partnership status? Could the proposals enhance equality or good relations? If so, please comment.

Comments

Unable to comment

SCOTTISH CHILDREN'S REPORTER ADMINISTRATION

2014/15 Budget Outturn and 2015/16 Budget Pressures

Accountable Director: Principal Reporter/Chief Executive **Date:** 15th June 2015

Report prepared by: Head of Finance and Resources

Recommendations:

1. To consider the draft revenue and capital outturn positions for the year to March 2015.
2. To approve that, given the current revenue position, no carry forward overspend to 2015/16 is required.
3. To approve capital carry forward to 2015/16 of £91k to meet the costs of the delayed Bell Street lift replacement, delayed Fit For Us works and delayed spend on the Inverness/Lerwick and Stornoway projects, subject to approval of Sponsor Team.
4. To note the latest assessment of the cost implications for SCRA of implementation of the Children's Hearing (Scotland) Act 2011.

Reason for Report: Board approval

Resource Implications: Within available resources

Strategy: Within agreed plans

Consultation: Budget Holders

Equalities Duties: An Equalities Impact Assessment is not required.

Document Classification: Not protectively marked

1. Introduction

- 1.1 Sections 2 to 4 of this report provide a summary of SCRA's draft financial position for the year to March 2015 and section 5 provides an update on emerging budget pressures in 2015/16.

2. Background

- 2.1 The total available revenue resource for 2014/15 is £21,543k, comprising £21,158k of Grant in Aid (GiA) and £385k other income (externally-funded posts, rents etc.). The revised GiA includes an additional £150k offered by Scottish Government in February and £100k in March 2015. The revised GiA also includes £108k which reflects shared services delivered to Children's Hearings Scotland (CHS) up to March 2015. This amount is treated as Other Income in the table in section 3.1 below (as reported throughout the year) rather than GiA. As a result GiA is shown as £21,050k in the table. Carry-forward revenue underspend of £135k has been factored in to the 2014/15 budget.
- 2.2 Depreciation is reported within expenditure expense head and is a non-cash charge. A non-cash budget of £2.75m has been included in the 2014/15 allocation by the Scottish Government to cover depreciation, amortisation and impairment charges.
- 2.3 The total available capital resource for 2014/15 is £837k, comprising £500k of GiA and carry-forward underspend of £337k from 2013/14. As previously advised, the sale of Perth, which would have provide additional resources of £125k, did not take place, and work on a replacement Hearing centre has been halted due to other priorities.

3. Revenue

- 3.1 The following table summarises the position to March 2015 and the last forecast outturn for the year by expense head.

Previous Full Year Actual £000	Expense Head	Budget YTD March £000	Actual YTD March £000	Variance YTD March £000	Full Year Budget £000	Full Year Forecast £000	Forecast Variance £000	Variance %
16,017	Staff Costs	15,844	16,218	374	15,844	16,140	296	1.87%
3,042	Property Costs	2,810	2,739	-71	2,810	2,746	-64	-2.28%
252	Travel Costs	198	244	46	198	213	15	7.58%
2,401	Other Operating Charges	2,380	2,405	25	2,380	2,315	-65	-2.73%
2	Capital Financing	-1	4	5	-1	-1	0	0.00%
1,380	Unfunded Pensions	200	185	-15	200	200	0	0.00%
-640	Other Income	-496	-535	-39	-496	-501	-5	1.01%
22,455	Sub-total	20,935	21,260	325	20,935	21,112	177	0.85%
-21,940	Grant In Aid	-20,800	-21,050	-250	-20,800	-20,950	-150	0.07%
515	Sub-total	135	210	75	135	162	27	20.00%
2,743	Depreciation	2,500	2,342	-158	2,500	2,500	0	0.00%
3,258	Net Total	2,635	2,552	-83	2,635	2,662	27	1.02%

Revenue expenditure in the year to March 2015 is £325k (1.6%) over budget. The overspend reduces to £75k as a result of additional GiA of £250k. This is an increase of £48k over the net forecast overspend of £27k.

3.2 The following table summarises the position, excluding depreciation, unfunded pensions and additional GiA, to March 2015 by budget centre.

Previous Full Year Actual £000	Expense Head	Budget YTD March £000	Actual YTD March £000	Variance YTD March £000	Full Year Budget £000	Full Year Forecast £000	Forecast Variance £000	Variance %
268	Executive	275	285	10	275	281	6	2.18%
999	Practice and Policy	1,078	1,115	37	1,078	1,097	19	1.76%
5,030	Support Services	4,131	4,033	(98)	4,131	4,028	(103)	-2.49%
7,224	North West Area	7,068	7,091	23	7,068	7,014	(54)	-0.76%
8,635	East and Central Scotland Area	8,183	8,551	368	8,183	8,492	309	3.78%
22,156	Net Expenditure	20,735	21,075	340	20,735	20,912	177	0.84%

3.3 The forecast spend by Locality is detailed as follows:

Locality	YTD variance	Forecast Variance to March £000	Variance %
East & Central Scotland Office	2	3	1.69
Tayside And Fife Locality	165	127	7.84
South East Locality	55	48	3.11
Central Locality	57	50	3.74
Lanarks Dumfries Galloway Locality	65	39	1.81
Ayrshire Locality	24	42	3.03
East And Central Scotland Area	368	309	3.78
North West Area Office	-24	-23	-12.17
Highlands And Islands Locality	-55	-68	-6.74
Grampian Locality	12	-32	-2.34
North Strathclyde Locality	97	84	4.98
Glasgow Locality	-7	-14	-0.51
North West Area	23	-54	-0.76
TOTAL	391	255	1.67

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

3.4 East and Central Scotland

East and Central Scotland Area missed its share of the 3.1% budget savings target by £368k (4.57%). The overspend of £309k previously forecast anticipated a late surge in translation costs of £25k against a monthly budget of £7k; however, actual spend was £59k. Furthermore, the last forecast did not fully anticipate outstanding travel and overtime expenses nor accruing postages costs.

The overspend on staff costs is £183k due to employment of temporary supernumeraries and backfilling absences to support frontline operations, without the ability to contribute to the budgetary savings target. All East and Central Scotland LMTs have robust plans in place to ensure the 2015/16 savings requirement of 2.8% is fulfilled, and early performance indicators suggest all localities are making significant progress towards achieving the performance targets without the requirement to recruit

beyond their core establishment headcount.

Other significant overspends include postages £33k, staff travel expenses £23k and translation and interpretation £113k. The East and Central Scotland LMTs will identify options to remain within budget in these areas 2015/16. Local action will be supported by national initiatives, including the Benefits Realisation Programme and SCRA's participation in the Scottish Government's Digital Strategy although it may be 2016/17 before national initiatives start to make a significant impact.

3.5 **North West**

As in East and Central, a late surge on spending on translation is a contributing factor to the increase in spend from the last forecast (£54k underspend) to the actual (£23k overspend), along with more accruals than forecast. Additionally, a greater than budgeted number of staff in the pension scheme in Grampian, a difference between the staff budget on monitoring documents and that originally allocated within North Strathclyde and a late Service Charge balancing charge in Grampian all contributed to an overspend of £23k.

3.6 **Head Office**

The overspend of £10k on the Executive budget is due to the limited scope for making the 3.1% savings target, a challenging mileage costs target and an overspend on internal audit fees.

Support Services has an overall underspend of £98k. Significant underspends include a saving of £176k on the SCOTS Charge and £27k staff savings in Planning due to a new role costing less than budgeted and being delayed. Significant overspends include £66k in HR staff costs due to Unison role being more expensive than budgeted and an additional HR business partner and £68k in IS staff costs largely due to supporting and improving the Case Management System (principally the helpdesk service and the User Interface Improvement Programme). Other areas of Support Services delivered a net underspend of around £30k, including additional shared services income from CHS.

Practice and Policy is missing its savings target by £37k, primarily due to a £45k overspend on legal costs and insufficient staff vacancy savings, offset by an underspend on books.

3.7 **2013/14 Outturn**

As previously advised, the final revenue budget underspend for 2013/14 was £697k. Of this, £436k was committed to voluntary severance, leaving a revised underspend against available budget of £261k. £135k was carried forward into the 2014/15 revenue budget, with £124k of the remainder available to fund the balance of the latest round of voluntary severance.

3.8 **Addressing the 2014/15 forecast overspend**

The final revenue overspend of £325k was offset by additional GiA of £250k reducing the final overspend to £75k. This is an increase of £48k from the forecast reported to the Board in March 2015. A significant factor in this is the surge in translation and interpretation costs at year end, resulting outturn expenditure exceeding forecast by £60k with almost 2/3rds of this figure in Grampian and Tayside & Fife. The revised revenue overspend of £75k is within the limit of overspend that can be tolerated in 2014/15 as discussed with the Board. Therefore no carry forward overspend into 2015/16 will be required.

4. Capital

4.1 Net expenditure in the period to March 2015 is £746k. Details of the budgets, spend to date and forecast for the year are as follows:

2014/15 Capital Budget and Forecast

	Board-approved Budget March 2014 £000	Adj. £000	Available Budget 2014/15 £000	Actual YTD March £000	Full Year Forecast £000	Variance actual to budget £000
INFRASTRUCTURE PROGRAMME						
Inverness lease and fit out	160	-140	20	9	20	-11
Lerwick lease and fit out	80		80	61	80	-19
Stornoway	0	50	50	5	8	-45
Livingston finance lease	35		35	36	35	1
Perth asset protection works	0	64	64	62	62	-2
Perth Belhaven House Hearing Centre	120	23	143	35	22	-108
Perth disposal	-125		-125	0	0	125
Fraserburgh works	0	80	80	72	73	-8
Glasgow lift works	0	0	0	0	56	0
Minor Works	100	67	167	222	213	55
CMS development	100		100	134	114	34
IT security – system accreditations	25		25	0	14	-25
IT security – initiatives	25		25	3	3	-22
Bandwidth upgrade	0		0	11	21	11
New VC units	0		0	8	8	8
LGPS upgrade for ITRENT	0		0	18	18	18
Infrastructure Programme Total	520	144	664	676	747	12
BENEFITS REALISATION PROGRAMME						
e-Communications	75		75	44	50	-31
Unallocated	25	28	53	8	8	-45
Benefits Realisation Programme Total	100	28	128	52	58	-76
Fit For Us Programme	45		45	18	45	-27
Total capital resource	665	172	837	746	850	-91

4.2 The lease of the whole Lerwick building was finalised with an effective date of 2nd March and the fit out was completed by the year end. However the Stornoway project fit-out expenditure has now moved to 2015/16 freeing up resource in 2014/15 to offset additional expenditure on Minor Works, the two main projects being works to support the Lanarkshire integration in Hamilton and air conditioning in Aberdeen.

4.3 Finance has confirmed that the lift works in Bell Street, charged by the landlord as part of the service charge, meet the criteria for capitalisation and had therefore been added to the Capital Forecast. However the spend has moved into 2015/16 and a further sum has been allowed in 2015/16 for replacement of both lifts.

4.4 In relation to e-Communications, the external developer resource focused recently on developing panel paper functionality in CMS with a view to getting CMS ready for electronic transmission of panel papers in due course. The main deliverables were functionality to add documents to the panel papers folder at the point of import/indexing and merging sets of panel papers into a single document.

4.5 The CMS project spend includes the cost of capitalising an IT manager for 6 months to lead on the CMS User Interface (UI) Improvement Plan. The Technical Team have skilled up and are delivering the CMS UI changes in house.

- 4.6 The underspends in the Benefits Realisation Programme were required to offset the overspend in the infrastructure programme total, principally the Glasgow lifts replacement and LGPS upgrade for ITrent both of which are unavoidable projects which were not known at 2014/15 budget setting. Subject to agreement with Sponsor Team, the net underspend of £91k will be carried forward to 2015/16 to meet the cost of the delayed Bell Street lift replacement (£50k), the delayed Fit For Us works (£26k) and delayed spend on the Inverness/Lerwick and Stornoway projects (£15k).

5. 2015/16 Budget Pressures

- 5.1 Core GiA for 2015/16 has already been confirmed as £21,200k revenue (including £400k for VR/VER) and £500k capital. SCRA has permission from Scottish Government to retain the £471k net capital receipt from the sale of Gladstone Place in April 2015.
- 5.2 A £100k contracts savings target was approved for inclusion in the 2015/16 revenue budget. It was anticipated that £75k of this would come from moving CMS hosting to SCOTS from Pulsant. Initial planning discussions with ISIS suggest the move can be completed in time and deliver significant revenue savings from 2015/16. However the change will not be fully implemented until August 2015 and there will be one off capital and revenue costs associated with the move resulting in a shortfall against the £75k savings target and a need to redirect some capital resource from current plans. The one-off and recurring costs for the service from ISIS will be fully assembled in the next four weeks and will be reported to EMT before the move is implemented.
- 5.3 The Head of Practice and Policy has advised that, on investigating and reviewing the current translation and interpretation practices around the country, there is likely to be no practice direction that can achieve all of the £35,000 savings target agreed at Challenge and Review. In addition the late surge of translation and interpretation costs in 2014/15 may suggest another permanent uplift in demand. Ongoing management of this largely unavoidable budget figure will be discussed with Sponsor Team.
- 5.4 Following discussions with staff who expressed an interest in Voluntary Severance, the HR Manager has indicated that, while future full year savings and upfront costs are in line with projected levels, in-year savings of £160k will not be achievable due to the leaving dates of staff. Latest projected savings are £135,000, resulting in a £25k budget pressure. These estimated figures are dependent on take up of offers made to staff and projected leaving dates which could yet change increasing the budget gap. At this stage a small amount of available funding has yet to be committed so it may be possible to generate some additional savings later in the financial year.
- 5.5 Mitigating against these budget pressures, discussions with PIRC suggest additional rental income and cost recovery of the freed-up space within Hamilton House may generate £42k of cost recovery based on a potential 1 July 2015 entry date.
- 5.6 Finally, the salary budget computation meant there was budget provision made for all those staff not entitled to progression to receive a (pro-rated) £300 non-consolidated lump sum. The pay award only awards such non-consolidated payments to staff on grades C and above: for other staff the £300 is consolidated within salary scales. This means there is an over-provision for the pay award in the SCRA staff budget of £33k including on-costs.

6. SCRA costs arising from Children's Hearing (Scotland) Act 2011

- 6.1 The cost implications for SCRA of implementation of the Children's Hearing (Scotland) Act 2011 have been assessed. An overview of the assessment has been prepared by the Head of Practice and Policy with input from the Data and Finance Teams and is attached at Appendix B.

7. Conclusions

- 7.1 The 2014/15 revenue budget is currently £75k overspent, subject to conclusion of the annual accounts audit. As this overspend is lower than the £100k cap in place in 2014/15 no carry forward will be required.
- 7.2 The 2014/15 capital budget is currently £91k underspent, again subject to conclusion of the annual accounts audit.
- 7.3 A number of revenue budget pressures have emerged in the first two months of 2015/16. Finance and HR budget holders will work closely with Locality and HO budget holders to produce a first set of revenue expenditure forecasts based on the Q1 results. Detailed work is already underway analysing April and May 2015 staff expenditure to gain comfort that this most significant area of the SCRA revenue budget will stay with approved budget levels. Close attention will also be paid to the budget pressures set out in section 5 and EMT will consider options to either reverse potential overspends or divert resources to cover them.

8. Recommendations

- 8.1 To consider the draft revenue and capital outturn positions for the year to March 2015.
- 8.2 To approve that, given the current revenue position, no carry forward overspend to 2015/16 is required.
- 8.3 To approve capital carry forward to 2015/16 of £91k to meet the costs of the delayed Bell Street lift replacement, delayed Fit For Us works and delayed spend on the Inverness/Lerwick and Stornoway projects, subject to approval of Sponsor Team.
- 8.4 To note the latest assessment of the cost implications for SCRA of implementation of the Children's Hearing (Scotland) Act 2011.

VARIANCE REPORT – LOCALITIES

East & Central Scotland Office	Expense Head	Variance Year to March	Forecast Variance for Year
	Staff Costs	1.6	3.0
	Travel Costs	0.8	0.0
	Other Operating Charges	-0.7	-0.5
	Net Total	1.7	2.5

Tayside And Fife Locality	Expense Head	Variance Year to March	Forecast Variance for Year
	Staff Costs	112.3	110.5
	Property Costs	7.3	2.1
	Travel Costs	11.8	7.5
	Other Operating Charges	41.8	12.0
	Other Income	-8.3	-5.0
	Net Total	164.9	127.1

South East Locality	Expense Head	Variance Year to March	Forecast Variance for Year
	Staff Costs	-23.7	-17.0
	Property Costs	-9.8	-6.5
	Travel Costs	5.0	2.0
	Other Operating Charges	74.7	62.3
	Other Income	8.8	7.0
	Net Total	55.0	47.9

Central Locality	Expense Head	Variance Year to March	Forecast Variance for Year
	Staff Costs	21.9	29.5
	Property Costs	7.2	-1.5
	Travel Costs	0.8	0.0
	Other Operating Charges	27.2	22.0
	Other Income	0.0	0.0
	Net Total	57.1	50.0

Lanarkshire, Dumfries & Galloway Locality	Expense Head	Variance Year to March	Forecast Variance for Year
	Staff Costs	24.7	20.0
	Property Costs	23.9	8.0
	Travel Costs	2.2	0.0
	Other Operating Charges	13.8	11.0
	Other Income	0.0	0.0
	Net Total	64.6	39.0

Ayrshire Locality	Expense Head	Variance Year to March	Forecast Variance for Year
	Staff Costs	46.2	43.5
	Property Costs	-25.9	-7.5
	Travel Costs	2.2	0.5
	Other Operating Charges	11.5	3.5
	Other Income	-9.7	2.0
	Net Total	24.3	42.0

North West Area Office

Expense Head	Variance Year to March	Forecast Variance for Year
Staff Costs	-8.8	-8.7
Property Costs	-1.9	-2.0
Travel Costs	-3.1	-2.0
Other Operating Charges	-9.9	-10.0
Other Income	0.0	0.0
Net Total	-23.8	-22.7

Highlands And Islands Locality

Expense Head	Variance Year to March	Forecast Variance for Year
Staff Costs	-32.8	-37.5
Property Costs	-31.4	-21.0
Travel Costs	7.5	0.0
Other Operating Charges	2.8	-10.0
Other Income	-1.3	0.0
Net Total	-55.1	-68.5

Grampian Locality

Expense Head	Variance Year to March	Forecast Variance for Year
Staff Costs	13.4	2.3
Property Costs	2.0	-17.0
Travel Costs	0.0	-2.0
Other Operating Charges	15.1	2.0
Other Income	-18.5	-17.0
Net Total	11.9	-31.7

North Strathclyde Locality

Expense Head	Variance Year to March	Forecast Variance for Year
Staff Costs	53.0	41.7
Property Costs	3.8	6.0
Travel Costs	4.3	3.0
Other Operating Charges	36.1	33.0
Other Income	0.2	0.0
Net Total	97.4	83.7

Glasgow Locality

Expense Head	Variance Year to March	Forecast Variance for Year
Staff Costs	34.2	34.6
Property Costs	-17.9	-18.0
Travel Costs	1.7	0.0
Other Operating Charges	-25.8	-30.0
Other Income	0.4	-1.0
Net Total	-7.3	-14.4

COSTS ARISING FOR SCRA FROM CHILDREN'S HEARING (SCOTLAND) ACT 2011

Background

The Children's Hearings (Scotland) Act 2011 has now been in force for nearly two years. The Board asked for information on costs for SCRA arising out of the Act. While these were reviewed prior to the act's implementation, it was recognized that any predictions would be very tentative and dependent on the practice that would develop among agencies connected with the hearing system.

Methodology

Work had previously been done by SCRA's Data Team in assigning costs to the various functions of the Reporter, taking account of reporter and support staff roles in each activity and adding an estimate for postage and stationery where significant. The costs were then applied to the data made available to the Board in Operational Performance Reports. This data does, however, come with a number of health warnings, in particular the degree to which increases or decreases can be identified as arising from the Act as opposed to changes of practice which are not connected with the legislation.

Analysis of Data

1 Referrals

In the last quarter SCRA reported a slight increase in the overall number of referrals. This was the first occasion upon which such a trend had been noted. Whilst there has been evidence of significant use of new grounds such as domestic abuse and the impact of the child's behaviour upon self or others, this has generally been instead of using grounds such as lack of parental care or beyond parental control which would have been employed under the previous legislation.

A greater impact on referral patterns is likely to come through the 2014 Act and associated guidance about referral to the reporter from the named person as well as the development of a more consistent national approach from the police.

2 Children's Hearings and Pre Hearing Panels

Pre hearing panels (phps) represented one of the most significant changes of the 2011 Act. In comparison with their equivalent under the 1995 Act, business meetings, they not only have a wider remit, in particular considering whether to deem an individual a relevant person, but also a wider administrative burden on SCRA staff, caused by the right of individuals to attend such meetings and the extra length of time that some may take.

In the first year of the Act being implemented there was a significant rise in the volume of phps to 5,661. That steep rise was put down in particular to the 'reappointment' of relevant persons previously recognized under the 1995 Act. In the last year there was a reduction to 4,270, still above the last year's figures on business meetings of 3,570. However, the cost of this needs to be balanced against a decrease of 2,000 in the volume of hearings over the last year which balances out that increase in phps.

3 Contact Reviews

This introduced a new type of hearing to review contact provisions. It was forecast that this would be used rarely and we have not identified one that has taken place so no costs have been incurred.

4 Court Work

Before the Act came in it was believed that there would be an increase in the volume of contested proofs in relation to the new grounds. There is no evidence of that having happened to any significant degree and the overall figure on contested proofs has decreased by 700 over the year.

Appeals demonstrates a consistent rise over a twelve year period. Data is far from exact for appeals and nature of them but there have been a number of appeals about relevant person status while appeals against interim compulsory supervision orders impact heavily in areas such as Glasgow. There is an overall increase of 7.5 % on appeals-if we allow 50% of that as being due to new act then applying previous formula of costs to this that would equate at approximately £33k. It must be stressed however that this is far from a completely robust assessment but as much as the evidence allows.

Our final potential cost relates to higher court work which inevitably is the most costly. Of the recent and current appeals we have had two concerning relevant person and one about conduct of appeals that are especially tied up with the 2011 Act. The final cost on these cases is still being counted – one still being live and another just having settled but the monitoring of higher court cases is a consistent area of discussion with our Sponsor Team.

Summary

In conclusion, we have examined all relevant data in connection with costs under the 2011 Act. In general, it is difficult to demonstrate that where workload has increased that it can be identified solely with the consequences of the act. In particular higher court costs will be subject to further monitoring with six monthly reports to the Operational group.