

**DISCLOSURE SCOTLAND STRATEGIC BOARD – 28 JULY 2011**

**MINUTES OF MEETING**

- Present: Board Members  
D Patel (Disclosure Scotland) – Chair  
B Gorman (Disclosure Scotland)  
G Hart (Disclosure Scotland)  
T McIntyre (Disclosure Scotland)  
B McQueen (Non-Executive Director)  
R Gwyon (Non-Executive Director)  
M Gibb (British Telecom)
- Observing: S Dingle (Audit Committee Member)  
J Edey (Audit Committee Member)
- Secretary: L Maguire (Disclosure Scotland)
- Apologies: None

**Welcome and Declaration**

1. The Chair welcomed the two newly appointed members of the Audit Committee who were observing today's meeting. Members declared no interests at the start of the meeting.

**Minutes of Previous Meeting and Action Points**

2. The minutes of the previous meeting (Paper 11/1) were agreed without amendment and can now be published.
3. The Board was updated on the following Actions from the last meeting:
  - **Action 2011/3/1 – D Harrison to liaise with L Maguire to develop an additional section within the Metrics Report** – the Metrics Report tabled at this meeting contains a new section covering complaints - **CLOSED**
4. The following action from the Live Action Register was discussed
  - **Action 2011/1/4 - Executive Members to undertake further analysis and seek Internal Audit's view on what would be acceptable in terms of KPIs for the Agency** – Executive members advised that relevant staff were developing a set of KPIs for the PVG scheme and reviewing existing KPIs in tandem. The aim is to publish a unified set of KPIs when PVG is fully embedded. – **ONGOING (see below at Action 2011/4/1)**

- **Action 2011/2/1 - LMac to provide brief financial updates to the Board between scheduled meetings.** – The Chair suggested that an effective way to discharge this action would be to forward the Non-Executive Members an extract of the monthly management accounts and accompanying narrative. Arrangements will be put in place prior to the next meeting. - **ONGOING.**
- **Action 2011/2/2 - D Patel to revise descriptions of key activities and further develop the section on customer standards (Business Plan).** – The Board was advised that Executive Members would brief the new Minister on the aims outlined in the Business Plan in due course. – **ONGOING**
- **Action 2011/2/3 - L Mackenzie to consider in-house formatting of the Business Plan with the Communications Manager.** – as above - **ONGOING**
- **Action 2011/2/4 - L Mackenzie to collate PVG contractual and operational issues from all business areas and provide a summary in list form to Non-Executive Directors** – The Board was advised that this was essentially complete in terms of operational issues but the collation of contractual issues is not quite complete - **ONGOING**

Following discussion on Action 2011/1/4, it was decided that the Board would find it helpful to consider a paper outlining the findings of this work.

- **Action 2011/4/1 – Executive Members to produce a paper on work on proposed KPIs covering the Agency’s requirements and Ministerial interests**

5. The Board discussed governance arrangements between the Agency and Scottish Government and considered the particular challenge of effective governance when ownership is transferred from a project team to the operational body.

#### **Monitoring Performance: Metrics (Paper 11/2)**

6. The Board noted a decrease in the turnaround time for Police Act Disclosures which is particularly noteworthy as the number received was 22% above that predicted. Although a slight increase in the turnaround time for PVG applications was recorded, average turnaround times across the Agency’s business remained within the 14 day target.

7. The number of Force Enquiries has reduced in this period. Scottish Forces have reduced their turnaround times to less than 12 days but non-Scottish Forces show an increased turnaround time of 14.7 days. It is the Executive view that this may be attributable to the implicit shift in PVG from a post-specific to a client-based decision. Scottish Forces have been working with Disclosure Scotland for the past 2 or 3 years prior to implementation of PVG and consequently have managed this shift more readily.

8. Executive members outlined some of the methods employed to generate robust data to inform modelling but cautioned that unexpected new business demands can emerge. It was

noted that an economic downturn can lead to greater mobility in the workforce and an increase in the level of short-term job opportunities. These factors can lead to a demand for disclosure certificates. The Board was of a view that some labour market analysis to probe these factors may assist in tuning the business model.

- **Action 2011/4/2 – Executive Members to commission work with SG Analytical services.**

9. The Board was advised that the draft budget would, in due course, be amended to take include two outstanding factors; additional funding from the Agency's partner to cover the costs of addressing short-term difficulties with the new system and the funding for free checks for CRBS. These inclusions will take result in a more realistic reflection of the financial position.

10. The Board was assured that the current headcount of 173 remained below the agreed headcount of 201. The Agency will continue to operate with a substantial proportion of temporary staff until the PVG Scheme is full embedded. The Board welcomed this prudent approach in terms of recruitment decisions.

11. The Board was advised that Complaints stand at 4 in 10,000. Analysis of the complaints has taken place and interventions have been put in place in these functional areas. The number of complaints remains very modest but nonetheless the Agency continues to monitor the figures.

12. Executive Members raised ongoing concern at the level of inappropriate application for scheme membership. The Board's view is that there may be value in considering further educational programmes to supplement web-based and direct advice.

- **Action 2011/4/3 – M Gibb to discuss funding educational events with business partner**

#### **Risk Register (Paper 11/4)**

13. The Board reviewed the current status of the risk register.

#### **PVG Project Management and Update (Papers 11/4 and 5)**

14. The Board heard that that in 7% of applications for scheme membership, initial vetting identifies information which requires further investigation. Where it is proposed to undertake further investigation, applicants must be formally notified that they are under Stage 1 consideration. Executive members advised that in about a third of applications placed under Stage 1 consideration, initial investigation (such as reviewing court records) establishes that convictions identified at initial vetting prove to be of no relevance to the scheme membership application. For these applications, a robust protocol established in the Protection Unit permits a simple dismissal and allows the applicant to proceed to scheme membership. The Board noted that further investigation is not permitted unless the applicant

has been notified that they are ‘under consideration’ and that introducing powers to investigate prior such notification would require a legislative change.

15. The Board was updated on work to quantify the costs of implementing workarounds to address shortcomings in the ICT solution for PVG. The Board was informed that experienced testers have been identified for forthcoming testing, and for its part, the business partner has delivered enhanced technical assistance through its Rapid response Unit. The Board was assured that a list of acceptability criteria and a longstop date of October had been agreed.

### **Strategy Work**

16. The Board welcomed the intention to hold a dedicated strategy session.

- **Action Point 2011/4/4: L Maguire to arrange separate ‘brainstorming’ meeting to discuss medium-term strategy.**

### **Annual Report and Corporate Plan (Paper 11/6 and 11/7)**

17. The Board considered these papers which gave an outline and timescales for the Corporate Plan and Annual Report. The Board noted that the final drafts should be considered by the Audit Committee.

### **Any other business**

18. None.

Disclosure Scotland  
August 2011

**Action List**

<b>MINUTE REFERENCE</b>	<b>ACTION</b>	<b>RESPONSE(S) BY</b>
<b>2011/4/1</b>	<b>Executive Members to produce a paper on work on proposed KPIs covering the Agency's requirements and Ministerial interests</b>	<b>Executive Members</b>
<b>2011/4/2</b>	<b>Executive Members to commission work with SG Analytical services.</b>	<b>Executive Members</b>
<b>2011/4/3</b>	<b>M Gibb to discuss funding educational events with business partner</b>	<b>M Gibb</b>
<b>2011/4/4</b>	<b>L Maguire to arrange separate 'brainstorming' meeting to discuss medium-term strategy</b>	<b>L Maguire</b>

**Live Action Register**

<b>MINUTE REFERENCE</b>	<b>ACTION</b>	<b>RESPONSE(S) BY</b>
<b>2011/1/4</b>	<b>Executive Members to undertake further analysis and seek Internal Audit's view on what would be acceptable in terms of KPIs for the Agency – 15/03/2011 – work in quantifying KPIs is ongoing 28/07/2011 – Work underway to analyse and develop KPIs for PVG scheme. All KPIs will be published in due course.</b>	<b>Executive Members</b>
<b>2011/2/1</b>	<b>L Mac to provide brief financial updates to the Board between scheduled meetings. – 10/05/2011 – Finance Team will be at full complement before the next Board Meeting. 28/07/2011 – Finance team now at full complement and will provide extract and narrative from monthly management accounts prior to the next Board meeting</b>	<b>L Mackenzie</b>
<b>2011/2/2</b>	<b>D Patel to revise descriptions of key activities and further develop the section on customer standards. – 10/05/2011 – Chair in contact with the Minister and refining draft Business Plan to better reflect PVG implementation</b>	<b>D Patel</b>
<b>2011/2/3</b>	<b>L Mackenzie to consider in-house formatting of the Business Plan with the Communications Manager – 10/05/2011 – as above</b>	<b>L Mackenzie</b>

<b>2011/2/4</b>	<b>L Mackenzie to collate PVG contractual and operational issues from all business areas and provide a summary in list form to Non- Executive Directors – 10/05/2011 – Work underway 28/07/2011 – Complete in terms of operational issues, work on contractual issues underway</b>	<b>L Mackenzie</b>
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**Closed Actions**

<b>MINUTE REFERENCE</b>	<b>ACTION</b>	<b>DATE CLOSED</b>
<b>2011/1/1</b>	<b>Performance Metrics Reports to be reformatted to include a legend of symbols used and contain a strategic overview.</b>	<b>15/03/2011</b>
<b>2011/1/2</b>	<b>B Gorman to consider mechanism to maintain Risk Register between meetings of the Risk Review Group</b>	<b>15/03/2011</b>
<b>2011/1/3</b>	<b>D Patel to seek Internal Audit's view on non-compliance within the current financial year on 3 outstanding corporate governance actions</b>	<b>15/03/2011</b>
<b>2011/2/5</b>	<b>B McQueen to review list and consider how governance arrangements can be strengthened prior to the second phase of implementation.</b>	<b>10/05/2011</b>
<b>2011/3/1</b>	<b>D Harrison to liaise with L Maguire to develop an additional section within the Metrics Report.</b>	<b>28/07/2011</b>