

DISCLOSURE SCOTLAND STRATEGIC BOARD – 18 JANUARY 2011

MINUTES OF MEETING

Present: Board Members
D Patel (Disclosure Scotland) – Chair
B Gorman (Disclosure Scotland)
G Hart (Disclosure Scotland)
L Mackenzie (Disclosure Scotland)
B McQueen (Non-Executive Director)
R Gwyon (Non-Executive Director)
M Gibb (British Telecom)

Secretary: L Maguire (Disclosure Scotland)

Apologies: T McIntyre (Disclosure Scotland)

Observer: J Gunn (Disclosure Scotland)

Welcome and Declaration

1. 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 8/1) were agreed without amendment. There was one action from that meeting in relation to the performance metrics paper which is discussed below (paragraph 5).

- **Action 2010/7/1: Executive members to consider how the Performance Metrics paper could be developed to capture information to support a more strategic review – CLOSED.**

3. Following up on paragraph 5 of the previous minutes, the Board was advised that the Agency is in weekly contact with officials from General Register Office to discuss projections for the forthcoming Census. The current position is that there had been an administrative delay but overall projections remain accurate.

4. There were no outstanding actions on the Live Action Register.

Monitoring Performance: Metrics (Paper 8/2)

5. The Board welcomed the new format of the paper but was of a view that a legend would be helpful in terms of the symbols used to illustrate trends and that the paper should, in the future, contain a commentary on the strategic relevance of performance trends.

- **Action 2011/1/1: Performance Metrics Reports to be reformatted to include a legend of symbols used and contain a strategic overview.**

6. The Board noted significant improvement in Force Enquiry turnaround times. Executive members advised that this may be due in part to a more direct funding model based on volumetric forecasts which had been agreed with ACPOS, and in part to a reduction in enquiries.

7. The Board further noted an increase in turnaround times for enhanced disclosure certificates. Executive members advised that the problem could be traced to a difficulty arising within the barred lists provided to Disclosure Scotland. This generated a backlog of stalled applications which could not undergo the final level of scrutiny. The problem has since been resolved and it has been agreed that the Agency should take action to ensure this does not recur or become a systemic problem.

8. The Board sought clarity around the Agency's position with regard to the 'Headcount' procedures. Executive members explained the current balance of permanent and temporary staff would be refined and consolidated when the Agency is able to test forecasts following the implementation of the PVG scheme.

Risk Register (Paper 8/3)

9. BG gave an overview of the current risks facing the Agency, with particular focus on the implementation of the PVG scheme and the Criminal Records Review in England and Wales.

10. The Board agreed that the Risk Register gave a good overview of the Agency but asked Executive Members to consider whether there was opportunity to develop the Register into a 'real time' tool without significant addition to the administrative burden.

- **Action 2011/1/2: B Gorman to consider mechanism to maintain Risk Register between meetings of the Risk Review Group**

Internal Business Change Update (Paper 8/4)

11. G Hart gave an overview of the Internal Business Change Update paper. In particular the Board noted the Agency's increased confidence following the latest round of testing on the training environment and the very encouraging response to the recruitment exercise for the Complex Cases Advisory Group.

12. B Gorman also gave an overview of recent work aimed at identifying inappropriate applications for scheme membership. This work commands support at Ministerial level and is driven by the need to ensure that the continuous monitoring implicit in scheme membership is justified. The work comprises both audit of existing and new registered bodies and an outreach to key institutions.

Staff Survey (Paper 8/5)

13. The Chair led a discussion of the Agency's results in this year's Civil Service Staff Survey. The Board noted the increased positive score in a number of areas including line management and particularly commended the work of first level line managers within the Agency. Non-Executive members expressed the view that this general improvement was atypical of the trend within Scottish Government and reflected significant culture shift and skill development.

14. For the coming year, the Staff Action Plan will focus on the 'my work' indicator to identify ways of introducing variety (e.g. short-term projects) particularly for those in vetting posts. In the longer term, it is hoped to establish a continuous improvement group within the Agency which will complement the work arising from the Staff Survey.

15. A team of 4 staff have been asked to look at developing a document which sets out How We Work, what our values are, our aims for the organisation (not the Agency's performance), and our expectations of each other (ourselves, our managers and the senior management team).

16. The Strategic Board discussed how it could better articulate its purpose and relevance to staff. Whilst acknowledging that there was further work to be done in this respect an initial statement could be that its purpose was to look after the Agency's people and customers, to consider the Agency's programme of work and to ensure it had adequate resources to deliver that programme.

Audit Tracker (Paper 8/6)

17. The Board reviewed the status of the Action Plan developed in response to the Corporate Governance Audit and noted that 3 'Medium Risk' actions were outstanding to the Agency's Finance Team. The Chair advised that without putting extra resources forward, these may not to be completed within the financial year.

- **Action 2011/1/3: D Patel to seek Internal Audit's view on non-compliance within the current financial year on 3 outstanding corporate governance actions**

18. A further action to establish approved KPIs for publication in the Business Plan remains outstanding and requires further development between the Agency and Internal Audit.

- **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.**

Reporting Cycle (Paper 8/7)

19. The Board reviewed and endorsed this paper.

Business and Corporate Planning Update (Paper 8/8)

20. The Board acknowledged some of the challenges for business planning for the coming year. It would be important to consider the outcome of the Criminal Records Review in England and Wales and to be proactive in developing a budget based on the PVG scheme which will still be in its infancy at the beginning of the new financial year. The business plan should include a review of our forecasting methods in the context of PVG and should begin to outline the work required towards 2014 in relation to our major contract.

Any other business

21. None.

Disclosure Scotland
January 2011

Action List

MINUTE REFERENCE	ACTION	RESPONSE(S) BY
2011//1/1	Performance Metrics Reports to be reformatted to include a legend of symbols used and contain a strategic overview.	Business Analyst
2011/1/2	B Gorman to consider mechanism to maintain Risk Register between meetings of the Risk Review Group	B Gorman
2011/1/3	D Patel to seek Internal Audit's view on non-compliance within the current financial year on 3 outstanding corporate governance actions	D Patel
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

Live Action Register

No outstanding entries

Closed Actions

MINUTE REFERENCE	ACTION AND RESOLUTION	DATE CLOSED
2010/2/1	The Chair will consider working this promotional role into the Terms of Reference and amend its work programme for the next 12 months. – Proposed Terms of Reference paper presented to the Board.	13/04/10
2010/2/2	When the Board has ratified work on corporate governance arrangements, the Chair will prepare a brief to Scottish Ministers to ensure consistency with ministerial expectation. 13/04/10 – this action is still ongoing. 02/08/10 – Chair to make a single approach to Ministers on this and other issues 28/09/10 – the Chair will discuss the terms at the next meeting	28/09/10
	The Chair will consider performance assessment for individuals and potential for facilitated annual assessment of the Board as a whole – 28/09/10 - Members agreed to return to this issue at the next meeting	28/09/10
2010/2/4	MG will provide the values and behaviour matrix used by British Telecom – Information sent to Chair for consideration.	13/04/10
2010/2/5	Board Members to submit comments on Register of Interests Paper to the Secretary – Comments sent to Secretary and points noted.	13/04/10
2010/1/3	Outline business plan to be discussed by the Board at an early opportunity – Business Plan discussed at meeting, points taken for consideration.	13/04/10
2010/3/1	The Chair will add a point on	08/06/10

	staffing to the Strategic Board's Terms of Reference – Chair noted next stage to submit to the Minister	
2010/3/2	Board members to send interests to the Board's secretariat – new action for Secretary to compile single register	08/06/10
2010/3/3	Executive team to consider the performance metrics to report routinely to the Board – Format in place, may be amended as appropriate.	08/06/10
2010/3/4	BG to provide board with list of reasons why Disclosure Scotland need to return application forms to BT – Work continuing to reduce error rate	08/06/10
2010/3/6	PVG team to be invited to present on PVG risks at next Board meeting – LF in attendance.	08/06/10
2010/4/1	Secretary to circulate composite Register of Interests to all Board members – ratified by Board	02/08/10
2010/4/2	Jan Murray and relevant DS staff to be invited to speak at the next Board meeting – relevant SG personnel on leave DS Communications Manager attended	02/08/10
2010/4/3	Executive team to make all the above risk information available at the next Board meeting. – Risk Register reconfigured and expanded to meet the Board's needs.	02/08/10
2010/4/4	Internal Business Change paper to be a standing item at each Board meeting – in place	02/08/10
2010/1/2	Board to consider governance arrangements in the near future. – Board came to a view that there may be merit in having a member from a Police background. – further action to Chair.	02/08/10
2010/2/6	Board Members to submit	02/08/10

	comments on Audit Committee Terms of Reference Paper to the Secretary – subject to final comments from the Chair, the terms of reference are ratified	
2010/5/1	Secretary to send Register of Interest entries to RG and GH for amendment	28/09/10
2010/5/2	Business Analyst to explore opportunities to capture staffing information and prepare a report at the end of the year – Board has clarified what data is sought and the Business Analyst has requested this from SG and will articulate in a report at the end of the year as requested	28/09/10
2010/5/3	Regular performance metrics report to the Board to be revised to include analysis of ‘Headcount’ and FTE data – report has been revised and will continue to be developed	28/09/10
2010/5/4	Board to forward comments on draft Annual Report to the Secretary by 31 August – comments received and appropriate amendments made	28/09/10
2010/5/5	Risk 17 on the Corporate Risk Register to be unpicked to better articulate the risks surrounding delay in delivering the PVG scheme – revision complete	28/09/10
2010/5/6	Information Security Officer discuss Security Policy with the Agency’s Senior Management Team and thereafter deliver a presentation to the Board	28/09/10
2010/5/7	Standing Paper on Internal Business Change to be prepared by TM and GH. It should include a forecast data relating to staffing levels and an organisation chart showing the current structure and the structure when the Agency begins to deliver the PVG scheme – this paper is a standing	28/09/10

	agenda item. Format revised and taken forward, specific requests for this particular Board meeting met	
2010/3/5	TG to provide the Board with a report showing sets of staffing structures. 28/09/10 – Covered in Internal Business Change presentation	28/09/10
2010/6/1	BG to prepare letters from the Chief Executive to forces operating outside the SLA seeking reassurance and details of plans to improve turnaround times. 23/11/10 – Letters issued and improved performance reported	23/11/10
2010/7/1	Executive members to consider how the Performance Metrics paper could be developed to capture information to support a more strategic review	18/01/11