

# **CORPORATE PLAN 2011-14**

## 1. DISCLOSURE SCOTLAND PURPOSE & VISION

**Our vision** is to help to make Scotland's communities safer and stronger.

**Our aim** is to help protect children and protected adults by providing an accurate and responsive service to support organisations recruiting people into positions of trust. To this end we:

- deliver for customers and stakeholders by meeting our public performance target and continuously improving the quality and efficiency of our service;
- improve operations by focusing on our customers and stakeholders; and
- improve the organisation by valuing the people who work for us.

We seek to contribute to the Scottish Government's Purpose "to focus government and public services on creating a more successful country, with opportunities for all of Scotland to flourish, through increasing sustainable economic growth". Disclosure Scotland's principal contribution is to the development of a safer and stronger Scotland by ensuring that those working with the vulnerable in our society have no known information which would make them unsuitable to do so.

The National Performance Framework also sets out 16 **National Outcomes** that the Scottish Government wants all public services to promote. Disclosure Scotland contributes as follows:

- *We have improved the life chances for children, young people and families at risk*

We make a contribution to improved life chances by reducing potential risks to both children and protected adults that may arise in a work setting.

- *We live our lives safe from crime, disorder and danger*

We help to ensure that employers employing people in positions of trust have access to criminal history information where it exists.

- *Our public services are high quality, continually improving and responsive to local people's needs*

Our performance information for 2010-11 shows that, on average, we completed disclosures in 6.6 days.

- *We reduce the local and global environmental impact of our consumption and production*

We are continuing to introduce initiatives to reduce our environmental impact.

**These outcomes define the strategic objectives and KPIs for Disclosure Scotland (Annex B) and drive the themes and specific business targets which are set out in the body of the Corporate Plan.**

## **2. WHO WE ARE AND WHAT WE DO**

We are an Executive Agency of the Scottish Government operating on behalf of Scottish Ministers.

Our core function is to contribute to the safety of the vulnerable in our society by providing criminal history information to organisations and potential employers to assist them to make safer and more informed recruitment decision, and by maintaining barred lists of those individuals unsuitable to work with children or protected adults.

Under the Protection of Vulnerable Groups (Scotland) Act 2007 (PVG), we:

- are introducing individuals undertaking regulated work into the PVG Scheme and issuing PVG Scheme disclosures;
- are administering the barred lists in relation to regulated work with children or protected adults.

Under Part V of the Police Act 1997, we also:

- issue Enhanced Certificates where the individual's role is prescribed in legislation;
- issue Standard Certificates where the individual's role is exempt from the Rehabilitation of Offenders Act legislation; and
- issue Basic Certificates.

For these purposes we access a range of police data as well as data from other sources.

### 3. OUR STRATEGIC BOARD

The Strategic Board comprises:

D Patel	Chief Executive
B Gorman	Head of Disclosure Services
G Hart	Head of Protection Services
L Mackenzie	Head of Corporate Affairs and Policy
T McIntyre	Head of Operations
B McQueen	Non-executive board member
R Gwyon	Non-executive board member

Our current non-executive members bring a wide range of experience in Government administration. B McQueen has 30 years experience as a civil servant within the Scottish Executive and the Crown Office and Procurator Fiscal Service. He is currently a member of the Accounts Commission for Scotland, the Scottish Legal Aid Board and the Employment Tribunals. R Gwyon is Deputy Director for Housing Markets and Supply within Scottish Government, and is also a member of the Institute of Directors.

## **4. OPERATING ENVIRONMENT**

### **Our Resources**

#### *Staff*

- Our staff are our key resource and we take seriously their welfare, engagement, performance appraisals, and professional development. We are embarked upon a programme to increase engagement, reflecting our desire to have a more networked organisation, where we involve staff better and show that we visibly value what each of us do.
- We expect a lot from all our teams in helping us to meet our service aims. We expect a lot from the senior people in the organisation, including a clear demonstration of our values, a passion for obtaining value, corporate engagement, and engagement with what our staff do.
- We work within an agreed permanent headcount with Scottish Government and are engaged with its workforce initiatives to ensure we are operating with flexibility and value. To make the best use of our people we want to make sure that they have as wide a range of skills as possible. We want it to be a strength of Disclosure Scotland that we are able to promote flexibility, enable staff to experience different aspects of our business, and maintain effective control over overall costs while maintaining the service we provide.

#### *Working environment*

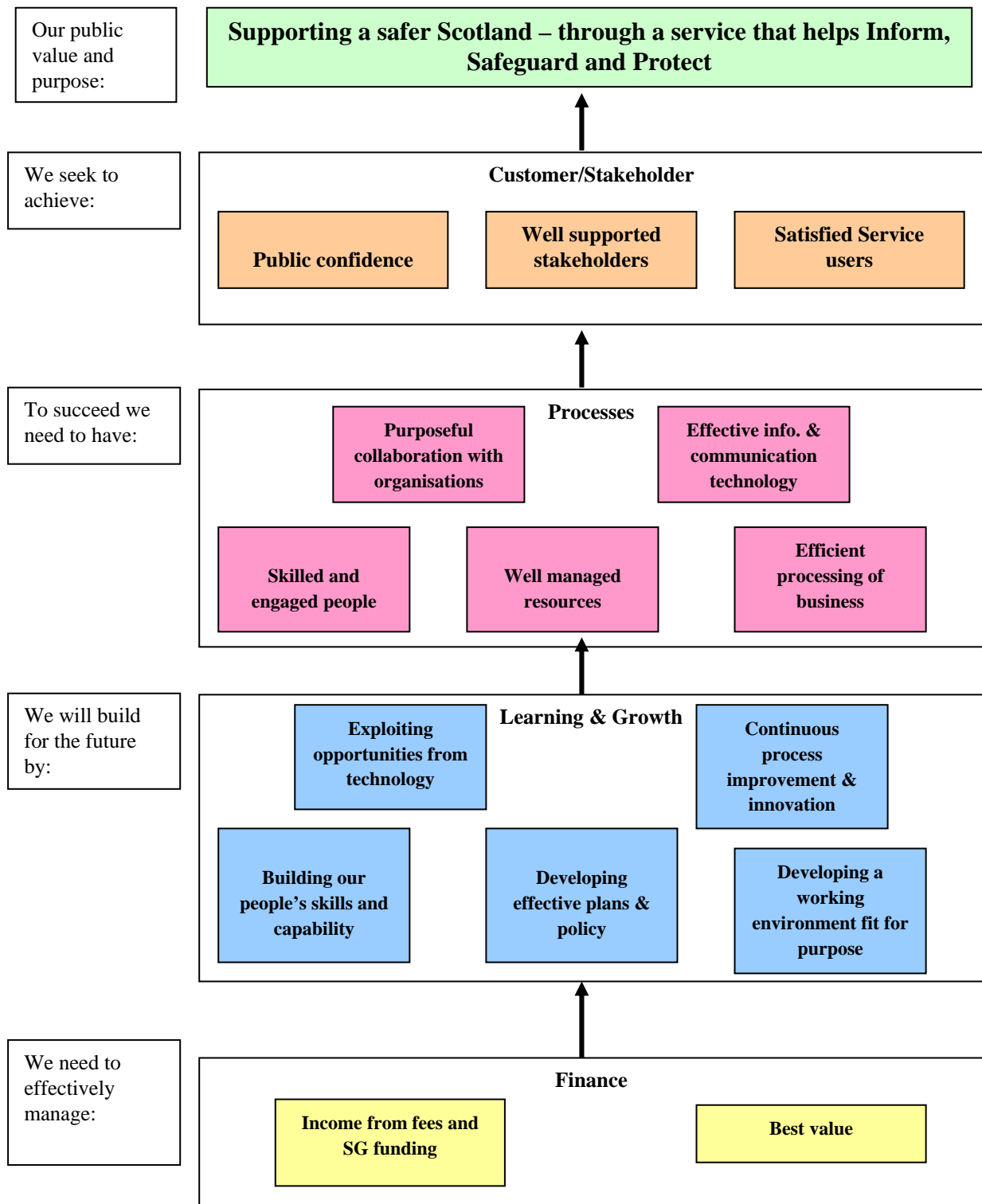
- We are aiming to invest in a modern working environment for our people. We have started a process of renovations and investment in the fabric of our building, and, will continue this through the year ahead.

#### *Financing*

- Disclosure Scotland's funding in 2011-14 will be from income from fees, except for specific contributions from Scottish Government to cover agreed commitments. Income from fees is not known with precise certainty and depends ultimately on the decisions of the private, public and voluntary sectors in terms of their demand for disclosures within the year. We have budget plans in place and monitor these continuously throughout each year.
- We seek to bring in new ways of doing things that provide the same outcome for less, or more for the same. In our staffing and resources we aim to run the business without excess and with enough input to enable us to provide our service to customers and meet the legislative duties required of us. Our largest single spending item is on the provision of our IT.

## 5. STRATEGY MAP AND THEMES

Our **Strategy Map** illustrates how the actions that we take support our core purpose and commitment to our stakeholders, and users.



## Strategic Themes

### **Skilled, Valued, Capable and Motivated Workforce**

*We will maintain a skilled, capable and motivated workforce which is able to deliver our core functions to our customers whilst ensuring that costs are proportionate with the resources available to the organisation*

- **Investing in Staff Training and Skills:** We will continue to invest in updating and further developing the skills of our staff, including enhancing both technical and managerial skills and ensuring opportunities for staff development and growth at all levels within the organisation
- **Behaviours:** We have identified core behaviours that we want to promote through the whole organisation. We will seek to ensure that senior and middle managers are able to model these behaviours and seek ways to promote and instil these behaviours in the corporate culture.
- **Workforce Planning:** We will apply our staff modelling tool to help manage the effective deployment of our staff to meet our key business demands and priorities
- **Managing Our Pay Costs:** We will seek to match our pay costs in line with our available budget allocation whilst maintaining necessary staffing levels and skills to meet our key functions.

### **Clear & Efficient Business Processes**

*Our business processes will be clear and efficient, responding to the needs of our stakeholders and customers, and able to progress business in ways that are reliable and economical and avoid inappropriate delays.*

- **Non-pay costs:** Where practical, we will take necessary actions to review and reduce our non-pay costs, including for facilities management, printing and publication, travel and other operational and support costs.
- **Review our key processes:** We will progress a review of our key internal business processes to identify opportunities for efficiencies and cost savings.

### **Efficient ICT**

*We will make effective use of technology to improve the efficiency and speed of our key business processes and communications, enhance access to our services, and reduce costs and environmental impact.*

- **An IT strategy focused on business benefits:** We aspire to have IT systems that support efficient and accurate production of disclosures and operation of PVG barring functions. We will develop an IT strategy to progress that goal and enables us to develop more flexible and customer – oriented services in the future.

- **Video Links:** We will identify options to enhance the use of video links and technology to deliver improvements and potential financial and environmental benefits
- **On-Line Submissions:** we will review options to facilitate the increased use of on-line submission and processing of documents for all levels of application and scheme membership.

### **Protecting and Improving our Environment**

*We will have a well managed environment that makes the best use of our building, minimising our running and capital costs, whilst ensuring continuing appropriate access to our services and accommodation that is secure and fit for purpose.*

*We will demonstrate best practice in reducing our carbon emissions, consistent with achieving the targets for the public sector set in the Climate Change (Scotland) Act 2009.*

- **Maintenance of our Working Environment:** Through a proper and regular maintenance programme we will ensure that our building and curtilages are fit for purpose and support a healthy and safe environment in which to work or visit.
- **Carbon Management:** Our energy consumption does not meet the threshold for the Carbon Reduction Commitment but we will nonetheless fully engage with SPSA towards its targets in terms of reducing carbon emissions arising from energy consumption and waste in respect of the accommodation we share. We gathered baseline information on carbon emissions arising from our business travel in 2010 and will cut these emissions by 20% by the end of 2013.
- **Health and Safety, Fire and Security:** We will continue to take actions to ensure that we protect the safety and security of our staff in line with the full range of our statutory responsibilities.

### **Public Safeguarding**

We will produce accurate and timely disclosure certificates to support safer recruitment practices, adhering to our governing legislation.

We use a proportionate approach to make decisions under the PVG legislation to bar people who are unsuitable to work with vulnerable groups from doing so.

- **Service Level Agreements:** By setting service levels with our Customers we will offer a timely service.
- **Quality Working:** By applying effective training and quality control methods we provide accurate information on disclosure certificates.
- **Barring:** Through a robust and detailed consideration processes a proportionate approach to decision making as to the suitability of people to work with vulnerable groups can be made.

## 6. DELIVERING THE PLAN

Overall responsibility for overseeing the delivery of this plan rests with the Disclosure Scotland Executive team, with advice from the Strategic Board.

We will plan delivery annually through our Business Plan. Our Business Plan actions for 2011-12 are attached at Annex A

### Sectoral Plans

Individual actions will be supported and underpinned by a number of key long-term plans.

**ICT Plan (*Strategic Theme – Efficient ICT*)** – Our ICT Plan will provide the basis for decisions and prioritisation in how we target action and identify our investment needs to maintain and develop our vital ICT infrastructure to support new ways of working.

**Procurement Plan (*Strategic Theme - Clear & Efficient Business Processes*)** – During 2011 to 12, we will develop a Procurement Plan which support the aims of this Corporate Plan and will set out our priorities in terms of how we resource our business and engage with our suppliers.

We will also continue to review our practice in other areas:

**Our Workforce (*Strategic Theme – Clear and Efficient Business processes*)** – We are committed to the government's purpose and its commitment to better public services, delivered more efficiently and flexibly. We will develop a range of flexible approaches to deliver continued good public services, value for money, and improve our scope for innovation.

**Our Environmental Impact (*Strategic Theme – Protecting and Improving our Environment*):** We will develop a range of approaches in this area. These will aim to foster sound carbon management and promote sustainability in how we conduct our business, invest in our premises and deal with our suppliers.

Disclosure Scotland has a formal Risk Management Framework with clear escalation and governance arrangements. Risk Management arrangements are scrutinised by the Senior Management Team, the Audit Committee and ultimately the Strategic Board.

Responsibility for identified risks rests with the risk owner who has authority to commission Action Officers to assist in the management of the risk and risks are broadly aligned with our Strategy Map. The key outputs of this process are reported in our Annual Reports and Accounts and form part of the annual business planning process.

## ANNEX A: BUSINESS PLAN 2011-12 Tables

### DELIVERING FOR CUSTOMERS – OUR PERFORMANCE AIMS

Activity	Completion Period	Business area responsible for delivery	Key National Outcome(s) Impacted
<i>1. Deliver on our public performance target to issue at least 90 per cent of fully completed disclosure applications within 14 days</i>	Throughout 2011-12	Disclosure Services, Protection Services	<i>We have improved the life chances for children, young people, and families at risk</i>  <i>We live our lives safe from crime, disorder and danger</i>
<i>2. We will apply a fair and proportionate approach to identify and bar those who are unsuitable to do regulated work, as defined in the PVG legislation.</i>	Throughout 2011-12	Protection Services	<i>We have improved the life chances for children, young people, and families at risk</i>  <i>We live our lives safe from crime, disorder and danger</i>
<i>3. Routinely apply our customer service standards.</i>	Throughout 2011-12	Disclosure Services, Protection Services, BT	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>

### IMPROVING OPERATIONS

Activity	Business area responsible for delivery	Completion Date	Key National Outcome(s) Impacted
<i>4. Review, and where appropriate refresh, operating procedures and targets for PVG</i>	Q1	Disclosure Services, Protection Services	<i>We have improved the life chances for children, young people, and families at risk</i>  <i>We live our lives safe from crime, disorder and danger</i>
<i>5. Monitor, and respond if required, to the Criminal Record Review in England and Wales.</i>	Disclosure Services, Corporate Affairs and Policy	Q1	<i>We have improved the life chances for children, young people, and families at risk</i>  <i>We live our lives safe from crime, disorder and danger</i>
<i>6. Monitor the development of PND and ensure Disclosure Scotland's involvement</i>	Disclosure Services, Corporate Affairs and Policy	Q1 to Q3	<i>We have improved the life chances for children, young people, and families at risk</i>  <i>We live our lives safe</i>

			<i>from crime, disorder and danger</i>
<b>7. Monitor the effectiveness of the new funding model for force enquiries with Scottish Police Forces</b>	Disclosure Services, Corporate Affairs and Policy	Q1 and Q2	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>8. Evaluate the policy on address based searching in line with other Disclosure Services in UK</b>	Disclosure Services, Corporate Affairs and Policy	Q1	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>9. Review, and amend if necessary, policies and procedures on inappropriate applications</b>	Disclosure Services, Corporate Affairs and Policy	Q1 and Q2	<i>We have improved the life chances for children, young people, and families at risk</i>  <i>We live our lives safe from crime, disorder and danger</i>
<b>10. Monitor operational performance in the new Protection Unit, using set QA targets and adjust performance as required</b>	Protection Services	Q1	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>11. Formally evaluate decision making procedures, including the use of independent complex case advisors.</b>	Protection Services	Q4	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>12. Prepare a strategy on our main contract work, setting out the path to 2014</b>	Corporate Affairs and Policy, Disclosure Services, Protection Services	Q1 and Q2	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>

## IMPROVING THE ORGANISATION

<b>Activity</b>	<b>Business area responsible for delivery</b>	<b>Completion period</b>	<b>Key National Outcome(s) Impacted</b>
<b>13. Complete all formal accountability processes for the business year 2010 to 11, including Agency certificates of assurance on our internal controls</b>	Corporate Affairs and Policy	Q1 and Q2	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>14. Publish annual accounts and report for 2010/11</b>	Corporate Affairs and Policy	Q2	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>

15. <i>Establish reporting for a) finance requirements of Public Services Reform (Scotland) Act 2010, b) Corporate Benchmarking exercise, and c) Corporate Shared Services exercise</i>	Corporate Affairs and Policy	a) Q1 b) Q3 c) Q4	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
16. <i>Undertake activity in the Equality Action Plan and initiate a continuous improvement programme in relation to Equalities</i>	Corporate Affairs and Policy	Q1 to Q4	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
17. <i>Take forward the next phase of our Work Force 2015 work, including a review of the staffing structure for PVG</i>	Chief Executive, Corporate Affairs and Policy, Disclosure Services, Protection Services	Q2	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
18. <i>Implement Action Plan in response to the 2011 Staff Survey</i>	Chief Executive, Corporate Affairs and Policy, Disclosure Services, Protection Services	Q1 to Q3	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
19. <i>Set up an Agency wide Continuous Improvement Group to indentify and steer organisational improvements</i>	Chief Executive	Q1	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
20. <i>Prepare a medium-term strategy, and participate in short term opportunities to share services across SG and public bodies</i>	Corporate Affairs and Policy	Q1 to Q4	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
21. <i>Refresh procurement approach of the Agency, utilising the new Procurement Journey toolkit.</i>	Corporate Affairs and Policy	Q3	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
22. <i>Continually review the new trend of PVG business and incorporate into our business forecasting; and review our key performance indicators so that they reflects the benefits of the PVG scheme</i>	Corporate Affairs and Policy, Disclosure Services	Q1 and subsequent quarters	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
23. <i>Embed the new How we Work strategy to further improve our internal ways of working</i>	Chief Executive, Corporate Affairs and Policy, Disclosure Services, Protection	Q1 and Q2	<i>Our public services are high quality, continually improving and responsive to local</i>

<i>and communicating</i>	Services		<i>people's needs</i>
<b>24. Undertake strategic horizon scanning in our Strategic Board</b>	Chief Executive, Corporate Affairs and Policy	Q1	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>

## FINALISING PVG IMPLEMENTATION

Activity	Business area responsible for delivery	Completion Period	Key National Outcome(s) Impacted
<b>25. Take over governance and policy responsibility for PVG from core Scottish Government</b>	Corporate Affairs and Policy	Q1 to Q2	NA
<b>26 Expedite outstanding PVG IT service releases</b>	Corporate Affairs and Policy, Disclosure Services, Protection Services	Q1 to Q4 and into 2012-13 as required	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>27 Develop and implement new software for Release 2 of PVG – online functionality.</b>	Corporate Affairs and Policy, Disclosure Services, Protection Services as required	Q4 and into 2012-13 as required	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>28 Prepare for Phase 2 of CRBS integration with the PVG Scheme.</b>	Corporate Affairs and Policy, Disclosure Services	Q4 and into 2012-13 as required	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>29 Define the Agency's new Business Continuity (BC) audit and regular test schedules to support a fit for purpose back up in the event of an emergency, and review it in light of new disaster recovery provision under PVG.</b>	Disclosure Services, Corporate Affairs and Policy	Q3	<i>Our public services are high quality, continually improving and responsive to local people's needs</i>
<b>30 Form the external advisory group to advise on complex cases handled by Protection Services.</b>	Protection Services	Q1	<i>We have improved the life chances for children, young people, and families at risk</i>  <i>We live our lives safe from crime, disorder and danger</i>

## ANNEX B: STRATEGIC OBJECTIVES AND KPIs

Scottish Government National Outcomes	Disclosure Scotland (PVG) Strategic Objectives	KPI
We have improved the life chances for children, young people and families at risk	To support sound recruitment decisions through the provision of timely and accurate disclosure services	SLA – Turnaround times 14 Days Force Enquiry Turnaround times 14 Days
We live our lives safe from crime, disorder and danger	To prevent unsuitable people from working with vulnerable groups	95% of consideration cases completed within 6 months 50% of conviction cases sent to PU processed in 1 working day
Our public services are high quality, continually improving, efficient and responsive to local people's needs	To promote public and service confidence in the organisation	Number of disputes - % of total processed – dealt with within 21 days Number of complaints – dealt with within 10 days
We reduce the local and global environmental impact of our consumption and production	To be a customer focussed organisation	Customer satisfaction survey results – how service is rated 1 - 10
	To be an efficient and effective organisation	Barred individuals listed within 1 day Interested parties notified of listing within 5 days Vetting cases referred to the PU to be dealt with within 5 days unless an exception
	Disclosure Scotland will deliver efficiencies line with overall SG targets. This will include benefits from increased use of improved procurement process	
		Disclosure Scotland will reduce its impact on the environment through the effective management of operations throughout the organisation