

DISCLOSURE SCOTLAND STRATEGIC BOARD – 27 OCTOBER 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) – by telephone conference call
- Secretary: L Maguire (Disclosure Scotland)
- Apologies: T McIntyre (Disclosure Scotland)

Welcome and Declaration

1. The Chair welcomed members to the meeting and no one had interests to declare.

Minutes of Previous Meeting and Action Points

2. The minutes of the previous meeting (Paper 12/1) were agreed without amendment and can now be published.
3. The Board was updated on the following Actions from the last meeting:
 - **Action 2011/4/1 – Executive Members to produce a paper on work on proposed KPIs covering the Agency’s requirements and Ministerial interests – Paper 12/3 tabled at this meeting discharges this action – CLOSED**
 - **Action 2011/4/2 - Executive Members to commission work with SG Analytical services - subsumed in Action 2011/5/3 - CLOSED**
 - **Action 2011/4/3 - M Gibb to discuss funding educational events with business partner –no longer on the Board – CLOSED**
 - **Action 2011/4/4 - L Maguire to arrange separate ‘brainstorming’ meeting to discuss medium-term strategy – this meeting took place on 9 September - CLOSED**
4. The following actions from the Live Action Register were 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 – Paper 12/3 tabled at this meeting discharges this action – CLOSED**
 - **Action 2011/2/1 – L Mackenzie to provide brief financial updates to the Board**

between scheduled meetings. – a protocol has been established whereby finance team routinely update the Board between meetings and produce a brief summary paper for meetings (Paper 12/10) - **CLOSED**.

- **Action 2011/2/2 - D Patel to revise descriptions of key activities and further develop the section on customer standards (Business Plan).** Paper 12/8 on the Corporate Plan and pursuant discussion discharges this action— **CLOSED**
- **Action 2011/2/3 - L Mackenzie to consider in-house formatting of the Business Plan with the Communications Manager.** – as above Paper 12/8 discharges this action - **CLOSED**
- **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.** Papers 12/5 and 12/7 discharge this action - **CLOSED**

Monitoring Performance: Metrics (Paper 12/2)

5. The Board noted a decrease in the turnaround time for both Police Act Disclosures and for PVG applications. Average turnaround times across the Agency's business remained within the 14-day target as did the 'year to date' averages. The Board noted that analysis is underway on a number of PVG applications which are taking longer and are consequently having an adverse impact on performance in relation to the KPIs. The Board was assured that the Agency has a clear resolution hierarchy with the business partner which supports logging and escalating any issues at the appropriate level.

6. The Board noted that the performance for both Scottish and non-Scottish Forces has improved with the average turnaround time for both within the 14-day target.

7. The Board noted a rise from 38 complaints received in August to 48 in September (19 of which related to delays). The Board noted that this equates to 5 complaints for every 10,000 applications received and was further assured by a drop in complaints for October to date.

KPIs (Paper 12/3)

8. Non-Executive Members generally welcomed the proposed alignment of KPIs with the broad themes of the corporate plan.

9. The Board noted the difficulty in having meaningful targets around certain aspects of the Agency's business; this issue is particularly apparent in relation to the Protection Unit function. There is no optimal number of 'barred' individuals, but other indications, such as the relative proportions of individuals considered to those barred, can be explored.

10. Discussion also took place around the quality aspects of determinations. G Hart reported that the Protection Unit's decision-making structure had been reviewed and accredited and plans are in place to have an audit of this process including decisions

involving the Complex Case Advisory Group (CCAG). The target date for this audit is when the Protection Unit has been running for 1 year (Q4 of 2011 – 12). Following this audit, a report will be submitted to the Chief Executive.

- **Action 2011/5/1 – G Hart to consider KPIs to capture a measure of the quality of the Protection Unit function.**

11. Non-Executive members asked if the Agency was working to a target in terms of the environmental impact of its function. L Maguire advised that any obligation lies with SPSA as tenant of the property and that the Agency supports SPSA in the discharge of its obligation. However, Disclosure Scotland can/does report and monitor on its own data.

- **Action 2011/5/2 – L Maguire to obtain carbon reduction targets from SPSA and articulate the Agency's support in terms of a KPI.**

12. The Board had a brief discussion around a range of scenarios based on current projections and potential legislative change. It was agreed that some analysis would be undertaken on the component costs from administration to production for each of the different types of 'disclosure'. This data could then be compared with actual costs incurred and revenue generated.

- **Action 2011/5/3 – L Mackenzie to commission end-to-end cost analysis across all types of 'disclosures'.**

Risk Register (Paper 12/4)

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

PVG Project Management and Update (Papers 12/5 and 12/6)

14. The Board heard that a recent emergency release (ER23) has improved stability, which makes the vetting process easier for staff. Executive members outlined the ongoing discussions around the system's disaster recovery functionality. A workshop is planned to capture all business continuity considerations and to set out contingency arrangements.

- **Action 2011/5/4 – L Ure (IT secondee) and T McIntyre to prepare paper for the Audit Committee outlining the issues surrounding the availability of a DR solution**
- **Action 2011/5/5 - L Mackenzie to prepare a written outline of the interim Disaster Recovery plan including all non-IT aspects**

Contract Preparation (Paper 12/7)

15. The Board noted the content of this paper and was content to proceed to the next item without discussion.

Corporate Plan (Paper 12/8)

16. The Board noted the advanced draft of the Corporate Plan and there were a number of points about having SMART targets. These largely mirrored the concerns raised in the discussion about KPIs as outlined in paragraphs 8 to 12 above. The Chair advised that once final comments were received the Agency would submit the draft to Ministers.

- **Action 2011/5/6 – All Board members to submit final comments to B Gorman**

Procurement Plan (Paper 12/9)

17. The Board noted the Procurement Plan which has been prepared to support one of the themes of the Corporate Plan. L Mackenzie will champion the Plan at Board level and within the Agency. Non-Executive members asked if target dates could be applied to the final section which deals with implementation, otherwise the Board is content to endorse the Plan.

- **Action 2011/5/7 – L Maguire to apply dates to the Implementation section of the Procurement Plan**

Finance Update (Paper 12/10)

18. The Board reviewed the Financial Update and noted that the Agency was in a stronger financial position than had been projected. The Board noted the progress in the reimbursement of additional costs incurred due to workarounds in relation to the PVG system.

Audit and Risk Committee Annual Report

19. In his capacity as Chair of the Audit and Risk Committee, B McQueen tabled his annual report to the Accountable Officer. This report had already been circulated amongst relevant parties and all comments included in this final draft. The report covers an extended period from February 2010 to September 2011. This in part is due to the timing of the establishment of the Audit Committee. The normal expectation would be for this report to cover the financial year and to support the Accountable Officer to sign the Statement on Internal Control within the standard governance cycle.

Any other business

20. None.

Disclosure Scotland
November 2011

Action List

MINUTE REFERENCE	ACTION	RESPONSE(S) BY
2011/5/1	G Hart to consider KPIs to capture a measure of the quality of the Protection Unit function	G Hart
2011/5/2	L Maguire to obtain carbon reduction targets from SPSA and articulate the Agency's support in terms of a KPI	L Maguire
2011/5/3	L Mackenzie to commission end-to-end cost analysis across all types of 'disclosures'	L Mackenzie
2011/5/4	L Ure (IT secondee) and T McIntyre to prepare paper for the Audit Committee outlining the issues surrounding the availability of a DR solution	L Ure and T McIntyre
2011/5/5	L Mackenzie to prepare a written outline of the interim Disaster Recovery plan including all non-IT aspects	L Mackenzie
2011/5/6	Final comments on Corporate Plan to B Gorman	All Board Members
2011/5/7	L Maguire to apply dates to the Implementation section of the Procurement Plan	L Maguire

Live Action Register

No outstanding live actions.

Closed Actions

MINUTE REFERENCE	ACTION	DATE CLOSED
2011//1/1	Performance Metrics Reports to be reformatted to include a legend of symbols used and contain a strategic overview.	15/03/2011
2011/1/2	B Gorman to consider mechanism to maintain Risk Register between meetings of the Risk Review Group	15/03/2011
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	15/03/2011
2011/2/5	B McQueen to review list and consider how governance arrangements can be strengthened prior to the second phase of implementation.	10/05/2011
2011/3/1	D Harrison to liaise with L Maguire to develop an additional section within the Metrics Report.	28/07/2011
2011/4/1	Executive Members to produce a paper on work on proposed KPIs covering the Agency's requirements and Ministerial interests	27/10/2011
2011/4/2	Executive Members to commission work with SG Analytical services	27/10/2011
2011/4/3	M Gibb to discuss funding educational events with business partner	27/10/2011
2011/4/4	L Maguire to arrange separate 'brainstorming' meeting to discuss medium-term strategy	27/10/2011

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	27/10/2011
2011/2/1	LMac to provide brief financial updates to the Board between scheduled meetings.	27/10/2011
2011/2/2	D Patel to revise descriptions of key activities and further develop the section on customer standards.	27/10/2011
2011/2/3	L Mackenzie to consider in-house formatting of the Business Plan with the Communications Manager	27/10/2011
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	27/10/2011