

SMT – 6 March 2018

Key discussions and decisions

Attendance

Boyd McAdam (BMcA), NC/ CEO
Susan Deery (SD), SCRA, Head of HR
Elliot Jackson (EJ), DCE
Christine Mullen, (CM) Operational Manager

Franck David (note taker)
Lynne Harrison, (LH) Business Manager
Ed Morrison (EM), SCRA, Head of Finance

1. Welcome & apologies

- Apologies: Lawrie McDonald (LMcD), Joint Head of IT.

2. Review of key points of the last meeting (06.02.2018)

SMT approved the key points of its February meeting, subject to minor changes, and agreed to publish them on the CHS website subject to identification of relevant exemptions under the Freedom of Information Act.

3. Finance update

- The forecast underspend is still £52k.
- Local authority clerks continue to encourage panel and AST members to submit their expenses; there was no pressing matter to report.
- The call support contract with Leidos will start in April (2018/19 budget). A “ticketing surcharge” will apply when the pre-agreed threshold of user support calls is breached.

Decisions—

SMT agreed—

1. That since the start of the two Business and Operational Managers, the process for monitoring and achieving financial plans had been smoother than in the previous years.

2. To note the report

4. Draft budget 2018/19

- The draft budget is aligned to CHS’ business and corporate plan priorities.
- The staffing budget was based on a headcount of 22.64 FTE.

- Although the budget anticipates £25k (2.25%) in-year savings, around £36k in-year savings arose in 2017/18.
- The Property budget presumes a full year of Ladywell House costs in line with 2017/18. Compared with last year the 2018/19 budget has been reduced by £16k.
- More narrative is required under Training to reflect this is a key priority for next year as evidenced by the 100k increase to the panel and AST training budget received from Scottish Government (SG). This reflects their expectation to see enhanced training for panel and AST members to support them make better decisions for children at risk.
- The ICT budget has been increased by £21k.
- Additional costs will need to be budgeted to reflect the pay options for 2018/19.
- The Community survey will be carried out biannually (next one to be in 2019/20).

Decisions—

SMT agreed to—

- 1. Re-profile the budget to better reflect actual through year spend**
- 2. To approve the draft budget and submit it to the Board for approval at its March meeting.**

5. CHS' 5 year financial plan

- The plan is high level and highlights areas that will require investments in the forthcoming years e.g. new creative for recruitment, technical refresh on specific products, pay, anticipated increase in expenses claims once they can be made online, year of the young persons' programme in 2019/20, relocation of HQ. The plan should be read in parallel with the Comprehensive Spending Review that CHS submitted towards the end of 2017
- This will provide SG with a 5 years plan from Scottish public bodies to help them with their own financial planning.

Decisions

- 1. SMT agreed to note the update.**

6. Pay and benefit 2018/19

- The Remuneration and Appointments Committee (RAC) considered a paper on pay award options 2018/19 at its meeting on 27 February. [commercially sensitive].

Decisions

SMT agreed—

1. That SD would speak to the Chair of RAC and bring a revised pay and benefits paper to the Board.

3.5. Framework document

- The Framework Document has been drawn up by SG in consultation with CHS and sets out the broad framework within which CHS will operate as well as the responsibilities underpinning the relationship with SG.
- Only small changes have been made to the document e.g. references to national outcomes have been taken out as they are changing.

Decisions

SMT agreed to—

- **clarify whether CHS' legal duty to involve people under 21 in the appointment of the NC should be interpreted as involving *care experienced* people under 21.**
- **Approve the Framework document and submit it to the Board for approval at its March meeting.**

3.6 Draft Corporate plan 2018/21

- The Plan is currently text focused however, The Union will create a more visual (more info graphics), user-friendly document.
- The Quality and Performance Lead sought comments from the SG Sponsor Team as to whether there should be any changes to the national outcomes. The Plan will be updated accordingly once feedback has been received.

Decisions

SMT agreed to—

- 1. Meet at the end of the week and recommend a number of small changes that the Quality and Performance Lead will incorporate to the next draft.**
- 3. Bring the Corporate Plan to the Board March meeting for approval (signing off of the text as well as a visual representation of what the document will look like once The Union has made the visual changes).**

3.7. Draft Business and Corporate Parenting Plan 2018/ 19

- SMT discussed the document and made a number of comments:

- Measuring performance – 35% of new panel members recommended for appointments in 2018/19 to be male. It was recognised that quality should take precedence over numbers.

Decisions

SMT agreed to—

- 1. Meet at the end of the week to review the document and discuss which additional corporate parenting activities should be highlighted throughout.**
- 2. Recommend a number of refinements that the Quality and Performance Lead will incorporate to the next draft.**
- 3. Bring the Business and Corporate Parenting Plan to the Board March meeting for approval before submission to the Scottish Ministers (signing off of the text as well as a visual representation of what the document will look like once The Union has made the visual changes).**

3.8. Internal Audit (IA) Plan 2018/19

- The IA plan was considered by the Audit and Risk Management Committee (ARMC) at its meeting on 27 February and highlights four areas of audits:
 - (1) Volunteer management (focus on Area Convener role)
 - (2) Business continuity planning
 - (3) Business performance management
 - (4) Recruitment and retention of volunteers (Terms of Reference not set yet and will determine whether the audit will focus on panel *and* AST members)
- There was a discussion at the committee meeting about the total number of days allocated for the audits; although the original tender from Internal Audit referred to 20 days, the auditors commented at the meeting that this figure would be challenging.
- Terms of Reference (ToR) for Volunteer management – Scheduled in April. Following ARMC SMT suggested amendments to the ToR so that the audit would not duplicate previous work by former auditors. Instead, the audit should bring to light new information that will help CHS better understand the areas that Area Conveners (ACs) need support with. The audit will observe a degree of sensitivity around ACs' performance.
- Terms of Reference (ToR) for Business Continuity Planning (BCP) – Scheduled in May. The BCP was triggered for the first time on 28 February and 1 and 2 March due to adverse weather conditions. Areas of improvements were identified although the BCP enabled staff to work and no days of work were lost, essentially due to the use of laptops.

Decisions

- 1. SMT agreed to approve a) the Internal Audit (IA) Plan 2018/19, b) the Terms of Reference for Volunteer management and for c) Business Continuity Planning.**

3.9. Internal Audit - GDPR draft audit

- The audit was considered by ARMC on 27 February. The audit is still in draft form with a draft management response. Internal Audit highlighted that CHS' level of preparedness for GDPR was different from other organisations that had been audited which, in that respect, could not allow the auditors to provide sufficient assurance that CHS would be compliant with GDPR by 25 May. CHS' view was that work was progressing as a sustained pace in a context of limited human resources, with 15 Information Governance policies already reviewed and approved.
- A more detailed response will address IA's recommendation in relation to a tiered training programme which, in SMT's view, adds unnecessary complexity.

Decisions—

SMT agreed—

1. The management response.

2. To bring an update to the Board at its March meeting and a further update at its May strategy session.

3.10 GDPR progress report

- Two red areas on:
 - CHS Community Briefings – the original thinking was to issue a number of communications on various aspects of GDPR however, the February ACLG meeting was of the view that a more effective approach would be to receive targeted communication on key themes i.e. data breaches.
 - Renewal of data processing (DP) contracts – tied in with the Collaborative Agreements with local authorities. Depending on the progress made on the latter, the work on the DP contracts may have to be decoupled from the activities linked to the Collaborative Agreements to ensure that DP contracts are in place by 25 May.
- The Information Governance Lead (IGL) will run two GDPR workshops for staff in March to provide an overview of the changes and what they mean for the organisation including the new legal requirement of Data Protection Impact Assessments (DPIAs). Staff knowledge and understanding will then be assessed.
- There was a discussion about the review of all IG policies (2nd tranche) and options for the IGL to delegate business as usual, when possible, to other colleagues in order to progress the review. A new IG Assistant will start on 19 March which will make a positive impact on progressing work on GDPR although it is expected that the new colleague will need some time before being fully up-to-speed with the work, processes and procedures. At the same time, the IGL will continue to focus on IG e.g. FOISA, complex complaints, subject access requests and there is likely to be a transition period where work on GDPR slows down slightly. SMT discussed options to create a pool of independent complaint investigators that would focus on complaints to create a space for the IGL to progress GDPR.

Decisions

SMT agreed—

- 1. That the March communications newsletter will include data breach reporting, progress on the digital work, renewal of Data Processing contracts with local authorities**
- 2. To add timetables and time constraints for a number of areas.**
- 3. To pursue options re. pool of complaints investigators.**

3.11. Internal Audit Risk Workshop

- Internal Audit conducted a workshop on risk for the Board and SMT on 27 February. The outcome was positive and would, through time, help enhance CHS' approach to risk management e.g. more focused strategic risk register, incorporating the evaluation of risk management responsibilities as part of staff performance review/appraisal process, horizon scanning as part of Business and Operational team meetings, etc.

Decisions—

SMT agreed—

- 1. to meet with the Chair of the Audit and Risk Management Committee (ARMC) to discuss a staged approach to enhancing the risk management process at CHS following which the revised approach will be brought to the ARMC at a future meeting.**

3.12. External Audit Plan 2017/18

- The CHS audit is planned for w/c 11 June and w/c 25 May for SCRA. A detailed plan is in place.

Decision

- 1. SMT agreed to note the update.**

3.13. Draft communications strategy 2018/20

- The strategy was first considered by the Board in January and has since been refreshed. It includes an engagement and communications planner as well as a stakeholder map and it will be further considered by the Board for approval on 20 March. The Planner will be a useful tool to promote AST meetings that Board members may wish to attend.

- The Board started work on the development of key messages, branding and year 1 activities at its February strategy session.
- The work programme is ambitious and challenging particularly for the Communications & Engagement Lead (CEL). SMT agreed to review whether the production of a monthly high level communications report is feasible.
- SMT approached the Robertson Trust, which aims to improve life in Scotland for those most in need, to offer a placement for two young people over the summer to focus on HR and Communications projects.
- A budget of circa £70k (to be refined) is allocated to take forward projects and key events in 2018/19.
- The current budget has a provision for a 6 months temporary project support for the Recruitment & Retention Lead and the CEL; SMT discussed the scope to trigger this earlier to extend it to 9 months with the first 3 months used to mobilise communications activities around recruitment.

Decisions—

SMT agreed—

- 1. To consider what options may exist to enable the CEL to focus on key projects and priorities including feasibility of recruiting a Communications Assistant.**
- 2. To progress discussions with the Robertson Trust.**
- 3. That the NC/ CEO will feedback comments to the CEL on the stakeholder map.**
- 4. That communications risks will be reflected in the strategic and operational risk registers as opposed to being in the strategy.**
- 5. To approve the strategy and to take it to the 20 March Board meeting for approval.**

3.14 Parliamentary reception plans

- CHS celebrate will celebrate its 5th birthday in June which is also when Volunteers' Week will take place. CHS is keen to combine these two events to maximise their positive impact on the Children's Hearings System. The Scottish Parliament has been identified as a high profile venue to celebrate CHS' birthday, volunteers and children and young people as part of the Year of Young People. An MSP would need to sponsor the event. The budget will part as part of the Volunteer Week.
- Guests could include the Minister and/or First Minister, MSPs, volunteers, care and hearings experienced young people, CHS staff, the Board and members of the SG Sponsor Team. The concept will be further discussed during the Minister's visit to CHS on 13 March.
- There will be numerous activities in June in Scotland around volunteering and SMT will give careful consideration on how it will prioritise activities around these.

Decision—

SMT agreed that the Business Manager will look at suitable dates for the parliamentary reception to celebrate CHS' 5th birthday and launch Volunteer Week.

3.15 Digital impact – synergies

- There is a business need to assign owners (CHS staff) to 12 CHS Operational/Business IT key modules. These modules or “functional services” have been identified by Leidos following their discovery work and relate to Core IT Systems and Applications.
- Identified business owners will liaise with Leidos Development Team to identify processes and the policy decisions that will require SMT and Board approval over the coming months.

Decision

1. SMT to identify Business Owners at the March SMT

18. AOB

- Due to the importance of the digital programme, SMT asked that a standard item on Digital Impact be added to the SMT agenda.

19. Next meeting: Tuesday 3 April 2018.