



Scottish Criminal Cases
Review Commission

BEST VALUE REVIEW

2013-14

April 2014

Scottish Criminal Cases Review Commission

1. COMMITMENT & LEADERSHIP:

- a commitment to delivering better public services and functions year on year, and acceptance of the key principles of accountability, ownership, continuous improvement and transparency
- Executive and Non-Executive leadership and senior managers have developed a vision of how Best Value principles will contribute to the corporate goals of the organisation which informs the direction of activities and is communicated effectively to staff
- a commitment to high standards of probity & propriety as befits a position of public responsibility

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

STRATEGY & VISION

- o Executive and Non-Executive leadership are involved in setting strategic directions and there is a mechanism for internal scrutiny by Executive and Non-Executive leadership of performance and service outcomes.
- o Overall strategic priorities are informed by a good understanding of the needs of the organisation's stakeholders and the setting of priorities and assessment of performance against relevant targets is undertaken with transparency.
- o Executive and Non-Executive leadership have discussed, agreed and taken ownership of a vision (i.e. set of expectations) of where they see the organisation in 3-5 years.
- o Senior managers communicate the Executive and Non-Executive leaderships' vision and expectations methodically throughout the organisation in terms that are relevant to and set out clear expectations to staff.

SELF ASSESSMENT:

- o Overall responsibility for setting the Commission's strategic direction rests with the Board through the interpretation of the Commission's role and remit as set out by section 194A of the Criminal Procedure (Scotland) Act 1995 and related legislation and governance documentation. The strategic direction is normally set out by means of agreed strategic aims, approved by Scottish Ministers, and a subsequent 3-year Corporate Plan which sets out the Commission's vision and mechanism for delivering its strategic aims.
- o Strategic priorities are clearly informed by the needs of stakeholders who the Commission engage with on a regular basis. This engagement includes the Commission's User Group Forum, direct consultation with applicants and their representatives and regular consultation with other interested groups through Commission information events.
- o The current 3-year Corporate Plan for 2013-16 also aligns the Commission's activities with the National Performance Framework and is compliant with the format set out within the Framework Document. The Commission also produces an annual Business Plan which reflects the priorities set out within the Corporate Plan and clearly sets out the specific objectives to contribute to the achievement of the strategic aims.
- o There are established mechanisms in place which provide a consistent method of scrutinising performance and service outcomes. Internally these focus on regular Board reporting by the Chief Executive and Director of Corporate Services on key performance areas and service delivery. Review of performance and subsequent directives from the Board are clearly recorded through the minutes of Board, Policy and Audit Committee meeting and it is the responsibility of the Commission's Chief Executive and Director of Corporate Services to take these forward.

- All Board directives requiring action are immediately considered by the Management Team who meet formally on a monthly basis following each Board meeting. These meetings are minuted and responsibility for individual actions clearly recorded and monitored. This creates an appropriate mechanism for facilitating implementation of agreed directions. The Commission's Business Plan Objectives are also a standing item on the agenda for these meetings to ensure a focused approach to performance and service outcomes.
- Staff involvement and contribution to the achievement of both strategic aims and business plan objectives is clearly recognised through consultation in the business planning process and alignment of individual forward job plans and training plans to these objectives. The Commission's continued Investors in People Accreditation independently supports this effective link.

PLANS & PRACTICES

- Objectives and targets in such statements, strategies and plans are realistic and achievable, are matched to financial and other resources and are explicitly translated into clear responsibilities for implementation.
- Objectives and targets clearly show how the organisation is working with major partner organisations to provide joined up services that meet stakeholder and community needs in the most effective manner.
- Organisations whose leadership demonstrates a contribution to sustainable development will have considered the social, economic and environmental impacts of activities and decisions both in the shorter and longer term. These impacts will be clearly articulated across all of the organisation's plans and strategies at a corporate and operational level.
- There is an explicit and systematic approach to integrating continuous improvement into everyday working practices and involving staff in developing the organisation's approach to Best Value at all levels.
- There are mechanisms within the organisation to develop leadership skills and that Executive and Non-Executive managers in leadership roles have the key skills and exhibit the behaviours which make them highly effective.

SELF ASSESSMENT:

- The Commission adopts a SMART approach to objectives which are set as a means of making them both realistic and achievable. In translating the strategic aims into business plan objectives, the Chief Executive and Director of Corporate Services will fully consider all resource implications associated with achievement of these objectives and clear responsibility for implementation is recorded in the business plan.
- Stakeholder and partner focus is clearly demonstrated within the current Corporate Plan and Business Plan, with specific objectives relating to engagement and joined up services. The needs of the associated community have also been considered through the Commission's alignment with the National Performance Framework and four key outcomes.
- The Commission's ability to contribute to sustainable development has been considered and focuses primarily on its role as a responsible employer with policies and procedures promoting staff development, career and earning opportunity, education, equal opportunities and environmental responsibility. All of these areas are reflected in business plan and personal objectives.
- The Commission's commitment to continuous improvement is clearly demonstrated through the ongoing review and update of core operating policies, procedures and systems. All reviews are undertaken through critical examination, reflecting best value ethos, and subject to the involvement of staff at all levels, i.e. through staff, legal officer and management team meetings.
- The Commission is committed to the training and development of both Members and Staff. The formal mechanism is compliant with IIP principles and is supported by the Commission's Staff Training & Performance Policy, as well as documented induction programs for all levels.

TRANSPARENCY & ACCOUNTABILITY

- Executive and non-Executive leadership ensure accountability and transparency through effective internal and external performance reporting.
- Key discussions and decision-making are undertaken in a transparent and accessible way.
- Executive and non- Executive leadership ensure that their decision-making processes are open and transparent, with the organisation's business managed in a manner which supports accountability and where the reasoning which underpins formal decisions is clearly documented and traceable.
- Appropriate policies on fraud prevention, investigation and 'whistleblowing' are established.

SELF ASSESSMENT:

- The Commission has established mechanisms in place for clear, accountable and transparent internal and external performance reporting which include: cycle of performance reporting to the Board and Audit Committee; quarterly detailed performance reporting to Justice Directorate; production of a detailed annual report and separate accounts document; production of publication scheme minutes for Commission meetings. In addition, the Commission's website reports performance on an ongoing basis and discloses information in accordance with the duties to publish information as set by the Public Services Reform (Scotland) Act 2010.
- All discussion and decision making at Board level is minuted and covered by the publication scheme. This is with the exception of detailed case related discussions. In this case summary and anonymised information is provided on decisions taken before publication on the website.
- External scrutiny by way of annual internal and external audit reviews assess and provide assurance on these decision making mechanisms and trails. External scrutiny of case related decision making ultimately provided by the courts and legal profession.
- The Commission has in place an appropriate Fraud Policy, relevant to the size and structure of the organisation. This is reviewed annually as part of the internal controls assurance statement process. The Fraud Policy is fully supported by a documented Fraud Response Plan and a separate Whistleblowing Policy is also in place which forms part of the Staff Handbook.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

2. SOUND GOVERNANCE AT A STRATEGIC & OPERATIONAL LEVEL:

- a framework for planning and budgeting that includes detailed and realistic plans linked to available resources to achieve the organisation's goals

- effective performance management systems, which include the use of external comparison, through which performance issues can be identified, monitored and addressed

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

STRATEGY

- The organisation has developed a corporate plan taking account of statutory responsibilities and the Scottish Executive's priorities and policy statements which is translated into targets and specific actions to be carried out at both corporate and operational levels.
- At the operational level there are clear, cohesive plans across the whole organisation that direct and support policy development and service delivery both internally and through delivery partners, as appropriate.
- Where delivery is through others, a robust framework of corporate governance is in place to manage delivery. This includes clear statements of roles and responsibilities in each body; a hierarchy of objectives and targets, aligned to the sponsor bodies' objectives (where appropriate) and a system of performance and risk management and reporting.
- There is an Information Governance framework in place that defines the means by which the organisation efficiently plans, creates, collects, organises, uses, controls, disseminates and disposes of its information (both structured records and unstructured information) and is done with proper regard to security and confidentiality.
- The value of its information is exploited appropriately, both in support of the organisation's internal operations and in adding value to the services it delivers.

SELF ASSESSMENT:

- The Commission has in place a Corporate Plan for the period 2013-16 which clearly translates its statutory responsibilities and agreed strategic aims into meaningful plans and objectives. The Business Plan supports the Corporate Plan and sets out specific actions and business plan objectives which will directly contribute to the achievement of the corporate aims.
- The Commission's Business Plan provides clear and cohesive plans which support service delivery in its entirety.
- The Commission has in place good governance practices and procedures which include an effective performance management system and an updated system for risk management. In addition the Commission also makes use of contractual arrangements governing areas of high spend.
- The governance system comprise core policies and documents including: Corporate Plan; Business Plan; Framework Document; Risk Management Strategy; Codes of Conduct for both Members and Staff; and Fraud Policy. There is also a direct and clear link between the Commission's Corporate Plan, Business Plan, Statutory Function and Strategic Aims, as agreed by Ministers. Responsibilities are also clearly defined throughout the Framework Document and job descriptions as well as being clearly associated to business plan objectives.
- The Commission recognises the value of the information it both receives and produces, not only with regard to the case review process, but also in terms of continuous improvement. A fully developed case management system is in place for both case review and freedom of information/data protection, both of which are supported by a formal system of information management linked to the Commission's Protection Policy, Data

Retention Policy, Publication Scheme and Records Management Plan. The role of Information Officer has been formally assigned and data/information security policies and operational procedures are in place and have been subject to ongoing testing.

- The Commission also utilises information gathered in order to add value to the service it delivers. This includes the development of and implementation of an ongoing internal research programme, providing value to all stakeholders, as well as to assist in the critical evaluation and improvement of core operating procedures.

PLANS & PROCESSES

- Other key processes are linked to or integrated with the planning cycle, including strategic analyses, stakeholder consultations, fundamental reviews, performance management, staff appraisal and development schemes, and public performance reporting.
- The organisation's financial, human and operational resources are matched to its priorities through the integration of its service and budget planning processes.
- Quantitative as well as qualitative indicators that allow performance to be assessed are formulated as part of the planning process and senior management regularly receives information that allows them to inform Executive and Non-Executive leadership of progress made.
- Action is taken in the next planning cycle to learn from success and failure and address areas of under-performance.

SELF ASSESSMENT:

- The Commission has in place planning cycles for all key reporting and performance information which include a full list of responsibilities with the Justice Directorate, a Board Terms of Reference and reporting cycle and an Audit Committee Terms of Reference document. These planning documents set out the timetable of events throughout the financial year which are then integrated within business plan objectives and employee forward job plans.
- The Commission produced a 3-year summary budget for the purposes of its Corporate Plan. This is reviewed and updated in December each year, through full reference to planned activities, assessment of resource requirements and established budget methodology, in order to submit detailed requests to Scottish Government for consideration. This approach provides a strong framework for quantitative performance measurement.
- Qualitative performance indicators are being considered further to enhance reporting and improvement within the core business, i.e. case review. Current arrangements being considered include peer review with CCRC.
- Performance of planning cycles and timetables are subject to regular review in order to improve for future cycles. In particular the annual accounts process, co-ordinating internal audit, accountancy services, external audit, Audit Committee reporting and sign off of internal controls assurance and annual accounts processes, is actively reviewed with all key parties in order to assess both failures and successes in the planning cycle and improve this for the following year.

PERFORMANCE

- Performance is systematically measured across all key areas of activity.
- The organisation knows the key processes that determine the delivery of a customer centred, cost-effective approach.
- Where appropriate, a performance management framework for the organisation extends throughout the structures of delivery in order that the system can track the high level objectives through to final delivery outputs and outcomes.
- The organisation's performance management system is based on a culture of constructive challenge that is effective in addressing areas of under-performance, identifying the scope for improvement, agreeing remedial action, and monitoring implementation.
- Performance information is accurate, up to date, includes relevant trends, comparisons, standards and targets, and is rigorously monitored on a

regular basis.

- Comparative analyses are systematically used in order to identify the organisation's performance potential and to learn from others as appropriate, including other public sector organisations, local authorities, commercial organisations, and not-for-profit organisations.
- Performance is reported upon systematically to management, Executive and Non-Executive leadership, users and the public. The information provided in each case is relevant to its audience and clearly shows whether strategic and operational objectives and targets are being met. The reports are honest and balanced, and include information about what improvements are required during the forthcoming period.

SELF ASSESSMENT:

- Performance is formally measured and reviewed on a monthly cycle by means of monthly case related statistics, monthly individual legal officer statistics linked to allocations and business plan objectives implementation through review by Management Team. In addition, informal performance measurement is undertaken on a daily basis as part of the staff management process. Financial performance is formally monitored and reported on a quarterly basis to the Board and sponsor team.
- The Commission's remit and key processes are very specific and clearly defined. The performance measures relating to key process are clearly communicated to all staff and form the basis for personal objectives as verified through the Investors in People process and internal audit review of the staff appraisal process.
- The performance management system and the culture of performance reporting is under continuous challenge, primarily through the corporate and business planning processes, whereby the Board assess and agree recommendations from management in respect of specific goals, targets and objects and the level of challenge that these represent. This is in particular evidenced through case related targets governing the Commission's core business which are actively reviewed on an ongoing basis to ensure that they continue to be challenging and deliver an appropriate level of service to stakeholders.
- All standard performance reporting shows clear trends over time, including monthly statistics, quarterly statistics and finance reports and all annual statistical reports published within the annual report. The accuracy of these is controlled through management checking and independent audit review prior to the signing off of the annual report and accounts.

2.2

Summary of Action Points:

2.1 During 2014-15, the Commission will develop a comprehensive internal resource centre as part of the rollout of Boardbooks in order to enhance knowledge management and access to training and information materials.

2.2 By 31 March 2015 the Commission will undertake a full review of its service standards so that meaningful and measurable standards are in place which can be monitored, reported upon and utilised to enhance future performance.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

3. ACCOUNTABILITY:

- Clarity of reporting structures, responsiveness to stakeholders (including the public, funders, Ministers and Parliament) and accessibility, including the use of public performance reporting so that stakeholders are told about the quality of activities being delivered and what they can expect in the future

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

- The content and approach of organisations' public performance reporting is easy to understand, concise, relevant and accessible.
- The organisation has identified what information stakeholders need in order to form a view on the performance of the organisation. It recognises that different sections of the community will have different needs in terms of receiving and accessing information and responds accordingly.
- The organisation provides information which allows the public to see that it is spending its money efficiently and effectively.
- The organisation has an effective feedback system which encourages stakeholders to comment on the information and mechanisms of public performance reporting, and ensures this feedback is reviewed regularly to inform improvement activities.

SELF ASSESSMENT:

- The Commission has in place an established system of public performance reporting which comprises annual report and accounts, published in June each year, monthly website updates in relation to key statistics and service standard performance, and a publication scheme which provides for the publication of all non-case related matters presented to and discussed by the Board and the Audit Committee. In addition, the Commission publishes an annual business plan which contains a full breakdown of performance for the previous reporting period.
- The format, content and accessibility of performance information is subject to annual review in order to enhance its relevance to particular recipients. The annual report and accounts format is also considered by the Commission's User Group Forum who provide a stakeholder view of relevance and accessibility.
- The format of the annual accounts produced by the Commission is governed by public sector accountancy standards and guidelines. However, the narrative to the accounts is produced using clear English. In addition, a summary account was produced for the first time in 2009-10 which was inserted into the annual report. The full set of accounts was published on line and made available upon request. The Commission has never received any requests for this information in any alternative formats.
- Feedback is obtained from stakeholders in a number of ways which include questionnaires to applicants and their representatives seeking opinion on service standards performance. Feedback is also sought more generally from all interested parties through email links on the Commission's website. The User Group Forum provide direct feedback on the Commission performance reporting from a stakeholder's perspective.
- In line with the Public Services Reform (Scotland) Act 2010: Duties to Publish Information, the Commission publishes the required financial and governance information on a specific page on its website in June each year. In addition, the Commission commenced reporting senior salaries via the website in 2010 ahead of the statutory requirement.

3.1

Summary of Action Points:

3.1 By 31 March 2015 the Commission will devise an new and proportionate system for obtaining stakeholder feedback on the new service standards

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

4. SOUND MANAGEMENT OF RESOURCES:

- making the best use of public resources, including employees, ICT, land and property and financial resources - keeping a considered and appropriate balance between quality, sustainability and cost
- that the organisation has a procurement strategy for procurement and the management of contracts (and contractors) which treats procurement as a key component in achieving its objectives
- it is conscious of being publicly funded in everything it does; it has regard to obligations under state aid rules; and it is aware of the need to conduct its business in a manner which demonstrates appropriate competitive practice
- the requirement to keep trading accounts under proper accounting practice is observed where appropriate to the organisation's activities, in order to provide a transparent audit trail

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

RISK MANAGEMENT

- o There is a systematic approach to risk management in relation to the organisation's resources and, where appropriate, it is cascaded down into structures of delivery.
- o The organisation has a systematic approach for identifying and managing risks in relation to workforce matters. This may cover such issues as health and safety, business continuity and public safety.

SELF ASSESSMENT:

- o The Commission has completely revised its risk management system with the Board approving the new risk strategy and corporate risk register in February 2014. The new system for managing corporate risk has adopted a "top 10" approach which provides a more focused approach for monitoring and managing the highest level risks affecting the Commission and its achievement of corporate aims and objectives. The new system also sets out more clearly the control actions to be undertaken in order to mitigate or reduce the impact/likelihood of the risk materialising. The system is integrated within the Commission's structures and is subject to continuous review by the Management Team, Audit Committee and Board.
- o Risks associated with workforce matters such as H&S and Business Continuity are specifically addressed within the Corporate Risk Register. In addition, the Commission has in place a comprehensive Business Continuity Plan which was approved in March 2011 and has been subject to regular update and testing.

4.1

REVIEW

- Executive and non-Executive leadership and senior managers regularly review the management of resources across all activities.

SELF ASSESSMENT:

- The management of resources is subject to continuous review within the Commission through established mechanisms. The Board receive quarterly reports on financial resources, staffing and case volumes as well as ongoing reports in relation to specific activities and performance against key indicators
- The Senior Management Team review the management of resources on a monthly basis, with specific attention on the achievement of business plan objectives as set out within the Corporate Plan and Business Plan.
- Best Value is a standing item on Audit Committee agendas before being reported upwards to the Board.

STAFF

- Employees are treated as a key strategic resource and the organisation ensures that it has the organisational capacity to implement its plans and make full use of its staff. Staffing requirements are explicitly related to strategic and operational objectives in terms of numbers, skills, knowledge, deployment, and organisational structure.
- The organisation ensures that all employees are managed effectively and efficiently, that they know what is expected of them, their performance is regularly assessed, and they are assisted in improving.
- Staff feel that they are valued and that their skills and knowledge are used effectively and to the full.

SELF ASSESSMENT:

- Staffing is a standing item on quarterly sponsor team agendas, whereby the appropriate level of resource to deliver the Commission's plans and effectively discharge case volumes is considered. Case projections are updated on a regular basis and staffing numbers and structures are directly linked to these plans.
- All staff at the Commission are managed directly by either the Chief Executive or Director of Corporate Services. An established system of staff appraisal and performance management is in place which involves twice yearly appraisals. Forward job plans are in place for all staff which contain SMART objectives directly linked to the achievement of Business Plan Objectives. Training plans are also in place which link training need to the achievement of both personal and Business Plan Objectives.
- Staff opinion is sought on an ongoing basis and staff meetings are held monthly. In addition, all staff have direct access to their line manager, the Chief Executive or the Chairman. Staff's opinion on how they are valued, managed, motivated and trained forms part of the Investors in People process which has always given good independent feedback on the Commission's approach and commitment.

ASSETS

- The organisation ensures that fixed assets are managed efficiently and effectively, and takes account of factors such as availability, accessibility, utilisation, cost, condition, and depreciation.
- It is important that public sector organisations have strategies that match their asset base (including infrastructure, land property, vehicles, plant equipment, materials, information and communications technology) to their objectives in terms of suitability and sustainability and support this by developing asset management plans as a matter of good practice.

SELF ASSESSMENT:

- The Commission has in place a detailed Asset Management Plan which focuses primarily on accommodation. As part of this plan a full review of premises will be undertaken in February 2011 in order to ascertain if the current accommodation continued to meet the Commission's needs and informed negotiations with regard to an extension of the existing lease from 2014 to 2017.
- Other assets comprise primarily of office equipment and these are all individually itemised and recorded on the Commission's Asset Register.
- Assets are capitalised at a value of £1,000, tagged and recorded on the Asset Register. The Commission also has appropriate depreciation policies in respect of capitalised assets as set out within the notes to the annual accounts.
- The Asset Register is updated on an ongoing basis and a full review of the register is undertaken on at least an annual basis, prior to completion of the annual accounts. Independent checking of the register and depreciation policies is undertaken by external audit.

PROCUREMENT

- The organisation has a strategy for procurement and the management of contracts and contractors to ensure that it treats procurement as a key component in achieving its objectives, including those relating to sustainable development, equalities and health and safety, as well as a means of finding the most cost effective method for securing the quality of assets and services it needs. It ensures that the framing of specifications and the vetting of suppliers is consistent with these objectives.
- When competitive tendering, procurement procedures place the minimum possible burden on suppliers consistent with the achievement of Best Value through effective competition.
- Procurement procedures are efficient and best use is made of e-procurement.

SELF ASSESSMENT:

- The Commission by the nature of its main function does not undertake significant procurement activities. Currently all procurement activities are regulated by existing internal financial procedures, the Framework Document and Government Accounting, all of which the Commission complies with. One-off procurement activities are undertaken through consultation with procurement expertise available through Scottish Government and in compliance with Best Value principles.
- The Commission has in place a detailed Procurement Policy which provides further clarity and guidance over the procurement process.
- In achieving Best Value and good practice in procurement, the Commission utilises Scottish Government Framework Contracts where these are beneficial.
- The Commission has developed a comprehensive Contracts Register in compliance with Procurement Reform (Scotland) Bill.

4.2

FINANCIAL STEWARDSHIP

- An effective system for financial stewardship and reporting is maintained.

SELF ASSESSMENT:

- The Commission has an effective system in place for financial stewardship and reporting which primarily utilises the SEAS system in addition to internal financial procedures and information. A clear purchase ordering system is in place with effective records to demonstrate authorisation routines and delegated authority.
- A process of monthly account reconciliation is undertaken in-house and full verification to SEAS accounting is done. The Commission completes quarterly financial reports in a format which is both appropriate for the size of the organisation and as agreed with Scottish Government.
- Full annual accounts are completed in April each year before full external audit, sign off and publication by June each year. No material findings have been raised by the external auditors since the Commission was established.

SHARED SERVICES

- The organisation is aware of the cost and performance of its support services and how this compares to industry standards and leaders.
- The organisation has evaluated and assessed opportunities for efficiency savings and service improvements through sharing initiatives with partners.

SELF ASSESSMENT:

- The Commission receives comparative support service data from the NDPB Finance Directors Group on a regular basis in order to benchmark where appropriate. This is undertaken where proportional to the activities undertaken by the Commission, given its size and overall budget.
- As part of the efficiency agenda the Commission has continued to assess all core services from a best value perspective.
- Shared service opportunities are researched routinely as part of the procurement process and prior to the renewal of any service contracts. This has included the current IT support contract with Skills Development Scotland which realised savings over the duration of the contract of approximately 30%.

Summary of Action Points:

4.1 By 31 March 2015 the Commission will develop an Operational Risk Register for the management of risk at this level which will directly feed into the Board's review of Corporate Risk and enhance the overall levels of internal assurance.

4.2 By 31 March 2015 the Commission will undertake a comprehensive review of its current Contracts Register with the aim of identifying further opportunities to realise efficiencies and collaborate/share services.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

5. RESPONSIVENESS & CONSULTATION:

- responsiveness to the needs of its stakeholders, citizens, customers, and employees, so that plans, priorities, and actions are informed by an understanding of those needs
- an ongoing dialogue with public sector partners, sponsor departments (if appropriate), and the relevant business, voluntary and community sectors
- consultation arrangements which are open, fair and inclusive

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

STAKEHOLDERS

- o Executive and Non-Executive leadership and senior managers recognise the diversity of their customers and stakeholders, (and formally identify them) as appropriate.
- o Stakeholders and partners feel that the organisation listens to, and takes account of, their views and are provided with information about the actions taken through transparency in the decision-making process and performance reporting.

SELF ASSESSMENT:

- o The Commission recognises its stakeholder groups as follows: applicants and potential applicants; applicant's representatives; the High Court; the Scottish criminal justice system and agencies within it; Scottish Ministers and the Scottish Government; the Scottish Parliament; and members of the public. Interaction with all stakeholder groups is based on an understanding of their individual needs and diversity.
- o All applicants and their representatives are canvassed for opinion on the Commission's service standards. All feedback is reviewed and details published annually along with any revision to procedures identified through this process.
- o The Commission has a User Group Forum which comprises representatives of stakeholder groups, The User Group meets annually and considers matters such as consultation, feedback and service standards performance.
- o The Commission also works closely with the CCRC and NCCRC as a means of comparing practices and performance. A formal exchange programme has been established with CCRC as a means of identifying and sharing good practice as well as taking forward peer review and creating training opportunities for staff.

CONSULTATION

- o An effective and accessible complaints system is in place.
- o A systematic approach is in place for co-ordinating consultation exercises and sharing information (as appropriate within legislative constraints and guided by organisational operating context) within the organisation and with other bodies; and linked this into its regular planning cycle and uses the results of this work in planning, designing and improving services and policy.
- o Consultation exercises have clear objectives in terms of what the organisation is seeking to find out and result in clear recommendations for action

(including maintaining the status quo where appropriate.)

- The organisation reviews systematically the effectiveness of its approach to consultation to ensure that these deliver the required outcomes at a reasonable cost.

SELF ASSESSMENT:

- The Commission has in place an established complaints system comprising a documented Complaints Policy and Procedure. Both documents are available directly from the Commission or via the website. Details of all informal and formal complaints are recorded internally and all formal complaints, along with the resolution process, are reported annually within the annual report.
- The Commission has committed to become more actively involved in legal reform consultations within its Corporate Plan 2013-16. All invitations to participate in consultations are directed to the Board in the first instance to establish the appropriateness and value in participation. Thereafter involvement in any consultation exercise, including Commission representation and formulation of responses is delegated to the appropriate officers.
- The Commission continues to identify within its annual business plan objectives its commitment to participation in relevant consultation exercises. During 2012-13 and 2013-14 this commitment had been demonstrated through the Commission's participation in the Carloway Review and the review of the Scottish Parliament's Justice Committee considerations of the draft Criminal Cases (Punishment and Review)(Scotland) Bill.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

6. USE OF REVIEW & OPTIONS APPRAISAL

- an approach to review that is rigorous and robust with no areas of work excepted from consideration for review
- review activity achieves quantifiable benefits for key stakeholders accepting that change may be necessary
- services are expected to remain effective and efficient and to provide consistently good and sustainable service quality. In considering opportunities for improvement, a fair and open approach will be taken in evaluating alternative forms of service delivery from whatever the sector, and opportunities for sharing services with other organisations taken into account
- review activity should include review of the methods of policy development and arrangements for delivery through others as well as review of in house service delivery itself

SELF ASSESSMENT AGAINST CORE PRINCIPLES

**ACTION
REQUIRED**

REVIEW ACTIVITY

- o It is conducted on a regular basis and becomes integrated into the organisation's management arrangements.
- o It covers significant topics where current policies and approaches are challenged explicitly (including economic, social and environmental perspectives) and are justified if retained / changed.
- o It is monitored by senior management in terms of progress in implementing recommendations / actions on a regular and systematic basis.
- o It is validated on a systematic basis to ensure consistency, efficiency, continuing relevance and delivery of improvements.

SELF ASSESSMENT:

- o The Commission makes extensive use of internal performance review and evaluation of its key procedures and performance areas, as linked to the key objectives, defined within the Commission's three year Corporate Plan. Performance review is primarily taken forward by the Chief Executive and Director of Corporate Services, with outcomes presented to the Board, Staff and Justice Directorate at regular intervals. These outcomes are used to inform subsequent changes to procedure in order to enhance performance.
- o Review activities are further coordinated through the Business Plan, whereby corporate aims and objectives form the basis for specific business plan objectives. Progress and implementation of these objectives is a standing item on management team meetings and is regularly reported to the Board as well as formal quarterly objectives reports to Justice Directorate.
- o The Commission also relies heavily on external and independent validation of its performance and review activities, primarily through the internal and external audit plans. The Commission continues to receive high levels of assurance from audit reviews in respect of both its control environment and performance/review activities.

STAKEHOLDERS

- It looks ahead to understand how stakeholder needs and expectations may change in the future due to the demographic, natural, cultural and socio-economic factors.
- Where appropriate, it recognises the value of working with its wider stakeholders and partners to achieve more effective and sustainable policy development and service delivery.
- It is able to demonstrate that the views of stakeholders have been taken into account in analysis and developing recommendations. This may include consultation exercises, having stakeholders as part of the review team and engaging staff and trade unions in the process.
- It involves Executive and Non-Executive leadership at key stages and ensures that Executive and Non-Executive leadership approve the overall process and policies.
- It should take account of any guidance/approach agreed with sponsor departments and/or internal management as appropriate.

SELF ASSESSMENT:

- The Commission obtains information on its stakeholders from a number of sources in order to understand their needs and interactions with the Commission more fully. Feedback is canvassed on an ongoing basis from applicants and their representatives by means of the service standards system. The Commission's User Group Forum also assists in gathering wider stakeholder opinion on the Commission's key policies and procedures.
- Feedback obtained from all sources is considered in detail by the Commission in order to identify areas of improvement and further opportunities for working with partners and collaboration. Outcomes from this work and opportunities for improvement are reported through the Commission's Business Plan update and Annual Report.
- The Commission also became a member of the newly formed Appeal Court User Group during 2010-11 which provides valuable stakeholder feedback.

SYSTEMATIC

- It is undertaken on a systematic basis and concentrates on identified priorities, and areas where performance may be poor, which are of importance to stakeholders, which are of significant concern to the organisation or otherwise offers clear opportunities for improvements.

SELF ASSESSMENT:

- The Commission identifies its key priorities for service delivery within its Corporate Plan. Priorities for the 3-year period 2013-16 have been identified as follows:
 - Case Management Efficiency & Case Review Procedures
 - Ongoing Peer Review & Good Practice Development
 - Partnership & Collaborative Working
 - Addressing possible inequalities affecting applicants

- The Commission holds twice yearly policy meetings, which are used as a forum to review current policy and practice, with the aim of continuous improvement. This is considered to be an effective approach to internal assessment and review. Policy meetings are minuted and agreed actions formally taken forward and reported to subsequent meetings.
- The Commission has adopted a formal policy review timetable, which is detailed on the Commission's website and seeks feedback from stakeholders as individual polices come under review. Feedback is considered as part of the review process as well as internally identified performance and legislative related changes. This approach has been enhanced in accordance with Freedom of Information legislation and the Commission's commitment to openness and accountability.

QUALITY

- It supports high levels of service quality and secures improvement on a continuing basis. Future demands are clearly addressed.

SKILLS

- It is conducted within a consistent corporate approach which ensures that people conducting reviews have the necessary skills, knowledge and aptitudes, and that they themselves are challenged on their findings.

CLARITY

- It produces clear recommendations which are based on analysis and evidence of considerations such as cost, quality and the combination of economic, social and environmental impacts.
- It develops actions which are clearly described, in sufficient detail to be readily understood, are clearly explained in terms of importance, relevance and priority, and are realistic and achievable.

SELF ASSESSMENT:

- Review and options appraisal work and techniques used by the Commission are clearly proportional to its main function, size, structure and aims. Within its corporate and business planning arrangements there is a high level of consistency in terms of review cycles, evaluation, reporting and formulation of actions and objectives.
- Staff identified to take forward reviews of specific business areas or projects will be selected on the basis of their ability, skills and knowledge to undertake such work. Shortages in skills and experience are addressed through partnership working, whereby the Commission can utilise skills and experience of specific departments within Scottish Government as well as assistance from other key stakeholders.
- Specific reviews and objectives are clearly defined using SMART criteria and plain language. Details of such plans are published within the Commission's Business Plan and Annual Report – both of which are recognised sources for both forward planning and performance reporting.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

7. A CONTRIBUTION TO SUSTAINABLE DEVELOPMENT:

- consideration of the social, economic and environmental impacts of activities and decisions both in the shorter and longer term, underpinning the principles of:

- living within environmental limits;
- ensuring a strong, healthy and just society;
- achieving a sustainable economy;
- promoting good governance; and
- using sound science responsibly

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

The goal of Sustainable Development is to enable all people throughout the world to satisfy their basic needs and enjoy a better quality of life without comprising the quality of life of future generations. This goal is pursued in an integrated way through a sustainable, innovative and productive economy that delivers high levels of employment, and a just society that promotes social inclusion, sustainable communities and personal well-being. This is carried out in ways that protect and enhance the physical and natural environment, and use resources and energy as efficiently as possible.

- There is a commitment at both Executive and Non-Executive leadership and senior management level to contribute to the achievement of sustainable development.
- Contributing to the achievement of sustainable development is reflected in the organisation's objectives and reflected in all strategies and plans at corporate and operational level.
- These plans, priorities and actions are informed by consultation with stakeholders and the communities affected by the organisation; and by joint working with the organisation's key partners nationally and locally.
- Performance indicators, measures and targets are designed to demonstrate and report on the organisation's contribution to the achievement of sustainable development.
- Review activities take account of sustainability issues and assess the impact of policy proposals on sustainable development.
- Sustainable development requirements are taken into account in the procurement strategy.
- There is a systematic approach to the management of resources which contributes to the achievement of sustainable development.

SELF ASSESSMENT:

- The Commission's commitment to sustainable development is proportional to its size and nature of business. As a result, activities focus on environmental, resource and procurement activities.
- The Commission's Corporate Plan for 2013-16 identifies the alignment to National Outcome 14 – "We reduce the local and global environmental impact of our consumption and production." Contribution to this national outcome is monitored through the following national indicators:

- *Reduce Scotland's Carbon Footprint*
- *Increase the proportion of journeys to work made by public or active transport*
- *Reduce waste generated*
- o These indicators have been specifically incorporated into business plan objectives and form part of the Commission's environmental action plan, which is appended to the Environmental Policy. Progress on environmental matters are monitored and reported quarterly and details published annually within the Commission's annual report.
- o In addition to the national indicators, as part of the Commission's environmental action plan, quarterly monitoring of waste, paper usage and energy usage is undertaken in order to assist in the identification of enhanced sustainability.
- o The Commission's procurement activities also take into account environmental and sustainability issues. For all goods purchased, an environmental assessment is undertaken as part of the purchase ordering procedure where possible. For larger scale procurement, contractors and suppliers are required to confirm their environmental and sustainability credentials. This is explicitly covered within the Commission's Procurement Policy.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

8. EQUAL OPPORTUNITIES:

- a culture which encourages equal opportunities and is working towards the elimination of discrimination;
- adopting the meaning of "equal opportunities" as is set out in Schedule 5 to the Scotland Act 1998, namely, "the prevention, elimination or regulation of discrimination between persons on the grounds of sex or marital status, on racial grounds or on grounds of disability, age, sexual orientation, language or social origin or of other personal attributes, including beliefs or opinions, such as religious beliefs or political beliefs"; and
- meets the requirements, as applicable, of present and future equality legislation.

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

- o The organisation's objectives are highlighted in all corporate and service level plans including the encouragement of equal opportunities and that all equal opportunities requirements are met.
- o The organisation reflects in its planning, designing and improvement of services that different groups within the community have different needs, which must be taken into account to allow them to access those services.
- o All leaders and senior officers within the organisation are committed to considering the needs of equality groups in their policies, functions and services, where relevant. Performance measures should be identified on the delivery of equal opportunities and reported to the public.
- o The organisation, wherever relevant, collects information and data on the impact of policies, services and functions on different equality groups to help inform future decisions and that it engages with and involves equality groups to improve and inform the development of relevant policy and practice.
- o Where the organisation has employees it implements policies that are in line with its commitment to equal opportunities, including training. That a programme of equal pay audits, comparability studies and equal pay reviews of the workforce is carried out. It should be shown that pay and reward systems meet the legislative requirements and that any existing areas of discriminatory practice are being addressed.
- o The organisation ensures that it takes whatever action is necessary to meet its obligations under equal opportunities legislation. This includes, where required, the completion of equality schemes and reviewing and reporting on them as required.

SELF ASSESSMENT:

- o Within its 2013-16 Corporate Plan the Commission has specifically aligned itself to National Outcome 7 – "We have tackled the significant inequalities in Scottish Society." The Commission's contribution to the outcome is set out in the following indicators:
 - *Promote equality and reduction of discrimination and prejudice.*
 - *Increase number, diversity and attendance at information events.*
 - *Applicant demographic is in line with the Scottish Prison and Crime Statistics.*
 - *Increase visibility and accessibility in line with the Communications Strategy.*
 - *Access to more information via the publication scheme and communication mediums.*

- *Increase participation in appropriate legal reform consultations.*

- Contribution to all the identified national outcomes and respective indicators is promoted within the Commission's Business Plan, which interprets these into specific objectives. During 2013-14 these objectives specifically cover the areas of the Commission's Equal Opportunities Policy, planning and targeting of information events, internal research into applicant demographics, production of a Communications Strategy and the active participation in legal reform consultations.
- The Commission's commitment to equality is set out within its Equal Opportunities Policy which was completely revised and updated in February 2014.
- The Commission actively considers the equality implications of all its policy documents through a programme of structured review which includes the review of equality, risk, financial and resource implications as standard.
- The Commission's employment policies and procedures fully reflect equality of opportunity and have been specifically reviewed as part of the Investors in People process and internal audit review. All employees have equal access to training and development opportunities and all employee forward job plans include an equalities objective as standard. Board Members are also required to undertake equalities training on a regular basis, the last being in April 2013.
- The Commission recognises the diversity of its applicants and completed the second of its reviews of applicant diversity in March 2014. This review specifically compared the Commission's applicants in terms of gender, age and ethnicity with comparable statistics in relation to court disposals and prison populations.
- The Commission is currently in the process of implementing a new application form – this has been accredited by the Clear English Standard, incorporates a new Equal Opportunities Monitoring Form and displays the Happy to Translate (HTT) logo. The Commission became a member of the HTT group in 2009 and has subsequently put in place revised procedures for language assistance through a collaborative arrangement.
- Applicant diversity is monitored and reviewed on an annual basis with the results published in the Commission's annual reports along with any agreed improvements.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

9. JOINT WORKING:

- a culture which encourages joint working and service delivery with public sector partners, sponsor departments (if appropriate) and the relevant business, social economy, voluntary and community sectors where this will contribute to better services and customer-focused outcomes.

SELF ASSESSMENT AGAINST CORE PRINCIPLES

ACTION REQUIRED

- Executive and non-Executive leadership and senior managers actively encourage opportunities for formal and informal joint working, joint use of resources and joint funding options, where this will offer scope for improvement.
- The organisation is committed to working with partner organisations to ensure a joined up approach to meeting the needs of its communities and stakeholders. That where the partnership is involved in joint delivery this includes:
 - (a) agreeing respective roles and commitments and areas of collective responsibility;
 - (b) integrated management of resources where appropriate;
 - (c) effective monitoring of collective performance; and
 - (d) joint problem-solving and learning.
- Executive and Non-Executive leadership address impediments and barriers which inhibit integrated approaches to joint funding and joint management of activities with internal and external partners.
- Appraisal of joint working approaches with regard to the projected benefits, takes into account wider policy issues, current agendas and the potential impact on equalities and sustainable development.
- The organisation seeks to explore and promote opportunities for efficiency savings and service improvements through shared services initiatives with partners.
- In joint working with partners (both external and internal, including support services) the organisation works openly to agreed objectives and performance management and reporting mechanisms.
- Where appropriate and possible it shares information and seeks to develop data compatibility with partners.
- Where appropriate, it responds to opportunities to aggregate procurement demand with partners.

SELF ASSESSMENT:

- The Commission's commitment to joint working is set out at the highest level specifically with the inclusion of the following strategic aim, as published within the Corporate Plan 2013-16; *to work with others to delivery a quality service*. The Corporate Plan also identifies how the Commission will set out to deliver this aim.
- The Commission recognises its stakeholders comprise: applicants and potential applicants; legal representatives; the High Court; the Scottish criminal justice system and agencies within it; Scottish Ministers and the Scottish Government; the Scottish Parliament; members of the public; and staff and Board Members.
- As part of the previous Best Value Review, undertaken in 2011, the Commission successfully extended the membership of its User Group Forum to be more representative of stakeholders and undertook to consider and evaluate joint working and shared service initiatives driven forward by the NDPB Forum Groups.

- The Commission has a number of Service Level Agreements (SLAs) and protocols in place with other departments/agencies such as Crown Office/Justiciary Office, Police Scotland and the Scottish Prison Service. These arrangements set out clearly the nature of the joint working relationships and define roles, responsibilities and expectations.
- The Commission continues to explore and promote opportunities for efficiencies considering, where applicable, collaborative procurement arrangements and shared services available within the sector.
- The Commission has in place a detailed Procurement Policy which sets out in detail arrangements for considering where collaborate procurement is appropriate, when Framework Contracts should be considered and identifying opportunities for shared services as a way of reducing both contract cost and procurement resource and expertise.

OVERALL SUMMARY CONCLUSION: WELL DEVELOPED

BEST VALUE ACTION PLAN

2. SOUND GOVERNANCE AT A STRATEGIC & OPERATIONAL LEVEL:

Ref:	Action Required:	Responsibility:	Review Date:
2.1	During 2014-15, the Commission will develop a comprehensive internal resource centre as part of the rollout of Boardbooks in order to enhance knowledge management and access to training and information materials.	Management Team	31 March 2015
2.2	By 31 March 2015 the Commission will undertake a full review of its service standards so that meaningful and measurable standards are in place which can be monitored, reported upon and utilised to enhance future performance.	Management Team	31 March 2015

3. ACCOUNTABILITY:

3.1	By 31 March 2015 the Commission will devise an new and proportionate system for obtaining stakeholder feedback on the new service standards	Director of Corporate Services	31 March 2015
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5. SOUND MANAGEMENT OF RESOURCES:

4.1	By 31 March 2015 the Commission will develop an Operational Risk Register for the management of risk at this level which will directly feed into the Board's review of Corporate Risk and enhance the overall levels of internal assurance.	Director of Corporate Services & Management Team	31 March 2015
4.2	By 31 March 2015 the Commission will undertake a comprehensive review of its current Contracts Register with the aim of identifying further opportunities to realise efficiencies and collaborate/share services.	Director of Corporate Services	31 March 2015