

**Minutes of the SWIA Management Board Meeting  
2.00pm Thursday 26 November 2009  
SWIA Offices, Ladywell House, Edinburgh**

Present: Alexis Jay, Chief Inspector  
Gill Ottley, Depute Chief Inspector  
David Cumming, Depute Chief Inspector  
Marc Hendrikson, acting Depute Chief Inspector  
Richard Fowles, acting Depute Chief Inspector  
Andrew Wilkinson, Corporate Manager  
Hamish Hamill, External Independent Advisor  
Sandra Nutley, External Independent Advisor  
Dorothy Smith (minutes)

At the beginning of the meeting Ian Watson, Project Manager, gave a demonstration of the self-evaluation e-tool being developed by the Institute for Research and Innovation in Social Services. The following points/actions were agreed.

- The option to allow an evaluation to be shared with SWIA ('Yes or No') – should include an extra layer of security in the form of a prompt asking: 'are you sure you want to share with SWIA?'
- The Board noted that SWIA would provide the helpline for local authorities in the event of any problems with the site/tool.
- The Board considered that some of the wording needed to be more specific, e.g. 'Action' and 'Measure'. It was agreed that Ian would ask Gerry Hart for clearer wording.
- The Board suggested that there should be an 'outcomes' box.
- Whilst recognising that this was version one of the e-tool, the Board suggested that future development should include contextual guidance/help and/or easy access to the relevant section of the PDF guidance manual plus the ability to generate reports.
- The Board suggested a 'welcome' strap line should be added to the opening page of the e-tool.

**Action Point 1 (November 2009) Ian Watson to discuss feedback with Gerry Hart.**

1. Minutes of the Meeting held on 27 August 2009

1.1 The minutes were agreed.

2. Matters arising from Minutes

2.1 Hamish Hamill noted that he had yet to receive a hard copy of the Performance Improvement Handbook.

**Action Point 2 (November 2009) Anne Travers to provide a hard copy of the Performance Improvement Handbook to Hamish Hamill and Sandra Nutley.**

3. New Scrutiny body Update

3.1 The Board agreed that an update on recent events was unnecessary since Board members were up to speed. The Board considered a paper detailing current SWIA business continuity issues and suggested mitigating actions. Both SWIA and the Scrutiny Bodies Project implementation team had identified maintaining business continuity as a key risk in November 2008.

3.2 The Board agreed a number of amendments to the paper and agreed that it should be tabled at the Scrutiny Bodies Project – Health and Care Programme Board on 3 December 2009. The Board noted that the recently created Business Continuity and Transitions Group would be considering business continuity issues for the restructure project. However, the Board considered that the paper reflected concerns specific to SWIA and, accordingly, should be tabled as a SWIA paper. Hamish Hamill confirmed that he was content to speak to the paper at the meeting. The Board further agreed that Leslie Evans, Director-General Education, should be informed in advance that the paper was being submitted to the Programme Board.

**Action Point 3 (November 2009) Andrew Wilkinson to amend the Business Continuity paper to reflect the changes agreed by the Board and arrange for it to be added to the Programme Board agenda. Alexis Jay to alert Leslie Evans.**

4. Inspection methodology

4.1 Marc Hendrikson outlined an adjustment to the SWIA revised methodology reducing the number of scrutiny levels from four to three. The adjustment removed the previous scrutiny level 1 ('High performance and highly effective improvement work and service innovation. Very low risks.') acknowledging that the criteria for this were more aspirational than attainable – particularly at this early stage of proportionate, risk based inspection and the development of self-evaluation. The possibility that, at some point in the future, we might want to re-introduce similar criteria had not been ruled out.

4.2 Marc confirmed that South Lanarkshire Council had raised concerns that it had been assessed only as level 2 for scrutiny following its ISLA and had compared this with its and other councils' full performance inspection evaluation. The Board noted that the first pilot ISLA moderations and feedback from the councils had highlighted a number of issues to be addressed. Marc had produced a sample letter to be issued to councils informing them of the reduction in the number of scrutiny levels from four to three.

4.3 The Board agreed the revised scrutiny levels and the slightly amended letter to be issued to councils.

**Action Point 4 (November 2009) Marc Hendrikson to amend and issue the letter to councils informing them about the adjustment to the revised methodology.**

5. SWIA Inspection Methodology – moderation

5.1 The Board discussed the external independent advisor role in the pilot ISLA moderation stage. Sandra Nutley and Hamish Hamill questioned the value they were able to add to the moderation process because the absence of detailed background on each council made making an informed view much more difficult. In contrast, their role and potential contribution in the performance inspection moderation process had been very clear.

5.2 Marc confirmed that the ISLA moderations to date had suggested that the process could be improved. Alexis Jay suggested that the external independent advisors should be involved in the moderation of the final report but their involvement in the ISLA moderation perhaps was less critical. The Board noted that six of the 10 pilot ISLA moderations remained to be carried out and agreed to review the external independent advisor role in the ISLA process thereafter.

6. Inspection of Jersey childcare services

6.1 Gill Ottley reported that Scottish Government lawyers had advised SWIA that the work with Jersey would have to be carried out on a secondment basis. A contract had been received from Jersey already signed and dated by its Minister. Scottish Government lawyers had been asked to comment on the contract. SWIA had been trying to secure legal advice with specific expertise in States of Jersey law but so far had been unable to identify anyone not based in the Channel Isles. The Board suggested Treasury Solicitors and the Home Office as possible contacts.

6.2 The Board noted the position and agreed that the business benefits of carrying out this work should be carefully explained and SWIA should continue to prepare to deploy while the legal issues are resolved.

7. Risk Management Group updates briefing

7.1 The Board noted the update paper on the work of the Risk Management Group. The next paper, on the work of the Finance Team, was the last in the currently agreed series and would be accompanied by suggestions for future updates.

8. Performance reporting

8.1 The Board noted the performance report and suggested that some of the headings and figures could be more clearly stated.

**Action Point 5 (November 2009) Andrew Wilkinson to consider changes and amend accordingly.**

9. Risk register

9.1 The Board reviewed the risk register. It noted that it now seemed unlikely that the draft 2009-11 corporate plan would be published. The Board agreed instead that the 2010-11 business plan should include more content to mitigate this.

10. Finance and staffing papers

10.1 The Board noted the finance and staffing papers. It questioned whether some of the projected under spend on the website could be used to make any improvements to the website to improve speed of operation. Andrew Wilkinson reported that the website had been refreshed and archiving introduced to relocate older items. The speed issues related to the network provided by Scottish Government's Information Services and Information Systems (ISIS). These had been raised with ISIS at routine quarterly meetings with mixed success to date. The Board noted also that the small projected overspend on external independent advisor costs reflected significant additional involvement including ISLA moderations, restructure and other meetings.

11. AOB

11.1 Alexis Jay informed the Board that Leslie Evans would like to attend a Board meeting and meet staff. A meeting with staff had been arranged for February 2010. The Board agreed that Leslie be invited to the next Board meeting, possibly in Glasgow.

**Action Point 6 (November 2009) Anne Travers to arrange an invitation for Leslie Evans to the next Board meeting**

12. Date of next meeting 3 March 2010