

Title	Minutes of the Board Meeting
Description	Minutes of the Board meeting on 12 November 2020
Owner	Elizabeth France

**Meeting held via Skype****Board members present (via Skype)**

## AUTHORITY

**Elizabeth France**, Chair (EF)**David Horncastle** (DHo)**Ian McKay** (IMc)**Trevor Reaney** (TR)**Kate Bright** (KB)**Alec Wood** (AW)

## EXECUTIVE

**Michelle Russell**, Acting Chief Executive (MR)**Stephen McCormick**, Director, Licensing & Standards (SMc)**Dianne Tranmer**, Director, Corporate Services (DT)**John Montague**, Acting Director, Inspections & Enforcement (JM)

## SIA ATTENDEES

**Fiona Wilson**, Head of Strategy & Governance (FW)**Alero Harrison**, Head of Communications (AH)**John Neil**, Chief Information Officer (JN) – Item 4**Tony Holyland**, Head of Individual Standards (TH) – Item 6**External Observer****Caroline Shanklyn**, Joint Head of Arm's Length Body Sponsorship, Home Office (HO) (CS)**Apologies**

n/a

**Secretariat****Anca Comsa**, Executive Assistant CE & Board (ACo)

**Minutes**

Topic	Action
<p><b>Welcome and apologies</b></p> <p>1. No apologies for absence were received. The meeting was quorate.</p> <p><b>Declaration of interest</b></p> <p>2. No declarations were made.</p> <p><b>Agenda 1: Approval of minutes and matters arising – MB/20-21/09/1a</b></p> <p>3. The minutes of the previous meeting, held on 15 October 2020, were agreed as an accurate record and approved by the Board.</p> <p>4. The Board noted the action log and matters arising. The outcome and progress of a number of actions were discussed:</p> <ul style="list-style-type: none"> <li>• (October-20-01). The stakeholder engagement strategy would be presented in draft to the March 2021 Board;</li> <li>• (Jun-20-05) (HO part of the log). The Home Office explained that further progress on the Chair and Member recruitment awaited Ministerial decisions.</li> </ul> <p>5. The following actions were marked as complete:</p> <ul style="list-style-type: none"> <li>• (October-20-02). Updates to the SIA Corporate Plan had been agreed with Members and the revised version submitted to the Home Office for ministerial approval;</li> <li>• (October-20-03). An update was provided by the Director of Licensing and Standards on the project to collect demographic data. In progressing the project, with Version 1, he agreed to take account of the feedback from Members particularly on the need for a strong communications plan and on the size of a reliable sample. The approach to this project would continue to be refined to provide appropriate levels of assurance.</li> <li>• (October-20-04). It was agreed that technology and information reports would be submitted on a quarterly basis;</li> <li>• (October-20-05). The CEO's report provided an update on police information sharing. The Legal Services function were leading on finalising the agreement; Intelligence would own the information sharing relationships;</li> </ul>	

<ul style="list-style-type: none"> <li>• (October-20-06). Information had been provided, as requested, on the Emergency First Aid at Work Certificate (EFAW);</li> <li>• (Sept-19-05 &amp; a.May-18-07). A final version of the Governance Manual incorporating all proposed changes would be ready for consideration and sign off by the Authority in early 2021;</li> <li>• (June-20-03). The handling of the proposed Code of Conduct is considered at agenda item 5;</li> <li>• (July-20-03). More proactive ways to promote the industry. Would be folded into (October-20-01), as part of the overall Stakeholder Engagement strategy;</li> <li>• (July-20-07). Top-up training had been discussed at the October board;</li> <li>• (July-20-08). Licence integration was for discussion at agenda item 6.</li> <li>• (July-20-09). The ICT roadmap had been discussed in relation to the SIA Chair and Member Recruitment at the October board.</li> </ul>	
---	--

Matters for report

Topic	Action
<p><b>Agenda 2: Chair’s Report – MB/20-21/09/02</b></p> <p>6. The Chair’s report was noted.</p> <p>7. The Chair noted that the short listing for the Chair role had been completed and, as the Joint Head of Arm’s Length Body Sponsorship, Home Office (HO) had advised, ministerial approval of the list, and of the Member recruitment exercise, was awaited. There had been good advance planning for the recruitment exercises. The Chair made clear her disappointment that in spite of this there might not now be timely appointments. While vacancies on the Authority did not threaten the quorum and the Authority would be well represented by those who remained, there would be a risk to the governance of the SIA.</p>	

Topic	Action
<p><b>Agenda 3: Chief Executive's Report – MB1/09/03</b></p> <p><b>8.</b> The Acting Chief Executive presented her report. This was her first report, since taking up role as Acting Chief Executive on 19 October.</p> <p><b>9.</b> She drew Members' attention to a number of current matters of interest:</p> <ul style="list-style-type: none"> <li>• SIA Corporate and Business Plans - the updated Corporate Plan submitted on 20 October was awaiting ministerial approval. The Acting Chief Executive would share this with staff as soon as it had been approved. In early November, work had begun on business planning for the next financial year, a timetable and process for development of functional, directorate and corporate level plans had been agreed.</li> <li>• Manchester Arena Inquiry. On 28 October 2020, the Acting Chief Executive and the Head of Individual Standards had given evidence in person. Members thanked them, the Senior Legal Advisor and their teams for the professional way they had prepared and represented the Authority. It was noted that there was potential for the recommendations of the inquiry (not expected until Spring 2021 at earliest), with the expected consultation on a proposed "Protect Duty", to raise broader issues about the nature and suitability of the existing legislative and regulatory framework.</li> </ul> <p><b>10.</b> Members asked about any risks associated with the use by approved contractors of operators based overseas who would be licensable if UK based. The Director of Licensing and Standards gave assurance that there was no cause for concern at this stage but that the practice was being monitored, with appropriate legal oversight, to ensure compliance and management of any identified risks. It was agreed that the Director would update Members on any changes. (November 20-01)</p> <p><b>11.</b> Members noted significant delays in processing of criminality checks by Disclosure Scotland and the impact this was having on licence processing, affecting a number of applications, particularly those of a more complex nature. The SIA continued to work closely with Disclosure Scotland to see these matters resolved.</p> <p><b>12.</b> The Director of Licensing and Standards updated Members on a problem on provision of training for vehicle immobilisation</p>	

Topic	Action
<p>licences in Northern Ireland, due to low demand. A way forward had now been agreed.</p> <p><b>Agenda 3: Corporate Risks – MB/20-21/09/03</b></p> <p><b>13.</b> The Chief Executive reported that the Information Commissioner's Office (ICO) had completed consideration of the potential data security breach, drawn to the Board's attention at the October meeting. The ICO concluded that the SIA appeared to have appropriate measures in place to ensure the security of personal data and provided some standard recommendations, which are being considered and followed up.</p> <p><b>Agenda 3a: Financial summary – MB/20-21/09/03a</b></p> <p><b>14.</b> The Acting Chief Executive presented the financial summary for the last period, which was noted. The year to date position (at the end of September 2020) showed a £2.2m surplus against a Q1 forecast of £0.4m surplus; the full year expected position based on the Q2 reforecast exercise carried out at P6 (or end of September) would give a surplus of £2.5m (an uplift of £0.9m on the original budget set pre-Covid, when a surplus of £1.6m was predicted).</p> <p><b>15.</b> Despite a steady rate in licence applications during the last reported period, a prudent view of licensing demand for the remainder of the year was being taken. The impact of Covid-19 on the industry remained unclear and it was agreed that any modelling/ forecasting needed to be treated with caution and kept under review.</p> <p><b>16.</b> Members asked that future reports should show separately the position in relation to the historical surplus (£17m) and any newly generated surplus. (November-20-02).</p> <p><b>17.</b> Members asked whether account had been taken of a number of unfilled vacancies. The Director of Corporate Services confirmed that these were considered as part of business plan monitoring.</p> <p><b>18.</b> In response to a comment from the Home Office, the Acting Chief Executive confirmed that the SIA was already continuing to identify efficiency savings across all areas of business, with a specific key performance indicator (KPI) already focused on this.</p>	

Topic	Action
<p><b>Agenda 3b: Communications activity – MB/20-21/09/03b</b></p> <p>19. Members noted the communications activity in the last period.</p> <p>20. Members remarked favourably on a noticeable increase in social media engagement during the past few months; and thanked the External Communications team for their report.</p> <p><b>Agenda 3c: Chief Executive engagements – MB/20-21/09/03</b></p> <p>21. The appendix setting out the Acting Chief Executive’s meetings during the period was noted.</p> <p><b>Agenda 4: Technology and Innovation– MB/20-21/11/04</b></p> <p>22. The Chief Information Officer joined the meeting to present the first technology and innovation report, which was noted. The ICT strategy continued to be driven by the “Stabilise – Improve – Transform” strap-line, with the “Stabilise” stage now complete.</p> <p>23. The Chief Information Officer reported on the ongoing licensing review, as well as the migration to the Cloud; a complex process, particularly in the context of a remote working environment, to be completed over the coming month. Work was continuing on the improvement and transformational stages; as such there was more work to be done to improve data efficiency, in order to drive an efficient target operating model.</p> <p>24. The short term gains identified from phase 1 of the recent licensing review would be taken forward as part of the business planning cycle while further consideration would be given to longer-term and potentially more transformative proposals, before they were brought back to the Board.</p> <p>25. Members supported the direction of travel and noted the value that had been gained from the careful, planned approach to introducing change. The Deputy Chair would provide a link for the Authority to further development and it was noted that a ‘deep dive’ on ICT was planned for ARAC in January 2021.</p> <p>26. Members expressed their thanks to the team for their continued work efforts, dedication and professionalism, in achieving a smooth migration to the Cloud while ensuring business continuity and maintaining positive service levels.</p>	

Topic	Action
<p><b>Agenda 4a: Technology and Innovation- Projects update MB/20-21/11/04a</b></p> <p>27. Members noted the projects update.</p> <p>28. The Chief Information Officer clarified a few points in relation to the Police National Database (PND) Confidential project. Although this was marked as 'complete', this referred solely to the SIA having full access to the system and did not include the audit functionality. The SIA was required by the Home Office to wait until an upgrade was in place. An interim solution was being managed by the Head of Intelligence.</p> <p><b>Agenda 5: Code of Conduct – MB/20-21/11/05</b></p> <p>29. The Head of Strategy &amp; Governance provided an update on progress to date. Members acknowledged the valuable work that had already gone into this piece of work but recognised that there was now a need to separate response to the consultation from further reflection on the next steps.</p> <p>30. It was agreed that the SIA would publish a brief summary of the response to the consultation by the end of the year, comprising quantitative data on the responses and a high-level overview. (November-20-03)</p> <p>31. Work would then focus on the code itself. This would include research on the approach of other regulators, a detailed analysis and collective reflection on the responsibilities of the regulator and the regulated, as well as the likely operational impact of the proposed code. Proposals for consideration by the Authority, taking account of Home Office comments, would then be presented.</p> <p>32. It was suggested that that there should also be a 'lessons learned' exercise at the end of this process. The Acting Chief Executive thanked Fiona Wilson for undertaking to oversee this work, as part of her new role, as the Head of Strategy &amp; Governance.</p> <p><b>Agenda 6: Licence integration – MB/20-21/11/06</b></p> <p>33. The Director, Licensing &amp; Standards gave a brief introduction to licence integration before welcoming the Head of Individual</p>	



Topic	Action
<p>Standards who set out how this could be defined and how widely it was used in the industry (at its forefront the licencing agreement of SI 2007, no 810 Regulation).The presentation and discussion were based on a mapping exercise, looking at the rationale for integration taking account of cost effectiveness for license holders and businesses flexibility in deployment. Some disadvantages including risks to specialist learning and confusion over licensable roles were also noted.</p> <p><b>34.</b> While longer term changes, which would require redefinition of licence categories were discussed the immediate focus remained the skills strategy and top up training, which should offer increased flexibility. Members highlighted the importance of alignment with likely changes in the UK’s qualifications regime and the opportunities which might be available working with colleges and training providers.</p>	

Topic	Action
<p><b>Agenda 7: Any Other Business – MB/20-21/11/07</b></p> <p><b>Authority Self-Assessment of Effectiveness</b></p> <p><b>35.</b> The Chair confirmed that the annual Authority self-assessment of effectiveness had been completed. A summary of this would be produced for the records.</p> <p><b>Outgoing Authority Member (last day in post, 31 December 2020)</b></p> <p><b>36.</b> On behalf of all Members and the staff with whom he had worked the Chair thanked Ian McKay for his contribution as an Authority member over the last three years. Of particular value were his knowledge of the Scottish environment, his work on governance, and the perspective derived from past experience of the education sector. Ian McKay thanked the Board for their support during this time and said it had been a pleasure to work with all.</p> <p><b>Outgoing Chair (last day in post, 14 January 2021)</b></p> <p><b>37.</b> This was also the last formal SIA Board meeting chaired by Elizabeth France. The Board thanked the Chair for her</p>	

<p>contribution over her 7-year term. They particularly noted her ability to challenge and to provide a strong leadership steer; a successfully balanced act. The Joint Head of Arm's Length Body Sponsorship, Home Office added her thanks on behalf of the Home Office.</p> <p><b>38.</b> The Chair said it had been a pleasure to Chair the SIA and thanked everyone for their work and support during this time. She would be in post until 14 January and so intended to contribute to the papers for the January 2021 board meeting; an informal meeting had been arranged for 12 January 2021, when it was hoped she would be able to introduce her successor.</p>	
---	--

**Next meeting: 28 January 2021**

**Venue: Via Teams**