

Notice of Meeting and Agenda

North Strathclyde Community Justice Authority

Date	Time	Venue
Friday, 10 June 2016	10:30	Council Chambers (Renfrewshire), Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

KENNETH GRAHAM
Clerk

Membership

Councillors Robertson (Argyll & Bute Council); O'Donnell (East Dunbartonshire Council); Lafferty (East Renfrewshire Council); McIlwee (Inverclyde Council); Williams (Renfrewshire Council); and Casey (West Dunbartonshire Council).

Convener – Councillor Williams.

Further Information

This is a meeting which is open to members of the public.

A copy of the agenda and reports for this meeting will be available for inspection prior to the meeting at the Customer Service Centre, Renfrewshire House, Cotton Street, Paisley and online at www.renfrewshire.cmis.uk.com/renfrewshire/CouncilandBoards.aspx

For further information, please either email democratic-services@renfrewshire.gov.uk or telephone 0141 618 7112.

Members of the Press and Public

Members of the press and public wishing to attend the meeting should report to the customer service centre where they will be met and directed to the meeting.

Items of business

Apologies

Apologies from members.

Declarations of Interest

Members are asked to declare an interest in any item(s) on the agenda and to provide a brief explanation of the nature of the interest.

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|----------|--|----------------|
| 1 | Minute | 5 - 12 |
| | Minute of meeting of the Authority held on 11 March 2016. | |
| 2 | Criminal Justice Social Work Section 27 Grant Allocation 2016/17 | 13 - 32 |
| | Report by Chief Officer. | |
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| | Report by Chief Officer. | |
| 4 | North Strathclyde Community Justice Authority Action Plan 2016/17 | 37 - 44 |
| | Report by Planning Officer. | |
| 5 | Final Year Governance Documents | 45 - 56 |
| | Report by Chief Officer. | |
| 6 | Remuneration of Elected Members who are appointed Conveners and Vice-conveners of Community Justice Authorities | 57 - 60 |
| | Report by Clerk and Treasurer. | |
| 7 | Grant Funding to Support a Reduction in the use of Custody for Women | 61 - 76 |
| | Report by Chief Officer. | |

8 Unaudited Annual Accounts 2015/16

Report by Treasurer and Chief Officer. Report issued to members only as accounts are confidential until laid before Parliament.

9 Annual Audit Plan 2015/16 77 - 94

Report by Treasurer.

10 Internal Audit Annual Report 2015/16 95 - 106

Report by Chief Auditor.

**11 Presentation: Transitional Progress and Implementing
Women's Commission Recommendations**

Presentation by Andy Bruce, Deputy Director, Community Justice Division, Scottish Government.

12 Date of Next Meeting

Note that the next meeting of the Authority will be held on 9 September 2016 at 10.30 am in Renfrewshire House.



Minute of Meeting North Strathclyde Community Justice Authority

Date	Time	Venue
Friday, 11 March 2016	10:30	Council Chambers (Renfrewshire), Council Headquarters, Renfrewshire House, Cotton Street, Paisley, PA1 1AN

PRESENT

Councillors Robertson (Argyll & Bute Council); O'Donnell (East Dunbartonshire Council); Lafferty (East Renfrewshire Council); and Williams (Renfrewshire Council).

CHAIR

Councillor Williams, Convener, presided.

IN ATTENDANCE

J Hunter, Chief Officer and W Duffy, Planning Officer (North Strathclyde Community Justice Authority); L Long (Argyll & Bute Council); D Donnelly (East Dunbartonshire Council); L Gaff and K Rocks (both East Renfrewshire Council); A Howard (Inverclyde Council); P Macleod, A Scott, D Forbes, L Mullin and E Currie (all Renfrewshire Council); and N Firth (both West Dunbartonshire Council).

PARTNERS

F MacKinnon (Sacro); J Ryan (Action for Children); M Cawley (Turning Point Scotland) and Superintendent Kennedy (Police Scotland).

APOLOGIES

Councillors McIlwee (Inverclyde Council) and Casey (West Dunbartonshire Council).

DECLARATIONS OF INTEREST

There were no declarations of interest intimated prior to the commencement of the meeting.

ADDITIONAL ITEM

The Convener intimated that there was an additional item in relation to the Disestablishment of Community Justice Authorities – Proposed Severance Scheme for Community Justice Authority Employees which had not been included in the notice calling the meeting. The Convener, being of the opinion that the item which is dealt with at item 11 of this Minute was urgent, in view of the need to consider this matter timeously, authorised its consideration.

1 MINUTES

There were submitted the Minutes of the reconvened meeting of the Authority and the meeting of the Authority both held on 11 December 2015.

DECIDED: That the Minutes be approved.

2 REVENUE BUDGET MONITORING

There was submitted a joint revenue budget monitoring report by the Treasurer and the Chief Officer in respect of the Authority. The report intimated that expenditure on core services was anticipated to be £247,875 over budget and expenditure on non-core services was anticipated to be £24,799 under budget, which resulted in an anticipated £223,076 net overspend for the Authority.

Argyll, Bute and Dunbartonshire Criminal Justice Social Work Partnership was projecting an overspend of £169,029; East Renfrewshire Council was projecting an overspend of £55,394; Inverclyde Council was projecting a break-even position and Renfrewshire Council was projecting an underspend of £1,346. Any over-spend at the year-end was required to be met by the relevant local authority.

DECIDED: That the report be noted.

3 ADMINISTRATION GRANT REVENUE BUDGET MONITORING

There was submitted a joint administration grant revenue budget monitoring report by the Treasurer and the Chief Officer in respect of the Authority. The report intimated that expenditure against the administration grant was currently projected to result in an underspend of £2,999. Details of the projected expenditure were attached to the report.

DECIDED: That the report be noted.

4 CRIMINAL JUSTICE SOCIAL WORK - SECTION 27 GRANT ALLOCATION 2016/17 AND ADMINISTRATION GRANT ALLOCATION 2016/17

There was submitted a report by the Chief Officer relative to the section 27 grant allocation and administration grant allocation for 2016/17.

The report intimated that the Scottish Government would not issue allocation letters to Community Justice Authorities (CJAs) until 1 April 2016 following the CoSLA Leaders meeting. Therefore the allocation of the section 27 and administration grant would not be considered until the next meeting of the Authority to be held on 10 June 2016, a delay in funding to local authorities of three months.

At the finance meeting in February 2016 between CJA and local authority officers there was unanimous support for monthly allocation payments to begin at the end of April 2016 rather than be delayed until June 2016. In anticipation that the overall section 27 grant allocation would broadly be in line with that received for 2015/16, the report proposed that interim grant allocation payments for April, May and June 2016 be made to each local authority at the same level as those made during 2015/16 as detailed in Appendix 1 to the report. Following confirmation of the section 27 grant allocation by the Scottish Government a report on the allocations across all local authorities would be submitted to the next meeting of the Authority to be held on 10 June 2016 with any amendments to grant allocation payments being made in the July 2016 payment. These arrangements included the extension of training and development services until this function transferred to Community Justice Scotland on 1 April 2017.

A report relative to the Authority administration grant allocation 2016/17 would be submitted to the next meeting of the Authority to be held on 10 June 2016.

DECIDED:

- (a) That the payment of interim grant allocations for April, May and June 2016, as detailed in Appendix 1 to the report, be approved;
- (b) That the Chief Officer submit a report to the next meeting of the Authority to be held on 10 June 2016 relative to the allocation of the section 27 grant for 2016/17; and
- (c) That the Chief Officer submit a report to the next meeting of the Authority to be held on 10 June 2016 relative to the allocation of the administration grant for 2016/17.

5 NORTH STRATHCLYDE WOMEN'S SERVICE

Under reference to item 7 of the Minute of the meeting of this Authority held on 11 December, 2015 there was submitted a report by the Partnership Manager, Sacro relative to the development of a Bail Supervision and Early Intervention Service for women in the criminal justice system living in the Renfrewshire, East Renfrewshire, Inverclyde and West Dumbarton areas.

The report intimated that staff had recently been appointed to the service which would be delivered, in the main, from Greenock, Paisley and Dumbarton Sheriff Courts. Sacro would be undertaking an induction training programme with all newly appointed staff to ensure that they were able to safely support the service users.

The Operational Steering Group would be chaired by the Renfrewshire Criminal Justice Services Manager. The first meeting of the Strategic Steering Group, comprising the Scottish Prison Service, Police Scotland, Sacro, the Faculty of Solicitors, local authorities, the Scottish Courts and Tribunals Service and the Crown Office and Procurator Fiscal Service, led by the Chief Officer of this Authority, would be held on 24 March 2016.

A discussion took place relative to the NHS being represented on the Strategic Steering Group and it was proposed that the Chief Officer investigate this matter. This was agreed.

The Chief Officer advised that he would invite Kerry Morgan from the Scottish Government to give a presentation/briefing to members at the next meeting of the Authority to be held on 10 June 2016.

DECIDED:

(a) That the report be noted;

(b) That the Chief Officer investigate the possibility of the NHS being a member of the Strategic Steering Group; and

(c) That the Chief Officer invite Kerry Morgan from the Scottish Government to give a presentation/briefing to members at the next meeting of the Authority to be held on 10 June 2016.

6 NORTH STRATHCLYDE COMMUNITY JUSTICE AUTHORITY ACTION PLAN 2015/16

There was submitted a report by the Planning Officer relative to the North Strathclyde Community Justice Authority Action Plan 2015/16. The report intimated that the Authority was required to produce annual action plans to progress the overarching strategy of the 2014/17 area plan. There were 12 actions and 19 activities in the action plan, 18 (95%) of which had been achieved within the timescale and 1 (5%) which had not.

DECIDED: That the report be noted.

7 NORTH STRATHCLYDE COMMUNITY JUSTICE AUTHORITY ACTION PLAN 2016/17

There was submitted a report by the Planning Officer relative to the North Strathclyde Community Justice Authority Action Plan 2016/17. The report intimated that the Authority was required to produce annual action plans to progress the overarching strategy of the 2014/17 area plan. The report intimated that the action plan followed the same format as last year to align to the reformatting of the area plan.

There were currently 16 activities outlined in the action plan with the main focus being the transition from the current structure to the new model of delivery through the shadow year and the successful disestablishment of the Authority. The action plan had been circulated to all partners for comment and feedback.

DECIDED:

(a) That the report be noted; and

(b) That the Action Plan 2016/17 be approved for submission to the Scottish Government; and

(c) That authority be delegated to the Chief Officer, in consultation with the Convener, to amend the action plan in line with any feedback from the Scottish Government.

8 **COMMUNITY JUSTICE (SCOTLAND) BILL - PROGRESS REPORT**

There was submitted a report by the Chief Officer relative to the Community Justice (Scotland) Bill passed by the Scottish Parliament on 11 February 2016.

The report intimated that none of the measures conferring functions on Community Justice Scotland or community justice partners would come into effect until around 1 April 2017, with Community Justice Authorities being abolished immediately prior to this.

The report provided information in relation to the £50,000 transition funding received in 2015/16 and 2016/17; an event being organised by the national Transitions Group on the current development of the National Strategy, Performance Framework and Guidance; the national Community Justice 'Toolkit' which had been uploaded to the Community Planning Partners Knowledge Hub; the recruitment of a Convener and Chief Executive for Community Justice Scotland; and regional events being held around the National Strategy, Performance Framework and Guidance documents.

The Disestablishment Plan 2016/17 for the Authority formed Appendix 1 to the report.

It was proposed that the Chairs of Integration Joint Boards and Andy Bruce, Deputy Director, Criminal Justice Division, Scottish Government be invited to a future meeting of the Authority to update members on the progress of the transition process.

DECIDED:

(a) That the report be noted; and

(b) That the Chief Officer invite Chairs of Integration Joint Boards and Andy Bruce, Deputy Director, Criminal Justice Division, Scottish Government to a future meeting of the Authority to discuss the progress of the transition process.

9 **TRAINING AND DEVELOPMENT OFFICER**

The Chief Officer advised that this report would be submitted to the next meeting of the Authority scheduled to be held on 10 June 2016.

DECIDED: That it be noted that this report would be submitted to the next meeting of the Authority to be held on 10 June 2016.

10 **PRESENTATION - TURNAROUND**

The Chief Executive, Turning Point Scotland gave a presentation to members in relation to the Turnaround service providing details in relation to both the residential unit and services offered in the community and the outcomes of the service for both the residential unit and the community service.

DECIDED: That the presentation be noted.

The Chief Officer and Planning Officer of the Authority together with all officers in attendance from local authorities and partner agencies left the meeting prior to consideration of the following item of business.

11 DISESTABLISHMENT OF COMMUNITY JUSTICE AUTHORITIES - PROPOSED SEVERANCE SCHEME FOR COMMUNITY JUSTICE AUTHORITY EMPLOYEES

There was submitted a report by the Treasurer relative to the proposed severance scheme for Community Justice Authority (CJA) employees on the disestablishment of CJAs.

The report intimated that on 15 February 2016 the Deputy Director, Community Justice Division, Scottish Government wrote to the Convener of the Authority confirming that Scottish Ministers had approved a 'hybrid' severance scheme for all CJA employees. The scheme was based on the compulsory Civil Service Compensation Scheme but with bespoke elements that would more accurately reflect some of the main elements of the local severance schemes submitted in 2015. This option would ensure a consistent approach was applied for employees across the eight CJAs. A copy of the letter formed Appendix 1 to the report and the principals of the severance scheme were detailed in the annex to the letter.

It was noted that the 'compulsory Civil Service Compensation Scheme' referred to in the letter from the Deputy Director, Community Justice Division, Scottish Government in no way related to CJA employees being made compulsory redundant and the 'hybrid' scheme should not be referred to as a compulsory scheme.

The Management Statement/Financial Guidance issued to all CJAs in relation to management and financial procedures formed Appendix 2 to the report. Section 4.2.3 of Annex A of this guidance provided that all CJA severance schemes required to be approved by Scottish Ministers and that all CJA severance schemes must comply with Scottish Public Finance Manual severance guidelines.

The Scottish Government had given an undertaking to meet all costs in relation to the abolition of CJAs including severance, pension scheme deficits and any other costs. Estimated costs were contained in the Financial Memorandum which accompanied the Bill and a copy of this document formed Appendix 3 of the report.

The Scottish Government had requested that CJAs consider the proposed severance scheme and provide an indication on acceptance of this proposal by 31 March 2016.

DECIDED:

(a) That the proposed severance scheme, as detailed in Appendix 1 to the report, be approved and that the Scottish Government be advised of this prior to the deadline of 31 March 2016; and

(b) That the Scottish Government be advised that the proposed severance scheme should not be referred to as a compulsory scheme.

12 **DATE OF NEXT MEETING**

DECIDED: That it be noted that the next meeting of the Authority would be held at 10.30 am on Friday 10 June 2016 in Renfrewshire House.

To: **North Strathclyde Community Justice Authority**

On: **10th June 2016**

Report by: **Chief Officer**

Heading: **Criminal Justice Social Work**
Section 27 Grant Allocation 2016/17

1. Summary

- 1.1** The Scottish Government have advised the Chief Officer in their letter of 22nd March 2016 of the Criminal Justice Social Work Section 27 Grant Allocation for 2016/17. The letter is attached as Appendix 1 to this report.
- 1.2** For the seventh year in succession there has been no inflationary uplift to the level of total grant allocated to CJAs but there has also been no reduction.
- 1.3** Although the Scottish Government have previously indicated that they have formally withdrawn the dampening mechanism in allocations to CJAs they have deployed a new mechanism to mitigate the effects of this. The mechanism was developed in agreement with a range of partners including COSLA, CJAs and Social Work Scotland.
- 1.4** The allocation of grant to NSCJA in 2016/17 is £9,863,256 which is lower than the previous year's allocation of £10,000,494.
- 1.5** As agreed at the meeting of NSCJA on 14/03/14 the allocations to Local Authorities in Appendix 2 have been made without applying dampening.
- 1.6** An amount of £60,000 has been allocated for the Delivery of the National Training Programme and in order to do this we will require to continue the current arrangements with our Training and Development Officer until 31/03/2017. The arrangement was previously agreed at the meeting of NSCJA on 10th June 2011.
- 1.7** Finally, Since 2008 the Local Authorities have provided NSCJA with an Annual Report each year as a condition of the grant funding arrangements. The

conditions in relation to this are set out in paragraphs 4, 5 and 6 of the conditions of Grant documents which is attached (appendix 3) for information.

Due to the additional demands on criminal justice social work managers during this year of transition to the new service model we are proposing to remove 4, 5 and 6 from the document to enable them to spend more time on transition issues. The other conditions will remain the same.

2. Recommendations

- 2.1** The Authority is asked to note the content of this report.
- 2.2** Approve the grant allocation as proposed in Appendix 2 and request the Treasurer makes arrangements to align payments accordingly.
- 2.3** Request that a Revenue Budget Monitoring Report is submitted to each meeting of the board.
- 2.4** Approve continuation of the Training and Development Officer arrangements until 31/03/2017
- 2.5** Approve the amendments to the Local Authority Conditions of Grant as set out in 1.7.

3. Background

- 3.1** The Management of Offenders etc (Scotland) Act 2005 give the CJA the power to allocate to the constituent local authorities any amount paid to it under Section 27 a(1) and 27 b (1) of the Social Work (Scotland) Act 1968. The aim of this funding arrangement is to match resources against priorities described within the Area Plan to reduce reoffending.
- 3.2** Core funding is intended to provide grant for these statutory duties which local authorities have to provide through their criminal justice social work services. Non core funding is used to fund local pilot schemes which have been agreed by the CJA and other projects which have been initiated centrally by the Scottish Government.

Implications of the Report

Equality & Human Rights

The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Authorities website.

Author Jim Hunter, Chief Officer, North Strathclyde Community Justice Authority
Email: jim.hunter@renfrewshire.gsx.gov.uk Tel: 0141 887 613

T: 0131-244 5476

E: Stephen.Harper@scotland.gsi.gov.uk

Jim Hunter
Chief Officer
North Strathclyde Community Justice
Authority
Unit 905
Mile End Mill
12 Seedhill Road
Paisley PA1 1JS

22 March 2016

Dear Mr Hunter

CRIMINAL JUSTICE SOCIAL WORK SERVICES ALLOCATION OF GRANT FOR 2016-17

I am writing to inform you of an **indicative** allocation of ring fenced funding to your Community Justice Authority (CJA) for the delivery of Criminal Justice Social Work services for the financial year 2016-17. This indicative allocation is being notified to you in advance of a COSLA Leaders meeting on 1st April, where approval will be sought on the principles for 2016-17 funding. Once agreed I will write out to formally confirm the funding position for 2016-17.

Your indicative allocation for 2016-17 is **£9,863,256**. This funding is provided under sections 27A and 27B of the Social Work (Scotland) Act 1968 as amended. Chief Officers, as budget holders, are responsible for the effective financial management of the funds allocated to their CJA, and for resource allocations across their constituent local authorities.

This funding is being provided by the Scottish Government to your CJA in order to allow you to discharge your statutory duties and to work towards reducing reoffending in your CJA area in accordance with your area plan.

Additional Flexibility

As you will be aware, for the 2013-14 the distinction between “core” and “non-core” funding was removed at the point of allocation and each CJA was provided with one single funding allocation. CJAs are no longer required to approach the Scottish Government with requests to vire money between budget headings. CJAs are free to allocate funds as they see fit across their CJA area in accordance with their area plan and in the way they see as most appropriate to fulfil their statutory obligations and to reduce reoffending.

Outcomes

In exchange for this increased flexibility, the Scottish Government expect to see progress being made by CJAs towards the Scottish Government national outcome of reduced reoffending. In this, the final year for the running of CJAs, CJAs will be required to submit a short final annual report which identifies good practice, lessons learned, examples of shared services and effective partnership working to delivery Community Justice Outcomes. This will effectively provide an overview of activity undertaken to deliver statutory functions and to support the transition to the new model. The reports will also be a helpful resource for Community Justice Partners moving forward as we transition to the new model.

Further guidance on this to follow, as a policy update to the CJA Management Statement/Financial Memorandum.

Calculation of allocations and next steps

For audit purposes, and in order to calculate allocations, the Scottish Government continue to use the core and non-core distinction in order to determine the allocation total that goes to each CJA area. Allocation among CJAs of available grant for core services is determined by the funding formula. The changes to the formula since last year are set out in the section below.

Annual Accounts

Chief Officers, as budget holders, are ultimately accountable for the proper use of the section 27 grant funds allocated to their CJA, including internal resource allocations across the constituent authorities. In the discharge of their duties, Chief Officers should act in accordance with the principles of the Public Finance and Accountability (Scotland) Act 2000 and related guidance, and the requirements of the Government Financial Reporting Manual. CJAs will also require to allocate section 27 grant funding in a way which reflects the objectives of the area plan as well as other considerations, including any other related resources which partners propose to direct towards activities relevant to the plan. In this respect, they must satisfy the Government and its auditors that appropriate safeguards are in place for the protection of public funds.

Where a Criminal Justice Social Work Services grant is paid by the Scottish Government, in accordance with Section 27A of the Social Work (Scotland) Act 1968, a CJA has no discretion to forward it to a service provider other than a local authority, unless it provides the services following transfer of the functions under the relevant sections of the Management of Offenders etc (Scotland) Act 2005. It is however for CJAs to determine the proportion of funding to be allocated to the individual local authorities within their area of coverage in accordance with the priorities identified within its area plan.

Certification of CJA financial accounts 2016/17 – modified procedures

A policy update to the CJA Management Statement/Financial Memorandum will be issued in the summer to CJAs. This will include modified procedures linked to final certification of accounts following the disestablishment of CJAs 2016/2017 and timetable which will be agreed with Audit Scotland and COSLA.

Audited Accounts – procedures unchanged

Following receipt of the CJA audited annual accounts from Audit Scotland, the Scottish Government will consider any comments made by external auditors and will ensure that appropriate action is taken. Any balance due will be paid up to the maximum level of the grant allocation. Any overpayment of grant will require to be repaid to the Scottish Government within one month of receipt of a letter informing the CJA that monies are due to the Scottish Government. The Scottish Government will make arrangements for the audited accounts to be laid before Parliament.

Intensive Support Packages (ISPs) and Virement

As a result of the removal of the distinction between core and non-core funding, the virement mechanism (whereby CJAs sought Scottish Government approval to move money between budget headings) will no longer exist. CJAs will be expected to meet the costs of monitoring individuals on ISPs from within their overall funding allocation. CJAs should continue to plan and make provision to fund ISPs in their area in the same way as they do currently. In the event that approval for assistance with an ISP is granted by the Scottish Government then the CJA will still be expected to meet at least 10 per cent of the cost.

As is currently the case, CJAs will be expected to evidence that they cannot meet more than 10 per cent of the cost of the ISP. Since the original allocation for supported accommodation remains within the overall allocation for CJAs then the Scottish Government will expect to see that full supported accommodation allocation having been spent on ISPs prior to any support for assistance with an ISP being sought. The current process requires that CJAs should look across all non-core funding to meet the costs of ISPs. Although under these new allocation arrangements non-core funding lines will not be separately identified at the point of allocation, CJAs will still be aware of the *total amount* of their funding which was formally non-core and should look within that non-core allocation in the first instance to meet the costs of ISPs.

A check against annual accounts will be made retrospectively by the Scottish Government and if necessary adjustments will be made to retention or future funding allocations.

Non-core funding

Although the changes made to the allocations process 2013-14 means that “non-core funding” will not be separately identified at the point of allocation, there are still a number of policy areas where the funding is provided and an update on those areas is set out below.

These sums do not form part of the formula-determined allocation of funding.

In your CJA area your allocation may contain non-core sums for the following areas of activity, if you have responsibility for oversight or delivery:

- Caledonian
- Constructs/Intervention funding
- Moving Forward: Making Changes
- Delivery of the National Training Programme
- Fiscal Work Orders
- Rolled-up non-core funding (for what were previously non-centrally initiated areas of funding)

This increased flexibility means that CJAs are free to spend these allocations on achieving their area plan objectives, fulfilling their statutory obligations and reducing reoffending. As you might expect however, if any non-core sums are not spent on the projects, pilots or areas of activity the funding was originally provided for, then CJAs remain accountable for those decisions, and the Scottish Government will initiate discussions about whether the same amount of funding should continue to be provided for that purpose. We would expect the mature relationship that the Scottish Government and CJAs have enjoyed to date to continue, and that CJAs will approach us and let us know when non-core sums are not being fully utilised and are no longer required. In instances where the CJA are acting as a funding route only for passing funding on from the Scottish Government to a third party, such as a third sector provider, then they will be expected to pass these sums on in their entirety, and the Scottish Government will hold the CJAs responsible for their allocation decisions and will if necessary make consequential adjustments to retention or future funding allocations if the allocations are not made.

MAPPA (Multi Agency Public Protection Arrangements)

Funding which forms part of the overall allocation, in terms of the non-core is specific resources to pay for MAPPA Coordinators, therefore no flexibility exists to vire from this funding.

Constructs – ‘Intervention’ funding

We are aware that a number of authorities do not use this programme, but use funding to support other forms of interventions they consider to be more appropriate for this client group. We will continue this intervention funding for 2016/17 on the existing basis.

Moving Forward: Making Changes

Funding for Moving Forward: Making Changes sex offender treatment programme (accredited by the Scottish Advisory Panel on Offender Rehabilitation), remains within the overall allocation for 2015-16. Moving Forward: Making Changes was rolled out during 2014-15 and the Scottish Government continues to engage with stakeholders. This includes the embedding of training delivered and examining how existing resources can be most effectively reconfigured to support MFMC. We will continue this intervention funding for 2016/17 on the existing basis.

Training Development Officers (TDOs)

We confirm a flat cash allocation will continue for training and development officers 2016-17. This allocation provides a key resource in each CJA area to support the delivery of practice and skills development that is required to reduce reoffending.

We will continue this funding for 2016/17 on the existing basis, however where this funding is not utilised for training and development this should be declared as an **underspend**, as this is not service specific deliver funding which falls under flexible resources.

Fiscal Work Orders (FWO)

From April 2015, Fiscal Work Orders were rolled out nationally. We have been closely monitoring uptake of FWOs and will continue to do so. Funding for 2016/17 will continue on the existing basis.

Arrangements for payment of grant

The allocation of grant for 2016-17 will be paid in monthly instalments with application of a 2.5% retention factor. Upon receipt of the final audited claim for 2016-17 financial year any balance due from the Scottish Government will be paid up to the maximum level of the grant allocation.

CJAs will be required to provide assurances to Scottish Government that mechanisms are in place for the Lead Local Authority (that has financial responsibility for the CJA) to receive a 2.5% balance, for distribution. Any overpayments identified by the Lead Local Authority, will require to be repaid to the Scottish Government.

Please contact Michelle Main (tel: 0131 244 5439) if you have any queries.

Yours sincerely

STEPHEN HARPER

North Strathclyde Community Justice Authority Indicative Allocation 2016/17

Service	Indicative Allocation 2016/17
Core	
Community Payback Order	£3,259,905
Criminal Justice Social Work Reports	£1,329,684
Throughcare	£1,001,160
Home Detention Curfew	£34,544
Diversion	£95,470
Bail	£189,019
Court Services	£326,088
DTTO	£607,894
Total Core Services	£6,843,764
Non Core	
Centrally Initiated Funding	
Arrest Referral	£49,200
Constructs	£588,858
MF:MC	£246,797
Delivery of the National Training Programme	£60,000
Fiscal Work Orders	£62,500
MAPPAs	£134,227
Turnaround Project	£1,100,000
Total Centrally Initiated Funding	£2,241,582
Non-Centrally Initiated Funding	£777,910
Forensic Service	£77,002
Intensive Probation	£287,610
Substance Related Offending	£252,465
Supported Accommodation	£160,833
Total Non Core	£3,019,492
Overall Total	£9,863,256

North Strathclyde Community Justice Authority
Indicative Allocation 2016/17

Service	2015/16 Allocation	2016/17 Allocation	Renfrewshire 2015/16	Renfrewshire 2016/17	Inverclyde 2015/16	Inverclyde 2016/17	East Renfrewshire 2015/16	East Renfrewshire 2016/17	Argyll Bute & Duns Partnership 2015/16	Argyll Bute & Duns Partnership 2016/17	TOTAL 2015/16	TOTAL 2016/17	Check 2015/16	Check 2016/17
<u>Core</u>														
Community Payback Order	£3,360,751	£3,259,905	£1,128,494	£1,092,546	£469,880	£510,488	£227,131	£214,076	£1,535,246	£1,442,795	£3,360,751	£3,259,905	£0	£0
Criminal Justice Social Work Report	£1,370,627	£1,329,684	£373,050	£369,151	£268,546	£227,061	£87,711	£87,386	£641,319	£646,086	£1,370,627	£1,329,684	£0	£0
Throughcare	£969,678	£1,001,160	£401,662	£424,990	£130,164	£129,059	£66,932	£72,733	£370,920	£374,379	£969,678	£1,001,160	£0	£0
Home Detention Curfew	£34,346	£34,544	£10,666	£11,267	£6,364	£6,499	£1,742	£1,837	£15,573	£14,941	£34,346	£34,544	£0	£0
Diversion	£87,867	£95,470	£44,704	£47,555	£8,221	£10,448	£3,083	£4,683	£31,858	£32,784	£87,867	£95,470	£0	£0
Bail	£194,056	£189,019	£146,377	£156,734	£33,412	£23,462	£0	£0	£14,266	£8,824	£194,056	£189,019	£0	£0
Court Services	£336,449	£326,088	£126,699	£147,476	£162,630	£130,733	£0	£0	£47,120	£47,879	£336,449	£326,088	£0	£0
DTTO	£627,228	£607,894	£156,807	£167,342	£114,737	£180,511	£11,474	£10,245	£344,210	£269,796	£627,228	£607,894	£0	£0
Total Core Services	£6,981,002	£6,843,764	£2,388,460	£2,417,061	£1,193,955	£1,198,260	£396,073	£390,960	£3,000,514	£2,837,483	£6,981,002	£6,843,764	£0	£0
<u>Non Core</u>														
Centrally Initiated Funding														
Arrest Referral	£49,200	£49,200	£34,440	£34,440	£14,760	£14,760					£49,200	£49,200	£0	£0
Constructs	£588,858	£588,858	£177,774	£177,774	£209,076	£209,076			£202,008	£202,008	£588,858	£588,858	£0	£0
MFMC	£246,797	£246,797	£246,797	£246,797							£246,797	£246,797	£0	£0
Delivery of the National Training Programme	£60,000	£60,000	£60,000	£60,000							£60,000	£60,000	£0	£0
Fiscal Work Order	£62,500	£62,500	£21,300	£22,074	£10,752	£10,943	£3,585	£3,570	£26,863	£25,913	£62,500	£62,500	£0	£0
MAPP	£134,227	£134,227			£134,227	£134,227					£134,227	£134,227	£0	£0
Turnaround Project	£1,100,000	£1,100,000		£1,100,000							£1,100,000	£1,100,000	£0	£0
Total Centrally Initiated Funding	£2,241,582	£2,241,582												
Non-Centrally Initiated Funding														
	£777,910	£777,910	£346,155	£346,155	£117,394	£117,394	£75,023	£75,023	£239,338	£239,338	£777,910	£777,910	£0	£0
													£0	£0
													£0	£0
													£0	£0
													£0	£0
Total Non Core	£3,019,492	£3,019,492	£1,986,466	£1,987,240	£486,209	£486,400	£76,608	£78,593	£468,209	£467,259	£3,019,492	£3,019,492	£0	£0
Overall Total	£10,000,494	£9,863,256	£4,374,926	£4,404,301	£1,680,164	£1,684,660	£476,680	£469,553	£3,468,723	£3,304,742	£10,000,494	£9,863,256	£0	£0

North Strathclyde Community Justice Authority (NSCJA)**Conditions of Grant****Introduction**

The grant is an annual allocation of funds from Scottish Government to Community Justice Authorities (CJA's) to finance Local Authority Criminal Justice Social Work Departments in delivering statutory (core) and non statutory (non-core) services to offenders in the relevant CJA area.

This document sets out the conditions of grant attached to the payments of funds under Section 27 of the Social Work (Scotland) Act 1968. It is being introduced in compliance with the Management of Offenders (Scotland) Act 2005 Section 3(6) and NSCJA's Code of Corporate Governance.

1. Statutory basis for payment of grant and accountability.

- 1.1 The Scottish Cabinet Secretary for Justice is making this grant payment under the authority of Section 27A and 27B of the Social Work (Scotland) Act 1968.
- 1.2 The grant is being paid, in the first instance to North Strathclyde Community Justice Authority (NSCJA).
- 1.3 The grant is thereafter distributed to Local Authorities by the NSCJA on assurance that correct and proper systems are in place to account for public funds and in accordance with these terms of grant. A letter of assurance of terms, to be agreed by the NSCJA, shall be submitted annually by each Local Authority in the NSCJA area.
- 1.4 This grant is between NSCJA and xxxxxxxxxxxx Council ("the Local Authority")

2. Purposes and uses of the grant and monitoring arrangements.

- 2.1 The grant is solely for the purpose of funding appropriate interventions to meet functions as stipulated in Section 27 of the Social Work (Scotland) Act 1968 within the financial year in which it is allocated.
- 2.2 The grant must be spent on the purposes for which it is allocated. Activities with a political bias and political campaigning are specifically prohibited.
- 2.3 NSCJA will arrange regular meetings for the purpose of monitoring Section 27 grant expenditure and discussing other appropriate financial matters. The Local Authority are required to attend and be represented by both finance and social work officers and the NSCJA Treasurer will prepare an aggregated budget monitoring report to inform the meeting.

- 2.4 Where relevant the Local Authority shall provide information promptly of any concerns it has about the grant funded activity together with positive assurances that it has taken appropriate action to address such concerns.
- 2.5 If the Local Authority is in a position where it is reporting a projected underspend of the grant at year end, it shall notify NSCJA in writing not later than the 31st December of the relevant year in order that the underspend can be reallocated.
- 2.6 If the Local Authority is in a position where it is projecting an overspend of the grant at year end, it should notify NSCJA in writing no later than the 31st December of the relevant year. The Local Authority shall provide such information as NSCJA may reasonably require to confirm the nature and extent of the overspend. Where possible NSCJA may (but shall not be obliged to do so) re-allocate any under spend in grant from other Local Authorities to help meet the overspend but the Local Authority is ultimately responsible for meeting any overspend costs.
- 2.7 The Local Authority shall spend their allocations to deliver outcomes that meet both national and locally identified priorities as set out in the “Area Plan” defined in condition 8 hereof. The Local Authority shall prepare a single Annual Report for NSCJA as detailed in sections 4 to 6 below and as set out in the proforma attached.
- 2.8 The local authority shall ensure it complies with any relevant domestic, E U or other international procurement rules.
- 2.9 Contracts shall be placed on a competitive basis and tenders accepted from suppliers who provide best value for money overall.

3. Grant Allocation Arrangements

- 3.1 Core grant funding will be allocated to the Local Authority using a method which reflects core workload as reported in its Annual Aggregate Return. The precise method of allocation will be agreed with the Local Authority’s Chief Social Work Officer (CSWO) prior to the March NSCJA board meeting to allow a report to be submitted by the NSCJA’s chief officer.
- 3.2 Non- core grant (local initiatives) will be allocated to promote Area Plan priorities which reflect the levels of risk and will be agreed with CSWO’s prior to March to allow a report to be submitted by the chief officer to the NSCJA board.

4. Reporting arrangements – Core Services

Notwithstanding any other requirements, in relation to Core services, the Local Authority shall:

- 4.1 Provide an annual report on workload information in the format and containing the information required in Appendix 1 of these Conditions which reflects on performance and quality of service including Contracted Services as defined therein.

- 4.2 Ensure Service Level Agreements are in place for Contracted Services and exhibit them to the NSCJA on request.
- 4.3 “Core Services” means mainstream services where availability occurs on a Scotland-wide basis and includes, without limitation, Probation, Community Service, Community Payback Orders, Criminal Justice Social Work Reports, Throughcare, Home Detention Curfew, Supervised Attendance Orders, Diversion, Bail, Court Services and Drug Treatment and Testing Orders.

5. Reporting arrangements – Non Core Services

Notwithstanding any other requirements, in relation to Non- core services, the Local Authority shall:

- 5.1 Provide an annual report on performance and quality of Contracted Services.
- 5.2 Provide annual performance reports on the delivery of in house Non-Core Services.
- 5.3 Provide annual performance reports on accredited intervention delivery e.g. Constructs PSSO (the Positive Steps to Stop Offending programme accredited by the Scottish Accreditation Panel) and CSOGP (the Community Sexual Offences Group Programme).
- 5.4 Ensure service level agreements are in place for Contracted Services and exhibit them to the NSCJA on request.
- 5.5. “Non- core services” means services where availability occurs in a local regional basis and includes, without limitation, centrally initiated work (for arrest referral, delivery of national training programme, fiscal work order pilots, Multi Agency Public Protection Arrangements, Throughcare addiction services, Turnaround project and non-centrally initiated work (for forensic services, new development funding, programme delivery, substance related offending, supported accommodation, woman offenders)

6. Reporting arrangements – Compliance / Complaints

The Local Authority shall provide: -

- 6.1 Annual report on progress towards Social Work Inspection Agency (SWIA) report recommendations.
- 6.2 Annual report on compliance to National Objectives and Standards (NOS) (as published within the National Standards for Criminal Justice Social Work: [www.audit-scotland.gov.uk/performance/service/\(Adult](http://www.audit-scotland.gov.uk/performance/service/(Adult) Social Work-indicators 6, 7 and 8) or any successor P.I's.
- 6.3 Annual report on complaints received.
- 6.4 Annual report on customer feedback systems.
- 6.5 Report on whistle blowing activity.

7. Reporting arrangements – Finance

7.1 The Local Authority shall:

1) demonstrate to the satisfaction of NSCJA that they have proper financial controls in place which are appropriate and sufficient to safeguard public funds and shall ensure its compliance with those controls is effectively monitored: and:
2) provide a letter of assurance confirming the requirements of 7.2(1) are met as required to the reasonable satisfaction of NSCJA. Should any of the circumstances or arrangements contained in the letter of assurance change the Local Authority shall immediately inform the NSCJA in writing.

7.2 The Local Authority will provide quarterly and annual finance reports to the NSCJA Treasurer setting out, amongst others, expenditure incurred at the end of each quarter and its projected expenditure for the next quarter.

8. Reporting arrangements – Area Plan

The Local Authority shall:

8.1 Provide quarterly updates outlining progress against its agreed plans and actions specified in NSCJA Action Plans available from www.nscja.co.uk

9. Audit

9.1 For audit purposes, the Local Authority shall provide an annual financial statement for each year of the grant allocation and shall provide all such cooperation and assistance as is required by NSCJA in relation to the audit process.

10. Information Sharing & Exchange of Good Practice.

10.1 Any information, know how, system or process arising from or relating to any intervention funded wholly or partly from this grant shall be freely shared with other agencies in so far as is permitted by law within the NSCJA partnership through:

- ❖ Attendance of lead officers at quarterly area plan implementation group meetings
- ❖ Attendance of performance officer or equivalent at quarterly NSCJA performance management group meetings.

10.2 The Local Authority agrees by accepting these terms and conditions that it does not regard such information, know how, systems or processes to be of a confidential nature. By accepting grant funding, the Local Authority agrees to share data with NSCJA relative to the services provided by the Local Authority to meet the responsibilities under section 27A and 27B of the Social Work (Scotland) Act 1968.

11. Publicity

- 11.1 By receiving this grant the Local Authority agrees to work with NSCJA to promote understanding of Criminal Justice Social Work and community sentences.

12. Payments and Retention/Return of Grant

- 12.1 Payments of this grant shall be made to the Local Authority on a monthly basis to the total value of the allocation agreed by NSCJA subject to the NSCJA's receipt of the funding from the Scottish Ministers.
- 12.2 There shall be no provision to carry forward grant or any part of it from one financial year to the next.
- 12.3 The NSCJA may, as its sole option, withhold, reduce, terminate or seek the repayment of the grant or any part of it from the Local Authority where:-
- 12.3.1 It is not satisfied that the use of grant is in accordance with these conditions of grant;
- 12.3.2 The grant funded activity or any part of it is proving either ineffective or offers poor value for money;
- 12.3.3 It is not satisfied that the use of grant reflects the objectives of the Area/Action Plan and/or any other related resources which partners proposed to direct towards activities relevant to the said Plan.
- 12.4 Any overpayment of grant must be repaid to the NSCJA within two weeks' receipt of a letter informing the Local Authority that monies are due to the NSCJA.
- 12.5 Payment of grant funding is not guarantee of any future funding.

13. Liability

The NSCJA's liability will be to make payments to the Local Authority of the grant in accordance with these conditions. All other liabilities or claims are the responsibility of the Local Authority

14. Additional Conditions

Additional conditions of grant may be set by the NSCJA at its discretion. In this event, the Local Authority shall be notified in writing.

15. Equalities

The Local Authority agrees by accepting these terms and conditions that as a public authority listed in Schedule 19 – part 3 of the Equality Act 2010 it will ensure that equalities are considered in all the functions of the authority by meeting the requirements of:

- ❖ Section 149 of the Equality Act 2010 (the public sector equality duty)
- And,
- ❖ The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012

16. Acceptance of Grant Conditions.

Please confirm your agreement to these conditions of grant by having an authorised signatory of the Local Authority sign a copy of this document in the space provided below and have this witnessed. Return no later than 28 days' from the date of the covering letter accompanying these conditions to: North Strathclyde Community Justice Authority, Unit 905, Mile End Mill, 12 Seedhill Road, Paisley, PA1 1JS.

These are the signatures to the foregoing agreements between the North Strathclyde Community Justice Authority and East Renfrewshire Council.

Signature for and on behalf of NSCJA:-

Signed:.....
Name:.....
Designation:.....
Address:.....
.....
.....

Place of signing:.....

Signature for and on behalf of Local Authority:-

Signed:.....
Name:.....
Designation:.....
Address:.....
.....
.....

Place of signing:.....

Witness

Signed:.....
Name:.....
Designation:.....
Place of Signing:.....

Witness

Signed:.....
Name:.....
Designation:.....
Place of Signing:.....

To: North Strathclyde Community Justice Authority

On: 10th June 2016

Report by: Chief Officer

**Heading: North Strathclyde Community Justice Authority
Administration Grant 2016/17**

1. Summary

- 1.1** The Scottish Government have advised the Chief Officer in a letter dated 26th March 2016 (Appendix 1) that the Administration Grant for 2016/17 will be £227,158.
 - 1.2** Overall, the grant has been increased by £2,000 from the previous years and is given with a condition that NSCJA adheres to the financial guidelines detailed in the Management Statement / Financial Memorandum issued by the Scottish Government in April 2008 and recently updated.
 - 1.3** This is the final CJA Administration Grant and there is an expectation it should cover costs incurred in closing the CJA Office.
-

2. Recommendations

- 2.1** The Authority is asked to note the content of this report.
- 2.2** Request that the Chief Officer constructs an appropriate budget for the administration of NSCJA.
- 2.3** Request that an Administration Grant Revenue Budget Monitoring Report is submitted to the September, December and March meetings of the Authority.

3. Background

- 3.1** Since the introduction of the Management of Offenders etc (Scotland) Act 2005 the Scottish Government has provided Community Justice Authorities with an annual administration grant to meet all reasonable administration costs for the Authority. Funding is provided under Section 4 (6) of the Act.

Implications of the Report

Equality & Human Rights

The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Authorities website.

Author Jim Hunter, Chief Officer, North Strathclyde CJA
Tel: 0141 887 6133, email: jim.hunter@renfrewshire.gsx.gov.uk

T: 0131-244 4349
E: stephen.harper@scotland.gsi.gov.uk

Jim Hunter
North Strathclyde CJA
Unit 905
Mile End Mill
12 Seedhill Road
Paisley
PA1 1JS

24 March 2016

Dear Mr Hunter

**COMMUNITY JUSTICE AUTHORITY:
ADMINISTRATION GRANT ALLOCATIONS 2016-17**

I am writing to inform you of the administration grant for your Community Justice Authority (CJA) for 2016-17 financial year.

I am pleased to inform you that your grant allocation will be increased by 1% to £227,158 for financial year 2016-17 and will be paid to your CJA to meet all reasonable administrative costs incurred during that financial year. The funding is provided under Section 4(6) of the Management of Offenders etc (Scotland) Act 2005.

Payment of grant will be made in four quarterly payments. The first instalment will be paid in early April. The remaining instalments will be paid following receipt by the Scottish Government of quarterly returns detailing expenditure incurred at end of each quarter and projected outturns. Failure to submit quarterly returns by the required date may imperil payment of subsequent instalments.

As a condition of grant, your CJA will be required to adhere to the financial guidelines detailed in the management statement/financial memorandum issued by the Scottish Government in April 2008 and to any revisions of these including on public sector spending guidelines. A policy update to the CJA Management Statement/Financial Memorandum will be issued in the summer to CJAs. This will include modified procedures linked to final certification of accounts following the disestablishment of CJAs 2016/2017 and timetable which will be agreed with Audit Scotland and COSLA.

The Management of Offenders etc. (Scotland) Act 2005 (Members' Remuneration and Supplementary Provisions) Order 2008 (SSI 2008130) establishes the statutory basis for annual accounts. The statutory accounts for the CJA should include income and expenditure relating to both administration of the CJA and to criminal justice social work services. The

governing framework under which Audit Scotland will undertake audit of CJAs is the Public Finance and Accountability (Scotland) Act 2000.

Audit Scotland will appoint external auditors to undertake the audit of CJA statutory accounts. CJAs must submit their accounts to their respective external auditor as soon as practicable following the end of the financial year, and by 30 September at the latest. A copy of the accounts should be sent to Community Justice Division at the same time. The external auditors are required to complete their audit by 31 October. Audit Scotland must then send the audited accounts to Ministers in time to be laid before the Scottish Parliament by 19 December.

Following receipt of the audited statutory accounts, the Scottish Government will consider any comments made by external auditors and ensure that appropriate action is taken. Any balance of grant due will be paid up to the maximum level of the grant allocation. Any overpayment of grant will be repaid to the Scottish Government within one month of receipt of a letter informing the CJA that monies are due to the Scottish Government.

Please contact Jesse Daniel (tel: 0131 244 4349) or e-mail Jesse.Daniel@gov.scot if you have any queries about the contents of this letter.

Yours sincerely

Stephen Harper

To: North Strathclyde Community Justice Authority

On: 10th June 2016

Report by: Planning Officer

**Heading: North Strathclyde Community Justice Authority
Action Plan 2016-2017**

1. Summary

- 1.1** The purpose of the report is to present the progress report (attached Appendix 1) of the NSCJA Action Plan for 2016-2017.
- 1.2** The Action Plan aligns to the aims and objectives stated in our 2014-2017, 3 year Area Plan.
- 1.3** There are 10 actions that we will do as a partnership and 15 activities associated with the actions, in the plan. The majority of which will be the responsibility of the Chief Officer and Planning Officer to manage.
- 1.4** Activity 10 was due for completion in the last quarter.
- 1.5** I can report that this activity has been achieved within the stated timescale. NSCJA officers have started and maintained to date a dialogue with the key actors in all local authority areas.

2. Recommendations

- 2.1** Note the content of this report and Appendix 1
 - 2.3** Delegate authority to the Chief Officer in consultation with the Convener to make any necessary amendments to the Action Plan if required.
-

3. Background

- 3.1** The Management of Offender etc (Scotland) Act 2005 Section 3 (5) establishes a function of Community Justice Authorities to prepare in consultation with its partners a Plan which is aimed at reducing re-offending within its area. These plans must be prepared and submitted at the frequency specified by Scottish Ministers.
- 3.2** The Action Plan is not just a freestanding document, it should show clear links to local priorities set out in the 2014-2017 Area Plan, and provide the basis for measuring progress on an annual basis. It should enable the CJA to demonstrate the 'value-added'.
- 3.3** The Action Plan is a dynamic document that will change to reflect new national developments and translate these into local initiatives.

Implications of the Report

1. Equality & Human Rights

The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report as the report is for noting. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Authorities website.

Author Willie Kennedy, Planning Officer, North Strathclyde CJA,
Tel: 0141 887 6133, e-mail: william.kennedy@renfrewshire.gsx.gov.uk

What Actions we will do as a Partnership.

1. We will continue to work effectively in partnership to ensure the coordination of plans/strategies; interventions and workforce learning and development to reduce reoffending.
2. We will agree an Action Plan each year with our partners and others, which will set out specific actions that we will manage and monitor through regular progress reports to NSCJA.
3. We will be responsive to developing policy initiatives by including these within our existing partnership structures or establishing new structures where required to implement at a local level.
4. We will take into account the recommendations of the Commission on Women Offenders and ensure all resources are utilised effectively across a multi agency and multi sector approach to addressing the needs of women offenders in the NSCJA area coordinated through the NSCJA Women's Services Steering Group.
5. We will continue to support the increased, appropriate use of all forms of community sentences and alternatives to custody. We will progress any appropriate actions arising from the current review of Community Payback Orders and the unit cost of CPO's, and review the delivery of Drug Treatment and Testing Orders across the NSCJA area.
6. We will continue to support the Scottish Prison Service; in particular taking advantage in the opportunities presented by the developing estate within the NSCJA area, whilst continuing to offer support to the innovative initiatives that have already been introduced.
7. We will continue to support the National; Local and exemplar Public Social Partnerships and through these we will communicate examples of good practice and success to our wider partnership group. We will work with key public sector bodies to secure sustainable funding for successful PSPs.
8. We will continue to work with NHS GG&C and other partners to pursue innovative initiatives that incorporate a 'Whole Family Approach' to address health inequalities experienced by offenders and their families.
9. We will work with Scottish Government Community Justice Division; Community Planning Partnerships and other partners and stakeholders to ensure the smooth and efficient transition of duties and functions to the new structure for Community Justice.
10. We will use flexibility and innovation in the way that we allocate funding whilst keeping a focus on 'What Works' and interventions that have the most impact on reducing reoffending







Progress against the 2016-17 Action Plan

Key

● action achieved within timescale
 ● action will be achieved within timescale
 ● action will not be achieved

	Activities 2015-16	Contributes to Action	Short/ Medium Term Outcomes	Timescale	Progress	Comments
1	Continue to Support the sustainability of the enhanced women's services in Renfrewshire; Inverclyde and West Dunbartonshire.	1; 4 ; 6;12	Increased uptake of services. Reduction in women offenders serving a custodial (including remand) or community sentence.	March 2017	●	This is an ongoing commitment over the lifespan of the current funding and existence of the CJA. The planning officer sits on the steering group of the Renfrewshire service. Both the Renfrewshire and West Dun services has been awarded further funding of £30K for 2015/16. NSCJA has supported all initiatives over the lifetime of this plan
2	Request and receive quarterly update reports for CJA board from Renfrewshire; Inverclyde and West Dunbartonshire enhanced women's services.	1; 4 & 6	Reports received and used to determine subsequent resource allocation.	March 2017	●	Ongoing reports are tabled at the Women's services steering group meetings. Regular reports are submitted to NSCJA board .
3	Continue to work with the Scottish Prison Service and other partners in the ongoing development of a throughcare model for women offenders.	1; 4 & 7	Appropriate services are put in place. SPS timescales are met.	March 2017	●	Since the decision to withdraw from the building of HMP Inverclyde, we are awaiting outcomes from the women's estate project at SG.
4	Continue to actively participate in both the HMP Low Moss PSP Governance and Operational Groups.	1;4; 7 & 8	Engaging prisoners are supported after liberation. All aspects of short term prisoner needs are met on liberation and all relevant agencies are engaging with PSP team.	March 2017	●	Both the chief officer and planning officer continue to contribute to the governance and operational steering groups. Regular update reports are received and shared with partners. The last operational group meeting was 6/5/16 which the Planning Officer attended.

	Activities 2015-16	Contributes to Action	Short/ Medium Term Outcomes	Timescale	Progress	Comments
5	Continue to actively participate in the Reducing Reoffending Change Fund PSPs governance groups, to deliver and sustain mentoring services to offenders in the NSCJA area.	1;4; 7 & 8	As per PSP outcome framework.	March 2017	●	Chief Officer sits on governance groups for all PSPs operating within NSCJA area both at a national and local level.
6	Continue to actively support the Joint national PSP group in promoting the PSP model	1;4; 7 & 8	Improved understanding of the added value that the PSP model offers to the justice system in achieving outcomes for offenders.	March 2017	●	The Chief Officer is instrumental in the PSP sustainability group. Funding has been secured up to March 2017.
7	Continue to work with key public & third sector service providers within the NSCJA area to ensure that there is equity in access, for short term offenders, to relevant universal services (housing, healthcare, benefits, etc.)	1;4; 7 & 8	All aspects of short term prisoner needs are met on liberation and all relevant universal agencies are engaging with justice agencies.	March 2017	●	
8	Continue to progress work with NHS GG&C, GCJA and appropriate partners, to address health improvement of offenders and their families.	1 & 9	Improved positive health outcomes for offenders and their families, in particular children.	March 2017	●	
9	Continue to work in partnership with Scottish Government and Community Planning Partnerships, both nationally and locally to facilitate information sharing and awareness events in preparation for the new structure.	1; 3 & 11	Integrated processes are in place between CPPs and NSCJA, working towards a smooth transition of duties and responsibilities.	March 2017	●	Community Justice leads are in post for all our local authority areas. NSCJA staff have and will continue to support throughout the lifespan of this plan.

	Activities 2015-16	Contributes to Action	Short/ Medium Term Outcomes	Timescale	Progress	Comments
10	Continue to engage with CPPs in local authority areas to start dialogue re procedures for transition to the new structure.	1; 3 & 11	Integrated processes are in place between CPPs and NSCJA, working towards a smooth transition of duties and responsibilities.	June 2016		NSCJA staff
11	Coordinate and facilitate multi agency learning and development in line with national plan.	1;3 & 5	A fully informed and equipped Justice workforce.	March 2017		Ongoing work throughout the lifetime of the transition.
12	Continue to engage with SGCJD and partners in the progression of the offender agenda.	1	Improved positive outcomes for offenders, their families and communities.	March 2017		Planning Officer currently working with SGCJD in development of new national strategy for community justice, and the development of Electronic Monitoring in Scotland. The Chief Officer is a member of the Transition Steering Group, the Guidance Sub Group and the Funding Group.
13	Continue to positively contribute to the development of the New National Community Justice Strategy through secondment to SGCJD	1	Improved positive outcomes for offenders, their families and communities.	March 2017		Planning Officer is joint lead in the development of the new strategy for community justice. National and regional engagement events have taken place.
14	Continue to positively contribute to the development of Electronic monitoring in Scotland through secondment to SGCJD	1	Improved positive outcomes for offenders, their families and communities.	October 2016		Planning Officer currently working with SGCJD in the development of Electronic Monitoring in Scotland.
15	Close NSCJA in line with the disestablishment plan		CJA staff	March 2017		

To: North Strathclyde Community Justice Authority

On: 10th June 2016

Report by: Chief Officer

Heading: Final Year Governance Documents

1. Summary

- 1.1** At the request of Scottish Government Officers the eight CJAs have been asked to create Resilience Plans to ensure we can continue to discharge our full duties throughout our final year.
- 1.2** The Resilience Plan (appendix 1) details how we will manage staff shortages and keep the operation of the organisation running.
- 1.3** In addition, the joint CJA Conveners Group requested Chief Officers create and maintain a Joint Risk Register for the transition year. This is attached as appendix 2.

2. Recommendations

- 2.1** The Authority is asked to note the content of this report and delegate authority to the Chief Officer in consultation with the Convener to manage resilience issues so that NSCJA can function fully until 31/03/2017.

3. Background

- 3.1** This paper outlines key issues in relation to the resilience for Community Justice. The focus is on the role of Community Justice Authorities (CJAs), with a particular recognition to the critical time period of October 2016 through to the proposed disestablishment of CJAs in March 2017 (when staffing arrangements are most likely to be impacted upon). The issues highlighted are necessarily cast more widely than organisational resilience, in acknowledgement of the importance to minimise disruption to the work of the CJAs and partnerships beyond the CJA structural lifespan.
- 3.2** CJAs and their partners are in a strong position to plan for resilience, with a clear timeframe for change, an outline of the changes anticipated and planning arrangements in place with partners to identify risks and plan for mitigation. This paper will highlight the risks and identify anticipated disruptions to CJAs and the Community Justice agenda and to support a lasting legacy for Community Justice under new, redesign arrangements.
- 3.3** Resilience is a proactive and determined approach to maintain a flourishing enterprise despite anticipated and unanticipated challenges that will emerge. This paper will provide a platform for partners to look beyond a defensive posture and apply the inherent strength of partnership to withstand the challenges of change and evolve an approach to manage change..

Implications of the Report

Equality & Human Rights

The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Authorities website.

Author Jim Hunter, Chief Officer, North Strathclyde Community Justice Authority
Email: jim.hunter@renfrewshire.gsx.gov.uk Tel: 0141 887 6133

Resilience Planning for Community Justice North Strathclyde Community Justice Authority Updated May 2016

Background

This paper outlines key issues in relation to the resilience for Community Justice. The focus is on the role of Community Justice Authorities (CJAs), with a particular recognition to the critical time period from the start of 2016 through to the proposed disestablishment of CJAs in March 2017 (when staffing arrangements are most likely to be impacted upon). The issues highlighted are necessarily cast more widely than organisational resilience, in reflection of the importance to minimise the disruption to the work of CJAs and partnerships beyond the CJA structural lifespan.

The CJA and its partners are in a strong position to plan for resilience, with a clear timeframe for change, an outline of the changes anticipated and planning arrangements in place with partners to identify risks and plan for mitigation. This paper highlights the risks and identifies anticipated disruptions to the NSCJA and the Community Justice agenda and to support a lasting legacy for Community Justice under the new model arrangements.

Resilience is a proactive and determined approach to maintain a flourishing enterprise despite anticipated and unanticipated challenges that will emerge. This paper provides a platform for partners to look beyond a defensive posture and apply the inherent strength of partnership to withstand the challenges of change and evolve an approach to manage change.

Current Context of CJA Operations

This paper presumes CJAs will be functioning bodies until 31st March 2017, though acknowledges the current assumptions of a transitions year of operation for the CPPs (from April 2016) with their new responsibilities and a period of transitional operation for the new, national body, with the suggested appointment of a Board and Chief Executive by Autumn 2016.

During this time, the legal duties for CJAs will continue, as will the statutory structural arrangements.

The legal minimum structure for CJAs is:

- 1 CJA Board including 1 Convener and 1 Vice Convener
- 1 Chief Officer
- 1 Treasurer

The legal statutory duties for CJAs are:

- **Prepare an area plan** for reducing reoffending
- **Monitor performance** of local authorities and Scottish ministers in complying/co-operating
- **Promote good practice** in reducing reoffending – bridging between local and national
- **Allocate s27 grant** to local authorities, ensure Audit and report - Accountable Body
- **Report annually** on activities and performance of CJA

Identification of Risks

As the course of time progresses closer to the disestablishment of CJAs, the greatest risk to continuity are loss of staff and loss of partners' engagement. There is a growing likelihood that staff will find alternative employment and a diminishing likelihood of filling vacant posts through the usual course. This creates a risk to fulfilling the statutory duties and having in place the statutory positions. That risk is summarised below (with New Risks in **RED**):

Statutory Obligation	Risk Features	Likelihood of Impact
Maintain CJA Board including 1 Convener and 1 Vice Convener	Holyrood Elections 2016	Low
	Political focus shifts	Medium
	Maintaining Quorate attendance at Board meetings	High
Chief Officer in post	Staff look for other positions and leave organisation	High
Treasurer in place	While the Chief Officer is not the Treasurer, who is secured via the host Authority, the Chief Officer is the "Accountable Officer" and instructs the Treasurer, thus there is reliance on having the Chief Officer in post and risk in staff leaving this post	High
Prepare an area plan for reducing reoffending	Area Plan 2014/17 finishes on 31/03/2017. Engagement with Community Justice leads on preparing Community Justice Outcome Improvement Plans.	Low
Monitor performance	Failure to finalise National Performance Framework	Medium

	Aligning with SOA performance framework requires staff time	Medium
	CJA support staff look for other positions	High
Promote good practice	CJA support staff look for other positions and are unable to drive this responsibility	High
	Communication barriers with the Scottish Government and Partners	High
Allocate s27 grant - Accountable Body	Board operations affected by staff reduction and/or political disinterest – unable to ratify allocations (Quorate Board)	High
	No arrangements agreed for final Audit September 2017	High
	Delays in national allocation	High
Report annually	CJA support staff look for other positions	High
	No arrangements agreed for final Annual Report September 2017	High

Mitigation

The Chief Officer post will require to be covered as a statutory obligation, and other non-statutory posts are at a high risk of becoming vacant, especially during this last year of CJA

operations. Cover will be required on either a full time or part time basis. Open recruitment will prove challenging as the end date approaches, and seems highly improbable in the last 6-12 months.

Options for coverage are as follows, with status of actions in **RED**:

1. Ensuring Chief Officer post remains filled:
 - a. Temporary upgrade for Planning Officer to cover Chief Officer post **(viable option)**
 - b. CJA partner organisation seconds a senior manager in Chief Officer's vacancy either part time or full time. **(could be pursued)**
 - c. Approach known retirees from partner agencies to cover the Chief Officers post for final months. **(could be pursued)**
 - d. Share posts across CJA boundaries. **(agreed in principle with other CJAs)**
2. Ensuring adequate support to CJA functioning (Planning / Admin posts)
 - a. Partner organisations second staff to cover on a part time or full time basis. **(could be pursued)**
 - b. Extend existing SLAs with lead local authority to provide part time or full time cover. **(could be pursued)**
 - c. Employ agency admin cover. **(could be pursued)**
 - d. Share posts across CJA boundaries. **(agreed in principle with other CJAs)**
3. Maintain Political Focus
 - a. Regular correspondence with the Scottish Government. **(locally and nationally via CJA Chief Officer Group and via National Convenors' meetings)**
4. Maintain Partner Engagement
 - a. Board continues to meet regularly and function, and to hold statutory partners to account. **(ongoing)**

- b. CJA maintains good lines of communication with regular updates on developments. **(ongoing)**
 - c. Engage same partners through Community Planning, both directly through Shadow Arrangements in 2016/17 and with main CPP structures. **(ongoing)**
- 5. Arrangements for activities delivered post April 2017 (including Annual Report 2016/17)
 - a. Extend existing SLAs with lead local authority to provide Treasurer and Governance/Audit arrangements. **(agreed in principle – details to be agreed)**
 - b. Confirm statutory responsibilities beyond April 2017 (to prepare Annual Accounts and Report on Performance) within new legislation.(including dialogue with Scottish Government for this provision) **(pending national discussion)**
- 6. Closure Plan
 - a. Establish clear plans for closure of NSCJA, including arrangements with premises, property and knowledge transfer to new local partnership arrangements. **(draft plan established)**

Staff Welfare

While work has been underway to support CJA staff as they looked to the future, it is now time for the CJA (and Board) to formalise planning for the anticipated redundancies.

At the same time a local response to support staff is underway; collectively the 8 CJAs are reviewing the position, in particular seeking legal guidance to ensure the Government is adequately assuming its responsibilities in relation to redundancy and the rights of those currently working for the CJAs.

Local Planning within a National Context

It is important to ensure the rights of CJA staff are looked after. Equally, for the CJA Board to carry out its responsibilities up to the end of March 2017, it will need to prepare its own resilience plan, unique to local circumstances. Of particular consideration will be an assumption that as the date for disestablishment approaches, the likelihood of staff vacancies will grow and the ability to recruit will diminish.

Looking at resilience will need to come from a local perspective, but can and should be reinforced through arrangements across the 8 CJAs, which are all facing the same scenario.

Discussions should be continued with the collective of CJAs, exploring the opportunities of partnering arrangements and working in conjunction with the transition structures for the new national body.

The transition to the shadow arrangements, which is underway, is critical to a successful new community justice arrangement. The process of transition should continue in recognition of the work required to prepare the CPP for its new responsibilities and to establish the foundations for the new national body. As a Board there is scope to press for and support an active process of transition.

As time progresses, and further information becomes available, both the nature of risks and the mitigation plans will change and need to be kept under review.

Failure to evolve effective transition arrangements within any CJA could affect:

- Performance in relation to continued reductions in reoffending levels
- Sustainability of proven services
- Current partnership arrangements, which were cited by Audit Scotland in 2012 as one of the key benefits CJAs delivered.

Conclusions

The concept of resilience is a practical response to the needs of each CJA to effectively anticipate disruptions to the Community Justice agenda, to adapt to the evolving pace of change and to support a lasting legacy for Community Justice under new, redesign arrangements. Success will come through collective commitments within local partnerships and across the 8 CJAs and national structures and partners.

CJA National Transition Risk Register 2014 - 2017

Risk	Description	Impact	Controls	Actions Planned	Progress Update
1	Disengagement of Scottish Government and key partners in joint planning / practice	Loss of joint effective practice, possible threat to reoffending rates. CJAs fail to comply with statutory duties	CJA Legislation still in place. CJA structures continuing.	<p>Monitor engagement levels and brief Conveners / Scottish Government regularly</p> <p>Scottish Government and COSLA to raise on the agenda of the new Community Justice Sub group if disengagement continues to be a problem</p>	<p>Partner engagement is holding up reasonably well although CJA demands on partner involvement is reducing through 2016/17. The last 3 Board meetings have been quorate.</p>

2	Lack of engagement by CPPs in the transition process with CJAs	CPPs will not be ready to take on their new duties. Possible leadership / governance vacuum	Joint structures being developed to engage all key stakeholders Transitions funding provided	A series of national and local workshops during 2016/17 aimed at continuing to prepare CPPs for their new duties	CPP staff across all Local Authorities have engaged in national events and organised local events. All transition plans have been submitted on time.
3	CJAs begin to lose more staff through 2015/16	The skills and knowledge will be difficult to replace on a temporary basis. CJAs may fail due to lack of capacity	Regular briefings for all staff. Include appropriate staff in the transitions processes	Consider sharing CJA resources. Consider short term partners secondments CJA Resilience Plans being developed	So far this has not been a problem for NSCJA. Our Planning Officer is seconded 2 days per week to the Scottish Government but remains an employee.

4	<p>Loss of CJA influence or transition arrangements and poor CJA involvement in the process</p>	<p>Confusion about the process of transition amongst CJA partners. Loss of skills and knowledge within the process which could lead to avoidable mistakes</p>	<p>CJAs fully engaged in all the redesign workstreams</p>	<p>Chief Officers have lead roles in all workstreams and regularly brief Conveners, Planning Officers involved with appropriate workstreams and briefing Chief Officers</p>	<p>Both the Chief Officer and the Planning Officer are fully involved in various transition groups. The Convener meets regularly with the Scottish Government.</p>
5	<p>Loss of momentum on existing projects / services which adversely effects performance</p>	<p>Outcomes deteriorate and the development of good practice ceases</p>	<p>Early and ongoing engagement with CPPs and other key partners to identify priorities for 2016 onwards</p>	<p>CJAs will brief CPPs and other partners on existing best practice services and help CPPs make links between them</p>	<p>CJAs have posted details of shared services on the CPP Knowledge Hub along with examples of good practice.</p>

NORTH STRATHCLYDE COMMUNITY JUSTICE AUTHORITY

To: North Strathclyde Community Justice Authority

On: 10 June 2016

Report by: The Clerk and The Treasurer

Heading: Remuneration of Elected Members who are appointed Conveners and Vice-conveners of Community Justice Authorities

1. Background

- 1.1 The Local Governance (Scotland) Act 2004 (Remuneration) Regulations 2007 (hereafter referred to as “the 2007 Regulations”) introduced a system of remuneration for elected members which created four grades of councillors for the purposes of calculating remuneration: (i) the leader of the council, (ii) the civic head, (iii) senior councillors; and (iv) councillors. The yearly remuneration for councillors who are not being paid as leader of the council, civic head or senior councillor is set at a fixed rate (that rate being £16,893 from 1 April 2016).
- 1.2 Each local authority has been banded within Band A, Band B, Band C or Band D for the purposes of payment of remuneration to councillors. East Renfrewshire and Inverclyde Councils are Band A councils and are restricted to a maximum of 9 senior councillors per authority; West Dunbartonshire is a Band B council and is restricted to a maximum of 10 senior councillors; East Dunbartonshire is a Band B council and is restricted to a maximum of 11 senior councillors; and Argyll & Bute and Renfrewshire are Band B councils and are restricted to a maximum of 14 senior councillors.
- 1.3 The 2007 Regulations relate specifically to Scottish local authorities, to fire and rescue joint boards, to police joint boards and to “other” joint boards as defined under prevailing statutes. Subsequent legislation – *The Management of Offenders etc. (Scotland) Act 2005 (Members’ Remuneration and Supplementary Provisions) Order 2008* – provides that the remuneration paid to a convener or vice-convener of a community justice authority should be the same as that paid to a convener or vice-convener of “other” joint boards as defined by the 2007 Regulations.
- 1.4 Since 2007, various amendment regulations have had the effect of amending the yearly remuneration to be paid to elected members, including those elected members who are conveners or vice-conveners of joint boards

and community justice authorities. The most recent amendment regulations were laid before the Scottish Parliament on 13 January 2016 and came into force from 1 April 2016. These amendment regulations – *The Local Governance (Scotland) Act 2004 (Remuneration) Amendment Regulations 2016* (“the 2016 amendment regulations”) – stipulate changes to the remuneration rates payable to elected members.

- 1.5 The main change implemented by the 2016 amendment regulations is, generally, an increase of 1% in the yearly remuneration payable to councillors from 1 April 2016.
- 1.6 The 2016 amendment regulations stipulate that, provided they are not already in receipt of remuneration as a senior councillor of a local authority, or as a convener or vice-convener of any joint board covered by the 2007 Regulations, the **convener of a community justice authority** shall be paid, from **1 April 2016**, a total yearly amount of **£21,118** (equivalent to 75 per cent of the salary of the leader of a Band A council), inclusive of any amount payable to them as a local authority councillor under the 2007 Regulations.
- 1.7 The 2016 amendment regulations also stipulate that, provided they are not already in receipt of remuneration as a senior councillor of a local authority, or as a convener or vice-convener of any joint board covered by the 2007 Regulations, the **vice-convener of a community justice authority** shall be paid, from **1 April 2016**, a total yearly amount of **£20,063** (equivalent to the basic councillor salary plus 75 per cent of the difference between the basic councillor salary and the convener’s salary), inclusive of any amount payable to them as a local authority councillor under the 2007 Regulations.
- 1.8 If the convener or vice-convener is in receipt of remuneration as a senior councillor of a local authority, or as a convener or vice-convener of any joint board covered by the 2007 Regulations, then no additional remuneration shall be due to them as a convener or as a vice-convener of a community justice authority.
- 1.9 The local authorities of which the convener and vice-convener are members require, if necessary, to make administrative arrangements with the community justice authority for reimbursement of any remuneration paid by the local authorities on behalf of the community justice authority. In the case of local authority councillors that are paid, from 1 April 2016, the yearly amount of £16,893 as a councillor, the yearly remuneration of £16,893 should be met by the local authority, and the balance of remuneration should be met by the community justice authority.

2. Recommendations

- 2.1 It is recommended that the Authority notes the revised remuneration levels mandated by The Local Governance (Scotland) Act 2004 (Remuneration) Amendment Regulations 2016 for the Convener and Depute Convener of the North Strathclyde Community Justice Authority, **provided they are not already in receipt of remuneration as a senior councillor of a local authority**, as follows:

Position	yearly remuneration for 2015-2016	yearly remuneration from 1 April 2016
Convener	£20,909	£21,118
Depute Convener	£19,864	£20,063

- 2.2 It is recommended that the Authority notes that if the Convener and / or Depute Convener of the North Strathclyde Community Justice Authority is a senior councillor within their own local authority, or if they are a convener or a vice-convener of any joint board covered by the 2007 Regulations, then no additional remuneration shall be due to them as a convener or as a vice-convener of the Community Justice Authority.
- 2.3 It is recommended that the Authority notes that the difference between such remuneration paid, and that which would otherwise be paid to the Convener / Depute Convener as a local authority councillor, shall be met by the Community Justice Authority.

To: North Strathclyde Community Justice Authority

On: 10th June 2016

Report by: Chief Officer

Heading: Grant Funding to Support a Reduction in the use of Custody for Women

1. Summary

- 1.1** The Scottish Government have advised the Chief Officer in a letter dated 22nd March 2016 (Appendix 1) of an additional grant allocation for the purpose of supporting a reduction in the use of custody for women. The total amount received was £187,500.
- 1.2** As well as the general purpose, above, for the use of this grant, a second purpose is also highlighted in Schedule 1 of the letter as follows “the sustainability of any projects set up in 2015/16 to support the expansion of Supervised Bail and Early Stage Diversion Initiatives for Women”.
- 1.3** Members will recall that last year we agreed to provide Sacro with funding to develop a Bail support and Supervision Scheme for Women appearing in Greenock, Dumbarton and Paisley Sheriff Courts.
- 1.4** Members will also recall that discrete community support services for women have also been developed and funded from previous grant allocations in the same towns.

- 1.5** Following discussion with Local Authorities and Sacro it is proposed to allocate the grant as follows

Total Grant Awarded	£187,500
Shortfall in SACRO funding	£43,000
Remaining grant to be allocated	£144,500

Local Authority	% age Core Grant Allocation	Funding for Women's Services 2016/17
Renfrewshire	35%	£50,575
Inverclyde	18%	£26,010
East Renfrewshire	6%	£8,670
Argyll Bute & Dunbartonshires	41%	£59,245

The allocation will enable Sacro to continue the Bail service until 30/06/2017 when a decision will be made by the new partnerships about future funding. The allocation will also enable the continuity of the community support services mentioned in 1.4 of this report.

2. Recommendations

- 2.1** The Authority is asked to note the content of this report.
- 2.2** Approve the allocation set out in 1.5 above.
- 2.3** Request that all grant recipients provide a report to the September meeting of NSCJA detailing their use of the allocated funding to meet the objectives detailed in 1.1 and 1.2.

3. Background

- 3.1** The eight CJAs each received an equal share of £1.5 million transferred from the Scottish Prison Service as part of their strategy to reduce the numbers of women in prison.
- 3.2** From 2017 onwards this grant is likely to be allocated directly to Local Authorities using the new funding formula.

Implications of the Report

Equality & Human Rights

The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Authorities website.

Author Jim Hunter, Chief Officer, North Strathclyde CJA
Tel: 0141 887 6133, email: jim.hunter@renfrewshire.gsx.gov.uk

Jim Hunter
Chief Officer
North Strathclyde CJA
Unit 905
Mile End Mill
12 Seedhill Road
Paisley
PA1 1JS

29 MAR 2016

22 March 2016

Dear Jim

**DISTRIBUTION OF GRANT FUNDING 2016/17
TO COMMUNITY JUSTICE SERVICES TO SUPPORT A REDUCTION IN THE USE OF
CUSTODY FOR WOMEN**

The Scottish Ministers in exercise of their powers under sections 27A(1) of the Social Work (Scotland) Act 1968 as amended hereby offer to give to North Strathclyde Community Justice Authority ("the Grantee") for financial year 2016-17 a grant of up to £187,500 STERLING, payable over the financial year 2016 to 2017, in connection with the delivery of community justice services for women offenders, which is more particularly described in Part 1 of Schedule 1 and subject to the following terms and conditions:

1 Definitions and Interpretation

- 1.1 In these Conditions, the words and expressions set out in **Schedule 4** shall have the meanings ascribed to them in that Schedule.
- 1.2 In these Conditions unless the context otherwise requires, words denoting the singular shall include the plural and vice versa and words denoting any gender shall include all genders
- 1.3 The headings in these Conditions are for convenience only and shall not be read as forming part of the Conditions or taken into account in their interpretation.
- 1.4 Except as otherwise provided in these Conditions, any reference to a clause, paragraph, sub-paragraph or schedule shall be a reference to a clause, paragraph, subparagraph or schedule of these Conditions.

2 Purposes of the Grant

- 2.1 The Grant is made to enable the Grantee to carry out activities aimed at supporting a reduction in the use of custody for women
- 2.2 The Grant shall only be used for no other purpose whatsoever.

- 2.3 No part of the Grant shall be used to fund any activity or material which is party political in intention, use, or presentation or appears to be designed to affect support for a political party.
- 2.4 The main objective of the Grant is to provide support to the Community Justice Authority to carry out activities aimed at supporting a reduction in the use of custody for women in 2016-17, as described in Schedule 1 Part 1 of this letter.
- 2.5 The targets / milestones against which progress in achieving objectives / expected outcomes shall be monitored are described in Schedule 1 Part 1 of this letter.
- 2.6 The eligible costs for which this grant can be claimed are those set out in Schedule 1 Part 1 of this letter. The eligible costs exclude reclaimable Value Added Tax.

3 Payment of Grant

- 3.1 The Grant shall be paid by the Scottish Ministers to the Grantee in accordance with the terms of **Schedule 1** attached.
- 3.2 The Grantee shall, following the end of financial year 2016-17 in respect of which a Grant payment has been paid, and along with the Community Justice Authority annual accounts, submit to the Scottish Ministers a statement of compliance with the Conditions of the Grant using the form of words provided in **Schedule 3**. The statement shall be signed by the Grantee's Chief Officer

4 Inspection and Information

- 4.1 The Grantee shall keep the Scottish Ministers fully informed of the progress of the Project in the form of updates as and when requested. Details shall include actual expenditure to date compared with profiled expenditure and any change to estimated expenditure for the financial year and/or the project as a whole, the reasons for any such change and progress in achieving objectives/outcomes
- 4.2 Revisions to any targets / milestones against which progress in achieving objectives / outcomes are monitored shall be subject to the written agreement of the Scottish Ministers.
- 4.3 The Grantee shall, on completion of the Project, submit a report to the Scottish Ministers summarising the outcomes and performance of the Project. Such a report shall include such statistical and other information relating to the impact of the Project as shall be required by the Scottish Ministers.
- 4.4 The Grantee shall also provide any other information that the Scottish Ministers may reasonably require to satisfy themselves that the Project is consistent with the Agreement. The Grantee shall provide the Scottish Ministers with prompt access to any information they reasonably require to ensure compliance with these Conditions.
- 4.5 The Grantee shall keep and maintain adequate and proper records and books of account recording all receipts and expenditure of monies paid to it by the Scottish Ministers by way of the Grant. These should be kept for six years after the expenditure occurs. The Grantee shall afford the Scottish Ministers, their representatives, the Auditor General for Scotland, his/her representatives and such other persons as the Scottish Ministers may reasonably specify from time to time, such access to those records and books of account as may be required by them at any reasonable time in response to a written request for such access from the person seeking it. The Grantee shall provide such reasonable assistance and explanation as the person carrying out the inspection may from time to time require.
- 4.6 In the event of the Grantee becoming aware of or suspecting any irregular or fraudulent activity that may have any impact on the Project or on the use of the Grant, or any part of it,

the Grantee shall immediately notify the Scottish Ministers of such activity and provide such other information as the Scottish Ministers may reasonably require in relation to the impact on the Project and the use of the Grant.

5 Confidentiality and Data Protection

- 5.1 The Grantee will respect the confidentiality of any commercially sensitive information that they have access to as a result of the Project.
- 5.2 Notwithstanding the above, the Grantee may disclose any information as required by law or judicial order. All information submitted to the Scottish Ministers may need to be disclosed and/or published by the Scottish Ministers. Without prejudice to the foregoing generality, the Scottish Ministers may disclose information in compliance with the Freedom of Information (Scotland) Act 2002, any other law, or, as a consequence of judicial order, or order by any court or tribunal with the authority to order disclosure. Further, the Scottish Ministers may also disclose all information submitted to them to the Scottish or United Kingdom Parliament or any other department, office or agency of Her Majesty's Government in Scotland, in right of the Scottish Administration or the United Kingdom, and their servants or agents. When disclosing such information to either the Scottish Parliament or the United Kingdom Parliament it is recognised and agreed by both parties that the Scottish Ministers shall if they see fit disclose such information but are unable to impose any restriction upon the information that it provides to Members of the Scottish Parliament, or Members of the United Kingdom Parliament; such disclosure shall not be treated as a breach of this agreement.
- 5.3 The Grantee shall ensure that all requirements of the Data Protection Act 1998 are fulfilled in relation to the Project.
- 5.4 To comply with section 31(3) of the Public Services Reform (Scotland) Act 2010, the Scottish Ministers publish an annual statement of all payments over £25,000. In addition, in line with openness and transparency, the Scottish Government publishes a monthly report of all payments over £25,000. The Grantee should note that where a payment is made in excess of £25,000 there will be disclosure (in the form of the name of the payee, the date of the payment, the subject matter and the amount of grant) in the both the monthly report and the annual Public Services Reform (Scotland) Act 2010 statement.

6 Disposal of Assets

- 6.1 The Grantee shall not, without prior written consent of the Scottish Ministers, dispose or permit disposal of any asset funded, in part or in whole, with Grant funds within 5 years of the asset being acquired. During that period the Scottish Ministers shall be entitled to the proceeds of the disposal – or the relevant proportion of the proceeds based on the percentage of grant funding used in connection with the acquisition or improvement of the asset against the whole proceeds. The Scottish Ministers shall also be entitled to the relevant proportion of any proceeds resulting from any provision included as a condition of sale. Recovery by the Scottish Ministers shall not be required where the value of the asset is less than £1000.

7 Publicity

- 7.1 The Grantee shall where reasonably practicable acknowledge in all publicity material relating to the Project the contribution of the Scottish Ministers to its costs. The Scottish Ministers may require to approve the form of such acknowledgement prior to its first publication.

8 Intellectual Property Rights

- 8.1 All Intellectual Property Rights are hereby assigned to and shall vest in the Crown or its assignees.
- 8.2 The Grantee shall ensure that nothing contained in any materials produced or submitted to the Scottish Ministers by the Grantee or anyone acting on its behalf nor the reproduction of such materials, shall constitute an infringement of any third party copyright or intellectual property right and shall indemnify the Scottish Ministers against all actions, proceedings, claims and demands made by reason of any such infringement.

9 Default and Recovery etc. of Grant

- 9.1 The Scottish Ministers may re-assess, vary, make a deduction from, withhold, or require immediate repayment of the Grant or any part of it in the event that:
- 9.1.1 The Grantee commits a Default
 - 9.1.2 The Scottish Ministers consider that any change or departure from the purposes for which the Grant was awarded warrants an alteration in the amount of the Grant;
 - 9.1.3 The Grantee or the local authority funded by the Grantee, fails to carry out the Project;
 - 9.1.4 In the Scottish Ministers' opinion, the progress on the Project is not satisfactory; or
 - 9.1.5 In the Scottish Ministers' opinion, the future of the Project is in jeopardy.
- 9.2 If, in the Scottish Ministers' opinion, the Grant or any part of it is state aid and they consider that they are required to recover such sum in order to ensure compliance with their obligations under EU law Scottish Ministers may require immediate repayment of the Grant or any part of it together with interest at such rate and on such basis as may be determined from time to time by the Commission of the European Union.
- 9.3 In the event that the Grantee becomes bound to pay any sum to the Scottish Ministers in terms of clause 9.1, the Grantee shall pay the Scottish Ministers the appropriate sum within 14 days of a written demand for it being given by or on behalf of the Scottish Ministers to the Grantee. In the event that the Grantee fails to pay the sum within the 14 day period.
- 9.4 Notwithstanding the provisions of this clause 9, in the event that the Grantee is in breach of any of the Conditions, the Scottish Ministers may, provided that the breach is capable of a remedy, postpone the exercise of their rights to recover any sum from the Grantee in terms of clause 9 for such period as they see fit, and may give written notice to the Grantee requiring it to remedy the breach within such period as may be specified in the notice. In the event of the Grantee failing to remedy the breach within the period specified, the Grantee shall be bound to pay the sum to the Scottish Ministers in accordance with the foregoing provisions.
- 9.5 Any failure, omission or delay by the Scottish Ministers in exercising any right or remedy to which they are entitled by virtue of clauses 9.1 to 9.3 shall not be construed as a waiver of such right or remedy.

10 Assignment

- 10.1 The Grantee shall not be entitled to assign, sub-contract or otherwise transfer its rights or obligations under the Agreement without the prior written consent of the Scottish Ministers.

11 Termination

- 11.1 The Agreement may be terminated by the Scottish Ministers giving not less than 3 months' notice in writing from the date of the notice being sent.

12 Corrupt Gifts and Payments of Commission

- 12.1 The Grantee shall ensure that its employees shall not breach the terms of the Bribery Act 2010 in relation to this or any other grant. The Grantee shall ensure that adequate controls are in place to prevent bribery.

13 Continuation of Conditions

- 13.1 These Conditions, except for Condition 6, shall continue to apply for a period of 5 years after the end of the financial year in which the final instalment of the Grant was paid.
- 13.2 Condition 7 shall continue to apply until the end of the period referred to in that Condition.

14 Compliance with the Law

- 14.1 The Grantee shall ensure that in relation to the Project, they and anyone acting on their behalf shall comply with the relevant law, for the time being in force in Scotland.
- 14.2 If you wish to accept the offer of this Grant on the whole terms and conditions as set out in the letter and annexed Schedules, you should sign and date both copies of the Grant Acceptance below and return one copy of the offer of Grant and Schedules to john.mullett@gov.scot. You should retain the second copy of the offer of Grant and Schedules for your own records

Yours sincerely



Neil Robertson
Community Justice Division

22 March 2016

GRANT ACCEPTANCE

On behalf of North Strathclyde CJA I accept the foregoing offer of Grant by the Scottish Ministers dated 22 March 2016 on the whole terms and conditions as set out in the letter and annexed Schedules.

I confirm that I hold the relevant signing authority.

Signed:
[Authorised Signatory]
Print Name:
Position in Organisation of Person Signing:
Address and telephone number:
Date:

SCHEDULE 1

PART 1: Purpose of the Grant

1. The overall purpose of this grant is to provide additional support to the North Strathclyde CJA in order to allow you to work towards reducing reoffending for women in your CJA area.
2. Furthermore, the allocation of £187,500 has been made **specifically** to support:
 - A reduction in the use of custody for women; and
 - The sustainability of any projects set up in 2015/16 to support the expansion of Supervised Bail, and Early Stage Diversion initiatives for women.

Utilisation / Monitoring

3. The CJA will be responsible for deciding how the funding is used, and will be accountable for those decisions. However, this funding is being provided specifically for activities aimed at supporting a reduction in the use of custody for women.
4. CJAs are invited to identify through forecasting any potential underspend in respect of this additional funding no later than the end of November 2016. Any funding provided to support alternative measures to reduce the use of custody for women, which cannot be utilised in the 2016-2017 would be regarded as an underspend and would **not** be rolled forward. It is therefore important that we identify any surplus to Scottish Government early, so that it may be redirected towards other geographic areas where the funding could be utilised as intended.

Whilst the Scottish Government may seek updates on how the funding is being used, each CJA should account for this funding within its annual report for 2016/17, detailing the initiatives that were created or supported by the additional funding.

PART 2: PAYMENT OF GRANT

1. The total Grant of £187,500 shall be payable by the Scottish Ministers to the Grantee in one instalment, on receipt of a completed claim for Grant in the form set out in **Schedule 2** together with the associated monitoring information set out in paragraph 4.1 of the Offer of Grant.
2. The total Grant shall be payable in the financial year 2016/17, and shall be effective from 1 April 2016.
3. Each claim shall be for an amount equal to the actual reasonable and proper costs and expenses incurred by the Grantee in connection with the Project.
4. On receipt of each claim (and any required documentation and information), the Scottish Ministers shall determine the amount of expenditure which they consider the Grantee has reasonably and shall reasonably and properly incur in connection with the Project having regard to that claim. The determination shall be based on the information provided by the Grantee in accordance with this Schedule. The Scottish Ministers shall use their best endeavours (but shall be under no obligation or duty) to pay the amount determined to the Grantee within 2 weeks of receiving a claim and any required documentation and information relevant to the claim.
5. The Scottish Ministers shall not be bound to pay any instalment of the Grant which has not been claimed by the Grantee by 31 March of the applicable financial year, unless otherwise agreed in writing by the Scottish Ministers.
6. In order to facilitate the accrual of expenditure of the Grant for the financial year the Grantee shall, where appropriate, advise the Scottish Ministers in writing by 4 April the amount of the Grant actually expended up to and including 31 March.

Schedule 2 – Application for payment of Grant

Where a claim covers more than one expenditure code as per Schedule 1, please submit a separate claim form for each.

Please ensure that all appropriate receipts are attached to this claim form.

Date Submitted to Scottish Government ____/____/____

1 Applicant Details Name of Grant Recipient _____ Address _____ _____ Postcode _____ Telephone Number _____												
2 Project Address or Name												
3 Costs for which Grant is being claimed Code: 6006 Please provide a brief description of the costs claimed and state amount(s). This should match the schedule attached to your offer of grant. <table><tr><td>Total This Claim</td><td>Grant Paid to date including this claim</td><td>Remaining Grant still to draw down</td></tr><tr><td>£ _____</td><td>£ _____</td><td>£ _____</td></tr></table>	Total This Claim	Grant Paid to date including this claim	Remaining Grant still to draw down	£ _____	£ _____	£ _____						
Total This Claim	Grant Paid to date including this claim	Remaining Grant still to draw down										
£ _____	£ _____	£ _____										
4 Bank Details:- Name & Address Name _____ Sort Code _____ Address _____ Account Number _____ _____ Postcode _____												
5 Declaration I hereby state that this claim for payment complies with all conditions stated in the Grant offer for the project, and that the information given above is true and complete. Signature _____ Print Name _____ Designation _____ Date _____												
6 SCOTTISH GOVERNMENT USE ONLY -- APPROVAL <table><tr><td>Date Received _____</td><td>SG Cost Centre _____</td><td>Entity Code 600</td></tr><tr><td>Amount of grant to be paid £ _____</td><td>SEAS account code 6006 _____</td><td></td></tr><tr><td>Authorised by _____</td><td>Programme Code _____</td><td></td></tr><tr><td>Date _____</td><td>Print Name _____</td><td></td></tr></table>	Date Received _____	SG Cost Centre _____	Entity Code 600	Amount of grant to be paid £ _____	SEAS account code 6006 _____		Authorised by _____	Programme Code _____		Date _____	Print Name _____	
Date Received _____	SG Cost Centre _____	Entity Code 600										
Amount of grant to be paid £ _____	SEAS account code 6006 _____											
Authorised by _____	Programme Code _____											
Date _____	Print Name _____											

SCHEDULE 3

STATEMENT OF COMPLIANCE WITH CONDITIONS OF GRANT

This is to confirm that the grant claimed by North Strathclyde CJA in connection with the delivery of services to support a reduction in the use of custody for women during the financial year ended 31 March 2017 was properly due and was used for its intended purpose(s) in accordance with the terms and conditions of the Grant. This statement is supported by the records of North Strathclyde CJA

Signed:
Name in block capitals:
Position:
Date:

SCHEDULE 4

DEFINITIONS

“Agreement” means the agreement constituted by the Scottish Ministers’ invitation to apply for a grant, the Grantee’s submission document at Part 1 of Schedule 1, these Conditions and the Grantee’s acceptance of these Conditions;

“Conditions” means these grant conditions;

“Default” means:

- (a) Any breach of the obligations of either party under this Agreement (including, but not limited to, any breach of any undertaking or warranty given under or in terms of this Agreement);
- (b) Any failure to perform or the negligent performance of any obligation under this Agreement;
- (c) Any breach of any legislation; or
- (d) Any negligence or negligent or fraudulent mis-statement or misappropriation of Grant, or any other default,

In all cases by either party, its employees, agents or representatives;

“Financial Year” means a period from 1 April in one year until 31 March in the next;

“Grant” means the grant offered by the Scottish Ministers to the Grantee as specified in the offer of grant, as varied from time to time in accordance with these Conditions;

“Grantee” means the person, organisation or body to which the Grant will be payable as specified in these Conditions. Where two or more persons, organisations or bodies are the Grantee, references to the “Grantee” are to those persons, organisations or bodies collectively and their obligations under the Agreement are undertaken jointly and severally;

“Intellectual Property Rights” means all rights of ownership, including all copyrights and other intellectual property rights in books, leaflets and other printed and published materials in whatever form produced as part of the Project by or on behalf of the Grantee including all reports and any such published materials stored in or made available by means of an information technology system and the computer software relating thereto and all patents, trademarks, registered designs and other rights in the nature of intellectual property;

“Project” means the purpose for which the Grant has been awarded as described in the Offer of Grant;

“Payment” means each of the payments specified in Schedule 1 hereto.

NORTH STRATHCLYDE COMMUNITY JUSTICE AUTHORITY

To: North Strathclyde Community Justice Authority

On: 10 June 2016

Report by: The Treasurer and the Chief Officer

Heading: Annual Audit Plan 2015-16

1. Summary

- 1.1 The Annual Audit Plan 2015-16 for the Authority is submitted for Members' information. The Plan outlines Audit Scotland's planned activities in their audit of the 2015-16 financial year.
- 1.2 The Annual Audit Plan 2015-16 includes a section on Audit Issues and Risks. Within this section Audit Scotland have identified a risk of "Management override of controls". This is being included in the audit plans of all bodies which Audit Scotland's are working with in light of international standards on auditing. The inclusion of this risk is not a reflection of increased risk within North Strathclyde Community Justice Authority. Audit Scotland have confirmed that they have not found any issues on this in previous years

2 Recommendations

- 2.1 The Authority is asked to note the Annual Audit Plan 2015-16 by Audit Scotland.
-



North Strathclyde Community Justice Authority

Annual Audit Plan 2015/16

Prepared for North Strathclyde Community Justice
Authority

19 May 2016



Key contacts

Anne McGregor, Senior Audit Manager
amcgregor@audit-scotland.gov.uk

Kenny McFall, Senior Auditor
kmcfall@audit-scotland.gov.uk

Andrew Kerr, Professional Trainee
akerr@audit-scotland.gov.uk

Audit Scotland
4th Floor (South Suite)
8 Nelson Mandela Place
Glasgow
G2 1BT
Telephone: 0131 625 1500
Website: www.audit-scotland.gov.uk

Audit Scotland is a statutory body which provides audit services to the Accounts Commission and the Auditor General (www.audit-scotland.gov.uk/about/).

Anne McGregor is the appointed external auditor of North Strathclyde Community Justice Authority (NSCJA) for the period 2011/12 to 2015/16.

This report has been prepared for the use of NSCJA and no responsibility to any member or officer in their individual capacity or any third party is accepted.

This report will be published on our website after it has been considered by the authority.

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Summary

Introduction

1. Our audit is focused on the identification and assessment of the risks of material misstatement in North Strathclyde Community Justice Authority's (NSCJA) financial statements.
2. This report summarises the key challenges and risks facing NSCJA and sets out the audit work that we propose to undertake for 2015/16. Our plan reflects:
 - the risks and priorities facing NSCJA
 - current national risks that are relevant to local circumstances
 - the impact of changing international auditing and accounting standards
 - our responsibilities under the Code of Audit Practice as approved by the Auditor General for Scotland
 - issues brought forward from previous audit reports.
3. Our planned work for 2015/16 includes:
 - an audit of the financial statements and provision of an opinion on whether:
 - they give a true and fair view of the state of affairs of NSCJA as at 31 March 2016

- the expenditure and income for the year were incurred or applied in accordance with applicable legislation and guidance issued by Scottish Ministers
- the accounts have been properly prepared in accordance with the Management of Offenders etc. (Scotland) Act 2005 and directions made by Scottish Ministers
- a review of the financial management arrangements and its financial sustainability.
- a review and assessment of NSCJA's governance arrangements in a number of key areas including:
 - systems of internal control
 - prevention and detection of fraud and irregularity
 - standards of conduct and arrangements for the prevention and detection of corruption
 - financial position.

Responsibilities

4. The audit of the financial statements does not relieve the accountable officer, as the person charged with governance, of their responsibilities.

- maintaining proper accounting records
- preparing financial statements which give a true and fair view of the financial position of NSCJA as at 31 March 2016 and its expenditure and income for the year then ended
- preparing an explanatory foreword.

Responsibility of the appointed auditor

5. Our responsibilities, as independent auditor, are established by the Public Finance and Accountability (Scotland) Act 2000 and the Code of Audit Practice, and guided by the auditing profession's ethical guidance.
6. Auditors in the public sector give an independent opinion on the financial statements. We also review and report on the arrangements within the audited body to manage its performance, regularity and use of resources. In doing this, we aim to support improvement and accountability.

Responsibility of the Accountable Officer

7. It is the responsibility of NSCJA and the Chief Officer, as Accountable Officer (appointed by Scottish Ministers), to prepare the financial statements in accordance with the Management of Offenders etc. (Scotland) Act 2005 and directions signed by Scottish Ministers. This means:
 - acting within the law and ensuring the regularity of transactions by putting in place appropriate systems of internal control

Format of the accounts

8. Community justice authorities are required to prepare accounts in line with the Scottish Government Justice Directorate's Guidance Note Four: Management Statement/Financial Memorandum. This memorandum states that the accounts should be prepared in line with the Code of Practice on Local Authority Accounting in the United Kingdom.

Audit Approach

Our approach

9. Our audit approach is based on an understanding of the characteristics, responsibilities, principal activities, risks and governance arrangements of NSCJA. We also consider the key audit risks and challenges in the local government sector generally.

This approach includes:

- understanding the business of NSCJA and the risk exposure which could impact on the financial statements
- assessing the key systems of internal control, and considering how risks in these systems could impact on the financial statements
- identifying major transaction streams, balances and areas of estimation and understanding how NSCJA will include these in the financial statements
- assessing and addressing the risk of material misstatement in the financial statements
- determining the nature, timing and extent of the audit procedures necessary to provide us with sufficient audit evidence as to whether the financial statements give a true and fair view.

10. We have also considered and documented the sources of assurance which will make best use of our resources and allow us

to focus audit testing on higher risk areas during the audit of the financial statements. The main areas of assurance for the audit come from planned management action and reliance on systems of internal control. Planned management action being relied on for 2015/16 includes:

- comprehensive closedown procedures for the financial statements accompanied by a timetable issued to all relevant staff
- clear responsibilities for preparation of financial statements and the provision of supporting working papers
- delivery of unaudited financial statements to agreed timescales with a comprehensive working papers package
- completion of the internal audit programme for 2015/16.

11. Auditing standards require internal and external auditors to work closely together to make best use of available audit resources. We seek to rely on the work of internal audit wherever possible and as part of our planning process we carry out an early assessment of the internal audit function. Internal audit is provided by the internal audit section within Renfrewshire Council. Overall, we concluded that the internal audit service operates in accordance with Public Sector Internal Audit Standards (PSIAS) and has sound documentation standards and reporting procedures in place.

12. In respect of our wider governance and performance audit work we plan to review the findings of internal audit work on performance management arrangements.

13. The s27 grant claim for each participating council is audited by the respective council's auditors and we consider the results from the audit certificates.

Materiality

14. Materiality can be defined as the maximum amount by which auditors believe the financial statements could be misstated and still not be expected to affect the decisions of users of financial statements. A misstatement or omission, which would not normally be regarded as material by amount, may be important for other reasons (for example, the failure to achieve a statutory requirement or, an item contrary to law). In the event of such an item arising, its materiality has to be viewed in a narrower context; such matters would normally fall to be covered in an explanatory paragraph in the independent auditor's report.

15. We consider materiality and its relationship with audit risk when planning the nature, timing and extent of our audit and conducting our audit programme. Specifically with regard to the financial statements, we assess the materiality of uncorrected misstatements both individually and collectively.

16. Based on our knowledge and understanding of NSCJA we have set our planning materiality at £105,000 (one per cent of gross expenditure).

17. We set a lower level, known as performance materiality, when defining our audit procedures. This is to ensure that uncorrected and undetected audit differences do not exceed our planning

materiality. This level depends on professional judgement and is informed by a number of factors including:

- extent of estimation and judgement within the financial statements
- nature and extent of prior year misstatements
- extent of audit testing coverage.

18. For 2015/16 performance materiality has been set at £79,000. We will report, to those charged with governance, all misstatements identified which are greater than £1,000.

Reporting arrangements

19. To support the efficient use of resources it is critical that a timetable is agreed with us for the production of the unaudited accounts. An agreed timetable is included at Exhibit 1 below which takes account of submission requirements and planned NSCJA dates.

Exhibit 1: Financial statements audit timetable

Key stage		Date
Consideration of unaudited financial statements by those charged with governance		10 June 2016
Latest submission date of unaudited financial statements with complete working papers package		30 June 2016

23. Planned outputs for 2015/16 are summarised at [Appendix 1](#).

Quality control

24. International Standard on Quality Control (UK and Ireland) 1 (ISQC1) requires that a system of quality control is established as part of financial audit procedures. This is to provide reasonable assurance that those professional standards and regulatory and legal requirements are being complied with and that the independent auditor’s report or opinion is appropriate in the circumstances. The foundation of our quality framework is our Audit Guide, which incorporates the application of professional auditing, quality and ethical standards and the Code of Audit Practice issued by Audit Scotland and approved by the Accounts Commission. To ensure that we achieve the required quality standards, Audit Scotland conducts peer reviews and internal quality reviews and has been subject to a programme of external reviews by the Institute of Chartered Accountants of Scotland (ICAS).
25. As part of our commitment to quality and continuous improvement, Audit Scotland will periodically seek your views on the quality of our service provision. We do, however, welcome feedback at any time and this may be directed to the engagement lead, Anne McGregor.

Independence and objectivity

26. Auditors appointed by the Accounts Commission must comply with the Code of Audit Practice. When auditing the financial statements, auditors must also comply with professional standards issued by the

Key stage	Date
Progress meetings with lead officers on emerging issues	As and when required during the audit process
Latest date for final clearance meeting	10 October
Agreement of audited unsigned financial statements, and issue of proposed Annual Audit Report which includes the ISA 260 report to those charged with governance	14 October
Independent Auditor’s Report signed	21 October 2016
Issue of final Annual Report on the Audit	31 October 2016

20. Matters arising from our audit will be reported on a timely basis and will include agreed action plans. Draft management reports will be issued to the relevant senior officer to confirm factual accuracy. A copy of all final agreed reports will be sent to the Chief Officer, Treasurer, Internal Audit and Audit Scotland’s Performance Audit and Best Value Group.
21. We will provide an independent auditor’s report to NSCJA and the Auditor General for Scotland that the audit of the financial statements has been completed in accordance with applicable statutory requirements.
22. All annual audit reports produced are published on Audit Scotland’s website: www.audit-scotland.gov.uk.

Auditing Practices Board (APB) and those of the professional accountancy bodies. These standards impose stringent rules to ensure the independence and objectivity of auditors. Audit Scotland has in place robust arrangements to ensure compliance with these standards including an annual “fit and proper” declaration for all members of staff. The arrangements are overseen by the Assistant Auditor General, who serves as Audit Scotland’s Ethics Partner.

27. Auditing and ethical standards require the appointed auditor to communicate any relationships that may affect the independence and objectivity of audit staff. We are not aware of any such relationships pertaining to the audit of NSCJA.

Audit issues and risks

Audit issues and risks

28. Based on our discussions with staff, attendance at committee meetings and a review of supporting information we have identified the following main risk areas for NSCJA. We have categorised these risks into financial risks and wider dimension risks. The financial statements issues and risks, which require specific audit testing, are summarised below and detail contained in [Appendix 2](#).

Wider dimension issues and risks

29. **Community justice re-design** - The Community Justice Scotland Bill was introduced to Parliament in May 2015 to take forward the legislative change needed to establish the new community justice model in Scotland; the bill was passed in February 2016. A new national body, Community Justice Scotland is being created, community planning partnerships (CPPS) are central to the new arrangements and the existing community justice authorities will be disestablished.
30. 2016/17 is a transition year and the plan is for community justice partners to assume their full responsibilities from 1st April 2017.
31. Current staff are assisting CPPs and Scottish Government to ensure sharing of knowledge and expertise. During a period of change and uncertainty there is a risk that NSCJA may not be fully focused on achieving its objectives.

Financial statement issues and risks

32. **Management override of controls** – Internal Standards on Auditing 240, *The Auditor's responsibilities relating to fraud in an audit of financial statements* states that audit procedures should be responsive to risks related to management override of controls. Due to the unpredictable way in which such override could occur, it is a risk of material misstatement due to fraud and thus an audit risk. We have not identified any audit issues on this in the past but each year have to address the risk. We will design and perform audit procedures to address these risks at NSCJA.

Fees and resources

Audit fee

33. Over the past four years, Audit Scotland has reduced audit fees by 24 per cent in real terms, exceeding our 20 per cent target. Due to further refinement of our audit approach we have been able to maintain audit fees for 2015/16 at the same level as last year. This represents an additional real term fee reduction of 1.6 per cent.
34. In determining the audit fee we have taken account of the risk exposure of NSCJA, the planned management assurances in place, and the level of reliance we plan to take from the work of internal audit. We have assumed receipt of a complete set of unaudited financial statements and comprehensive working papers package by 20 June 2016.
35. The agreed audit fee for the 2015/16 audit of NSCJA is £4,375. Our fee covers:
- the costs of planning, delivering and reporting the annual audit including auditor's attendance at committees
 - a contribution towards functions that support the local audit process (e.g. technical support and coordination of the National Fraud Initiative), support costs and auditors' travel and subsistence expenses.
36. Where our audit cannot proceed as planned through, for example, late receipt of unaudited financial statements or being unable to take

planned reliance from the work of internal audit, a supplementary fee may be levied. An additional fee may also be required in relation to any work or other significant exercises outwith our planned audit activity.

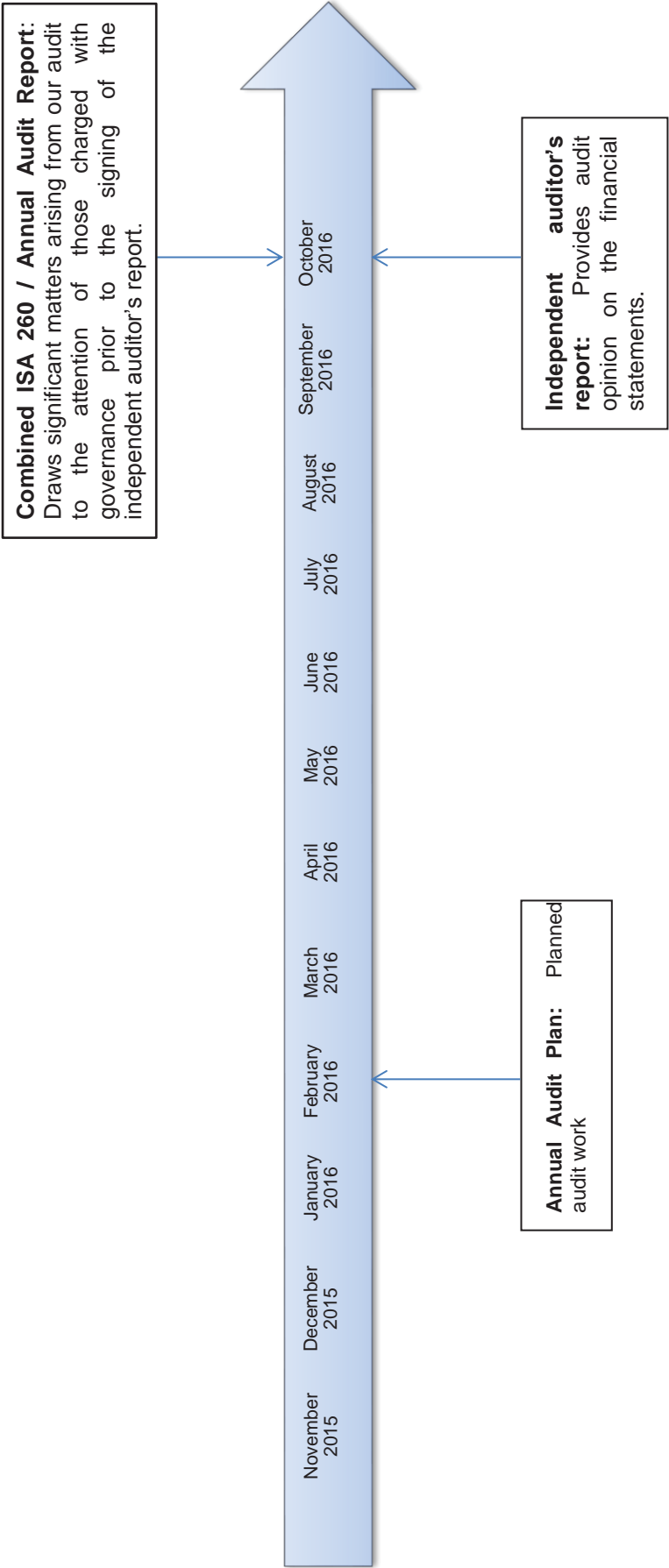
Audit team

37. Anne McGregor, Senior Audit Manager is your appointed auditor. The local audit team will be led by Andrew Kerr who will be responsible for day to day management of the audit and who will be your primary contact. Details of the experience and skills of our team are provided in Exhibit 2. The core team will call on other specialist and support staff as necessary.

Exhibit 2: Audit team	
Name	Experience
Anne McGregor Senior Audit Manager	Anne has over 16 years experience of public sector audit after working in the private sector for eight years. Her public sector audit experience includes central and local government and she has been involved in a number of business improvement projects within Audit Scotland
Kenneth McFall Senior Auditor	Kenny has 14 years experience of public sector audit with Audit Scotland, covering local government, central government and health sectors. Kenny leads on the audit of Renfrewshire Council and provides a link to the audit work on Renfrewshire Council financial systems.
Andrew Kerr Professional Trainee	Andrew joined Audit Scotland in 2013 as a professional trainee auditor and is working towards the ICAS professional qualification. Andrew is involved in the audit of a number of local government and central government bodies.

Appendix 1: Planned audit outputs

The diagram below shows the key outputs planned for NSCJA for 2015/16.



Appendix 2: Significant audit risks

The table below sets out the key audit risks, the related sources of assurance received and the audit work we propose to undertake to address the risks during our audit work.

#	Audit Risk	Source of assurance	Audit assurance procedure
Wider dimension issues and risks			
1	<p>Community justice re-design</p> <p>CJAs will cease to exist on March 2017 following a transition year when CPPs will take on duties. Current staff are assisting CPPs and Scottish Government to ensure sharing of knowledge and expertise. There is a risk that NSCJA may not be fully focused on achieving its objectives.</p>	<ul style="list-style-type: none"> NSCJA working to 2015-16 action plan. Chief Officer provides quarterly performance reports to members, which includes updates on supporting transition. CJA Disestablishment Group and CPP Transitions group in place to ensure that knowledge transferred and to support practical arrangements. NSCJA working with partner authorities on agreeing future roles/jobs of current staff. Chief Officer chairs the CJA finance officers group which is planning for final year of CJAs. Office lease extended to 31/3/17. 	<ul style="list-style-type: none"> Review the 2015/16 update on progress of objectives of area plan and comment on progress in annual report on the audit. Review financial outturn versus budget and investigate significant or unusual differences. Review updates on progress on transition to NSCJA and consider level of preparedness for comment in annual report on the audit. Enquire and investigate about dilapidation costs on lease.

#	Audit Risk	Source of assurance	Audit assurance procedure
Financial statement issues and risks			
2	Management override of controls As stated in ISA 240, management is in a unique position to perpetrate fraud because of management's ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively.	<ul style="list-style-type: none">N/A	<ul style="list-style-type: none">Detailed testing of journal entries.Review of accounting estimates for bias.Testing and evaluating significant transactions that are outside the normal course of business.

Appendix 3 – Progress on 2014/15 Audit Report Actions

Action plan

No./ para	Issue/risk/Recommendation	Management action/response	Progress to date
1.	<p>Inquire meetings</p> <p>Meetings scheduled for December 2014 and September 2015 were inquire.</p> <p><i>Risk</i></p> <p>If meetings begin to be routinely rescheduled, particularly during a period of change, there is a risk that members and officers cannot address issues raised in a timely manner, or judgements and decisions are delayed.</p> <p><i>Recommendation</i></p> <p>Chief Officer and convener will remind all members of the importance of attending all meetings.</p>	During the transition phase the Chief Officer and Convener will remind all members of the importance of attending all meetings.	In September 2015 the Convener wrote to members asking that they attend all meetings and the December 2015 meeting was quorate.

NORTH STRATHCLYDE COMMUNITY JUSTICE AUTHORITY

To: NORTH STRATHCLYDE COMMUNITY JUSTICE AUTHORITY

Date: 10 June 2016

**Report by
Chief Auditor**

INTERNAL AUDIT ANNUAL REPORT 2015/16

1. SUMMARY

- 1.1 The Public Sector Internal Audit Standards require the Chief Auditor to prepare a report, at least annually, to senior management and the Board on the internal audit activity's purpose, authority, and responsibility, as well as performance relative to its plan.
- 1.2 The annual report must also provide an annual audit opinion on the overall adequacy and effectiveness of the North Strathclyde Community Justice Authority's internal control environment.
- 1.3 The Annual Report for North Strathclyde Community Justice Authority is attached at Appendix 1 and outlines the role of Internal Audit, the performance of the Internal Audit Team, the main findings from the internal audit work undertaken in 2015/16, and contains an audit assurance statement.

2. RECOMMENDATIONS

- 2.1 Members are invited to consider and note the contents of the Annual Report.
-

North Strathclyde Community Justice Authority Internal Audit Annual Report 2015-2016

**Finance & Resources
Internal Audit**

June 2016

North Strathclyde Community Justice Authority

Internal Audit Annual Report 2015/2016

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6.	Audit Assurance Statement	5

**North Strathclyde Community Justice Authority
Internal Audit Annual Report**

1 April 2015 – 31 March 2016

1. Introduction

- 1.1 As host Authority, Renfrewshire Council provides an internal audit service to North Strathclyde Community Justice Authority. This includes:
- The compilation of an annual audit plan following consideration and evaluation of those areas of greatest risk in the organisation's operation, and consultation with the Chief Officer, North Strathclyde Community Justice Authority
 - Delivery of the planned audit assignments
 - Follow up of previous audit recommendations
 - Provision of any ongoing advice and support on audit and risk management related matters.
 - Provision of an Annual Report and Assurance Statement, and presentation to elected members at the board of North Strathclyde Community Justice Authority
- 1.2 The Service operates in accordance with the Public Sector Internal Audit Standards which defines Internal Audit's role as:
- “.....an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.”
- 1.3 In line with the Standards, the purpose of this Annual Report is to report on:
- The outcome of the planned Internal Audit reviews 2015/16 relating to North Strathclyde Community Justice Authority;
 - The outcome of Internal Audit reviews of supporting Renfrewshire Council corporate systems;
 - Internal audit performance ;
 - Planned audit work for 2016/17
 - The annual assurance statement which provides an opinion on the overall adequacy and effectiveness of the Authority's internal control environment.

2. Responsibilities of Management and Internal Audit

- 2.1 It is the responsibility of management to ensure that the areas under their control are adequate and effective and that there is a sound system of internal

control which facilitates the effective exercise of the organisation's functions and which includes arrangements for the management of risk.

- 2.2 Internal Audit is not a substitute for effective control exercised by management as part of their responsibilities. Internal Audit's role is to independently assess the adequacy of the risk management, internal controls and governance arrangements put in place by management and to undertake sufficient work to evaluate and conclude on the adequacy of those controls for the period under review.

3. Internal Audit Activity during 2015/2016

- 3.1 One specific review was undertaken during 2015/16, in relation to the governance arrangements in place within the authority. The main findings in relation to this review is summarised in table 1 below:

Table 1

Audit Area	Conclusion
Governance Arrangements	<ul style="list-style-type: none">• Reasonable Level of Assurance• NSCJA governance arrangements are operating well, however there have been instances of inquorate meetings. Recommendations have been made, to address this issue, so that key information may be conveyed and timely decisions reached especially in this transition period.

- 3.2 The Annual Report for 2014/2015 was submitted to the Authority on 12 June 2015.
- 3.3 There were no outstanding internal audit recommendations which required to be followed up in 2015/16.
- 3.4 Internal Audit also carried out reviews of the main corporate systems operating within Renfrewshire Council which support the Authority's activity. The main findings in relation to these are summarised in table 2 below and Renfrewshire Council management have agreed to implement the audit recommendations made in relation to each review:

Table 2

Audit Area	Conclusion
Payroll	<ul style="list-style-type: none"> • Satisfactory Level of Assurance • No key risks were identified. A few good practice recommendations were made, which once implemented, will strengthen the overall effectiveness of internal control.
Corporate Governance (Review of adequacy and effectiveness)	<ul style="list-style-type: none"> • Satisfactory Level of Assurance • Internal Audit have reviewed the adequacy and effectiveness of the Code and confirmed that the Council complies with the requirements of the Local Code of Corporate Governance. In addition, it is evident that the Local Code has been subject to review and updating in line with national guidance and developments in best practice.
Insurance	<ul style="list-style-type: none"> • Reasonable Level of Assurance • Key risks related to closer monitoring arrangements with the external claims handlers and formalisation of the roles and responsibilities in relation to potential fraud.
Procurement & Creditors (Corporate Purchase Cards)	<ul style="list-style-type: none"> • Reasonable Level of Assurance • The key risks relate to record keeping and roles and responsibilities in relation to some areas require to be clarified. It has been recommended that a working group is established to review procedures.
Authorised Signatories	<ul style="list-style-type: none"> • Reasonable Level of Assurance • The majority of transactions tested were appropriately authorised. Recommendations were made to ensure that the database is brought up to date in relation to changes in service personnel and

	to restrict authorisations to appropriate levels of staff that have sufficient knowledge both of the operational requirement for the provision of the goods/services concerned and of the need for proper certification and control.
Corporate Governance (Employee Code of Conduct)	<ul style="list-style-type: none"> • Reasonable Level of Assurance • The employee code of conduct is currently being revised. Recommendations were made in relation to ensuring all employees sign for the revised code and there is a process to ensure on-going awareness.

4. Review of Internal Audit Performance

- 4.1 Internal Audit produces regular reports on its performance during the year against a range of measures set annually by the Director of Finance and Resources. These are set out in the following table.

Table 3

Internal Audit Performance 2015/16		
Performance measure	Target 2015/16	Actual 2015/16
% of audit assignments completed by target date	95%	96.9%
% of audit assignments completed within time budget	95%	97.7%
% of audit reports issued within three weeks of completion of audit field work	95%	99.3%
% completion of audit plan for the year*	95%	95.1%

* this measures the completion percentage as at 31 March. 100% of the plan is ultimately delivered through the finalisation of the outstanding elements in the new financial year.

The figures in table 3 show that all targets have been achieved.

- 4.2 The Chief Auditor is required to develop and maintain a quality assurance and improvement programme that covers all aspects of the internal audit including conformance with the standards. The Chief Auditor is currently undertaking a

self assessment exercise in preparation for the planned external quality assessment due to commence in May 2016.

4.3 External Audit

External Audit's review of the internal audit service concluded that the internal audit service operates in accordance with the Public Sector Internal Audit Standards (PSIAS) and has sound documentation standards and reporting procedures in place.

4.4 Customer Service

Internal Audit issues customer satisfaction surveys at the conclusion of assignments. These measure the level of satisfaction with the way in which the audit was conducted and with the audit report's findings and recommendations. A total of 14 surveys had been issued during the 2015/16 year, and 8 were returned. Returned survey forms showed that 100% of auditees were satisfied with the service provided against a target of 100%.

4.5 Risk Management

The responsibility for co-ordinating risk management activity across the council and its associated bodies lies with internal audit. Risk management performance is detailed in Renfrewshire Council's risk management annual report.

5. Planned Work for 2016/17

- 5.1 Following a risk based assessment of the activities of North Strathclyde Community Justice Authority, the audit plan provides for ad-hoc advice, reactive investigative work, follow-up of previous audits and risk management advice.
- 5.2 An annual report for 2015/2016 will also be provided to the Authority.

6. Audit Assurance Statement

- 6.1 Internal Audit has performed its work in accordance with the role defined in paragraph 1.2. The audit work performed has been reported to the Chief Officer, and to the board in this annual report. Where areas for improvement in internal control have been identified appropriate recommendations have been made, and accepted for action by management.
- 6.2 In view of the continued challenges common to all public bodies, there will be a requirement for the council and the bodies for which it is host authority to exercise very close scrutiny over both revenue and capital spend, and both areas will continue to receive due internal audit attention.

- 6.3 It is not feasible for the system of internal control to be without any weakness. It is important to balance the risks involved in accepting systems limitations with the consequences if a problem emerges. Internal Audit recognises this and assesses this in its reporting mechanism.
- 6.4 In this context, it is considered that reasonable assurance can be placed upon the adequacy and effectiveness of North Strathclyde Community Justice Authority's internal control, risk management and governance arrangements, as evidenced by:-
- The results of the audit work in 2015/16 in relation to the corporate systems which supported North Strathclyde Community Justice Authority's activities, and to specific work carried out in relation to those activities.
 - Management action in response to audit recommendations.
 - The regular review and updating of the Local Code of Corporate Governance by the Council in accordance with the CIPFA/SOLACE framework for corporate governance requirements, and of the corporate governance arrangements within North Strathclyde Community Justice Authority.

Signed

Chief Auditor

Date 10 June 2016