

Scottish Charity Regulator

Annual Corporate Governance Review November 2018



Governance Principle

Good governance means focusing on the organisation's purpose and on outcomes for citizens and service users.

OSCR Evidence

- Our 2018-19 Business and Operational Plans detail the specific pieces of work we carry out to deliver the strategic goals listed in our Corporate Plan, together with the timings associated with delivery.
- Our board consider how best to monitor, evaluate and communicate the impact and effectiveness of what we do, as part of their ongoing business. Our targeted, risk based approach to regulation has been embedded in revised processes and structures.
- During 2018 our Board and Audit Committee initiated a strategic review process, focused on developing and articulating a clear vision for OSCR over the coming years.
- We publish monthly performance statistics on our website, and our Annual Review document summarises our overall operational performance in an easily digestible format.
- We value and actively seek input and feedback from customer stakeholders, consulting on guidance, operational and policy changes whenever possible.
- We arrange briefing sessions for our Board and staff at which an external speaker presents and takes questions on a topic of relevance to the sector and/or OSCR as regulator.
- We are committed to digital delivery, and almost all charities now complete and submit their annual returns online. Our online status application functionality will go live in 2018-19 following user testing.
- We are keen to work in an open and transparent manner, and our Board Meetings have been held in public since April 2018.



Governance Principle

Good Governance means performing effectively in clearly defined functions and roles.

OSCR Evidence

- OSCR's Board provides a clear strategic overview and their effectiveness is reviewed annually, using Scottish Government guidance.
- The Board receive performance and financial information relating to our operational activities at each of their meetings. Members carry out a robust analysis of this information.
- All Board Members were appointed using the Public Appointments System and each Member is subject to an annual performance appraisal by the Chair.
- Our Audit Committee has a clear remit delegated from the Board, to whom feedback on meetings and discussions is provided. In addition, the audit committee provide an annual formal report to the Board.
- As part of the annual external audit remit, a review of corporate governance arrangements takes place. The outcome of this review is reflected in the annual assurance award.
- All OSCR staff have personal workplans, targets and learning plans, which are monitored both formally and informally throughout the year, in accordance with the Scottish Government Performance Management framework.
- We have a Framework Agreement with the Scottish Government which details reporting, accountability and service delivery arrangements. The Agreement is subject to a review schedule.
- We also have strategic Agreements in place with other key partners which outline how we will work effectively together.



OSCR Governance Review 2018

Governance Principle

Good Governance means promoting values for the whole organisation and demonstrating the values of good governance through behaviour.

OSCR Evidence

- Our Board Members follow the Standards Commission Code of Conduct. Member Registers of Interest are regularly updated (routinely every 6 months) and are published on our website.
- All OSCR staff complete a Register of Interest form and ICT Code of Conduct, annually.
- Most of the information we collect about charities is available for re-use in accordance with our open data practice. A copy of our Register of charities is available for download from our website.
- All staff receive Equality and Diversity training and staff and board members also undertake online information security training annually.
- We use the Public Service Information Framework (PSIF) model to identify concerns and develop a corporate improvement plan for all staff. We are also working towards securing Healthy Working Lives accreditation.
- Minutes from Board meetings are published on our website, and since April 2018 Board Papers have also been published.



OSCR Governance Review 2018

Governance Principle

Good governance means taking informed, transparent decisions and managing risk.

OSCR Evidence

- We have a clear schedule of Delegated Authority between the Board and staff and clear procedures in respect of decision making, quality assurance and review processes.
- Our corporate Risk Register which informs the internal and external audit remits is regularly reviewed and updated by our SMT, Audit Committee and Board.
- Key systems and processes are reviewed on an annual basis by internal audit, and we have a Business Continuity Plan which is tested periodically.
- Management Accounts are prepared each month and considered by our SMT; and regular financial returns are made to the Scottish Government throughout the year.
- A number of our staff members have received accredited Project Management training, and a structured, consistent approach to project work is followed.
- Our Audit Committee considers cyber resilience periodically, with a view to maximising information and system security and minimising the risk and/or impact of cyber threats.

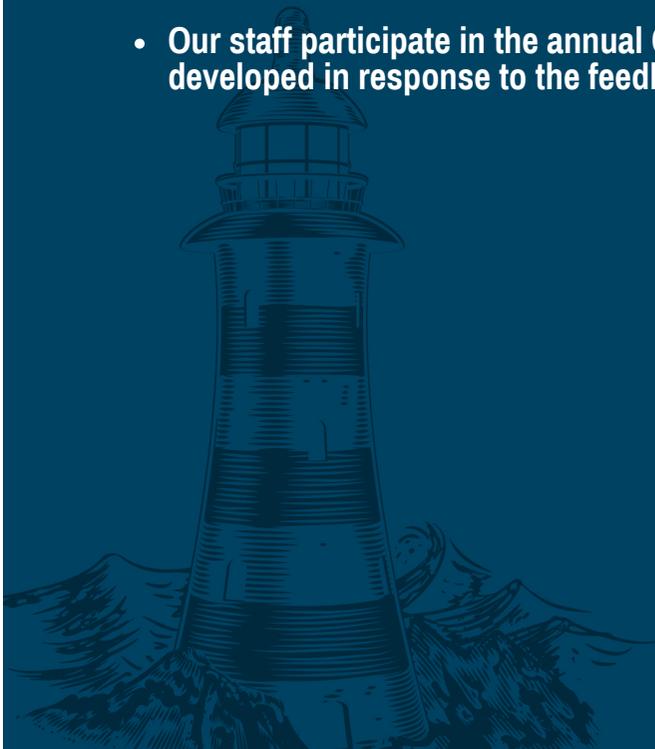


Governance Principle

Good governance means developing the capacity of the governing body to be effective.

OSCR Evidence

- Board members and staff performance are appraised annually.
- Staff developmental needs are considered and identified on a monthly basis; and Board member learning requirements are formally reviewed annually.
- Through Board and staff attendance at Strategic awareness raising sessions, key issues and interdependencies are explored including considering the most effective and appropriate corporate response.
- A skills audit of Board members has taken place, and is used to inform the recruitment and selection process for new appointments.
- In addition to the Personal Learning Plan which each staff member has, an annual corporate learning plan is prepared and delivered.
- Board members participate in member training events, co-ordinated by the Scottish Government. These events provide an ideal opportunity to share ideas and network with members from other public bodies.
- A 'Horizon Scanning' discussion takes place at the start of each Board meeting, to identify key issues affecting charities and OSCR, and consider how to respond effectively.
- Our staff participate in the annual Civil Service people survey, and an Improvement Plan is developed in response to the feedback/results.



Governance Principle

Good governance means engaging stakeholders and making accountability real.

OSCR Evidence

- We consult with stakeholders in respect of guidance and policy development and implement external user groups as appropriate e.g. targeted regulation, change of legal form guidance.
- We develop an annual Engagement Strategy which details how we will work with stakeholders throughout the year.
- We hold Meet the Regulator events throughout Scotland and are active participants in Trustees Week.
- We conduct stakeholder surveys every two years, and use the results to inform our activities as reflected in our annual business and operational plans.
- Our Annual Report and Accounts is laid before the Scottish Parliament and published on our website.
- We communicate with Stakeholders using social media and several thousand followers on Twitter.
- We have a whistleblowing policy for staff.
- We have undertaken a Digital Maturity Assessment to inform the expansion of web based customer service delivery.
- As part of our consideration of service complaints, we identify whether there are procedural changes which could be introduced to improve service and prevent the issue from recurring.

