Foreword from Gayle Gorman, HM Chief Inspector of Education/Chief Executive of Education Scotland

This Framework Document outlines how Education Scotland operates, its relationship with Scottish Ministers and the Scottish Government. It outlines the broad basis on which the Agency operates, setting out our vision and objectives, our accountabilities, our approach to our people and other organisational matters.

As an Executive Agency of the Scottish Government, Education Scotland continues to focus on adding value to learning, teaching and assessment to deliver a continuous cycle of improvement for all of Scotland’s learners and teaching professionals. All our activities, including a move to regional working, fully support the Scottish Government’s desire to ensure excellence and equity across our nation’s education system and we are fully committed to working closely and collaboratively with all involved to continue to improve Scotland’s education system. Working together we will deliver a positive impact for all learners and educators across Scotland.

Gayle Gorman
HM Chief Inspector of Education/Chief Executive of Education Scotland
## Contents

Foreword from Gayle Gorman, HM Chief Inspector of Education/Chief Executive of Education Scotland 1

1. Role and status of the Agency 3

2. The Vision, Mission, Values and Strategic Priorities of the Agency  3
   - Our Vision 3
   - Our Mission 3
   - Our Values 4
   - Our Strategic Priorities 4

3. National Policy Context 4

4. Roles, responsibilities and relationships 5
   - Scottish Ministers 5
   - Director General Education, Communities and Justice 5
   - Chief Executive 6
   - Role of the Strategic Director for Scrutiny 7
   - Advisory Board and Non-Executive Board Members 8

5. Accountability 9
   - Accountable Officer arrangements 9
   - Parliamentary Committee attendance 9
   - Arrangements for dealing with Parliamentary Correspondence 9
   - Complaints process and the Ombudsman 9
   - Freedom of Information 9

6. Financial regime 10
   - Fraud 10
   - Arrangements for audit 10
   - Audit and Risk Committee 10
   - Annual Report and Accounts 11

7. Corporate and Business Planning 11
   - Business and corporate plans 11
   - Risk Management 11
   - Organisational security and resilience 12

8. Other management arrangements, including pay policy and Human Resources 12
   - Appointing the Chief Executive 13
   - Relationship with stakeholders and other bodies 13

9. Sponsorship Role 13

10. Framework Document - arrangements for review and publication 13

Annex A: Financial Delegations 14
Annex B: Appointing Non-Executives 15
Annex C: Scottish Government Resources 16
1. Role and status of the Agency

1.1 Education Scotland was established on 1 July 2011 as an Executive Agency of the Scottish Government with responsibility for supporting quality and improvement in Scottish education and thereby securing the delivery of better learning experiences and outcomes for Scottish learners of all ages.

1.2 Since then, the launch of ‘Education Governance: Next Steps - Empowering Our Teachers, Parents and Communities to Deliver Excellence and Equity for Our Children’ in June 2017 set out a significantly enhanced role and purpose for Education Scotland, including our move to regional working. It gives the Agency a strengthened scrutiny and inspection function and a renewed focus on professional learning and leadership, providing clarity and coherence to the regional and national landscape.

1.3 As an Executive Agency, Education Scotland operates impartially while remaining directly accountable to the Scottish Ministers for its performance and use of public funds. This status safeguards its independence for inspection, review and reporting within the overall context of the national Performance Framework. This document sets out the broad framework within which the Agency operates. It sets out:

- the role, purpose and key functions of the Agency;
- the roles and responsibilities of the key people involved including Scottish Ministers, the Chief Executive, the Director-General Education, Communities and Justice;
- accountabilities – to the public through Scottish Ministers and the Scottish Parliament, and detailed financial accountability mechanisms;
- management arrangements – the Chief Executive’s delegated authority and performance management arrangements;
- relationships with other bodies; and
- how amendments to this Framework Document will be made and agreed.

2. The Vision, Mission, Values and Strategic Priorities of the Agency

Our Vision

- Achieving excellence and equity for Scotland’s learners with Scotland’s educators.

Our Mission

To work collaboratively with all stakeholders involved in Scottish education to secure sustained improvement in achievement and attainment for all learners, closing the poverty-related attainment gap and securing positive and sustained destinations for all learners regardless of their age and where the learning takes place.
Our Values

- **Respect**
  - Treat all people with dignity, courtesy and respect
  - Recognise and respect individual differences
  - Recognise and use the strengths, skills and abilities of all

- **Integrity**
  - Demonstrate the highest professional standards of behaviour
  - Build trust with all those we engage with
  - Be open and transparent in our decision-making

- **Creativity**
  - Work with others to explore new and different ways to do things better
  - Promote and develop creative thinking and creative skills
  - Inspire, innovate, transform

- **Excellence**
  - Support all learners in Scotland to achieve their highest aspirations
  - Demonstrate excellence in all we do
  - Develop and lead internationally recognised practice

2.1 We also model the wider Civil Service values of integrity, honesty, objectivity and impartiality.

Our Strategic Priorities

2.2 In delivering our vision for education in Scotland, we have identified the following strategic priorities:

- A strong focus on learning, teaching and leadership
- National collaborative professional learning networks
- Getting It Right For Every Child
- Best use of high quality evidence
- Effective partnerships.

3. National Policy Context

3.1 In June 2018, the Scottish Government published its revised National Performance Framework (NPF), setting out the purpose of government and the strategic priorities. As an Executive Agency of Scottish Government, Education Scotland makes every effort to support and to align its aims to contribute to this and the National Outcomes described within.

3.2 In addition, Education Scotland also has a key role to play in delivery of the National Improvement Framework, launched on 6 January 2016. The Framework sets out a vision for education in Scotland based on achieving excellence and equity for all learners, regardless of social background and circumstances. It sets out four key priorities:
• Improvement in attainment, particularly in literacy and numeracy;
• closing the attainment gap between the most and least disadvantaged children;
• improvement in children’s and young people’s health and wellbeing; and
• improvement in employability skills and sustained, positive school leaver destinations for all young people.

3.3 The Agency contributes to The National Improvement Framework through a joint approach with the Learning Directorate in Scottish Government.

4. Roles, responsibilities and relationships

**Scottish Ministers**

4.1 Scottish Ministers set the strategic objectives for the education system in Scotland and are responsible for setting the policy and resources framework within which the Agency operates and, ultimately, are accountable to the Parliament for its functions and performance. They will not, however, intervene in the day-to-day management of the Agency.

4.2 Responsibilities of Scottish Ministers include:

• holding the Chief Executive to account for the performance of the Agency;
• setting the budget for the Agency;
• agreeing the Agency’s strategic objectives and related performance targets;
• agreeing corporate and business plans;
• receiving the annual report and audited financial accounts from the Chief Executive; and
• approving this Framework Document and any revisions to it.

**Director General Education, Communities and Justice**

4.3 The Director General for Education, Communities and Justice, as Portfolio Accountable Officer exercises a leadership and management oversight role towards the Agency. He provides support and constructive challenge to the Chief Executive at a strategic level to ensure that the Agency is performing in a manner that delivers good governance standards and appropriate accountability. He is also a key source of external advice for Ministers on the strategic role and direction of role of the Agency in the context of the government’s overall policy objectives. His responsibilities include:

• supporting Ministers in the discharge of their duties towards the Agency, including agreeing the Agency’s strategic objectives and related performance targets and outcomes; agreeing the corporate and business plans; and setting an appropriate budget, in discussion with the Chief Executive;
• advising Ministers in relation to the Agency’s performance;
• supporting the relationship between Chief Executive and Ministers;
• ensuring that the Agency’s objectives and performance contribute to and are aligned to the Government’s Purpose and National Outcomes, while respecting the independent nature of the Agency’s role;

• ensuring that there is a clear framework for strategic performance improvement and management of the Agency’s work; providing support and constructive challenge to ensure that the Agency is high performing and continuously improving; and ensuring that operational accountability is being exercised properly;

• monitoring the financial, performance, operational effectiveness and risk arrangement arrangements of the Agency, seeking clarification on any matter as and when required;

• approving matters not covered by the delegated authority arrangements set out in this Framework Document, including specific requests from the Chief Executive for approval of spending which exceeds authority levels;

• promoting integration and organisational alignment between Education Scotland and the Scottish Government, where appropriate, e.g. by involving the Agency Chief Executive within portfolio management arrangements; holding regular meetings with the Chief Executive; ensuring the Chief Executive is aware of Scottish Government-wide strategic developments and corporate decisions impacting on the Agency; and ensuring that the position of the Agency is taken into account in relevant Scottish Government policy decisions;

• ensuring that the broad distribution of roles and functions between the Agency and relevant policy directorates within the Director General family is clear, efficient and effective;

• representing the interests of the Agency within the wider Scottish Government, ensuring the Scottish Government has due regard for the advice provided by the Agency and where necessary, ensuring that appropriate Scottish Government-wide corporate services are available to support and facilitate the work of the Agency; and

• appointment and performance appraisal of the Chief Executive;

4.5 The Director General may seek relevant business information from the Agency but he will not intervene in its day-to-day management.

Chief Executive

4.6 The role of the Chief Executive also encompasses the roles of both HM Chief Inspector of Education and Chief Adviser for Education in Scotland. As such, the Chief Executive is wholly responsible for progress towards and achievement of the Agency’s strategic priorities, its performance and for planning its future development. Responsibilities include:

• being Accountable Officer for the management of the Agency’s operating budgets and resources; ensuring that all relevant financial considerations and Scottish Government guidance, including issues of propriety, regularity, efficiency and value for money, are taken into account in delivering the Agency’s business;

• being personally answerable for the efficient and effective operation and financial management of the Agency and for performance against key targets, and ensuring that the Agency is a high performing and continuously improving organisation;

• ensuring that the Agency is taking steps to improve operating efficiency, consistent with the principles of Best Value, including through participation in collaborative procurement and shared services arrangements;
• preparing and publishing the Agency’s annual reports, accounts, corporate and business plans; ensuring that these reflect Ministerial priorities and reporting to the Director General for Education, Communities and Justice, as Portfolio Accountable Officer, any novel or contentious issues;

• ensuring that effective arrangements are in place to provide assurance on risk management (including in respect of personnel, physical and cyber risks/threats/hazards), governance and internal control;

• replying to correspondence from MSPs on operational issues within the Agency’s responsibilities and supporting Ministers by preparing Ministerial briefing and responses to Ministerial correspondence and Written or Oral Parliamentary Questions;

• providing independent professional advice, information and evidence, as HM Chief Inspector of Education and Adviser for Education, to Scottish Ministers, relevant Scottish Government directorates and key national and regional bodies including those responsible for funding, policy development, management, quality and delivery of education; informing policy and ensuring that the Agency works collaboratively with the Scottish Government and its policy directorates to support progress towards both the Government’s purpose and national outcomes as set out in the National Performance Framework and the National Improvement Framework and Plan;

• determining the scale and priorities of the Agency’s inspection and scrutiny programme to ensure that it fulfils the Agency’s strategic priorities, in agreement with the Cabinet Secretary for Education and Lifelong Learning, who may also commission specific inspection and scrutiny activity through the Chief Executive;

• management and development of the Agency’s staff;

• ensuring that the Director General Education, Communities and Justice receives the advice, information and assurance needed to discharge his responsibilities in relation to the Agency; and

• keeping the content of this Framework Document under review, discussing changes with the Director General Education, Communities and Justice.

Role of the Strategic Director for Scrutiny

4.7 The Chief Executive is responsible for appointing the Strategic Director for Scrutiny. The role of the Strategic Director for Scrutiny is crucial in maintaining stakeholder confidence in the integrity and impartiality of the Scottish scrutiny model. The Strategic Director for Scrutiny is acknowledged by the Cabinet Secretary for Education and Lifelong Learning, the Director-General for Education, Communities and Justice, the Chief Executive and the Advisory Board of Education Scotland as having a custodian and protective role for ensuring Education Scotland operates openly and impartially when carrying out its inspection and scrutiny obligations. The Strategic Director for Scrutiny is therefore acknowledged as having a distinct and separate role to the Chief Executive.

4.8 The Strategic Director for Scrutiny will:

• publish, monitor and promote implementation of an appropriate Code of Practice for inspection, currently known and published as the Standards and Evaluation Framework;

• publish an annual programme of inspections;

• ensure the presence of an appropriate complaints procedure in relation to inspections and review and oversee its operation, acting as the most senior internal adjudicator;
• report quarterly to the Leadership Team and Advisory Board on performance and activity and staffing levels;

• report annually to the Agency’s Audit and Risk Committee on the programme of inspection activity; including the outcome of complaints;

• take overall responsibility for the integrity of the inspection analysis, feeding into any national reports summarising the findings of inspections and reviews; and

• act as the Head of Profession for HM Inspectors of Education, who are a designated specialist professional group within the Scottish Government.

4.9 The Strategic Director for Scrutiny has free and confidential direct access to Ministers and the Director General for Education, Communities and Justice and vice versa. It is expected, however, that exercise of this right will be on an exceptional basis.

Advisory Board and Non-Executive Board Members

4.10 The Chief Executive is also supported by an Advisory Board. The Advisory Board’s role is to provide advice to the Chief Executive about discharging her functions.

4.11 The Advisory Board is made up of a balance of Executive and Non-Executive members, as determined by the Chief Executive. The Non-Executive Board Members are appointed by the Chief Executive to bring an independent, external perspective to the work of the Agency and are subject to annual performance review by the Chief Executive. There are currently six Non-Executive Board Members.

4.12 The Non-Executives have the right of access to the Director General for Education, Communicates and Justice, as the Accountable Portfolio Officer, and vice versa.

4.13 The role of the Non-Executives includes:

• constructively challenging and contributing to the development of strategy, suggesting ambitious and customer-focused targets and innovative approaches for delivery;

• scrutinising the performance of management in meeting goals and objectives and monitoring the reporting of performance; and

• satisfying themselves of the reliability and integrity of risk management and internal control arrangements.

4.14 The Chief Executive may also establish any other corporate committees that may be required to discharge the Agency’s responsibilities and functions. This includes the Agency’s Audit and Risk Committee which is Chaired by a Non-Executive and which is wholly independent of Management. (see page 11 for information on the Audit and Risk Committee).
5. Accountability

Accountable Officer arrangements

5.1 The Permanent Secretary of the Scottish Government (Scottish Government) is the Principal Accountable Officer for the Scottish Administration and is responsible for designating, under section 15 of the Public Finance and Accountability (Scotland) Act 2000, the Chief Executive as the Agency’s Accountable Officer.

5.2 The Director General for Education, Communities and Justice is the Portfolio Accountable Officer for the budget from which Education Scotland is funded.

5.3 Accountable Officers have personal responsibility to Parliament for the propriety and regularity of the public finances for which they have stewardship.

Parliamentary Committee attendance

5.4 The Chief Executive, as Accountable Officer for the Agency and/or HM Chief Inspector of Education and Adviser for Education, may be called to appear before Committees of the Scottish Parliament, including the Public Audit and Post-legislative Scrutiny Committee, to account for the discharge of her responsibilities under the terms of this Framework Document. She is also responsible for putting into effect any relevant recommendations of any Committee of the Scottish Parliament which are accepted by Scottish Ministers.

Arrangements for dealing with Parliamentary Correspondence

5.5 Scottish Ministers will encourage MSPs to communicate directly with the Agency Chief Executive on operational matters within her authority. The Chief Executive will also provide any necessary information to support the answer of Parliamentary Questions and/or deal with any other Parliamentary business for which the Agency is responsible.

Complaints process and the Ombudsman

5.6 The Chief Executive is responsible for ensuring that an effective complaints procedure, in line with the statement of principles published by the Scottish Public Services Ombudsman (SPSO), is in place and published. Anyone not satisfied with the way the Agency has responded to a complaint may raise their concerns with the SPSO. The Chief Executive will ensure that any actions arising from investigations by the ombudsman are appropriately and promptly addressed.

Freedom of Information

5.7 The Chief Executive is responsible for ensuring that the Agency publishes its information in accordance with the requirements of the Freedom of Information (Scotland) Act 2000 and for handling Freedom of Information (FOI) requests in accordance with Scottish Government’s FOI policy and procedures.
6. Financial regime

6.1 The Chief Executive is responsible for ensuring that the Agency’s financial procedures comply with the requirements of the Scottish Public Finance Manual and other relevant guidance by the Finance Directorate and Scottish procurement and Commercial Directorate.

6.2 The financial delegations from the Director-General Education, Communities and Justice are set out in Annex A. These arrangements should provide the Chief Executive maximum practicable flexibility to make efficient use of the resources available to the Agency, within the context of strategic and policy objectives, and corporate plans agreed with Scottish Ministers. The delegated limits are reviewed regularly and amended where this will assist the Agency to achieve its objectives. The Chief Executive may sub-delegate authority in accordance with relevant guidance in the Scottish Public Finance Manual.

6.3 The Agency may, with the agreement of Scottish Ministers and Parliament, undertake additional services for clients outwith the Scottish Government on a repayment basis.

Fraud

6.4 Education Scotland has a zero tolerance approach to fraud. All ES staff are required at all times to act honestly and with integrity and to safeguard the public resources for which they are responsible, in line with the Civil Service Code. ES will not accept any level of fraud or corruption.

Arrangements for audit

6.5 The Scottish Government Internal Audit provides an audit service to the Agency, providing independent assurance on the adequacy and effectiveness of the systems of governance, controls and financial management within the Agency. Internal Audit having the right of access to the Agency and all its staff.

6.6 The Agency is also subject to external audit by the Auditor General for Scotland (AGS) or by Auditors appointed by AGS. This includes responsibility for auditing the Agency’s accounts.

Audit and Risk Committee

6.7 The Agency has an Audit and Risk Committee with membership and operating procedures determined by the appropriate guidance in the Scottish Public Finance Manual and the Audit Committee Handbook. The Chief Executive is responsible for appointing the members and the Chair of the Committee and for ensuring that membership is fully independent of the Management of the Agency. Three of the Non-Executive Board Members sit on the Committee and the Chief Executive may also appoint additional Independent Members. There is currently one Independent Member. The remit of the Audit and Risk Committee includes supporting the Chief Executive with regard to the efficient and effective use of expenditure and the associated responsibilities for risk, control, governance and assurance.
6.8 The Audit and Risk Committee meets a minimum of 4 times per year and is responsible for drawing any significant matters arising in this respect to the attention of the Scottish Government Audit and Risk Committee, for example, in instances where issues may depend upon factors which are beyond the control of the Agency or have implications for the operation of the Scottish Government and its public bodies more generally.

6.9 The Director General for Education, Communities and Justice, as Portfolio Accountable Officer, reserves the right to have appropriate representatives (e.g. Internal Audit) undertake any work required to provide independent assurance about the Agency’s management and control, if he or she considers it necessary.

**Annual Report and Accounts**

6.10 The Chief Executive is responsible for producing and laying before Parliament, the annual report and accounts for the Agency. The accounts are produced in accordance with the accounts direction from Scottish Ministers and the timetable for the production of the Scottish Government’s consolidated accounts each year.

6.11 The Chief Executive, as Accountable Officer, is responsible for maintaining a sound system of internal control that supports the achievement of the body’s policies, aims and objectives and for regularly reviewing the effectiveness of that system. A Governance Statement is provided by the Accountable Officer alongside the Agency’s annual report and accounts.

7. Corporate and Business Planning

**Business and corporate plans**

7.1 The Chief Executive is responsible for preparing and publishing a corporate plan covering the medium to long-term business of the Agency and an annual business plan.

7.2 The corporate and business plans are developed in consultation with internal and external stakeholders, including relevant policy directorates of the Scottish Government, and are published on the Agency website.

**Risk Management**

7.3 The Chief Executive is responsible for implementing and monitoring risk management arrangements as part of a robust corporate governance framework. This involves the active monitoring and reporting of risks: to monitor whether or not the risk profile is changing, to gain assurance that risk management governance and internal control is effective (including personnel, physical and cyber risks/threats/hazards), and to identify when further action is necessary.
Organisational security and resilience

7.4 As part of the risk management arrangements, the Chief Executive will ensure that the Advisory Board has a good understanding of the key risks, threats and hazards the Agency may face, including within the personnel, physical and cyber domains, and take action to ensure appropriate organisational resilience to those risks, threats and hazards. The Advisory Board should have particular regard to the following key sources of information to help guide its approach:

- **Having and Promoting Business Resilience (part of the Preparing Scotland suite of guidance)**
- **The Scottish Public Sector Action Plan on Cyber Resilience**

8. Other management arrangements, including pay policy and Human Resources

8.1 The Agency is part of the Scottish Government main bargaining unit and complies with the Public Sector Pay Policy for staff pay remits. This means:

- Education Scotland staff are civil servants within the Scottish Government, employed on civil service terms and conditions of service, including the Civil Service Code. They are covered by the Civil Service pensions arrangements;
- those staff employed as HM Inspectors of Education (HMI) are also appointed by Royal Warrant, which guarantees their independence;
- all staff who undertake regulated work with vulnerable people must become members of the Protecting Vulnerable Groups (PVG) Scheme;
- the Agency is responsible for the recruitment of its staff, in consultation with the Scottish Government’s People Directorate, and for ensuring that appropriate promotion arrangements are in place. Agency staff are eligible for promotion opportunities within the Scottish Government and vice versa;
- the Agency is responsible for the development of staff, drawing as necessary on Scottish Government staff development resources and activity. Professional staff will also have access to their Head of Profession (where one exists) wherever located within the Scottish Government. Professional staff career development will therefore be managed by their Head of Profession and may include managed moves across the Scottish Government and wider Civil Service;
- the Agency is responsible for promoting and supporting effective employee relations and, where appropriate, consulting with Civil Service Trades Unions in line with the overarching Partnership Agreement that exists between the Permanent Secretary and the Council of Scottish Government Unions;
- the responsibility for Health and Safety management lies with the Chief Executive, in line with current Health and Safety legislation, guidance and/or best practice;
- the Chief Executive, with regard to the requirements of efficient government and value for money, will keep the provision of support services under review as part of ensuring best value in all aspects of the Agency’s operations; and
• the Chief Executive is responsible for ensuring that the Agency complies with all statutory duties and relevant Scottish Government policies to which it is subject; including (but not limited to), procurement, FOISA, GDPR, and equalities legislation.

Appointing the Chief Executive

8.2 The Director General for Education, Communities and Justice, as Portfolio Accountable Officer, is responsible for recruiting and selecting the Chief Executive in accordance with the Scottish Government’s resourcing policy. The post will be filled by open competition either internally within the Scottish Government or by advertising externally.

8.3 The Chief Executive is a Senior Civil Servant and is subject to the Civil Service Code.

Relationship with stakeholders and other bodies

8.4 The Agency will maintain a strong focus on stakeholder communication and partnership working.

9. Sponsorship Role

9.1 Education Scotland exercises a sponsorship role on behalf of Scottish Ministers for the CLD Standards Council for Scotland and will ensure that an appropriate framework document and reporting arrangements are in place to govern accountability for the funding arrangements.

10. Framework Document - arrangements for review and publication

10.1 This Framework Document replaces the previous Framework Document from 2012. It will be reviewed every 3 years as a minimum. Changes may be proposed in the light of experience or changed circumstances. Relevant parts of the Scottish Government will be consulted on any proposed changes before they are submitted to the Scottish Ministers for approval.

10.2 Copies of this Framework Document and any subsequent changes, will be placed in the library of the Scottish Parliament and published on the Education Scotland website.
Annex A: Financial Delegations

Within agreed overall budgetary provision, and subject to the Scottish Public Finance Manual and Scottish Procurement Policy Handbook, the Chief Executive as Accountable Officer for Education Scotland has delegated authority as set out below. The Chief Executive may further sub-delegate authority to staff within the Agency but will remain accountable for decisions taken and transactions carried out under such arrangements. “Unlimited” in the context of this annex means unlimited within the agreed overall Spending Review and annual budget provisions.

| 1. Commit expenditure and authorise payments | Unlimited, apart from the items below, within the Agency’s authorised budget levels. |
| 2. Accept receipts | Unlimited, but receipts in excess of those authorised in a Budget must be surrendered to the Scottish Consolidated Fund. |
| 3. Incur contingent liabilities | Subject to prior Ministerial approval for any contingent liabilities outside the normal course of business. |
| 4. Let contracts | Unlimited apart from the items below and in accordance with EU legal requirements and the Scottish Procurement Policy Handbook |
| 5. Commission consultants | Individual contracts let by competitive procedures, up to a limit of £10,000 excluding VAT, and any follow-on work that might be expected. Consultancies between £10,000 and £50,000 must be approved by the Chief Executive. Consultancies above £50,000 must be approved by the Cabinet Secretary for Education and Life Long Learning. |
| 6. Authorise losses and special payments | Unlimited except as noted below. Up to a limit of £50,000 for the following categories: |
| | • losses of pay, allowances and superannuation arising from other causes; |
| | • losses from overpayment of grants, subsidies etc.; |
| | • losses from failure to charge adequate fees and charges; |
| | • claims waived or abandoned; and |
| | • special or ex-gratia payments |
| 7. Authorise capital expenditure | Unlimited apart from items listed below. |
| 8. Authorise capital expenditure on Information Technology | Up to a limit of £250,000 for: the basic cost of computer purchases/projects, use of the computer services industry, after which a formal business case must be made. |
Annex B: Appointing Non-Executives

Appointments are made by the Chief Executive and the procedure for appointment of Non-Executive Board Members will follow best practice in relation to public appointments:

• Before a vacancy is filled, as a minimum the following information or documents will be complied/prepared:
  • role description and realistic time commitment;
  • information about remuneration and travel expenses;
  • person specification and Agency remit;
  • an application form or expression of interest statement; and
  • where relevant, details of the application and assessment process.

• The selection process should be open, proportionate and ensure appointment on merit.

• Any potential Conflicts of Interests will be be considered as part of the recruitment process.

• Options for appointments include (but are not limited to):
  • direct approaches to individuals (useful if field is limited due to specialism);
  • seek expressions of interest;
  • contact Non-Executives serving on core Scottish Government committees or on the boards of other public bodies;
  • contact existing NDPB Non-Executives due to step down;
  • advertise in the national press;
  • advertise on www.Appointed-for-Scotland.org; or
  • hold an open evening to generate public interest in the Agency and the work of the Non-Executive Board Members.
Annex C: Scottish Government Resources

The following lists the key corporate resources that the Agency refers to, including those mentioned in this document:

- **Scottish Public Finance Manual** – sets out arrangements and requirements for all things financial including budget cycles, Accountable Officer roles (incorporating Memorandum to Accountable Officers for parts of the Scottish Administration), risk management, best value and the overall context for accountability.

- The **Public Sector Pay Policy for Staff Pay remits** – sets the framework for public sector pay. It applies to the Scottish Government and its associated departments, agencies, non-departmental public bodies (NDPBs), public corporations and NHS Scotland Senior Managers (Grades A-C only).

- The **Audit and Assurance Committee Handbook** sets out the standards and operational requirements for Audit Committees of public bodies subject to the requirements of the SPFM.

- **Civil Service Code** (SE Version) – sets out the core values of the Civil Service and the standards of conduct expected of Agency staff as civil servants.

- **Civil Service Management Code** – sets out arrangements for the management of the Civil Service as prescribed by Ministers, with which Agencies comply – the framework for appointing staff, health and safety, equal opportunities, discipline, management & development, terms and conditions and redeployment.

- Scottish Government HR Policies – sets out specific local Scottish Government HR policies with which Agencies are familiar such as the Scottish Government Resourcing Policies.

- The **Scottish Procurement Policy Handbook** sets out the fundamental rules, behaviours and standards applicable to public procurement activity in Scotland.

Date

6 January 2021