

**SCOTTISH POLICE  
AUTHORITY**

Meeting	Audit and Risk Committee
Date and Time	23 October 2014
Location	Royal Scots Club, 29-31 Abercrombie Place, Edinburgh
Title of Paper	SPA Improvement Tracker
Item Number	20
Presented By	Tom McMahon
<b>For Approval / For Information – please annotate (IN RED BOLD)</b>	<b>For Information</b>
Appendix Attached: Yes or No	Yes

**PURPOSE**

1. To provide an update to Members on the recommendations presented to SPA from a number of external reviews.
2. Members to note the proposed format for updating Members at future Committee meetings.

**BACKGROUND**

3. To date a combined update has been provided to Members, through the Audit & Risk Committee, with regard to the recommendations made within the Audit Scotland Police Reform Report. Many of those recommendations were to be taken forward jointly between SPA, Police Scotland and Scottish Government.
4. There is now an ongoing cycle of reviews, reports and recommendations which will require a response and action from SPA. It is proposed that these recommendations be collated by a single point of contact, progress tracked and updates provided for review by the Audit & Risk Committee. The first of these updates from SPA is now attached at Appendix A.
5. SPA and Police Scotland Business Assurance have been in discussion about the best way to present this information to ensure a simple and consistent format is presented but one that also allows us to manage and monitor in detail the delivery of the resulting actions, the timely reporting to Committees, Board or other forums and responses to the agencies undertaking the reviews.
6. As an interim approach a spreadsheet has been developed that covers these requirements and which will hopefully allow easy sharing of information across both SPA and Police Scotland for those recommendations which still require a joint update.
7. The tracker comprises two worksheets one listing the open recommendations and one for closed. The greyed out lines in the open worksheet indicate the recommendations that have closed since the date of the last Audit & Risk committee.
8. It is the intention that for the next Audit & Risk Committee meeting this approach will have been further explored with Police Scotland and a consistent format agreed.
9. The source reports are embedded into the master copy of the tracker, and if Members

would like further information or access to these reports they should contact Lynne Clark.








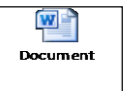
**RECOMMENDATIONS**

8. The Members are asked to note the update on the current and outstanding improvement recommendations.

9. The Members are asked to note the format for reporting being proposed.


RECOMMENDATIONS FROM EXTERNAL BODIES TO SPA

- OPEN -

Source	Report Name	Date of Report	Source Ref. No.	Recommendation	Actions (include cross reference to risk register)	Progress	Completion Date	Status	Action Owner	Executive Lead	FORUM FOR REPORTS / DATE				Correspondence/Reports
											SMG	Committee	Board	External	
HMICS	Thematic Review of CONTEST Prepare2013 (see also External recs to PS)	June 2014	5	We recommend that Police Scotland in conjunction with Forensic Services, Scottish Police Authority, undertake joint strategic and scenario planning to identify operational risks and future gaps in service provision. The outcome will highlight the requirements of Police Scotland relating to forensic services and the future capacity and capability needs of Forensic Services.	<p><b>Action 1</b> The next meeting of our high level meeting is scheduled to take place next week at the SCC. Tom Nelson, John Cuddihy and their respective leads in the area will be in attendance.</p> <p><b>Action 2</b> David Hall (FS) has arranged for FEL to visit the SCC to discuss practise and services in October. In support of this action.</p> <p><b>Action 3</b> Tom Nelson awaiting a further update from Elliott McKenzie on this action for PS.</p>	<p>1. Meeting has taken place</p> <p>2. A Meeting has been set for October</p> <p>3. now complete</p>	Oct' 2014	complete	John Cuddihy	Director of Forensic Services	01/10/14	ARC 23/10/14		HMICS	 Thematic Review of CONTEST Prepare 2013  Letter to V Emery
PIRC	Unintentional discharge of firearm, Gayfield Square Police Office, 14 April 2014	April 2014	see also SPA recs to PS	Police Scotland or SPA staff should seek advice from, or engage the services of, the Explosives Ordnance Department when faced with unfamiliar non-conventional firearms.		A meeting is arranged for October (see 5 above)	Oct' 2014	ongoing		Director Forensic Services	01/10/14	ARC 23/10/14		PIRC	 Operation Eday  Letter to V Emery  Operation Eday
HMICS	Thematic Inspection of Road Policing	June 2014	4	The Scottish Police Authority should engage with local authorities to define roles and responsibilities for local scrutiny committees and understand their legitimate interest in issues beyond setting the local policing plan and holding the divisional commander to account for its delivery.	<p>1. Joint workshop with 32 LA scrutiny bodies planned for 9 October.</p> <p>2. Engagement through Armed Policing Scrutiny Inquiry.</p> <p>3. Follow though on 'Statement of Expectations' work on scrutiny depth.</p> <p>4. Enhanced SPA engagement work at both elected members and officer level.</p>	<p>1. now complete</p> <p>2. ongoing</p> <p>3. ongoing</p> <p>4. ongoing</p>	Dec' 2014	ongoing	Community Accountability Lead	Director of Communications and Engagement	01/10/14	ARC 23/10/14		HMICS	 Comments HMICS report - roads policing.docx
Public Audit Committee (PAC)	Public Audit Committee - 3rd report 2014 on Police Reform (13 May 2014)	May 2014	para 59	The Committee would welcome confirmation from the SPA of when the identification of baseline data for non-operational areas such as finance, HR and procurement will be complete.		<p><b>21/07/14</b> - Corporate information covering HR, Finance, and Forensic Services is now being reported as standing items to the full SPA meetings (which take place every two months), and to the respective HR and Remuneration and Finance and Investment Committees.</p> <p>Work is ongoing between the SPA and Police Scotland to establish a comprehensive suite of baselined performance indicators for non-operational areas of business. We aim to establish this further significant element of the SPA Performance Framework during the current financial year (2014-15).</p>	2014/15	ongoing		SPA Director of Strategy and Performance	01/10/14	ARC 23/10/14		PAC - letter issued July '14 from SPA CEO	<a href="http://www.scottish.parliament.uk/parliamentarybusiness/CurrentCommittees/76340.aspx">http://www.scottish.parliament.uk/parliamentarybusiness/CurrentCommittees/76340.aspx</a>
Public Audit Committee (PAC)	Public Audit Committee - 3rd report 2014 on Police Reform (13 May 2014)	May 2014	para 73	The Committee welcomes the confirmation from the SPA that it would relinquish the lease on Bremner House on 31 March 2014. The Committee would however note the comments from the AGS that – "We have included Bremner House as an example of difficulties that have been caused by the delay in agreeing roles and responsibilities of the players involved, especially the SPA and Police Scotland...We have highlighted the issue as being symptomatic of the uncertainties about roles and responsibilities.		<p><b>21/07/14:</b> As the Committee will already be aware from my letter of 26 March, the SPA resolved its permanent headquarters issue and moved into Pacific Quay in Govan in June 2014. We also noted the Auditor General's comments in relation to Bremner House on the need for clarity in roles and relationships, which the Committee has also highlighted. SPA, Police Scotland and Scottish Government have worked hard to improve relationships and mutual understanding and believe that these relationships have now been working effectively for some time, are based upon mutual respect, and are supporting the delivery of the benefits of reform and stronger governance and accountability.</p>		complete		SPA Chief Executive Officer	01/10/14	ARC 23/10/14			Letter from DG Learning and Justice to PAC:  Document Updates contained in document below:  Document


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Public Audit Committee (PAC)	Public Audit Committee - 3rd report 2014 on Police Reform (13 May 2014)	May 2014	para 107	The Committee would welcome clarification from the SPA of how the savings delivered in 2013-14, particularly those identified as recurring, sit within the longer-term savings plan set out in the financial and corporate strategies and that they are sustainable until 2026.		<b>21/07/14:</b> Working closely with Police Scotland senior management, and with formal accountability for the policing budget, SPA has overseen the delivery of encouraging financial results. Prior to day one (1 April 2013), policing was tasked with delivering £64 million of efficiency savings in the first year of operation. This was in addition to £8.7 million of savings delivered in the previous year. Those challenging savings targets for the first full year were all delivered. The business case for police reform targeted cumulative savings of £1.1 billion by 2026. The efficiencies delivered so far have been assessed as recurring savings, and not one-off savings. Reports to the SPA estimate that this contributes approximately £832 million of the £1.1 billion required. Added to the prior year savings of £8.7 million, and once projected forward, the assessment is that approximately 86% per cent of the required £1.1 billion has been identified. While these numbers will fluctuate as plans are realised and		complete		Director of Financial Accountability	01/10/14	ARC 23/10/14			
Public Audit Committee (PAC)	Public Audit Committee - 3rd report 2014 on Police Reform (13 May 2014)	May 2014	para 115	Given the 13 year timetable, the Committee would welcome confirmation from the SPA of how it will determine and record whether the savings delivered now and in later years are attributable to police restructuring, rather than other financial pressures such as any future budget reductions.		<b>21/07/14:</b> The SPA acknowledges that cuts to budgets do not equate to sustainable long-term savings. It is the process of reform and transformation which creates the longer lasting benefits, and the identification of recurring year-on-year savings that are at the heart of that approach. As indicated in our response to para 107, the efficiencies delivered so far have been assessed as recurring savings, and not one-off savings, and can be projected forward to contribute to the long-term efficiency objectives. Savings are being tracked on an overall basis to monitor progress against budgetary targets from the Scottish Government. There are a number of projects being undertaken by Police Scotland which will further improve services and bring process efficiencies to the organisation, for example the major change programme in Contact, Command and Control and the development of the i6 programme to transform the use of police information and data. The SPA Finance and Investment Committee are		complete	Director of Financial Accountability	01/10/14	ARC 23/10/14				
PIRC	Complaints Audit July 2014	July 2014	1	The Authority should ensure that its website contains enough information to enable the public to understand what complaints it can and cannot deal with and how it will handle those complaints that fall within its remit.	Review of Website Content	Wording has been amended and flowcharts and FAQs have been added to the website.	Aug' 2014	complete	Complaints Manager	Director of Governance & Assurance				PIRC	Complaints Audit Report:
PIRC	Complaints Audit July 2014	July 2014	2	The Authority must, as a matter of urgency, introduce fully-developed complaint-handling procedures.	1. Production of general complaints handling literature 2. Production of Complaints Handling Procedure	1. This action will be progressed in conjunction with the related action to produce complaints handling procedures (see below). 2. A revised draft procedure is being developed which will be shared with PIRC to ensure compliance with requirements prior to being presented to the Committee for approval.	Nov' 2014	ongoing	Complaints Manager	Director of Governance & Assurance	01/10/14	C & C 16/09/14  ARC 23/10/14			 Jul14 SPA complaints audit FINAL SECURE.pdf

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PIRC	Complaints Audit July 2014	July 2014	3	The Authority should review its handling of legacy cases, identify any lessons learned and act on these.	Review of handling of legacy cases and identification of lessons learned	Improvements identified within the Complaints Team have been driven by an assessment of the manner in which legacy complaints have been dealt with. Of the 17 legacy complaints inherited by SPA 5 remain outstanding.	Jun' 2014	complete	Complaints Manager	Director of Governance & Assurance		C & C 16/09/14				
PIRC	Complaints Audit July 2014	July 2014	4	The Authority should ensure that its recording system differentiates between enquiries and complaints and that it captures key information.	1. Review of recording processes (1) [identification of relevant complaints] 2. Review of recording processes (2) [capture of key information]	1. Initial assessment documentation has been developed and is currently utilised to determine appropriate classification of contact/enquiry/complaint.  2. Work is being undertaken to amend recording processes to capture key information such as complaint allegations, outcome etc. This will be progressed in consultation with PIRC.	Jul' 2014  Nov' 2014	ongoing	Complaints Manager	Director of Governance & Assurance	01/10/14	C & C 16/09/14				
PIRC	Complaints Audit July 2014	July 2014	5	The Authority should set out clear procedures in relation to the expected timescales for handling complaints and the process for providing complainers with updates.	Develop procedures in relation to timescales for handling complaints and updating complainers	Standard documentation has been developed and is being utilised in regard to case management and case timelines. Processes will be outlined within the developed complaints handling procedure.	Nov' 2014	ongoing	Complaints Manager	Director of Governance & Assurance	01/10/14	C & C 16/09/14				
PIRC	Complaints Audit July 2014	July 2014	6	The Authority should ensure that it outlines each allegation made and records that the complainant has agreed the specific points that will be considered.	Identifying and agreeing Heads of Complaint with complainant	The practice of identifying and agreeing with the complainant the specific Heads of Complaint has been initiated for new and ongoing complaints.	Jul' 2014	complete	Complaints Manager	Director of Governance & Assurance		C & C 16/09/14				
PIRC	Complaints Audit July 2014	July 2014	7	The Authority should ensure that the role of the complaints and conduct committee is clear and that the committee operates effectively and efficiently.	1. Clarity on the role of the Complaints and Conduct Committee 2. Review Terms of Reference of Complaints and Conduct Committee, reporting requirements and possible delegations to officers	1. Details on the role of the Complaints and Conduct Committee will be included within the developed complaints handling procedures.  2. A review of the current terms of reference of the committee, the reporting requirements and possible officer delegations will be undertaken by the newly appointed Director of Governance and Assurance in consultation with committee members.	Nov' 2014  Dec' 2014	ongoing  to be progressed	Complaints Manager	Director of Governance & Assurance	01/10/14	C & C 16/09/14				
PIRC	Complaints Audit July 2014	July 2014	8	The Authority should develop and implement robust quality assurance process.	Development and Implementation of robust quality assurance processes	Standard complaints assessment and case management documentation has been produced and is being utilised. Staff meetings, case discussions and case management reviews have been introduced.	Nov' 2014	ongoing	Complaints Manager	Director of Governance & Assurance		ARC 23/10/14				
HMICS	Thematic Inspection of Custody Arrangements in Scotland	August 2014	14	As a matter of urgency, Police Scotland should finalise the Custody Estate Strategy and work in partnership with the Scottish Police Authority and Scottish Government to prioritise investment in the custody estate.		tbc		ongoing	Custody Manager	Director of Governance & Assurance	01/10/14	ARC 23/10/14				 N:\SPA Team\SPA Programme Management\SPA
HMICS	Thematic Inspection of Custody Arrangements in Scotland	August 2014	15	Police Scotland should seek to engage with its stakeholders as part of its development of a strategic proposal for custody ensuring that there is a shared vision and that further opportunities for joint working are optimised.		tbc		ongoing	Custody Manager	Director of Governance & Assurance	01/10/14	ARC 23/10/14				

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SPA	Scrutiny Review - Police Scotland's Stop & Search Policy and Practice	May 2014	11	The SPA should commission research, in conjunction with others, to establish the short and long term impact of stop and search on different groups and communities. In particular, this should cover the short and long term impact of stop and search activity on young people.		SPA is in the early stages of engaging and independent market research organisation to carry out detailed survey work on the impact of Stop & Search with a particular focus on young people.		ongoing	Scrutiny Project Lead	Director of Strategy & Performance	01/10/14	ARC 23/10/14	29/10/14		
SPA	Scrutiny Review - Police Scotland's Stop & Search Policy and Practice	May 2014	12	The SPA should publish comprehensive stop and search data on a regular basis.		Once Police Scotland have resolved some accuracy and inconsistency issues within the data, SPA will begin publication.		ongoing	Scrutiny Project Lead	Director of Strategy & Performance	01/10/14	ARC 23/10/14	29/10/14		

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											SMG	Committee	Board	External
HMICS	Thematic Review of CONTEST Prepare2013 (see also External recs to PS)	June 2014	4	We recommend that Police Scotland and Forensic Services, Scottish Police Authority, finalise the draft Scottish Counter Terrorism Forensic Strategy and test arrangements in advance of the Commonwealth Games 2014.	<b>Action 1</b> – The CT/FS strategy has been tested in recent times across both live and operational scenarios including the following- Exercise Alban Targe 1 Operation Lark Exercise Border Fist Operation Mabola	17/07/14 - Learning points have been identified and have been incorporated into operating procedures.		complete	John Cuddihy	Director of Forensic Services				
PIRC	Unintentional discharge of firearm, Gayfield Square Police Office, 14 April 2014	April 2014	see also SPA recs to PS	Police Scotland and the Scottish Police Authority review their practice and procedures for examining, making safe and transporting non-conventional or unfamiliar firearms. They should ensure that they adopt a consistent approach.			Sept '2014	complete		Director Forensic Services / Director Governance & Assurance (H,S&R)				
PIRC	Unintentional discharge of firearm, Gayfield Square Police Office, 14 April 2014	April 2014	see also SPA recs to PS	Police Scotland and the Scottish Police Authority share intelligence regarding any nonconventional or unfamiliar firearm taken into their possession.			Sept '2014	complete		Director Forensic Services / Director Governance & Assurance (H,S&R)				
Audit Scotland	Police Reform - Progress Update 2013	November 2013		The SPA and Police Scotland should continue to work together to: • Identify accurate baseline data for non-operational areas such as finance, HR and procurement		se correspondence column for update to all Audit Scotland Recommendations	June 2014	complete	PS Director of Corporate Services and SPA Chief Executive					
Audit Scotland	Police Reform - Progress Update 2013	November 2013		The SPA and Police Scotland should continue to work together to: • agree a financial strategy by the end of March 2014, informed by evidence-based options for achieving savings, and take joint responsibility for its delivery. The strategy should consider • the cost of policing across various activities, for example roads policing or serious crime • evidence-based options for achieving annual savings • details of one-off and recurring savings • scenario planning to outline best, worst and most likely scenarios of the financial position with details of assumptions used • details of assets and liabilities and how these will change over time • clear links to other strategies that are key to making savings such as the estates strategy (asset sales), or workforce strategy (voluntary redundancy and early retirement schemes) • the risks and timescales involved in achieving the			June 2014	complete	PS Director of Finance and SPA Chief Executive					
Audit Scotland	Police Reform - Progress Update 2013	November 2013		The Scottish Government, SPA and Police Scotland should continue to work together to: • develop positive and effective working relationships, based on a mutual understanding of and respect for each other's roles, including agreement on the responsibilities relating to sponsorship, governance and delivery of police services • agree how police performance will be reported to support effective scrutiny • agree and implement arrangements for monitoring and reporting progress on the benefits of reform by the end of March 2014 and take collective responsibility for delivering these.			June 2014	complete	Senior Leadership Team of Police Scotland and Senior Management Team of SPA					
Audit Scotland	Police Reform - Progress Update 2013	November 2013		The Scottish Government and the SPA should continue to work together to ensure that all the agreed proposals on SPA's organisational requirements are fully implemented by end of March 2014, including the appointment of permanent senior staff			June 2014	complete	Chief Executive SPA					

RECOMMENDATIONS FROM EXTERNAL BODIES TO SPA

- CLOSED -

Audit Scotland	Police Reform - Progress Update 2013	November 2013		The SPA and Police Scotland should continue to work together to: agree long-term strategies in the main areas that will contribute to savings including estates, workforce, procurement and ICT			June 2014	complete	Director of Corporate Services and Chief Executive SPA	
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