

<b>Meeting</b>	<b>Audit Committee Public Session</b>
<b>Date</b>	<b>22 January 2018</b>
<b>Location</b>	<b>Pacific Quay, Glasgow</b>
<b>Title of Paper</b>	<b>Police Scotland Audit and Improvement Recommendations Process</b>
<b>Item Number</b>	<b>7</b>
<b>Presented By</b>	<b>Donna Adam</b>
<b>Recommendation to Members</b>	<b>For Noting</b>
<b>Appendix Attached</b>	<b>No</b>

**PURPOSE**

The purpose of this paper is to provide Members of the Scottish Police Authority Audit Committee with an overview of how recommendations are managed within Police Scotland.

## 1 BACKGROUND

At previous Audit Committee meetings, Members requested further detail in a number of areas. This report provides a response to those actions as follows:

1. Process for managing recommendations and how staff awareness is being raised to improve the overall management of recommendations (091017 PAUDIT 05 and 091017 PAUDIT 012).
2. Assessment of historical recommendations and timeliness of action (230817 PAUDIT 015).
3. Measuring and quantifying impact (230817 PAUDIT 023).

## 2 FURTHER DETAIL ON THE REPORT

### Process and Staff Awareness

Police Scotland has a centralised method for capturing recommendations from external sources. We currently monitor recommendations from a number of different external sources as below. Work continues to centralise the management of all recommendations.



A review is currently being undertaken with a view to establishing an Audit Management Team to take forward work in this area.

There is a 6-stage process for managing recommendations within Police Scotland:

1. Pre-audit/inspection consultation and design
2. Fieldwork
3. Draft report and factual accuracy checking
4. Final report publication and action planning
5. Reporting progress, outcomes and impact
6. Agreeing closure

At the start of the process the Inspectorate/Auditor meets with the Executive Owner to determine the scope of the work and to plan activity. The Auditor / Inspectorate then contacts the business area to arrange to commence the fieldwork.

Once the fieldwork is complete, a draft report is provided to Police Scotland for a factual accuracy check.

Following publication of the final report the Service can commence the action planning phase. That said, it should be noted that if an inspecting body has a specific concern, it may choose to write to Police Scotland during the course of the review, rather than wait until the end of the inspection process. Police Scotland has developed a template action plan that is capable of capturing key information at the outset so as to improve the reporting of outcomes and measuring of impact. The Executive Owner identifies a business lead who determines the action to be taken. The business lead is supported throughout the process by the Audit Management Team who provide a consultancy service in relation to risk mitigation and design of actions to improve processes. It is important that business leads take action in a timely manner and establishes dialogue with the Auditor/Inspectorate to understand what will need to be put in place to allow for future discharge of recommendations.

The Audit Management Team is involved at every stage in supporting both the business and the Auditor/Inspectorate. Police Scotland is focussed on improving engagement with external Auditors/Inspectorates and have formalised processes and timelines. We are taking measures to promote these internally to improve understanding of expectations.

Action Plans are agreed by the Executive Lead at the DCC/DCO Management Board and thereafter returned to the Auditor/Inspectorate. It is expected that business leads will take responsibility at this point to ensure action is disseminated within teams and processes are put in place to monitor and review progress.

The Audit Management Team take responsibility for formally reporting progress. Until now this has been undertaken quarterly but we are moving to a monthly report in order to drive forward with progress and to assist with establishing a culture of regular focus. Once the number of recommendations reduce then this can revert to quarterly monitoring.

### **Raising Staff Awareness to Improve Reporting**

The Audit Management Team has produced interim guidance covering developing the action plan and providing updates. One-to-one meetings has been established with the main business areas who regularly provide updates to communicate requirements. The Audit Management Team is maintaining contact with business areas and in some instances has set aside a time each month to review progress and to provide advice and guidance in terms of re-planning and evidence requirements. This is an area of continual improvement and once the full team is in place we will roll out further training.

### **Assessment of Historical Recommendations**

In response to actions 250717-PAUDIT-02 and 230817-PAUDIT-015 regarding reviewing the relevancy of recommendations and accelerating the discharge of recommendations, we can provide the following response.

Given the role and function of Police Scotland, and the quantity of inspections and reviews undertaken on an annual basis, it is to be expected that the Service will be managing a number of recommendations / observations at any one time.

In response we have:

- Secured transformation funding to recruit additional staff to establish a centralised Audit Management Team.
- Invested in dedicated staff within business areas to be a central point of contact with Auditors/Inspectorates.
- We have been focusing on prioritising High and Medium Risk actions first.
- We have established business rules for developing action plans and proposing actions for closure.
- We have improved our engagement with Auditors/Inspectorates to resolve problems and negotiate alternative action.
- We have provided interim training on business rules and we have set up initial meetings with all business areas to discuss requirements. We have improved visibility and importance of Audit/Inspection.
- We have carried out some benchmarking with MPS and PSNI to compare our processes and we will carry out further benchmarking to identify better ways of working.

As stated previously, new processes have been introduced which have improved how the Service deals with new and outstanding recommendations; however, it is also acknowledged that some work remains to develop a more proactive approach to audit / inspection. This forms part of the ongoing review of the Governance, Audit & Assurance Unit.

### **Measuring and Assessing Impact**

A revised reporting framework is developing which as well as reporting on progress we will also detail the outcome of the work in terms of risk mitigation or continuous improvement. We are also identifying indicators/measures at the action planning stage that will help identify

what impact our work has had particularly for those recommendations with an efficiency/effectiveness element.

**3 FINANCIAL IMPLICATIONS**

There are no financial implications in this report.

**4 PERSONNEL IMPLICATIONS**

There are no personnel implications in this report.

**5 LEGAL IMPLICATIONS**

There are no legal implications in this report.

**6 REPUTATIONAL IMPLICATIONS**

There are potentially reputational implications associated with this paper as failure to continue to progress any external Recommendations, Suggestions or Improvement Actions could result in the negative public reporting of same.

**7 SOCIAL IMPLICATIONS**

There are no social implications in this report.

**8 COMMUNITY IMPACT**

There are no community impact implications in this report.

**9 EQUALITIES IMPLICATIONS**

There are no equalities implications in this report.

**10 ENVIRONMENTAL IMPLICATIONS**

There are no environmental implications in this report.

**RECOMMENDATIONS**

Members are requested to note the update in respect of the current outstanding recommendations from External Audit and Inspection activity.