

**SCOTTISH POLICE  
AUTHORITY**

<b>Meeting</b>	<b>SPA Board Meeting Public Session</b>
<b>Date and Time</b>	<b>20 June 2016</b>
<b>Location</b>	<b>Stirling Court Hotel, Stirling</b>
<b>Title of Paper</b>	<b>Review of Governance in Policing - Implementation Plan</b>
<b>Item Number</b>	<b>12</b>
<b>Presented By</b>	<b>John Foley, SPA Chief Executive</b>
<b>Recommendation to Members</b>	<b>For Consultation</b>
<b>Appendix Attached</b>	<b>Yes</b>

**PURPOSE**

The purpose of this paper is to provide Board Members with an update on the current status of the implementation plan which has been developed from the recommendations made within the Chair's Review of Governance in Policing report.

## **1. Background**

- 1.1 A report was previously provided to the Board on 31 March 2016. Since then, a multi-disciplinary team has been established within the SPA to take work forward on a number of the recommendations. The team is also in regular dialogue with Police Scotland, SG and HMICS.
- 1.2 The Chair has also received a fuller response from the Cabinet Secretary for Justice and Mr Matheson welcomes the fact that a team is now in place which is working to implement the recommendations.

## **2. Further detail on report topic**

- 2.1 An update on the status of each of the recommendations as at 6 June 2016 is listed in Appendix 1 and 2. However, the key headlines to note from the project so far include:
- 2.1.1 The recommendations have been consolidated into 5 key deliverables:
- i) An overarching external facing governance manual which will state roles, responsibilities, standing orders, schemes of delegations and committee terms of reference.
  - ii) An operations manual to allow internal SPA working practices to be documented to allow for consistency, clarity and effectiveness.
  - iii) A structure review to look at the corporate structure, as well as looking at options for the current service delivery aspects of SPA.
  - iv) Local accountability development proposal to look at what value add activities that SPA can undertake.
  - v) Stakeholder engagement model to identify key influencers and who is best placed to carry out different types of engagement.
- 2.1.2 All activities are assessed as **ON TARGET** in this report, as the first set of published target dates are listed as the end of June 2016. There is no current adverse activity which would indicate non-delivery of key products by that date.

2.1.3 SPA products will be drafted by officers for onward consideration by Members and wider stakeholder groups as appropriate.

2.1.4 Overall progress against the programme of work is forecast as **GREEN**, based on the following breakdown:

- 27 recommendations listed as **Green**
- 3 recommendations listed as **Blue**

2.1.5 There are no actions currently listed as **AMBER**, therefore no further reporting is required in this section of this report.

The colour coding associated with the assessment of progress in this project is listed below:

2.1.6

Blue	Complete
Red	At risk or late – not under management control, remedial action required
Amber	At risk or late – but under management control
Green	On target and under management control

2.2 The SPA team is progressing at pace with pulling together key products, some of which will come before the SPA Board for public approval. There are certain aspects of the recommendations (Appendix 3) which may require further assessment, or may be limited within the constraints of legislation. In each case, a range of options and route paths will be identified for consideration.

### **3. Future Progress Reporting**

3.1 Going forward, progress updates will be provided monthly to Members. Formal quarterly progress reports will be made to the Board in public session.

3.2 Further consideration is also being given to engagement protocols to ensure that the Authority effectively manages the delivery of external contributions to the Implementation Plan.

Discussions are taking place with key stakeholders who are contributors to review recommendations in order to establish appropriate procedures.

#### **4. FINANCIAL IMPLICATIONS**

4.1 There are no direct financial implications associated with this paper at this stage, as the work being progressed is to produce draft documents and options for appraisal.

#### **5. PERSONNEL IMPLICATIONS**

5.1 There are no direct personnel implications associated with this paper at this stage.

#### **6. LEGAL IMPLICATIONS**

6.1 There are no direct legal implications associated with this paper at this stage, although legal advice is being embedded throughout the range of options being considered across all workstreams.

#### **7. REPUTATIONAL IMPLICATIONS**

7.1 Any change to how SPA operates may have a possible reputational impact; however it is planned that any changes, once assessed by the SPA Members will then be subject to consultation with all stakeholders prior to any changes being implemented.

#### **8. SOCIAL IMPLICATIONS**

8.1 There are no social implications associated with this paper.

#### **9. COMMUNITY IMPLICATIONS**

9.1 Recommendations within the Review of Police Governance aim to strengthen police accountability at local and community level.

#### **10. EQUALITIES IMPLICATIONS**

10.1 There are no equalities implications associated with this paper, however all SPA products will have an Equalities and Human Rights Impact Assessment (EqHRIA) undertaken and published alongside them.

## **11. ENVIRONMENTAL IMPLICATIONS**

11.1 There are no environmental implications associated with this paper.

### **RECOMMENDATIONS**

That Members note the content of this paper.

**APPENDIX 1 – ‘BRAG’ Status of each Recommendation – Listed against SPA Key Product  
PERIOD COVERED: 01 April 2016 – 06 June 2016**

		Review of Governance in Policing Recommendations																														
W/S	Key Products	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	
1	Governance Manual	●●●	●●●	●										●●●	●	●	●	●	●				●	●	●		●					
2	Operations Manual			●																	●	●		●	●	●●●	●	●				
3	Structure Review										●	●	●														●	●				
4	Local Engagement Development				●	●	●	●	●	●																						
5	Stakeholder Development			●																									●	●	●	●

Scottish Police Authority	●
Police Scotland	●
Scottish Government	●

**APPENDIX 2 – ‘BRAG’ Status of each carry forward Recommendation – Listed against SPA Key Products**

W/S	Key Products	Source - Improvement Tracker				Source - Improvement Plan		
		HMICS Thematic Inspection of Road Policing - rec 4	SPA Inquiry into the public impact of Police Scotland's Firearms Standing Authority - rec 7	HMICS Independent Assurance Review Police Scotland - Call Handling Final Report - rec 9,18,22	HMICS - Review of Standing Firearms Authority - Rec 8,9	HMICS - Develop an effective strategic planning and performance framework	HMICS - Structural review of SPA staffing, capability & capacity	HMICS – Develop a flexible and transparent governance approach to major change programmes and projects
1	Governance Manual							
2	Operations Manual				•			
3	Structure Review			•		•	•	
4	Local Engagement Development	•	•		•			
5	Stakeholder Development							

**APPENDIX 3 –Governance Review Recommendations**

<b>Recommendation</b>	<b>Indicative Lead Body</b>	<b>Indicative Timescale</b>
<b>1.</b> The SPA must govern and oversee Police Scotland within the legislative framework which has been agreed, with appropriate reporting to Scottish Government in accordance with statutory requirements. The role of the SPA and its relationship with Police Scotland should be clearly defined and communicated more widely.	SG / SPA / Police Scotland	Immediate and ongoing
<b>2.</b> As the SPA strengthens its governance procedures, the Scottish Government, the SPA and Police Scotland should review working arrangements and protocols to ensure these reinforce and promote the positioning and authority of the SPA.	SG/SPA/Police Scotland	By end September 6 Months
<b>3.</b> The SPA should review, enhance and consolidate the current set of governance principles and governance framework to clarify the basis on which it intends to exercise its authority and meet its responsibilities in the future. This should also be used to agree the lines of responsibility between its partner bodies and stakeholders. All operating procedures and processes should be cross-referenced to the governance principles.	SPA	By end of August 2016  (5 months)
<b>4.</b> Police Scotland should ensure that their local engagement programmes are directed at a wide range of local organisations. While a key audience must be the Local Scrutiny Committee, other parties such as Community Planning Partnerships must have an opportunity to understand and comment on policing activities, performance and plans.	Police Scotland	Current and ongoing
<b>5.</b> Greater consideration needs to be given to the differing policing needs of local communities. While an aspiration of equality of service is commendable, any policy or practice must ensure that it is capable of being adapted in its implementation to make it more appropriate for local needs. In this regard, where possible, local commanders should be given more autonomy on how policies and practices are implemented while also achieving the overall policing aim.	Police Scotland	By end of August 2016  (5 months)
<b>6.</b> Police Scotland should ensure that feedback provided by Local Scrutiny Committees is effectively responded to, including detail on how their feedback has impacted on decision making and, where it has not, the reasons for that decision. There must be clear communication channels that ensure feedback is directed through to decision makers and local commanders are fully briefed on why the final decision has been taken. Decisions relating to or activity by national units must be effectively relayed to Local Policing and an engagement plan initiated.	Police Scotland	By end of June 2016  (3 months)
<b>7.</b> Police Scotland should establish a formal escalation process to allow Local Scrutiny Committees to record their disagreement with individual policing policy decisions. This process should ensure that major policy issues are resolved at senior officer level within Police Scotland rather than at Local Commander level. The SPA should be advised of any matters that require escalation.	Police Scotland	By end of June 2016  (3 months)
<b>8.</b> The primary responsibility for local engagement rests with Police Scotland. The SPA Board should see its role as	SPA	By end of June 2016

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ensuring proper and effective arrangements are in place rather than attending Local Scrutiny Committee meetings. There should be a requirement on the SPA to assess annually how effective these processes are and they should formally seek feedback from committees as part of this process. The success or otherwise of local engagement should be reported on by the SPA as part of its Annual Review of Policing.		(3 months)
<b>9.</b> The SPA should establish a process to share knowledge between Local Scrutiny Committees and should hold an annual forum to discuss issues and share experience.	SPA	By end of July 2016  (4 months)
<b>10.</b> Scottish Government should conduct a review of the original organisational structures and remits established as part of the Police & Fire Reform (Scotland) Act 2012 to ensure responsibilities are clear and consistent with the intentions behind the reform.	SG	By end of March 2017 (12 months)
<b>11.</b> Consideration should be given to reorganising or removing the service delivery responsibilities of the SPA and reinforcing its purpose as a governance body. This would focus particularly on its current service delivery responsibilities for Forensic Services, Independent Custody Visiting and Complaints & Conduct.	SG/SPA	By end of September 2016  (6 months)
<b>12.</b> Following the review at Recommendation 10, the organisational structure and skills of SPA staff should be reviewed with the aim of enhancing the governance skills and removing duplication.	SPA	By end of December 2016 (9 months)
<b>13.</b> The SPA in conjunction with Scottish Government should undertake a review of the skills required by Board members and prepare an updated skills matrix which should inform future recruitment. This review will need to take account of the other recommendations in this report.	SG/SPA	Immediate and ongoing
<b>14.</b> The SPA should review the role and responsibilities of Board members to ensure they are focussed on the strategic aims and responsibilities of the Authority. Matters reserved for the Board should be clearly defined and schedules of delegated authority both from the Board to SPA officials and from the SPA to Police Scotland should be reviewed and updated.	SPA	By end of August 2016  (5 months)
<b>15.</b> A review of the number and nature of the committees of the Board of the SPA should be undertaken to ensure they cover appropriately the work and responsibilities of the SPA. Committees should be seen as working groups who are able to conduct a 'deep dive' into key issues, and make recommendations to the full Board. They would not have decision making powers except when exceptionally delegated by the Board. Membership of the committees should also be reviewed and consideration given to increasing the breadth and depth of skills by introducing co-opted experts as members.	SPA	By end of June 2016  (3 months)
<b>16.</b> SPA Board meetings which are principally for the purpose of decision making should be held in public. A clear set of criteria should be established for when matters may need to be held in closed session. These criteria should be publicly available. Meetings of committees are working sessions and should be held in private. All decisions will be made by the full Board based on recommendations from the committees. Agendas will be published in advance of the meetings.	SPA	By end of September 2016  (6 months)
<b>17.</b> Governance of major projects and programmes should be overseen by SPA at an appropriate level, depending on the	SPA	Immediate and ongoing

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scale, scope and impact of each project. This could be achieved in a number of ways but must allow SPA to have full awareness of progress and identify when decisions have to be brought to the full SPA Board.		
<b>18.</b> The Accountable Officer needs to be able to fully undertake his responsibilities to Parliament. This requires him to have strategic oversight of the finance function and an ability to make directions if necessary. So that lines of accountability and responsibility are not blurred, a protocol should be established which sets out the circumstances and the process by which such an intervention should take place.	SPA	By end of June 2016  (3 months)
<b>19.</b> The SPA should conduct a comprehensive review of its operating policies and procedures in the context of the governance framework referenced in Recommendation 2 and any change in its service delivery responsibilities under Recommendation 10. Its policies and procedures should be consolidated into a single operating manual.	SPA	By end of September 2016  (6 months)
<b>20.</b> The SPA should have responsibility for reviewing policing policy where this may impact on public perception and policing by consent. This should be a proactive process and done collaboratively with Police Scotland. The SPA should consider this in the context of its review of its committee structures and the skills matrix.	SPA / Police Scotland	By end of September 2016  (6 months)
<b>21.</b> The SPA should clearly set out how it intends to hold the Chief Constable to account through a governance performance framework. This should set out clear performance standards against both the regulatory framework and operational performance. This should then be the basis on which performance reviews and assessments are conducted.	SPA	By end of June 2016  (3 months)
<b>22.</b> A complete review of the information and reporting requirements of both Police Scotland and the SPA should be undertaken. This should cover both routine, transactional reporting as well as analytical and comparative information required for performance management. This needs to be informed by the setting of an agreed performance framework and the modus operandi of the SPA as mentioned in earlier recommendations.	SPA	By end of September 2016  (6 months)
<b>23.</b> In determining information requirements for the SPA, operational information should be focussed on exception reporting only. A greater emphasis on strategic information, comparative analysis and benchmarking is required. The volume and quality of financial information should be enhanced significantly.	SPA	By end of September 2016  (6 months)
<b>24.</b> A review should be conducted by the SPA in conjunction with Scottish Government and Police Scotland of the various planning and strategic reports that are required, with a view to rationalising these and ensuring their purpose is clear. Clear ownership of and approval processes for these documents should be set out.	SPA / SG / Police Scotland	By end of December 2016  (9 months)
<b>25.</b> In setting our information requirements, emphasis should be given to ensuring that the SPA can demonstrate improvements in the quality of service that Police Scotland is providing.	SPA	Ongoing – annual reporting
<b>26.</b> Progress on updating information processing and management systems should be accelerated to reduce cost, improve turnaround times and allow for more open interrogation of data.	Police Scotland	TBC

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<b>27.</b> The SPA should develop a broadly based stakeholder map which identifies key stakeholders, the reason for the relationship and objectives, an engagement plan and specific actions. For each relationship a Board Member or senior official should be identified to own and manage that relationship.	SPA	By end of December 2016  (9 months)
<b>28.</b> As part of the development of the stakeholder map, we need to review the wider public policy objectives, identify what contribution we can make and set priorities and objectives to deliver that contribution, and be able to publicly report our progress through our annual reporting.	SPA	By end of December 2016  (9 months)
<b>29.</b> SPA and Police Scotland should coordinate their respective approaches to stakeholder management, agree respective roles and objectives and provide regular feedback to each other on engagement and progress.	SPA / Police Scotland	By end of September 2016 (6 months)
<b>30.</b> SPA and Police Scotland should re-visit their communication strategies and make their commitment to partnership working across the public sector more explicit.	SPA / Police Scotland	By end of June 2016 (3 months)

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