

<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>SPA Chief Executive's Report</b>
<b>Item Number</b>	<b>8</b>
<b>Presented By</b>	<b>John Foley, SPA</b>
<b>Recommendation to Members</b>	<b>For Consultation</b>
<b>Appendix Attached:</b>	<b>Yes - SPA Chief Executive Report</b>

**PURPOSE**

To provide Board Members with information on Quarter Four SPA performance as contained in CEO's report.

## **1. BACKGROUND**

1.1 As part of the SPA's evolving performance framework, a corporate performance report was developed for the 2015/16 financial year. This captured activity conducted across the breadth of the Authority's corporate directorates and forensic services on a quarterly basis. Performance evidence also fed directly into the Authority's Strategic Police Plan Delivery Review and the Annual Review of Policing.

1.2 Following review, SPA Corporate Performance and Forensics Services performance will be reported within two separate documents at SPA Board. Corporate performance remains integrated within the SPA CEO report while Forensic Services will be reported on a standalone basis by the Director of Forensic Services.

1.3 The report presents the SPA corporate performance; Fulfilment of SPA's statutory obligations; Meeting commitments laid out in the annual business plan; Demonstrates continuous improvement and a commitment to best value; Providing strategic direction, oversight and support to policing in Scotland.

1.4 The report is structured to provide performance information from across the Authority's four corporate directorates. This is intended to satisfy Members and the Authority's own senior management that specific SPA activity and work streams align with, and contribute to, meeting the Authority's commitments and plans.

## **2. FINANCIAL IMPLICATIONS**

2.1 There are no direct financial implications associated with this paper.

## **3. PERSONNEL IMPLICATIONS**

3.1 There are no personnel implications associated with this paper.

## **4. LEGAL IMPLICATIONS**

4.1 There are no legal implications associated with this paper.

## **5. REPUTATIONAL IMPLICATIONS**

5.1 There are no reputational implications associated with this paper.

**6. SOCIAL IMPLICATIONS**

6.1 There are no social implications associated with this paper.

**7. COMMUNITY IMPACT**

7.1 There are no community impact implications associated with this paper.

**8. EQUALITIES IMPLICATIONS**

8.1 There are no equalities implications associated with this paper.

**9. ENVIRONMENTAL IMPLICATIONS**

9.1 There are no environmental implications associated with this paper.

**RECOMMENDATION**

It is recommended that Members note the information presented in the attached CEO's Report.

**SCOTTISH POLICE**  
**AUTHORITY**

**Chief Executive's  
Report**

June 2016

Presented to: Scottish Police Authority June 2016 Board  
Reporting Period: Q4 2015-16

## 1. INTRODUCTION

1.1 The SPA Chief Executive's Report provides performance information regarding delivery of the Authority's objectives during Quarter 4 of 2015-16 (January to March). Discharge of statutory duties, delivery of the annual business plan's objectives, implementation of continuous improvement actions, and strategic oversight and governance of Police Scotland are all essential activities conducted by the Authority and which are captured within this report.

1.2 SPA corporate performance is driven by the Strategic Police Plan's four strategic police priorities, and evidence captured within the following report has been used to inform this quarter's accompanying Strategic Delivery Review.

## 2. KEY DEVELOPMENTS

### 2.1 Policing Budget 2016-17

In line with its statutory responsibilities, the SPA has set the 2016-17 revenue and capital budgets for Police Scotland and SPA, was approved by Members of the Authority. Financial control arrangements have been implemented for the forthcoming year to enable the Authority to closely monitor delivery of the budgets.

### 2.2 Review of Governance in Policing

The Chair of the Authority has completed and published his review of governance arrangements policing, commissioned by the Cabinet Secretary for Justice. The review sets out 30 recommendations for improvement; an implementation plan has subsequently been produced by the Authority which identifies the actions, products and resources required in order to complete recommendations within identified timescales. Work to progress the implementation plan has commenced with activities being managed within five key areas: a governance manual; an operations manual; structure review; a local engagement model; and a stakeholder engagement model. A progress report is provided for the Board at Agenda Item 12.

### 2.3 Chief Officer Recruitment

The Authority launched and managed the recruitment campaign for a number of Assistant Chief Constable posts in March 2016. The selection process, conducted by the Authority, concluded in May with appointments taken up for ACC roles in local policing and organised crime and counter terrorism.

The recruitment of a senior executive director or a DCC with specific skills, knowledge and experience of transformational change is now underway. Similarly, a recruitment process for the post of Deputy Chief Constable for Crime and Operational Support is being undertaken.

## **2.4 Annual Review of Policing**

The Authority has completed the Annual Review of Policing for 2015-16, for presentation to the Board on 20 June 2016. Once approved, the review will be formally laid before Parliament prior to the 2016 summer recess.

The Independent Custody Visiting annual report has also been published and can be accessed on the SPA website.

## **2.5 Policing 2026 Project**

The Policing 2026 Programme has been established to deliver a number of key strategic products which, working within the strategic policy framework and priorities set by Scottish Government, will determine the journey for Scottish policing over the next ten years. It is our shared goal to see these products delivered to a high standard and with a strong underpinning evidence base.

We will undertake the next wave of reform with a focus on service transformation and improvement:

- more effective, demand-aligned business structures, processes and service delivery;
- improved effectiveness in relation to delivering more preventative policing, and improved safety and wellbeing outcomes for people and places;
- financial and further efficiency benefits through consolidation and the removal of duplication;
- a service which meets public and stakeholder expectations of policing; and
- a service which delivers in a way that strengthens the localism agenda.

Determining a long term vision, service blueprint and strategy will ensure the strategic coherence and correct prioritisation of all of our short and medium term activity, underpinned by a long term financial strategy. It will ensure that we take the right decisions now to build a service fit for the future.

Responsibility for developing this work is a shared one and will rely on effective and positive collaboration between SPA and Police Scotland with ongoing engagement with Scottish Government and other stakeholders.

We are confident that there is a shared desire across all stakeholders for this strategic work to progress successfully which will deliver improvements within Scottish policing.

### 3. GOVERNANCE MEETINGS

The Authority continues to deliver effective governance through its Board, Committees and other regular meetings.

The following meetings took place in quarter 4 of financial year 2015/16:

#### January

- Audit and Risk Committee
- ICT Governance and Assurance Forum
- Business Change Working Group

#### February

- Finance and Investment Committee
- HRRC Workshop
- Forensic Services Strategic Partnership Forum
- Complaints and Conduct Committee
- Board Meeting

#### March

- HRRC
- Finance and Investment Committee
- Audit and Risk Committee
- C3 Governance and Assurance Forum

#### 4. BUSINESS PLAN

All deliverables for Quarters 1 to 3 of the 2015-16 business plan have been completed. Those deliverables aligned to Quarter 4 are detailed below:

<b>Deliverable</b>	<b>Update</b>	<b>Status</b>
Strategic Police Plan Review Published	<i>Approved at March-16 SPA board</i>	Complete
Independent Custody Visiting Assessment published	<i>Production of the assessment for the full 15-16 year is underway and will be published in Q1 16-17</i>	On track for completion
SPA & Policing Budgets Approved and Published	<i>Approved at March-16 SPA Board</i>	Complete
SPA Business Plan Published	<i>Approved at March-16 SPA Board</i>	Complete
Strategic Risk Register developed	<i>A Strategic Risk Register will be developed in line with the new Strategic Police Plan being prepared through 2016-17.</i>	On track for completion
Assessment of Governance Arrangements Completed	<i>Completed in July 2015. Recommendations from a separate review of governance undertaken by the Chair of the SPA are being progressed through an implementation plan.</i>	Complete
Human Resources and Health, Safety and Resilience reports delivered	<i>Programme of 2015-16 HR and HSR scrutiny presented to SPA Human Resources and Remuneration Committee</i>	Complete
Forensic Service Partnership delivery of Key Performance Indicators	<i>Monthly reports produced as business-as-usual</i>	Complete

The 2016-17 SPA Business Plan was agreed by Members at the March 2016 Board meeting and delivery will be reported through the SPA's Performance Framework.

## 5. GOVERNANCE & ASSURANCE

**5.1 Complaints Handling** - *The SPA is responsible for recording, processing and investigating complaints about the SPA board, SPA staff members, SPA policies and procedures, and senior police officers of Assistant Chief Constable rank or above; in a fair and appropriate manner.*

### Complaints Received by SPA

The department has received 44 new contacts this quarter, ten of which were identified as within the SPA remit for complaint handling. Three enquiries/complaints were closed during the quarter.

On average, for this quarter complaints were acknowledged in less than two working days (within the commitment of three working days) and the first update provided to a complainer was handled in less than seven working days (meeting the commitment to provide an update within thirty working days).

Complaint Handling Activity	Q1	Q2	Q3	Q4
New Contacts received by SPA	51	75	67	44
New Allegations received by SPA	71	131	67	71
New Contacts out-with SPA remit	44	68	57	32
New Contacts within SPA remit	7	7	10	10
Contacts closed	1	5	13	3

**5.2 Legal and Compliance**— *The SPA is responsible for ensuring that legal outcomes are achieved, whether in de-risking business as usual policies or dealing with third party challenge. Statutory obligations for the SPA also include data protection, records management, and freedom of information.*

FOI Activity	Q1	Q2	Q3	Q4
New FOIs Received	26	41	37	30
Total FOIs Resolved	21	35	46	29
FOI responses exceeding 20 day statutory period	1	3	1	4
New FOI Referrals to OSIC	3	0	1	1
SIC Decisions Reached	0	1	0	2
FOIs Carried to Next Quarter	6	11	2	3

### Scottish Information Commissioner (SIC)

Of the three SIC appeals which were ongoing prior to Quarter 4, decisions to *partially* uphold the original decisions have been reached on two (with the SPA now required to disclose additional information to both applicants), while the third appeal still open. Additionally, the Authority has been notified of one new appeal lodged with SIC during Quarter 4.

**5.3 Human Resources (HR) & Health, Safety, Resilience (HSR) -** *The SPA is the legal employer of all staff working within the SPA and Police Scotland, and retains statutory obligations and responsibilities to ensure the effective and fair employment, management and treatment of its staff. The SPA also has a statutory obligation to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all its employees.*

Activity in support of the 2015-16 scrutiny plans for HR and HSR continued through Q4. At the conclusion of the year, scrutiny work and ongoing assurance by the SPA, with findings presented to the Human Resources and Remuneration Committee, has been undertaken across headline projects within Police Scotland's "Our People" Strategic Delivery Plan.

Throughout the year, HR Governance have completed and contributed to programmes of work further to their scrutiny remit. An SPA equalities review has led to a number of actions, including the identification of SPA equality leads and subsequent EQHRIA training (Equality and Human Rights Impact Assessment), the establishment of an engagement process between equality leads and diversity staff associations, and the development of a recording system to monitor progress against SPA equality outcomes.

The HR Governance lead sits on the Survey and Engagement project group, reviewing actions and monitoring delivery for the Staff Survey Improvement Plan. HR Governance also sat on the steering group for the Superintending Role Review, providing SPA input to the recommendations from the review.

Scottish Ministers have approved the final version of the Senior Officer Performance Regulations, which came into effect on 1 April 2016. A member of the SPA HR Governance Team will ensure the draft SPA guidance reflects the final version of the regulations whilst also carrying out final consultation with key stakeholders to ensure the SPA guidance supports a fair, transparent and consistent application of the regulations.

## 6. COMMUNICATIONS & RELATIONSHIPS

**6.1 Community Accountability** - *SPA Members receive assurance, analysis and advice from the Community Accountability team on how local representatives perceive the Chief Constable and local commanders are working to engage with communities.*

During the period, the Authority's community accountability officers continued delivery of a co-ordinated programme of engagement with local authority scrutiny bodies, including attendance at 23 local scrutiny meetings, and at a range of further local authority committees alongside Board Members. These engagements provided an opportunity to share information, deliver question and answer sessions, and seek assurance on the delivery of local plans.

Additionally, meetings were held with key partners and stakeholders throughout the period including Scottish Government, Police Scotland, the Scottish Safer Communities Network, and COSLA. Officers attended a local policing seminar at Govan alongside members, and the Building Safer Communities Board.

**6.2 Communications and Engagement** - *The Communications and Engagement team supports the SPA's work in championing positive outcomes for policing in Scotland and communicating how good governance underpins public confidence in those outcomes.*

### SPA Communications

Following from previous quarters, the Communications team focused on progress reports and the subsequent publication of the SPA Chair's Review of Governance in Policing.

### Complementary Communications activity with Police Scotland

SPA Communications continued activity in support of and in conjunction with Police Scotland over the quarter including: the promotion of the inaugural Scottish Policing Excellence Awards; progress updates on the C3 programme; joint promotion of the benefits of the Scottish Crime Campus to mark its 2-year anniversary; promoting public consultation for the SPA and Police Scotland Gaelic Language Plans; and communicating the award of the Air Support Contract to Bond Air Services, supported by appropriate engagement activity

**6.3 Independent Custody Visiting Scheme (ICV)** - *SPA has a statutory requirement to maintain and manage the Independent Custody Visiting, whereby volunteer members of the community make unannounced visits to police stations to check on the treatment of detainees, the conditions in which they are being held, and that their rights and entitlements are being observed.*

### ICV Activity

In Q4, access to a small proportion (2.9%) of detainees is refused, compared to a rate of 3.2% across the entire year. The justifiable reasons for refusal are noted below<sup>1</sup>.

<b>ICV Activity</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
Total Visits Conducted	344	375	356	380
Number of people detained in police custody at time of visits	192 8	1951	195 0	198 2
Number of Detainees – Access Refused to Visitors	62	69	64	58
Number of Detainees – Not Available at time of visit	151	151	161	205
Number of Detainees Observed by Visitors	14	5	8	9
Number of Detainees offered a visit	104 1	999	107 0	106 7
Number of Detainees offered who were seen by visitors	623	625	623	611

Additionally, as part of its rolling programme of training, ICV held two events at the Scottish Terrorist Detention Centre in January

For the full year, the number of visits conducted and the number of detainees seen by visitors were largely comparable to the end of year figures from 2014-15.

<sup>1</sup> The grounds on which access to detainees can be refused are determined within the Schedule for Independent Custody Visiting (Grounds for Refusal of Access) Determination 2013. These include public safety grounds, the visitor's own safety, and access that could seriously interfere with the process of justice.

## **7. STRATEGY & PERFORMANCE**

**7.1 STRATEGY** – *Working with Police Scotland, the Scottish Government Police Division, partners, community representatives and the public to develop the long-term vision and strategy for Scottish policing.*

The principal focus for SPA Strategy has been in completing preparatory work and products to support Phase 2 of its Strategic Development Programme, which will commence in Q1 2016-17 with the Policing 2026 project at the forefront.

The review of the current SPA Strategic Police Plan was an important precursor to the Policing 2026 project which was completed during the quarter and presented at the March-16 Board. The Authority will take account of organisational learning points raised by the review when developing the next Strategic Police Plan for 2017-20 during the course of this financial year.

**7.2 PERFORMANCE** - *The SPA Performance Team provides analysis and assurance to members on the Strategic Performance Framework.*

### C3 Call-Handling Performance

The Authority has established a C3 (Contact Command and Control) Governance and Assurance Forum to strengthen its governance over Police Scotland's C3 project. The Group is chaired by an SPA Board Member and meets on a monthly basis.

In partnership with Police Scotland, and in line with recommendations from HMIC's Review of Call Handling in Police Scotland, the Performance team has developed a balanced performance reporting framework for C3. This will enable the Authority to provide an assurance assessment of C3 performance, provided through a range of indicators and other evidence. The process will be in place for the 2016-17 year and will be presented on a quarterly basis to the C3 Governance and Assurance Forum.

### 2016-17 Corporate Performance Framework

The Performance team have refreshed the SPA performance framework to ensure products and reporting content reflect the deliverables within the 2016-17 business plan, the Authority's statutory obligations, and progress of key projects for the SPA over the coming year. This will take the form of regular performance reports for senior management, in addition to quarterly board reporting which will see a revised format for the financial year 2016-17 year.

## **8. FINANCIAL ACCOUNTABILITY**

### **8.1 FINANCIAL ACCOUNTABILITY AND ASSURANCE** - *The Authority provides governance and oversight over financial matters within policing.*

The Authority will exercise appropriate governance and scrutiny over budgetary management through established mechanisms. Financial monitoring will draw on a suite of reports for revenue and capital, demonstrating financial performance against budget to the Authority's Finance and Investment committee and facilitating decision making at senior levels.

#### Audit Plan

The SPA Board has approved the 2016-17 Internal Audit plan, prepared by Scott Moncrieff. The plan has been prepared in accordance with Public Sector Internal Audit Standards (PSIAS). SPA Senior Management will monitor progress of the audit plan through corporate monthly reporting. However, the internal audit plan will be subject to formal governance by the Audit & Risk Committee.

#### Audit Scotland Recommendations

Within their 2014-15 interim, year-end, and Section 22 reports, Audit Scotland made a number of recommendations to the SPA and Police Scotland on how financial processes, controls and oversight require to be improved.

The completion of the annual accounts process should allow a number of the audit actions to be closed. The annual accounts process is progressing well and a specific improvement plan for fixed asset accounting is virtually complete. A full audit file will be prepared in July to facilitate assurance by external audit.

Arrangements have now been made for Scott-Moncrieff to undertake a post accounts review, in advance of the external audit commencing in order to provide separate assurance that the accounts close process has been completed appropriately and that suitable working papers are in place.

Additional resource is also being brought into Police Scotland to support existing staff in progressing specific actions arising from both external and internal audits. A fuller update on this will be provided to the Audit & Risk Committee at the end of July.