

**SCOTTISH POLICE  
AUTHORITY**

<b>Meeting</b>	<b>SPA Board Meeting Public Session</b>
<b>Date and Time</b>	<b>25 August 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>11</b>
<b>Presented By</b>	<b>John Foley, SPA</b>
<b>Recommendation to Members</b>	<b>For Noting</b>
<b>Appendix Attached:</b>	<b>Yes</b>

**PURPOSE**

To provide Board Members with information on Quarter One 2016/17 SPA performance as contained in SPA Business Plan.

## **1. BACKGROUND**

1.1 For Year Two of the SPA's evolving performance framework "Performance Matters", corporate performance reporting has changed for 2016/17 reporting. As reported at the June Board SPA Corporate Performance and Forensics Services performance is now presented 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.

1.2 This report captures activity conducted across the breadth of the Authority's corporate directorates. This performance evidence also informs the Authority's quarterly Strategic Police Plan Delivery Review and the Annual Review of Policing 2016/17.

1.3 The report presents the SPA corporate performance; fulfilment of SPA's statutory obligations; meeting commitments laid out in the 2016/17 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**

August 2016

Presented to: Scottish Police Authority August 2016 Board  
Reporting Period: Q1 2016-17

## 1. INTRODUCTION

1.1 The SPA Chief Executive's Report provides performance information regarding delivery of the Authority's objectives during Quarter 1 of 2016-17 (April to June). Discharge of statutory duties, delivery of the annual business plan 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 framework – "Performance Matters" - 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 Review of Governance in Policing

Progress in implementing the recommendations within the Chair's Review of Governance in Policing has continued during Quarter One. Project team meetings take place at fortnightly intervals, and SPA senior management (SMG) receive project reports including progress against milestones, risks and any issues identified.

The Chair and Chief Executive ensure that the Cabinet Secretary for Justice remains apprised of progress as part of their regular schedule of meetings. A tripartite Steering Group has also been established by the CEO to ensure collaboration and transparency between SPA, Police Scotland, and Scottish Government in the actions required to deliver against the recommendations within the Chair's review.

### 2.2 Annual Review of Policing

The Authority approved the Annual Review of Policing for 2015-16 at the Board on 20 June 2016. The review was then formally laid before Parliament on 30 June prior to the 2016 summer recess. It has since been published and can be accessed on the SPA website.

### 2.3 Policing 2026 Project

The Policing 2026 programme is a collaboration between Police Scotland and the SPA that will ensure Scottish policing continues to deliver excellence in a continually changing world. During Quarter one the programme was initiated, with important preparatory work to establish the connected work-streams and their teams - Demand Analysis, Communications and Engagement, Leadership, Culture, Staff Engagement and Empowerment. In addition, the teams have begun work on producing Strategic Assessments, a Vision and Strategy Document, a Capability and Capacity Assessment and commenced the development of a Long Term Financial Strategy. The programme is being supported by a team of specialist resource from Deloitte.

Governance of the programme includes a Sponsor Group, Working and Financial Strategy Groups and a Reference Group which is Chaired by the CEO. The purpose of the Reference Group is to challenge, influence, advise and act as a sounding board as the Policing 2026 Programme develops. The group will promote collaborative engagement with other partnership organisations, along with the public and their communities, and will offer specialist views, information and organisational perspectives on the future direction of Scottish policing. The group will be a key forum for SPA / Police Scotland strategic engagement going forward.

## **2.4 i6 Programme**

The CEO issued a statement on 1 July on the mutual agreement of SPA, Police Scotland and Accenture to end their contract relating to the i6 project, with no financial detriment to the police budget. The decision comes following a detailed review of the programme, led by the SPA CEO and supported by Accenture, which considered alternative options. As a result, the technical solution could not be delivered with expected timeframes and budget.

From a reassurance perspective i6 was only one element of SPA and Police Scotland ICT plans. In the last three years, a number of national applications have been rolled out to improve and enhance IT systems, resulting in a significant investment in modernising desktop estate. SPA and Police Scotland remain committed to delivering a sustainable policing model supported by modern technology. Significant rationalisation and consolidation of ICT systems has also taken place and the number of applications has reduced from 1700 in 2013 to 698 in 2016.

An independent review to ensure the SPA and Police Scotland learn lessons from this project is now being progressed.

### 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 1 of financial year 2016/17:

#### April

- Audit and Risk Committee
- Forensic Services Strategic Partnership Forum
- Modernisation Workshop and HRRC Committee
- C3 Governance and Assurance Forum
- Complaints and Conduct Workshop and Committee
- Finance and Investment Committee

#### May

- HRRC
- Complaints and Conduct Committee
- C3 Governance and Assurance Forum
- Strategy Project Sponsorship Group
- Finance and Investment Committee
- ICT Governance and Assurance Forum

#### June

- Board Meeting
- HRRC
- Strategy Project Sponsorship Group
- Forensic Services Strategic Partnership Forum

## 4. BUSINESS PLAN

The new 16/17 SPA Business Plan is supported by a corporate delivery plan, reported through SPA's performance framework – "Performance Matters". Deliverable milestones for Quarter 1 are detailed below:

Deliverable	Update	Status
Prepare and publish Independent Custody Visiting Scheme (ICVS) Annual Review	Review published.	Complete
Development of administration and training for implementation of visiting to legalised police cells.	ICV Visitor training guidance has been developed by SPA and shared with Police Scotland. Engagement with PS continues in order agree upon Joint Guidance, given the implications for Police Scotland's own staff. * Expected to be delivered next quarter – reason for delay is due to increased consultation by Police Scotland	Currently Delayed*
Develop with Police Scotland the approach to reporting on the APP/Corporate Strategy (at development stage) and Benefit Realisation (ongoing improvement) to ensure clear evidence of the benefits of reform	SPA continues to engage with Police Scotland. Approach to reporting will not immediately be fully realised but will continue to develop over the course of the year, and will take into account new strategic policing priorities from Scottish Government currently under consultation and identified evidence gaps reported in Year 1 Police and Fire Reform Evaluation Report.	Ongoing
Prepare and deliver the long term Financial Strategy for policing	Due for submission to the SPA Board in October 2016.	Ongoing
Produce guidance associated with Senior Officers Conduct and Performance Regulations in order to ensure openness and transparency	Draft guidance complete and being presented for approval in August to the Complaints and Conduct Committee	Moving to completion
Prepare and publish the Annual Review of Policing 2015/16	Laid in Parliament on 30 June 2016	Complete
Review and update of risk reporting methodology	Approved at SPA June Board	Complete

Implement a records management regime	Records management plan submitted to the National Record Keeper for Scotland – response awaited	Moving to completion
Produce and implement Gaelic Language Plan	Further consultation as a result of external stakeholder feedback - Final draft will be presented to SPA October Board	Moving to completion

## 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 38 new contacts this quarter, two of which were identified as within the SPA remit for complaint handling. Four contacts are currently pending further information to assess whether or not they are relevant for the SPA. Seven 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 thirteen working days (meeting the commitment to provide an update within thirty working days).

Complaint Handling Activity 2016-17	Q1	Q2	Q3	Q4
New Contacts received by SPA	38			
New Allegations received by SPA	56			
New Contacts out-with SPA remit	32			
New Contacts within SPA remit	2			
Contacts closed	7			

The SPA Complaints handling department has developed a process to dip-sample Police Scotland's closed complaints, seeking assurance of the consistent application of complaint handling within Police Scotland. The first full exercise was completed with results reported to the SPA's Complaints and Conduct Committee in Q1 2016-17. With the process now established, exercises will continue on a quarterly basis.

**5.2 Legal and Compliance**— *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.*

<b>FOI Activity 2016-17</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
New FOIs Received	24			
Total FOIs Resolved	23			
FOI responses exceeding 20 day statutory period	1			
New FOI Referrals to OSIC	1			
SIC Decisions Reached	0			
FOIs Carried to Next Quarter	5			

### Scottish Information Commissioner (SIC)

One SIC appeal from Q4 2015-16 remains open, in addition to one new appeal which the Authority was notified of in Q1 2016-17.

**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.*

During Quarter One SPA worked with Police Scotland to ensure that the Workforce Opinion Survey outcome action plan – following the 2015 SPA and Police Scotland staff survey – was developed, with deliverable milestones identified to report progress. This work has now been conjoined with the outcomes of the Police Scotland Superintending Role Review project. The SPA HR Governance Team provided input to the working group and will also have a role in the development of the Pulse Survey, which will provide staff with an invitation to ‘have your say’, due for issue in the Autumn.

For 2016-17 the SPA HR Governance team will not conduct distinct pieces of scrutiny, but will, instead, work alongside Police Scotland on strategically critical issues and provide assurance back to SPA of progress on issues such as Health and Safety; Modernisation, workforce planning, and diverse recruitment.

A new governance framework is in place for the Modernisation project, with SPA CEO as Chair of Project Board. A Modernisation communications strategy has been developed and briefings to staff have begun, complementing an intranet page on Staff Modernisation. Briefing to SPA HRRC will now comprise a regular Project Plan Highlight Report with relevant timelines, risk register and updates on employee relations.

Mainstreaming the considerations of equality issues in line with relevant legislation is well underway within SPA to take forward actions required to meet our legislative duties. An SPA Mainstreaming Report is currently under development and involves engaging with both Police Scotland and the Equality and Human Rights Commission as key stakeholders, in order to test our approach.

During quarter one, the SPA also supported ongoing negotiation of Police Officer and SPA/Police Staff Terms and Conditions.

## 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 9 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.

As part of delivery of the Annual Review of Policing 2015/16, SPA formally invited local scrutiny committees to contribute their experience of policing's engagement, reporting, and support for local scrutiny during 2015/16. Nineteen local authorities responded and SPA Community Accountability's lead officer analysed the responses, concluding that the feedback reflects high levels of satisfaction with Police Scotland's local engagement, offers some suggested improvements, and in many instances reflects confidence in an improving picture with regard to local engagement and reporting to local scrutiny committees.

**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

The communications team supported the production and promotion of the Annual Review of Policing, highlighting improvements to policing service over the last 12 months. Communications also published and promoted SPA follow-up research on the long term impacts of stop and search; linking to improvements seen in stop and search policy and practice during the last year.

In addition the team:

- Supported and promoted the Annual ICV conference in Edinburgh in May which involved speakers from across the UK.
- Devised and communicated corporate messages about changes to the financial arrangements within policing as a result of recommendations made in the Governance Review.

**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 Q1, access to a small proportion (2.9%) of detainees was 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 2016-17</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>
Total Visits Conducted	374			
Number of people detained in police custody at time of visits	1987			
Number of Detainees – Access Refused to Visitors	52			
Number of Detainees – Not Available at time of visit	171			
Number of Detainees Observed by Visitors	19			
Number of Detainees offered a visit	1083			
Number of Detainees offered who were seen by visitors	760			

During quarter 1 the ICVS Annual Review 2015-16 was produced and published. Work on the visitor handbook was completed in April and circulated to visitors from the start of May.

The ICVS Annual Conference was held on Saturday 7 May at the George Hotel in Edinburgh and was well attended by visitors from across Scotland. The feedback received was largely positive with attendees noting the quality of both the speakers and the presentations.

As part of ongoing recruitment the ICV team delivered two induction days to prospective volunteers in Aberdeen and Glasgow on Saturday 14 April 2016, followed by a series of interviews held throughout the country. This work culminated in a training day at Jackton on 14 May 2016 supported by Police Scotland.

In addition the team represented ICVS at the UK’s National Preventive Mechanism (NPM) Business Meeting, the NPM’s Scottish Subgroup and the Independent Custody Visiting Association (ICVA) Management Board.

<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.*

During quarter one, SPA Strategy team completed preparatory work and products to support Phase 2 of its Strategic Development Programme, with the Policing 2026 programme at the forefront. SPA Strategy and Performance team are part of the project team, working alongside Police Scotland colleagues and external consultants

Initial preparatory work also began during quarter one to develop the next Strategic Police Plan. Progress will be reported in the next quarter. Aligned to this work is the SPA's response to the Scottish Government's consultation on new Strategic Police Priorities as any new priorities will inform outcomes within the new Strategic Police Plan. The consultation closes in August.

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

### C3 Call-Handling Performance

Work has continued during quarter one on development of a C3 performance framework in partnership with Police Scotland. This will enable the Authority to provide an assurance assessment of C3 performance, provided through a range of indicators, data and qualitative evidence. A performance report is due to be presented to the C3 (Contact Command and Control) Governance and Assurance Forum in August and will provide an opportunity for feedback as the framework is refined. Next steps will be to incorporate this framework within the wider national Police Scotland performance framework.

### 2016-17 Corporate Performance Framework

During quarter one work has been undertaken to develop a new reporting product for public Board reporting of the current SPA Strategic Police Plan which will complement the new performance reporting approach and format from Police Scotland. The focus is on exception reporting, how we can better develop policing evidence, and in providing succinct assessment of delivery of the four strategic policing priorities. This format will inform the evidence included within the Annual Review of Policing for 2016-17.

## 8. FINANCIAL ACCOUNTABILITY

**8.1 FINANCIAL ACCOUNTABILITY AND ASSURANCE** - *The Authority provides governance and oversight over financial matters within policing. The SPA Chief Executive is the Accountable Officer for the entire policing budget in Scotland.*

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 Scotland Recommendations

During quarter one a dashboard style report has been designed with the new report submitted to the Audit and Risk Committee on 28 July 2016, covering all external audit recommendations over the past two years. The current dashboard shows that 39 out of 76 recommendations are now closed with a further 31 expected to be closed in Quarter Two.

### Long-Term Financial Strategy

Work continues to update the Long-Term Financial Strategy as part of the Policing 2026 Programme and is due for submission to the SPA Board in October 2016.

### Annual Accounts 15/16

The unaudited accounts are now complete and were submitted to Audit Scotland by SPA on 1 August 2016. Scott-Moncrieff, the SPA's internal auditor, provided early recommendations in respect of the compliance of the draft accounts prior to their submission to Audit Scotland. Scott-Moncrieff is now in the process of completing a post-accounts review, following which the Authority will receive a full report.