

SCOTTISH POLICE
AUTHORITY

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| Meeting | Public SPA Board Meeting |
| Date | 22 June 2017 |
| Location | Carlton Hotel, Edinburgh |
| Title of Paper | Review of Governance in Policing – End Project Report |
| Item Number | 10.1 |
| Presented By | John Foley |
| Recommendation to Members | For Noting |
| Appendix Attached | Yes |

PURPOSE

The attached Review of Governance in Policing Implementation - End Project Report is the Project Director's report to the SPA Chief Executive Officer (CEO) and the Steering Group documenting how the project has performed against the objectives outlined in the Chair's Review of Governance in Policing including. This report effectively confirms hand-over of all products and informs the decision to proceed with project closure.

This report was presented to the Review of Governance in Policing Implementation Steering Group on 28 March 2017. The position within the report was accepted with an undertaking to convene the Steering Group for a final time once there was a draft of the 6 month review available

This report is submitted for Noting.

1. BACKGROUND

- 1.1 The Chair of the SPA was asked to carry out a Review of Governance in Policing (RGP) by the Cabinet Secretary for Justice as part of the Programme for Government in September 2015. The review was undertaken and completed within the 6 month timescale agreed by the Chair and the Cabinet Secretary and the resulting report made 30 recommendations for improvement or further review.
- 1.2 The Chair's RGP Report was presented to the SPA Board on 31 March 2016 and the CEO was asked to take forward the implementation of the recommendations.
- 1.3 The Chair's report contained indicative timescales for the implementation of the 30 recommendations and the team assigned to deliver the project aimed to work within this one year timeframe (April 2016 – March 2017).
- 1.4 At the end of this period the End Project Report was developed and describes the remaining recommendations and the next steps which will lead to completion and handover to business as usual.

2. FURTHER DETAIL ON THE REPORT TOPIC

- 2.1 The full report is now attached with Appendices A, B and C.

3. FINANCIAL IMPLICATIONS

- 3.1 There are no financial implications associated with this report.

4. PERSONNEL IMPLICATIONS

- 4.1 There are no personnel implications associated with this report.

5. LEGAL IMPLICATIONS

- 5.1 There are no legal implications associated with this report.

6. REPUTATIONAL IMPLICATIONS

6.1 There are no reputational implications associated with this report.

Providing an End Project Report is standard project management procedure.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this report.

8. COMMUNITY IMPACT

8.1 There are no community implications associated with this report.

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications associated with this report.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications associated with this report.

RECOMMENDATIONS

Members are requested to:

Note the information contained within this report.

SCOTTISH POLICE
AUTHORITY

END PROJECT REPORT

Governance Review Implementation

Date: June 2017

Author: Lynne Clark

Owner: Lindsey McNeil/Tom McMahan

Version Number: V 1.2

VERSION CONTROL

| Author | Project Role | Version Number | Date Issued | Comments |
|-------------|--------------|----------------|-------------|--|
| Lynne Clark | Project Lead | v 0.1 | 09/03/17 | initial draft for comment |
| Lynne Clark | Project Lead | v 0.2 | 20/03/17 | Draft issued for SMG review |
| Lynne Clark | Project Lead | v 0.2 | 28/03/17 | Draft issued for Steering Group review |
| Lynne Clark | Project Lead | v 1.0 | | For Members meeting in May '17 |
| Lynne Clark | Project Lead | v 1.1 | 27/04/17 | For Board Meeting May'17 |
| Lynne Clark | - | v1.2 | 06/06/17 | For Board Meeting Jun '17 |

DOCUMENT REVIEWERS

| Name | Role | Draft Review (Y/N) | Review (Y/N) | Sign-off Required(Y/N) |
|-----------------------------|--|--------------------|--------------|------------------------|
| John Foley | CEO | Y | Y | Y |
| Lindsey McNeil | Implementation Project Director to Jan 17 | Y | Y | N |
| Tom McMahon | Implementation Project Director from Jan 17 | Y | Y | N |
| John McCroskie | Director of Communications & Relationships | N | Y | N |
| Amy McDonald | Director of Financial Accountability | N | Y | N |
| Tom Nelson | Director of Forensic Services | N | Y | N |
| Rose Fitzpatrick | Police Scotland lead – Implementation Steering Group | N | Y | Y |
| Laura Johnstone | Scottish Government lead – Implementation Steering Group | N | y | Y |
| Implementation Team Members | Delivery | Y | Y | N |

AMENDMENT INFORMATION

| Amended By | Project Role | Version Amended | Date | Comments |
|-------------|--------------|-----------------|----------|--|
| Lynne Clark | Project Lead | 0.1 | 20/03/17 | Team feedback incorporated |
| Lynne Clark | Project Lead | 0.2 | 28/03/17 | Updated with input from Steering Group |
| Lynne Clark | Project Lead | 1.0 | 27/04/17 | Minor update to section 2.4 |
| Lynne Clark | - | 1.1 | 06/06/17 | Update to Post Project Review |

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EXECUTIVE SUMMARY

The Governance Review Implementation project was initiated in April 2016 following the sign off of the Chairs Review of Governance in Policing report. The Board requested that the CEO initiate the work to develop a plan, put in place suitable governance arrangements and provide regular progress reports to the SPA Board.

The recommendations from the report were aligned to five key workstreams. In addition the outstanding recommendations from the HMICS continuous improvement review and the SPA Self-Assessment exercise were aligned and incorporated into these five workstreams for development and implementation.

To oversee the project a Governance Review Implementation Steering Group was set up with representation from Police Scotland (PS), Scottish Government (SG) and chaired by the SPA Chief Executive Officer (CEO). This Group met between August 2016 and March 2017 providing the opportunity for the organisations to work together and resolve any issues or delays to progress. The SPA Governance Framework was approved by the SPA board in December 2016 and implemented from January 2017. The framework will have impact beyond SPA and PS and to ensure it is delivering the outcomes specified in the Chair's report a 6-month review will be undertaken encompassing the views of key stakeholders as well as analysing the evidence collected through the normal course of business.

Within the Chair's report some indicative timelines were given for implementing the recommendations. Given that the project was undertaken entirely within the current establishment of SPA, more than 70% of the recommendations involving SPA were delivered within the lifetime of the project. There are a number of recommendations that will benefit from a period of bedding in so that a final assessment can be undertaken to determine if they have met the desired outcomes of the review.

There were some valuable lessons learned through this project which could be applied to further similar work. Working across the business areas in SPA was very effective and provided a real opportunity to work together on some difficult topics. However it was a risk to the project timescales that the work was undertaken on top of day-to-day business priorities. Internal communications could be improved and a clear approach to change management could be addressed.

1.0 INTRODUCTION

1.1 PROJECT BACKGROUND

The Chair of the SPA was asked to carry out a Review of Governance in Policing (RGP) by the Cabinet Secretary for Justice as part of the Programme for Government in September 2015. The review was undertaken and completed within the 6 month timescale agreed by the Chair and the Cabinet Secretary and the resulting report made 30 recommendations for improvement or further review.

The Cabinet Secretary welcomed the report and responded formally to the Chair on each of the themes within the report.

A paper was presented to the full SPA Board meeting on 31 March 2016 and the Chair asked the Board Members to formally request that the SPA Chief Executive:

- i. Initiate the work with Scottish Government and Police Scotland, to develop a project plan to take forward implementation of the recommendations within the report, as well as any other related recommendations that were made previously by HMICS and which have yet to be fully discharged;
- ii. Ensure that an implementation plan be developed with appropriate governance arrangements in order to effectively monitor delivery within agreed timescales;
- iii. Provide regular progress reports to the Board over the coming months.

An Implementation Plan was developed in April 2016 in which 5 key workstreams were identified covering the 30 recommendations. They were:

- SPA Governance Framework
- SPA Operating Manual
- SPA Structure Implementation
- Local Accountability Development
- Stakeholder Engagement Model

At that time the outstanding recommendations from the HMICS continuous improvement review and the SPA Self-Assessment exercise were aligned and incorporated into the above workstreams for development and implementation (see Appendix A, B).

When the Implementation Plan was created it was anticipated that the SPA Senior Management Group (SMG) would oversee delivery of the above workstreams and associated products acting in the capacity of the Project Board. However, given the cross organisational nature of the recommendations it was decided to set up a Governance Implementation Steering Group with representation from Police Scotland (PS), Scottish Government (SG) and chaired by the SPA Chief Executive Officer (CEO). This was established in August 2016 and had met 5 times by the end of March 2017.

The Steering Group offers an opportunity for SPA, Police Scotland and Scottish Government to come together to discuss progress overall across the organisations and work together to resolve any issues which may delay that progress.

The progress on the implementation project was also reported on a monthly basis to both the SMG and the Members Meetings with a quarterly update provided to the full SPA Board.

1.2 PURPOSE OF END PROJECT REPORT

The End Project Report is the Project Director's report to the SPA CEO and the Steering Group documenting how the project has performed against the objectives outlined in the Chair's Review of Governance in Policing including. This report effectively confirms hand-over of all products and informs the decision to proceed with project closure.

Information for the End Project Report has been derived from the Review of Governance in Policing Implementation Plan, the Progress Tracker and the project team members.

2.0 ACHIEVEMENT OF PROJECT OBJECTIVES AND FOLLOW ON ACTIONS

The objectives summarised within the Chair's Review of Governance in Policing which led to the recommendations include:

- Increased clarity in the role of the SPA;
- Focus SPA's work on strategic governance matters;
- Appropriate delegation to allow Police Scotland to deal with operational requirements within defined parameters while still holding the Chief Constable to account for the performance and quality of policing;
- Allowing for local accountability to be fully discharged in accordance with legislation and the Scottish Government's Programme for Government.

The workstreams outlined at section 1.1 were the focus for SPA, Ps and SG to achieve these above objectives.

2.1 Governance Framework

An overarching external facing governance framework which will state roles, responsibilities, scheme of delegation, criteria for closed Board sessions and committee terms of reference. The aim of this framework being to bring clarity to the role of SPA and to have all the governance documentation condensed into one easy to access place.

The framework also includes the SPA Financial Protocol which sets out how the Accountable Officer's responsibilities, per the Public Finance and Accountability (Scotland) Act 2000, specifically which responsibilities set out in the Memorandum to Accountable Officers, are delegated to Police Scotland. It seeks to bring greater clarity to the process where it is necessary for the Accountable Officer to make directions in relation to the financial management and administration of the organisation as and when the Accountable Officer considers appropriate.

What did we do - Draft documents were developed in discussion with key stakeholders. Feedback was invited and incorporated as appropriate and relevant into developing versions of the framework.

A workshop was held with PS practitioners, 15th September 2016, to discuss the Scheme of Delegation in some detail and again feedback incorporated as appropriate.

The framework was then issued to Scott Moncrieff (Internal Audit) to review and condense in preparation for final sign off.

What was the outcome - The Governance Framework was signed off by the SPA Board on 15 December 2016 with an expectation that it will be reviewed after a period of 6 months to ensure any improvements can be implemented **(Recommendations 1, 2, 3, 13, 14, 15, 16, 18, 20 and 21)**.

What next - While the governance framework was approved in December there is still a requirement to ensure the appropriate levels of information are presented to the SPA Committees and Board to demonstrate improvements in the quality of service that Police Scotland is providing **(recommendation 25)**.

This is an ongoing action for SPA and will be based on the information brought forward from both Police Scotland and SPA in Performance Reports, from SPA's Annual Review of Policing and the 4 year SIPR review on the aims of reform. It will also be informed by the feedback received from key stakeholders. A key area of focus will be the input and output from the newly established committees and the SPA Board.

Expected completion – August 2017 (6 month review)

Ownership SPA

2.2 Operations Manual

An operations manual to allow internal working practices of SPA to be documented allowing for consistency, clarity and effectiveness.

What we did – A map of all the internal processes, policies and documentation that are required to support the SPA across all the directorates was developed. This highlighted the areas that specifically support the governance framework but also allow SPA to be compliant with relevant legislative, regulatory and statutory requirements.

Each directorate has taken ownership of the work and the development, maintenance and management of these processes and policies will fall within the remit of the various business functions.

What was the outcome – The SPA Performance Standards for holding the Chief Constable to account will provide the strategic starting point for the new joint PS/SPA performance framework that will be developed to support delivery of the 2026 strategy. Further work is ongoing to ensure that SPA Corporate and Forensic Services are included in the overall governance of performance framework. **(Recommendation 21)**.

A review of the Strategic Planning landscape was undertaken as part of the Policing 2026 work. Policing 2026 has given us the opportunity to revisit that and we've specifically called out in the draft strategy how we can best fulfil the spirit of the legislation with the long term strategy and the associated 3 year implementation plan and performance framework. **(Recommendation 24)**

What next – The key underpinning processes and policies will be completed to support the governance framework **(Recommendation 19)**.

The day to day procedures of SPA will be completed in shorter time over the next quarter and an evaluation of progress will be undertaken at the 6 month review **(Recommendation 19)**.

The exercise to date has highlighted some gaps in the set-up of corporate SPA when identifying ownership of policy and process. This will be useful input to the review of the SPA structure.

Progress on updating information processing and management systems to reduce cost, improve turnaround times and allow for more open interrogation of data will be informed by Policing 2026 as well as the review of Police Scotland internal governance, tasking and co-ordinating and strategic planning arrangements. This is for ongoing review (**Recommendation 26**).

While a process has been established for the ongoing assurance of major programmes and projects, based on the model piloted for the C3 Project further enhancements will be implemented based on the scale and complexity of the Policing 2026 Implementation Plan (**Recommendations 17**).

Expected completion – Q1 - Operations manual (iterative process of review and improvement)
Q1 - Performance Framework
Q1 – Major Programmes and Projects Assurance

Ownership across SPA

2.3 SPA Structure Implementation

A structure review was recommended to look at the corporate structure, as well as looking at options for the current service delivery aspects of SPA. In addition the Scottish Government conducted a review of the original organisational structures and remits established as part of the Police & Fire Reform (Scotland) Act 2012 to ensure responsibilities remained clear and consistent with the intentions behind reform.

The service delivery aspects of SPA include the functional areas of Forensic Services (FS), Complaints Handling and Independent Custody Visiting (ICV).

SPA Service Delivery

What did we do - HMICS provided an in-depth Professional Advice Note outlining the various options for providing Forensic Services to Police Scotland, the Crown Office & Procurator Fiscal Service (COPFS) and the Police Investigations & Review Commissioner (PIRC).

In addition meetings took place with each of the key stakeholders to clarify views on current practice.

What was the outcome - The SPA Members considered the options for each of the service delivery functions in August 2016, the SPA Chair also discussed with the Cabinet Secretary with the following outcome (**Recommendation 11**):

Forensic Services – The decision by the Members was that there should be an internal re-organisation with a possible move in the longer term to the creation of a new structure. As part of the change there are a number of options to be explored about the best way of restructuring to ensure a more commercial focus balanced with science delivery.

Complaint Handling - The decision by the Members was to implement a change to handling procedures. This involves a more streamlined process with the Board removed from that process; ensuring a robust process is in place to deal with the outcome of an investigation; implementing an escalation process if the complaint not being upheld; and for later consideration maybe nominating a Board champion.

Independent Custody Visiting - The decision by the Members was to keep the process as is. There was discussion on how ICVS could be better promoted and assured. A couple of options were discussed, which were, either through internal audit or through a SIPR review.

SPA Corporate Structure review

What did we do - This recommendation was not progressed as part of the project. The restructure of SPA is will now be led by SPA SMG/CEO supported by HR Governance and Police Scotland HR and undertaken as a separate piece of work (**Recommendation 12**).

Scottish Government review

What did we do - SG considered the position in the context of the Governance Review and had discussions within Police Division and with SPA officials. The decision was that there are opportunities to develop relationships further within the current framework and that no specific change is required at this time.

What was the outcome - On that basis SG discharged this recommendation and formally wrote to the CEO in February 2017 (**Recommendation 10**).

No outstanding actions

2.4 Local Accountability Development

Local accountability development considered priority activity to provide the board with assurance on Police Scotland's delivery of localism and local engagement; and to facilitate knowledge sharing and the improvement agenda across local scrutiny arrangements.

What did we do - A process was developed to detail SPA's assurance on localism and accountability being delivered principally through the new Policing Committee, the Annual Review of Policing and the developing performance framework.

Similarly a proposal of how the SPA can support the improvement agenda in local scrutiny and engagement was developed and a programme of work put in place including a revised approach to SPA's engagement on local interests.

Police Scotland also established a formal escalation process which will allow Local Scrutiny Committees to register their disagreement with individual policing policy decisions.

What was the outcome - The SPA approach outlined above was presented to Members in February 2017 and endorsed by them. The new approach has a shift in emphasis ensuring SPA Member involvement is limited, but targeted where it will add most value (**Recommendation 8**).

The Police Scotland Resolution Policy was endorsed by Members in November 2016 (**Recommendation 7**).

What next – Police Scotland continue to lead and deliver local engagement, and ensure the differing needs of local communities are addressed Clear lines of accountability between Police Scotland and local scrutiny committees are reinforced by the more targeted and strategic approach to SPA engagement. However to ensure the approach is fully embedded and leading to improvements this area will form a significant part of the 6 month review. Evidence will be gathered over the period until then to ensure the relevant recommendations can be discharged (**recommendations 4, 5 and 6**).

This is an ongoing action jointly for SPA and Police Scotland and will be based on the information brought forward from Police Scotland in Performance Reports, from SPA's Annual Review of Policing and the 4 year SIPR review on the aims of reform.

Expected completion – August 2017 (6 month review)

Ownership jointly between SPA and PS

2.5 Stakeholder Engagement Model

Stakeholder engagement model to identify key influencers and who is best placed to carry out different types of engagement.

The work in relation to this Workstream was undertaken as part of the Policing 2026 development.

What did we do - Work in relation to the development of a stakeholder engagement model was initiated as part of Policing 2026 September 2016. In mid-2016, the SPA embarked upon a collaborative and strategic piece of work to develop a long term vision and strategy for policing over the next decade. Fundamental to the development of that strategy has been identification and analysis of both the SPA and Police Scotland's key internal and external stakeholders who will play a part or be impacted in the delivery of the Policing 2026 strategy. In September 2016, a comprehensive stakeholder analysis and mapping exercise was conducted specific to Policing 2026 which:

- Identified key stakeholders;
- Assessed their ability to influence the programme's success; and
- Assessed where stakeholders were against where we would like them to be on the 'commitment curve' to the programme; and
- Determined the scale of their communication and engagement needs to move them to where we would like them to be.

Approach:

- Stakeholders were identified and grouped based on their common influence or impact, or their requirement for the same types of messages during the programme
- A first draft of stakeholder assessment was completed with key staff from Police Scotland and SPA (25/08/16) and circulated to the wider 2026 programme for review and comment
- A workshop was held with 2026 programme leads (08/09/16) to review the draft stakeholder assessment and complete the 'distance travelled map'.
- A Policing 2026 Communications and Engagement plan was developed which was significantly informed by the findings of the stakeholder analysis and approved by a Policing 2026 Sponsor Group in early October 2016.
- The stakeholder analysis was regularly reviewed throughout the programme to assess if stakeholders' needs have changed based on the stage of the programme and the communications and engagement activity delivered. Programme input was conducted in early 2017 to assess how far stakeholders had travelled in advance of detailed engagement beginning with them on the final content and key messages of the strategy.

What was the outcome – The outcome was a comprehensive stakeholder mapping and analysis report of which the findings were used to inform how communications and engagement activity was prioritised and tailored to stakeholders' needs in order to support successful delivery of the 2026 programme.

What next – Following a significant period of development, targeted engagement with both internal and external stakeholders and subsequent publication and ongoing consultation of the draft Policing 2026 strategy, there is now parallel work being undertaken to conduct a separate and SPA specific stakeholder mapping and analysis report which focuses on the SPA's business as usual activities and the key stakeholders impacted by our day-to-day responsibilities. A first draft of stakeholder assessment will be completed by the SPA's Communication and Engagement team and circulated to the wider Senior Management Group for review and comment by end of March. SPA member input will then be canvassed to review the draft stakeholder assessment and determine where identified stakeholders require to be on the 'commitment curve' compared to where they are assessed as currently.

The final stakeholder analysis (**Recommendation 27, 28 and 29**) will inform the SPA's revised Communication and Engagement Strategy (**Recommendation 30**), due for completion in Q2.

Expected completion – End March Stakeholder Analysis (presentation to future members meeting)
Q2 Communications Strategy

Ownership SPA

3.0 PERFORMANCE AGAINST PLANNED TIMESCALES AND BUDGET

The implementation project was resourced within the current establishment of SPA. It was managed through the matrix management process, which for SPA means that the team members are drawn from across the organisation and undertake the work to deliver the project together with their business as usual priorities. As expected this has had an impact on the indicative timescales, of between 3 months and 1 year, given within the Chair's Report.

The work on a small number of the recommendations was incorporated into Policing 2026 which is the ongoing work to define and develop the long term strategy for policing. The impact of this on the Implementation Project was that the timescales to deliver, in particular the stakeholder engagement model development and the strategic planning landscape review were moved out to align with Policing 2026 development work. A number of SPA Officers were also seconded to work on Policing 2026 which had an impact on the work of the implementation.

A number of deliverables slipped from the indicative timescale but were completed within the lifetime of the project (April 2016 – March 2017). A number of recommendations will be carried forward into Q1/Q2 of the FY107/18 for the reasons outlined above and a number will be for ongoing review and evidence gathering over a 6 month period to the end of June 2017 (see summary at Appendix B).

4.0 LESSONS LEARNED

The team felt that the direction and objectives of the project were clear at the start of the process.

Having the project team span across the various business areas within SPA was very effective and provided a real opportunity to work together on some difficult topics that needed addressing.

However one of the key issues that impacts on the delivery of projects within SPA is the practice of undertaking project delivery as part of everyone's day job. This results in loss of momentum and slipping timescales as priorities change. If we need to undertake similar scale projects in the future

we need to consider the resource implications and free people up to take on sometimes complex tasks.

The Governance Review Implementation Steering Group was slow to set up. The cross-organisational nature of the project would have benefited from this forum being in place at an earlier stage in the process to build and maintain momentum.

A more involved role for all SMG members may have added some resilience around the decision-making within the project. It was felt at times that this was bottle-necked and impacted progress.

It felt as though there was a lot of progress reporting throughout the lifetime of this project, however on reflection, all the communication was targeted up the way, to SMG, Members and Board, and there was little internal communication with the wider SPA staff. A process and clear approach to SPA change management will need to be addressed in any other similar projects.

5.0 POST PROJECT REVIEW

A paper outlining the approach and the scope of the post project review will be tabled at the SPA Board meeting on 22 June.

6.0 SIGN OFF

Governance Review Implementation Steering Group

SPA Chief Executive Officer

Name (Block Capitals): _____

Signature: _____

Date: _____

Police Scotland Lead

Name (Block Capitals): _____

Signature: _____

Date: _____

Scottish Government Lead

Name (Block Capitals): _____

Signature: _____

Date: _____

Appendix A – Complete/Closed Recommendations

(Includes outstanding recommendations from the HMICS continuous improvement review and the SPA Self-Assessment exercise – shown in blue)

| Recommendation | |
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| 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. (1) | |
| 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. (2) | |
| 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. (3) | |
| 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. (7) | ALIGNMENT |
| The primary responsibility for local engagement rests with Police Scotland. The SPA Board should see its role as 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. (8) | |
| 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 (HMICS Thematic Inspection of Road Policing – Recommendation 4) | |
| 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. (9) | ALIGNMENT |
| The SPA should further develop the ‘Partners in Scrutiny’ national forum with local authorities into a more forward-looking and anticipatory partnership to identify and discuss strategic policing issues likely to have significant public interest well in advance of any decisions being required (SPA Inquiry into the public impact of Police Scotland's Firearms Standing Authority – recommendation 7) | |
| 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 | |

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| <p>responsibilities are clear and consistent with the intentions behind the reform. (10)</p> | |
| <p>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. (11)</p> | |
| <p>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. (12) (Closed)</p> | ALIGNMENT |
| <p>HMICS views that a structural review of SPA staffing including capability and capacity (actions 24 and 25) is still required, but accepts that pending the recommendations of the Governance Review, any staffing structure will require to meet the requirements of new governance structures. Therefore it is recommended that these actions are consolidated into a single action and carried forward by the SPA into its new iteration of self-evaluation and improvement planning (HMICS - Structural review of SPA staffing, capability & capacity – SPA Improvement Plan) NOT COMPLETE</p> | |
| <p>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. (13)</p> | |
| <p>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. (14)</p> | |
| <p>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. (15)</p> | |
| <p>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. (16)</p> | |
| <p>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. (18)</p> | |

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| <p>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. (20)</p> | |
| <p>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. (21)</p> | |
| <p>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. (24)</p> | ALIGNMENT |
| <p>HMICS recommends that a composite improvement action is retained by the SPA in terms of developing an effective strategic planning and performance framework and carried forward into its new iteration of self-evaluation and improvement planning (HMICS - Develop an effective strategic planning and performance framework - SPA Improvement Plan)</p> | |
| <p>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. (27)</p> | |
| <p>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. (28)</p> | |
| <p>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. (29)</p> | |

Appendix B – Remaining Recommendations

| Recommendation | Owner | Status | ALIGNMENT |
|--|-----------------|---|-----------|
| Local Accountability Development | | | |
| 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. (4) | Police Scotland | FOR CONTINUOUS REVIEW DURING THE YEAR 17/18 Ongoing (to be evidenced at the 6 month review) | |
| 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. (5) | Police Scotland | FOR CONTINUOUS REVIEW DURING THE YEAR 17/18 Ongoing (to be evidenced at the 6 month review) | |
| 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. (6) | Police Scotland | FOR CONTINUOUS REVIEW DURING THE YEAR 17/18 Ongoing (to be evidenced at the 6 month review) | |
| Operations Manual | | | |
| Governance of major projects and programmes should be overseen by SPA at an appropriate level, depending on the 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. (17) | SPA | Q1 2017/18 | |
| Police Scotland and the Scottish Police Authority should urgently review and strengthen their overall approach to programme governance and establish transparent processes for commissioning independent quality assurance reviews for critical stages of all major projects. This should initially focus on improved governance and scrutiny over the C3IR project and independent quality assurance over Stages 5, 6 and 7 (HMICS Independent Assurance Review Police Scotland - Call Handling Final – Recommendation 9) Partial discharge Sept 2016 | | | |
| Police Scotland and the Scottish Police Authority should implement strengthened ICT governance and independent quality assurance reviews for key deliverables within Stages 5, 6 and 7 of the C3IR project (HMICS Independent Assurance Review Police Scotland - Call Handling Final Report - Recommendation 18) Discharged May 2016 | | | |

| | | |
|---|-----------------------|---|
| <p>Police Scotland should improve financial management and reporting for the C3IR project. The Scottish Police Authority should consider the level of scrutiny and due diligence applied to change project budgets and projected financial benefits. Identification of explicit savings against project costs (both revenue and capital) should be regularly monitored as part of business case review and overall benefits reporting (HMICS Independent Assurance Review Police Scotland - Call Handling Final Report - Recommendation 22) Partial discharge October 2016</p> | | |
| <p>HMICS recommends that an improvement action is retained by the SPA in terms of developing a flexible and transparent governance approach to major change programmes and projects with Police Scotland. This should be carried forward into its new iteration of self-evaluation and improvement planning (HMICS – Develop a flexible and transparent governance approach to major change programmes and projects)</p> | | |
| <p>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. (19)</p> | SPA | Q1 2017/18 |
| <p>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. (22)</p> | SPA | FOR CONTINUOUS REVIEW DURING THE YEAR 17/18 Q1 2017/18 |
| <p>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. (23)</p> | SPA | FOR CONTINUOUS REVIEW DURING THE YEAR 17/18 Q1 2017/18 |
| <p>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. (26)</p> | Police Scotland | FOR CONTINUOUS REVIEW DURING THE YEAR 17/18 |
| Governance Framework | | |
| <p>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. (25)</p> | SPA | FOR CONTINUOUS REVIEW DURING THE YEAR 17/18 |
| Stakeholder Engagement Model | | |
| <p>SPA and Police Scotland should re-visit their communication strategies and make their commitment to partnership working across the public sector more explicit. (30)</p> | SPA / Police Scotland | Q2 2017/18 |

Appendix C – Police Scotland Steering Group Update March 2017 – Recommendations 4, 5 and 6

Recommendation 4: Police Scotland should ensure that their local engagement programmes are directed at a wide range of local organisations. Whilst 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

- **Regional Forums:** introduced in the previous report, these have continued, with the most recent event in North Command 9th March 2017 attended by ACC Cowie and Mr Flanagan. Topics of interest presented at this forum related to C3, armed policing and long term strategies across parties.

Forums for the East and West are also diared in for 21st May and 23rd June respectively. These forums are still developing with Policing Division of Scottish Government now attending the event on 21st May.

- A revised draft of the "**Collaborative Statement of Good Scrutiny and Engagement**" is being prepared and will soon be circulated amongst all represented parties to the paper for comment. Still aiming for completion in anticipation of the requirement for guidance documents for newly elected members. Leading on this work is Eleanor Gaw from SPA, with interested parties including Scottish Government, Police Scotland, COSLA and Scottish Fire and Rescue Service represented. SLGP will also be included in discussions.
- **Planning Activity:** work continues with the local consultation and development of the Local Police Plans ongoing, with most looking at a later implementation date this year as a result of local discussions. The proposals around plans have been presented at a number of forums since the last update including the Partners in Scrutiny and COSLA Conveners Forum with continued positive feedback around local engagement in the preparation of these plans. Divisions are completing records of consultation undertaken in the development of their plans.
- **Community Empowerment:** Since the last update, our legislative obligations to market and create a process as a single agency under Parts 3 and 5 of the Community Empowerment Act have developed. Part 5 relating to **Asset Transfer** went live on 23rd January 2017, allowing Community Bodies to apply to purchase, lease or make use of land including buildings of Police Scotland (owned by SPA). To date there has only been 1 query in respect of this.
- Part 3, relating to **Participation Requests** will go live on 1st April 2017. This part of the Act is all about community inclusion and engagement around service delivery. "Participation" is defined under 4 distinct areas;
 - Starting a Dialogue
 - Taking part in service delivery
 - Being involved in making decisions or determining policy
 - Challenging or proposing alternative means to achieve improved outcomes.

With support from Corporate Communications, the required website and process have been prepared. Additional information around how the public already participate with the service under each of these headings is included, as well as the longer term development of links to partner agencies, highlighting further opportunities to participate with other groups who directly support our work eg resilience partnerships, 3rd sector organisations etc. As the work develops, these pages will be complemented by divisional noticeboards, signposting local organisations and groups, whilst giving commanders and their teams the opportunity to advertise forthcoming events the public can attend and engage with police.

- **Consultation: YourViewcounts:** Participation rates are currently sitting at 20,312 completed surveys for the YourViewCounts YTD 2016/17. Active marketing of this survey was suspended for the duration of the 2026 Consultation with a paper reporting on findings and recommendations for Year 2 being prepared. This has been replaced with active engagement to encourage the views of a broad audience on the 2026 strategy through online prompts and engagement events supported by Corporate Communications.

Recommendation 5: 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.

- The revision of **National and Local Tasking Delivery Boards** presented in the last report has been underway since October 2016. A pilot across 3 divisions is now complete. This process is set to roll out nationally from April 2017 which should ensure the transparency of decision making around strategic and critical resource allocation. All Divisional Commanders and the respective senior management teams have been consulted on throughout the process to ensure local issues feed the national network.
- The update provided under Community Empowerment above, is equally relevant to this section as it is anticipated requests will come from local communities (geographic or by characteristic) who deem they can improve outcomes relating to the needs of their community which they feel can be contributed wholly or in part by police.
- 29th March will see the inaugural meeting of the Public Confidence Steering Group. In anticipation of this meeting, initial discussions have taken place with representatives from Scottish Government, Scottish Institute for Policing Research, PSD and Analysis and Performance Unit to assess understanding of confidence and how we can improve this. It is anticipated, confidence and satisfaction across our diverse communities will be an aspect of this work which arguably, is inextricably linked to our ability as a service, to meet the differing needs of local communities.

Recommendation 6: 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 engagement plan initiated.

As detailed in previous reports, feedback from local areas has been very positive with regular comments around positive relations between area and divisional commanders across the country.

- A good example of improved engagement with and routes for feedback from Local Scrutiny Committees is that involving the national Policing Scotland Contact, Command and Control (C3) Division. Invitations were issued via Local Policing Divisions to all 32 Local Scrutiny Committees to visit their local C3 Service Centre to see call handling in action and meet call handlers and other staff. Visits have now been facilitated for all local authorities and feedback has been unanimously positive.