

<b>Meeting</b>	<b>SPA Board Meeting</b>
<b>Date and Time</b>	<b>2 May 2018</b>
<b>Location</b>	<b>Stirling Court Hotel, Stirling</b>
<b>Title of Paper</b>	<b>SPA Improvement Plan</b>
<b>Presented By</b>	<b>Kenneth Hogg</b>
<b>Recommendation to Members</b>	<b>For Approval</b>
<b>Appendix Attached:</b>	<b>Yes: Appendix A - SPA Improvement Plan 2018-2019</b>

**PURPOSE**

To seek Members' approval for the SPA Improvement Plan for 2018-2019.

## 1. BACKGROUND

1.1 The SPA has embarked on a process of rapid improvement in terms of how it works and engages with others. In doing so, it is important that the SPA is able to focus its resources where improvement is most needed, and is able to track and report progress. The Improvement Plan 2018/19 sets out a series of priority improvement actions for the year ahead.

## 2. SPA Improvement Plan 2018/19

2.1 A significant amount of work has been undertaken within the SPA's executive team to develop the SPA Improvement Plan for 2018/19. The Plan sets out the key improvements to its ways of working that SPA will make during 2018-2019. It responds to recommendations from 14 reviews, inspections and audits of the Authority that were published during the 2017-2018 financial year, and focuses on four priority areas for action:

- Board and Committees;
- improving our internal governance, policies and procedures;
- strengthening our external relationships and procedures; and
- building the SPA executive team's capacity and capability.

2.2 The Improvement Plan has been produced by engaging with the entire SPA executive team as well as with SPA Members. An all-staff workshop was held on 4 April to enable executive colleagues to contribute to this plan, and a further staff engagement session was held on 12 April. Progress in delivering the plan will be publicly reported through the Interim Chief Officer's reports to monthly Board meetings, to relevant SPA Committees including the Audit Committee, and in the SPA's annual report. We will also report back to the bodies that made specific recommendations in various, reviews, inspections and audits of the SPA published last year, including Audit Scotland, the Police Investigations and Review Commissioner, Scott-Moncrieff (SPA internal auditors for 2017-18), Her Majesty's Inspectorate of Constabulary and the Scottish Parliament.

### **3. FINANCIAL IMPLICATIONS**

- 3.1 There are no direct financial implications for this financial year. The commitments set out in the SPA Improvement Plan for 2018-2019 will be met from within the existing SPA Corporate budget allocation for 18/19.

### **4. PERSONNEL IMPLICATIONS**

- 4.1 There are personnel implications. The improvement plan was produced by engaging with the entire SPA executive team. An all-staff workshop was held on 4 April to enable colleagues to contribute to this plan, and a further staff engagement session was held on 12 April. The improvement plan will provide clear purpose and direction and enable the SPA team to focus their efforts and development to where they will add most value. The plan will form the basis on which staff teams and individuals set their individual performance objectives and learning and development plans for 18/19. Strengthening SPA capacity and capability is one of the four key priorities in the plan. This will address capability and capacity gaps that SPA staff have identified and provide increased organisational resilience, support and development across the SPA team.

### **5. LEGAL IMPLICATIONS**

- 5.1 There are no legal implications in this paper.

### **6. REPUTATIONAL IMPLICATIONS**

- 6.1 There are reputational implications. If the SPA is to be effective in the future, it is vital that it builds the capacity and capability, culture and behaviours that should be expected of a major national public body with such significant responsibilities. The Improvement Plan is focussed on realising that vision.

### **7. SOCIAL IMPLICATIONS**

- 7.1 There are no direct social implications in this paper.

**8. COMMUNITY IMPACT**

8.1 There are no direct community impact implications in this paper.

**9. EQUALITIES IMPLICATIONS**

9.1 There are no direct equalities implications in this paper.

**10. ENVIRONMENTAL IMPLICATIONS**

10.1 There are no direct environmental implications in this paper.

**RECOMMENDATIONS**

Members are asked to approve the SPA Improvement Plan 2018/19.

SCOTTISH POLICE  
AUTHORITY

# SPA IMPROVEMENT PLAN

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2018/19

## **CONTENTS**

<b>1. OUR PURPOSE AND DIRECTION FOR IMPROVEMENT</b>	P2
<b>2. OUR IMPROVEMENT PRIORITIES</b>	P4
• Board and committees	P5
• Internal governance, policies and processes	P6
• Strengthening external relationships and engagement	P8
• Building executive team capacity and capability	P9
<b>3. WORKING WITH OTHERS AND MEASURING OUR PROGRESS</b>	P10
<b>ANNEXES</b>	
A. SPA Statutory functions and responsibilities	P11
B. SPA Board members	P14
C. SPA budget	P15
D. List of reviews, inspections and audits of SPA 2017-2018	P16
E. SPA organisational structure	P17

## SECTION 1: OUR PURPOSE AND DIRECTION FOR IMPROVEMENT

### Our purpose

1. The Scottish Police Authority (SPA) was created by the Police and Fire Reform (Scotland) Act 2012 to maintain the Police Service of Scotland (Police Scotland) and hold the Chief Constable to account. The 2012 Act set out five functions for SPA:
  - to maintain the Police Service;
  - to promote the policing principles<sup>1</sup>;
  - to promote and support continuous improvement in the policing of Scotland;
  - to keep under review the policing of Scotland;
  - to hold the Chief Constable to account for the policing of Scotland.
  
2. In carrying out these broad functions the SPA has several more detailed responsibilities. For example maintaining Police Scotland involves providing the Chief Constable with an annual budget, appointing senior officers, employing police staff and determining their terms and conditions. The SPA is therefore responsible for over 22,000 officers and staff, and is accountable for the policing budget of over £1 billion. It has specific duties about planning and reporting: setting and reviewing the long term strategy for policing; commenting on the Chief Constable's Annual Policing Plan; and publishing an Annual Review of Policing.
  
3. In addition, the SPA provides the following statutory services:
  - forensic services: SPA provides forensic services to Police Scotland, to the Police Investigations and Review Commissioner, and to the Lord Advocate and procurators fiscal;
  - an independent custody visiting service: SPA ensures that independent custody visitors can visit detainees, access information and monitor treatment and conditions;
  - complaints: SPA is responsible for handling complaints about police officers of Assistant Chief Constable rank and above.

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<sup>1</sup>The policing principles set out in the 2012 Act provide that: the main purpose of the Authority and the Scottish Police Service is to improve the safety and well-being of persons, localities and communities in Scotland; and that the Police Service, working in collaboration with others where appropriate, should seek to achieve that main purpose by policing in a way which is accessible to, and engaged with, local communities, and promotes measures to prevent crime, harm and disorder.

4. To carry out those functions, the SPA has a non-executive Board of up to 15 Members and an executive staff team of 47 posts, 39 of which are currently filled. The SPA's Forensic Service employs around 500 people and has produced a separate Business Plan which sets out its priorities for 2018-2020. A more detailed list of SPA's statutory functions and responsibilities is included as Annex A. A list of SPA Board members is included as Annex B, details of the SPA budget for 2018-2019 is included as Annex C and the SPA organisational structure is included as Annex E.

### **Our direction for improvement**

5. Police Scotland is one of our nation's most important public services, and the SPA is one of Scotland's most important public bodies. Policing in Scotland has a rich tradition and a proud history, based on a strong ethos and values. The challenge and opportunity now is to build on these solid foundations while adapting and innovating for the future.
6. The SPA should provide a lens through which the public, policy makers and stakeholders can view the operation and development of policing in Scotland. It should therefore be an outwardly facing, professional and trusted organisation, in order to help build public confidence in policing. It needs to promote and communicate the achievements of Police Scotland while also rigorously holding the service to account. Getting the balance right between support and challenge is key.
7. If the SPA is to be effective in the future, it is vital that it builds the capacity and capability, culture and behaviours that should be expected of a major national public body with such significant responsibilities. This Improvement Plan is focussed on realising that vision.

## SECTION 2: OUR IMPROVEMENT PRIORITIES

8. The priorities for action set out in this Improvement Plan are focussed on realising our direction for improvement set out in section 1 of this plan. We will take action to address areas where the need for urgent improvement has been identified and which will enable the SPA to increase the value it adds to policing and more widely.
9. To help us better fulfil the SPA's purpose, in 2018/19 we will focus on 4 priority areas for improvement. In selecting these 4 priorities, we have taken into account recommendations from fourteen different reviews, inspections and audits of the SPA published during 2017/18, along with wider commentary and feedback, including from the Scottish Parliament. (A list of reviews, inspections and audits published during 2017-2018 is included as Annex D). The key actions required in 2018/19 to deliver those recommendations are incorporated within this improvement plan in the following areas.
  - Board and Committees: ensuring that the structure, composition, and workings of our decision-making arrangements enable a strategic approach which focusses on the right issues at the right time and adds value to the development of policing in Scotland.
  - Internal governance, policies and procedures: streamlining and improving our governance documents, policies and ways of working to deliver a more professional standard of operation which is consistent with best practice and builds a culture of continuous improvement.
  - Strengthening external relationships and engagement: embedding a collaborative, outward looking approach to everything that SPA does, so that we can better reflect public and communities' views about policing in our actions, and build partnerships which help us work more effectively.
  - Building SPA executive team capacity and capability: building essential additional capacity and skills in order to deliver a professional and consistent standard of service in delivering SPA's core functions.
10. In each of these areas rapid progress has already been made during 2017/18. This recent progress, along with planned activity for 2018/19 is set out in the next section.

## SPA Board and Committees

Recent improvements:

- Since December 2017 SPA now holds single Board meetings open to the public, with specific items of private business taken only where necessary. The previous distinction between 'public' and 'closed' SPA meetings has been removed;
- SPA Board membership has been strengthened with the appointment of 7 new Members bringing strategic leadership and board experience;
- Decision-making about key issues has been improved through the re-establishment of the SPA's Complaints and Conduct Committee with delegated decision making powers, and the establishment of a new Succession Planning and Appointments Committee.

2018/19 improvement priorities:

- Streamline and prioritise Board business and activities over the year ahead to focus on the issues of most strategic importance (on-going);
- Revise and publish Board objectives (Q2);
- Develop and implement a more strategic and robust approach to identifying and managing risk which aligns with, and where appropriate integrates with, Police Scotland's approach to risk management (Q3);
- Complete and implement a review of Committee structures, terms of reference and composition, to provide increased scrutiny, improved decision making and support in the most important areas of policing, including the oversight of delivery of our strategic plan: '*2026 – Serving a Changing Scotland*' (Q2);
- Implement an on-going Board development programme, including induction, to build Board effectiveness and continuous improvement (on-going).
- Ensure business processes and procedures are aligned to the Board and Committee improvement priorities (on-going).

## Internal governance, policies and procedures

Recent improvements:

- Rapid improvements have been made in how SPA handles and protects data in response to recommendations from a 2017 audit by the Information Commissioner's Office and to enable compliance with new General Data Protection Regulations by 25 May 2018;
- More rigorous internal controls have been implemented for handling the payment of police officers' relocation expenses and improving the governance of decisions in relation to such payments;
- Business continuity plans have been revised and implemented.

2018/19 improvement priorities:

- Implement a comprehensive programme to improve governance of spending decisions and increase assurance about value for money delivered. This programme responds in particular to recommendations from Audit Scotland contained in their 2016/17 annual audit of the SPA and in previous audits (on-going throughout 18/19, for completion in Q4);
- Complete a review of all governance documents, including SPA's governance and accountability framework, financial regulations and financial protocol, budget monitoring arrangements, and schemes of delegation and also update and streamline SPA's own internal governance documents (on-going throughout 18/19, for completion in Q4);
- Introduce more robust complaints handling processes in response to recommendations from a 2017 audit by the Police Investigations and Review Commissioner, underpinned by certified professional development for staff (on-going);
- Procure internal audit services with no hiatus between the expiry of the current contract on 30 June 2018 and the beginning of the new arrangement (Q1);
- Increase understanding of the role and responsibilities of the designated Accountable Officer for the policing budget, and implement systems of assurance which support that role (Q1).
- Develop and maintain closer collaboration between SPA, Police Scotland and the Forensic Service on all aspects of financial governance to ensure clarity and consistency across the three constituent parts of the organisation. This collaboration will include, in particular, areas requiring significant future investment, medium and long-term financial planning, the development of the Annual Report and Accounts and the statutory audit cycle (on-going throughout 2018-2019, in line with financial cycles).

- Identify learning and take forward any required improvements from our planned 2018/19 Internal Audit reviews into risk management, forensic joint working, governance, staff performance management, relocation costs and tendering procedures and information management. (Progress will be reported every quarter to the SPA Audit Committee)

## Strengthening external engagement and relationships

### Recent improvements:

- Significant increase in level of engagement and collaborative working with external partners led by SPA Chair and Interim Chief Officer;
- Significant increase in dialogue and engagement with stakeholders, policymakers and workforce representatives;
- Joint working group set up in collaboration with CoSLA, the Society of Local Authority Chief Executives (SoLACE) and Police Scotland to strengthen relationships between national and local scrutiny of policing and to develop a shared evidence base to support improvement;
- Initial improvements made to SPA's website: recorded video footage from SPA board meetings re-packaged into agenda items to make more accessible and easy to navigate.

### 2018/19 improvement priorities:

- Identify opportunities to work more collaboratively and in a more outward looking way, across our work (on-going). For example, in 2018-2019 we will implement and evaluate a more inclusive approach to producing the 2017/18 Annual Review of Policing, which increases the extent to which stakeholders' views and independent evidence inform its findings. (Autumn 2018 for publication of the Annual Review of Policing)
- Develop plans and build capacity to organise and facilitate a range of engagement activities and events (on-going);
- Significantly develop relationships with stakeholders, policymakers and workforce representatives to inform SPA strategy and oversight (on-going);
- Agree and progress a joint programme of work between SPA, Police Scotland, COSLA, SOLACE and local authorities to strengthen local policing and local scrutiny (Q1 to agree work programme – on-going thereafter);
- Refresh SPA website content, navigation and accessibility (Q2);
- Review our publication scheme to ensure SPA is operating to best practice in publishing information (Q2).

## Building SPA executive team capacity and capability

Recent improvements:

- SPA's capacity and skills temporarily increased through 3 short term secondments from public sector partners;
- Additional improvement support in improving SPA's corporate governance provided by working collaboratively with HMICS;
- Specialist legal support secured to improve data management, complaint handling and HR operations;
- Increased level of executive support to committees successfully prototyped, including improved supporting material and provision of expert advice.

2018/19 improvement priorities:

- Design and implement a new SPA executive staffing structure with sufficient capacity and capability to deliver effectively SPA's core functions, reflecting on recommendations from the SPA Executive Review published in March 2018 (Q1 for development of business case, Q4 for full implementation);
- Revise the model of executive support for SPA Committees to provide a higher quality service with increased expertise (Q4 for full implementation);
- Build and maintain staff inter-change between SPA, Police Scotland and Forensic Service staff to enable the delivery of corporate service functions that are flexible, responsive and provide best value (Q2);
- Align the executive team's activities over the year with the priorities outlined in this improvement plan (on-going).

### **SECTION 3: WORKING WITH OTHERS AND MEASURING OUR PROGRESS**

11. In carrying out the improvement activity set out in this plan our approach will be based on the following principles:

- Prioritising our efforts to areas where improvement is most needed;
- Working collaboratively with other organisations to learn from their experience and access skills and expertise which the SPA doesn't already have;
- In line with learning from improvement science, applying a rapid-cycle, iterative approach to improvement which prototypes change, identifies early what works and then scales up, rather than taking longer to design whole system change in a single step.

12. Progress in making these improvements will be publicly reported through the Interim Chief Officer's reports to monthly Board meetings, to relevant SPA Committees including the Audit Committee, and in the SPA's annual report.

13. We will also report back to the bodies which have made specific recommendations in reviews, inspections and audits of the SPA published last year, including Audit Scotland, the Police Investigations and Review Commissioner, Scott-Moncrieff (SPA internal auditors for 2017-18), Her Majesty's Inspectorate of Constabulary and the Scottish Parliament.

### SPA'S ROLE

SPA has five main statutory functions, as set out in the Police and Fire Reform (Scotland) Act 2012. We also have statutory duties and responsibilities with regard to planning, reporting and providing services. In addition, SPA performs many statutory functions relating to policing. Further information on each of these is set out below:

#### Main functions

SPA has five main statutory functions. These are:

- to maintain the Police Service
- to promote the policing principles\*
- to promote and support continuous improvement in the policing of Scotland
- to keep under review the policing of Scotland
- to hold the Chief Constable to account for the policing of Scotland

\*The policing principles referred to above are:

- That the main purpose of the Authority and the Scottish Police Service is to improve the safety and well-being of persons, localities and communities in Scotland.
- That the Police Service, working in collaboration with others where appropriate, should seek to achieve that main purpose by policing in a way which:
  - is accessible to, and engaged with, local communities, and
  - promotes measures to prevent crime, harm and disorder.

The 2012 Act sets out a number of actions and responsibilities relating to policing in Scotland which SPA must undertake. These include:

- **The maintenance of the Police:** For example, providing the Chief Constable with an annual budget to provide police officers with pay, vehicles, equipment and other services;
- **The appointment of Senior Officers:** This includes the Chief Constable, one or more deputy Chief Constables, and one or more Assistant Chief Constables. If the Chief Constable's office becomes vacant, SPA must delegate a Deputy Chief Constable to carry out its functions.
- **The employment of police staff:** SPA has the power to appoint police staff to assist in the carrying out of police functions. However, the Chief Constable

has power to make such appointments on behalf of the SPA. Police staff can be employed by the SPA or provided to the SPA under contract with a third party.

- **Police Terms and Conditions:** SPA determines Police Staff terms and conditions and has the power to pay pensions, allowances or gratuities.
- **Scottish Government Regulations:** SPA will be consulted by the Scottish Government when it is developing regulations on the governance, administration and conditions of service of constables and police cadets.

## Planning and reporting

SPA must prepare a Strategic Police Plan and review it at least once every three years. This sets out the main objectives for the SPA and for Scotland's policing, and must be developed in consultation with the Chief Constable, HMICS, Local Authorities and any other interested parties (the Current Strategic Police Plan is *2026: Serving a Changing Scotland*<sup>2</sup>)

The SPA must be given the opportunity to comment to the Chief Constable on a draft of the Annual Police Plan every year, and the Chief Constable must give any comments due regard. (The Annual Police Plan sets out the Chief Constable's arrangements for the policing of Scotland for the year ahead).

SPA must produce an annual report each year (this is usually referred to as the 'Annual Review of Policing'). This must contain an assessment of the SPA's and Police Service's performance in achieving the main objectives set out in the Strategic Police Plan and an assessment of the performance by the Police Service in implementing the arrangements set out in the annual police plan.

## Providing Services

In addition there are several services that SPA must provide. These are:

- Forensic services - provide forensic services to Police Scotland, the Police Investigations and Review Commissioner and the Lord Advocate and procurators fiscal.
- Independent Custody Visiting\_- make and keep under review arrangements to ensure that independent custody visitors can visit detainees and access information relevant to their treatment and monitor their treatment and conditions of detention. SPA must also prepare and publish any reports on independent custody visiting as Scottish Ministers may reasonably require.
- Complaints - maintain suitable arrangements for the handling of complaints, and seek the views of others on what those arrangements should be. The SPA must also keep itself informed about how the Chief Constable is dealing with relevant complaints in order to satisfy itself that those arrangements are

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<sup>2</sup> <http://www.scotland.police.uk/assets/pdf/138327/386688/policing-2026-strategy.pdf>

suitable. SPA is responsible for handling complaints about SPA staff and about police officers of Assistant Chief Constable rank and above

### **SPA's Role as a Public Body**

SPA is a Public Body in Scotland, in the 'Other Significant National Body' category. Several statutory duties flow from this, including requirements to publish information about expenditure, senior remuneration, reports on equalities, biodiversity and climate change duties, procurement strategy, codes of conduct, records management, freedom of information and personal data processing. We are also required to comply with the 'Fairer Scotland' duty in Part 1 of the Equality Act 2010, which comes into force from April 2018 and also to report on our contribution towards the Scottish Government's National Outcomes.

SPA has a statutory duty to make arrangements which secure best value, to keep proper accounts and to support the Auditor General by sending a copy of the statement of accounts for auditing each year.

SPA BOARD MEMBERS



Susan Deacon CBE  
Chair



David Crichton



Tom Halpin



Robert Hayes



Graham Houston



David Hume



Grant Macrae



Mary Pitcaithly



Jane Ryder OBE



Matt Smith OBE DL



Caroline Stuart



Iain Whyte



Elaine Wilkinson

**SPA BUDGET 2018-19 (RESOURCE, EXCLUDING VAT)**

	£m
Police Scotland	1,065.7
SPA Forensic Service	30.6
SPA Corporate (Board and Executive Team)	4.1*
Total	1,100.4

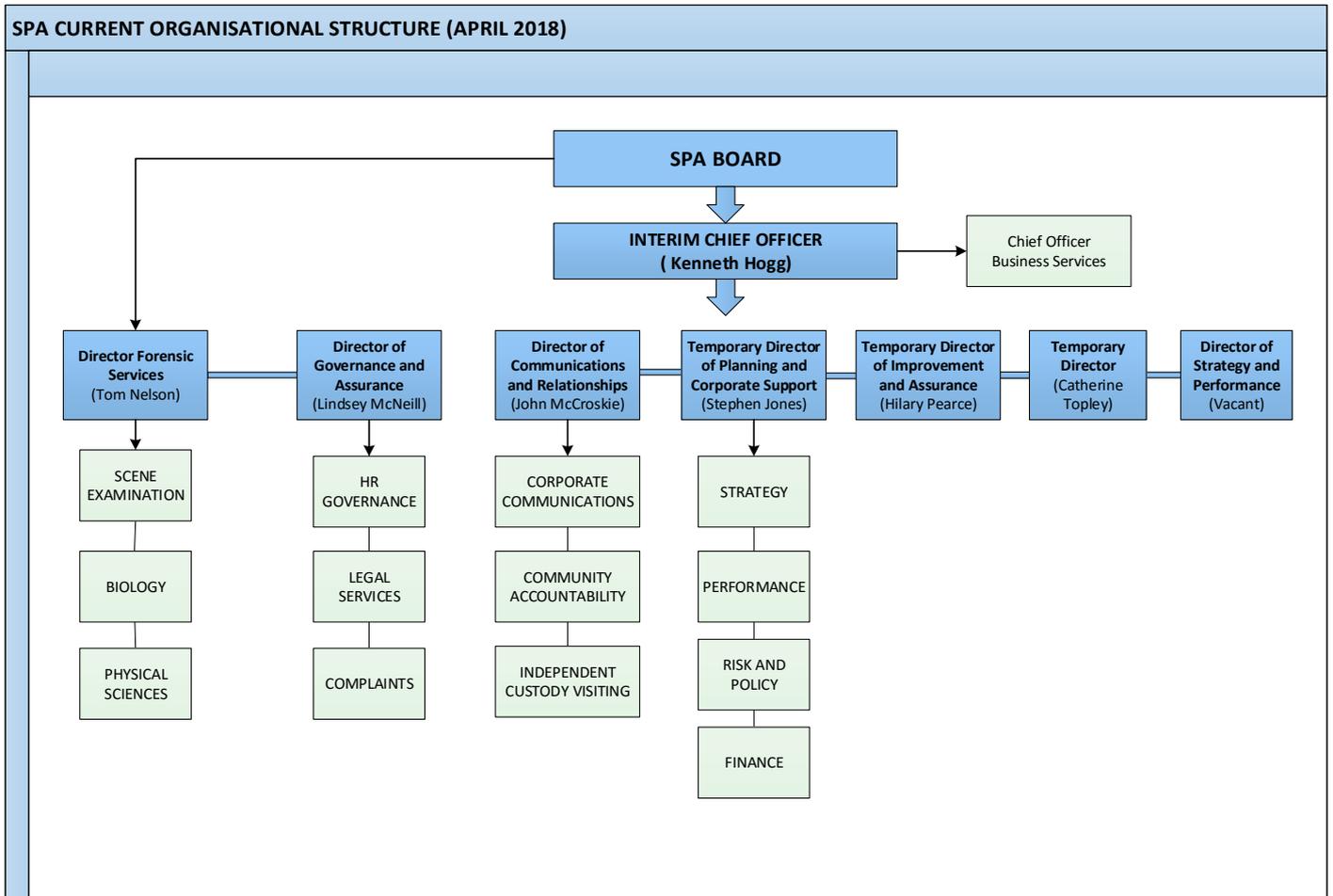
\*The SPA Corporate budget of £4.1million for 2018-19 represents less than 0.4% of the policing budget. This has provisionally been allocated as follows:

	£'000s
Staffing (includes salaries, allowances and training)	3,342
Non-staffing (includes premises, ICT, audit, legal, web costs and lease financing)	1,849
Less income (premises re-charge)	(1,091)
Total	4,100

## 2017/18 AUDITS, INSPECTIONS AND REVIEWS OF THE SPA

<b>Date</b>	<b>Title of review, audit or inspection</b>
March 2017	Internal Audit Report 2016-17: Business Continuity Planning (Scott-Moncrieff)
June 2017	HMICS Thematic Inspection of the SPA – Openness and Transparency
June 2017	HMICS Review of Forensic Services
October 2017	Information Commissioner's Audit Report of the SPA
October 2017	Internal Audit Report on the 2016-17 accounts (Scott-Moncrieff)
November 2017	Annual Audit Report 2016-17 (Audit Scotland)
December 2017	Annual Audit Report 2016-17 Report under section 22
December 2017	PIRC Audit of Complaints
December 2017	Internal Audit Report on GDPR Readiness (Scott-Moncrieff)
January 2018	Official Record of the Scottish Parliament's Public Audit and Post-Legislative Scrutiny Committee meetings on 21 December 2017 and 25 January 2018 (noted areas of concern and action)
January 2018	Letter from the Scottish Parliament's Justice Sub-Committee on Policing to the Justice Committee on the Policing budget for 2018/19) noted areas of concern and action)
March 2018	Review of the SPA Executive by Nicola Marchant and Malcolm Burns
March 2018	HMICS Inspection of Firearms Licensing
April 2018	Internal Audit of Police Scotland Governance (Scott-Moncrieff)

SPA ORGANISATIONAL STRUCTURE



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