

Meeting	SPA Board Meeting
Date and Time	28 June 2018
Location	Roths Halls, Glenrothes, Fife
Title of Paper	Report by SPA Interim Chief Officer
Reference	B06.2018/24
Presented By	Kenneth Hogg
Recommendation to Members	For Discussion
Appendix Attached:	Yes

PURPOSE

To provide Authority Members with a Quarter 1 progress report on delivery of the SPA's Improvement Plan 2018/19.

1. BACKGROUND

- 1.1 The SPA's Improvement Plan was approved by the Board on 2 May 2018. This plan sets out the SPA's improvement priorities for 2018/19, with actions aligned to four main themes. The Plan includes actions which respond to recommendations from several external audits, reviews and inspections of the SPA undertaken over the previous year. The Interim Chief Officer undertook to inform the Board regularly on progress made in delivering the Plan, and this paper summarises progress made in Quarter 1. The deliverables scheduled for completion in Quarter 1 have been met. Appendix 1 provides a summary of the delivery timeline.

2. SPA IMPROVEMENT PLAN 2018/19: QUARTER 1 PROGRESS REPORT

THEME 1: SPA 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*

- Streamlining and prioritising Board and Committee business: work continues to ensure that the right issues are brought to the Board and Committees at the right time. Work is being undertaken within Police Scotland to produce a forward plan of business to be progressed through their governance structures, which will in turn enable more strategic planning of SPA business.
- Strategic risk management: a joint SPA/Police Scotland meeting was held on 1st June 2018 to agree a process to improve risk management. Next steps involve designing a process for Members to determine risk tolerance levels in key areas and review strategic risks. An outline plan for this has been proposed to the Interim Chief Officer.
- Reviewing Committee structures: the SPA committee structure is undergoing a full review. The recently established Succession Planning and Appointments Committee is actively overseeing the process of recruiting new senior Police officers (new DCC and ACC

appointments were announced in June 2018) and an SPA Chief Executive. The Board agreed further future changes to Committee structures on 31 May 2018 and the re-establishment on an interim basis of the Transformation Working Group.

- Board Development Programme: several Board development sessions have taken place, with input from partners such as Audit Scotland, the Commissioner for Ethical Standards and the Scottish Government, and more are planned through to October 2018. The programme will continue to be reviewed and developed.
- Business Process: initial improvements have been made in supporting the work of the Board and some Committees, for example in the quality of papers and professional provided and in the planning of discussions. Further progress requires to be made.

THEME 2: IMPROVING INTERNAL GOVERNANCE, POLICIES AND PROCESSES - *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.

- GDPR – Significant progress on moving towards compliance with new Data Protection legislation which took effect on 25 May 2018. All SPA information handling-related policies have been reviewed and where necessary new policies have been created to address the requirements of the legislation. All high and medium priority tasks have been completed and the majority of the low priority tasks are underway. As Phase 1 of the programme closes, oversight of the ongoing work within the Executive team will transfer at end-June 2018 to the newly formed Information Governance Forum, chaired by the SPA's Senior Information Risk Owner, Lindsey McNeill. Work done to date on moving to GDPR compliance will be the subject of an internal audit in late June.
- Business Continuity: a new business continuity plan has been developed and approved by SPA Senior Management Group, responding to internal audit recommendations made in 2016/17.

- Complaints handling: an SPA Complaints Handling Working Group is leading improvements to strengthen procedures. The group has reviewed existing regulations and guidance, including Senior Officer Regulations, PIRC Statutory Complaints Handling Guidance and how Police Scotland handles all complaints. It has also received external professional advice to support its work. New draft procedures will address PIRC's 2017 audit recommendations. All members of the SPA Complaints Team have completed training in Ombudsman and Complaint Handling Practice to support their professional development. Follow-up training is planned for later in the year.
- Financial assurance: work underway to enhance the quality of assurance processes within SPA, including robust, repeatable processes which will support the Accountable Officer and the Board in their scrutiny and governance roles, and help to ensure delivery of best value. Formal advice notes are now provided to the Accountable Officer on any matter where there is a need for detailed assurance on the regularity, propriety or value for money of a proposed transaction; and a new process has been developed to manage and monitor applications for Police Reform funding.
- Supporting the role of the Accountable Officer: completed Certificates of Assurance for 2017/18 have been sought and received from all budget holders. The Accountable Officer or his representative now attends all SPA Finance Committee and Audit committee meetings, and Police Scotland's Finance & Investment Board and Change Board meetings, to ensure oversight of the flow of business with significant financial implications.
- Governance framework: A full review of SPA's governance documents and procedures is in progress, to ensure that the way that we work is streamlined, effective and transparent. Most aspects of financial governance between SPA and Police Scotland have now been reviewed, and for example Financial Regulations have been revised. Ongoing dialogue at officer level between SPA and Police Scotland on matters of financial governance has been strengthened. A revised SPA Governance Framework will be considered by the Board on 28 June 2018. Further revisions to Committee Terms of Reference will be proposed later in the year to

give effect to a revised Committee structure, and the Scottish Government/SPA Governance and Accountability Framework will also be reviewed.

- Internal Audit: a rigorous procurement process was undertaken in good time to ensure that a contract was awarded for the provision of internal audit services from 1 July 2018 for 3 years, with the option to extend for an additional further 2 years, with no hiatus between the expiry of the current contract on 30th June 2018.

THEME 3. STRENGTHENING EXTERNAL ENGAGEMENT AND RELATIONSHIPS - *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.*

- Collaboration: initial opportunities have been taken to work more collaboratively with partners. All 32 local authorities have been invited to submit feedback on local policing to contribute to the evidence base for SPA's Annual Review of policing for 2017/18. A series of engagement meetings has been established through the SPA workforce representative forum, including participation by SCPOSA, ASPS, SPF, UNISON and UNITE. And the SPA facilitated three focus groups of its independent custody visitors in May to support and inform HMICS inspection work on Police Scotland custody provision. Our annual conference event was held for independent custody visitors and involved Police Scotland, HMICS and third sector contributors.
- Developing relationships: during this Quarter the SPA Chair met with local police officers and staff, and with local Elected Members, in Aberdeen and Aberdeenshire, and in Dumfries & Galloway. She and the Interim Chief Officer met with colleagues from the Northern Ireland Policing Board to learn from their experiences, and the Chair contributed to the ASPS annual conference. The SPA submitted written evidence to the Scottish Parliament's Justice Committee on its review of the Police and Fire Reform (Scotland) Act 2012 and to the Justice Sub-Committee on policing on cyber kiosks, firearms

licencing and complaints handling procedures. The SPA also participated in the Justice Sub Committee on Policing oral evidence sessions on cyber kiosks and Digital, Data and ICT strategy.

- Strengthening Engagement: a Joint Officer Working Group between SPA, COSLA, Police Scotland and SOLACE has been established to take forward a programme of work to strengthen engagement between partners, enhance local scrutiny arrangements and improve the local of policing. The group met for the first time in May when initial priorities were discussed, and a second meeting in June focused on progressing a work plan with the aim to have improvement proposals discussed with local authority scrutiny conveners in September. Plans are being developed to hold a workshop on performance during July.

THEME 4. 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.*

- During Quarter 1 significant progress was made to improve the capacity and capability of the Executive team. A revised organisational structure was agreed by the Board meeting on 31 May 2018 and was discussed by the Joint National Consultative Committee on the 7 June. Formal consultation with SPA staff has commenced. Recruitment of a new SPA Chief Executive has commenced.

RECOMMENDATIONS

Good initial progress has been made; Members are invited to note this report.

Appendix 1 – Timeline Summary

SPA IMPROVEMENT PRIORITIES												
1. Board and Committees												
	A	M	J	J	A	S	O	N	D	J	F	M
1.1 Streamline and prioritise Board business and activities over the year ahead to focus on the issues of most strategic importance (on-going);							◆					
1.2 Revise and publish Members' objectives (Q2);						◆						
1.3 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);									◆			
1.4 Complete and implement a review of Committee structures, terms of reference and composition, to provide increased scrutiny and support in the most important areas of policing, including the oversight of delivery of our strategic plan: '2026 - Serving a Changing Scotland' (Q2);		◆			◆							
1.5 Implement an on-going Board development programme, including induction, to build Board effectiveness and continuous improvement (on-going).		◆	◆		◆							
1.6 Ensure business processes and procedures are aligned to the Board and Committee improvement priorities	→											
2. Improving Internal Governance, Policies and Processes												
2.1 Building on the improvements achieved to date, continue to work towards compliance with the General Data Protection Regulations (GDPR) and the ICO improvement recommendations			◆									
2.2 Building on the refresh of the Business Continuity Plan, develop an SPA specific policy and ensure ongoing liaison with PS around the ICT dependencies.	→											
2.3 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);											◆	
2.4 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); (include internal controls for relocation expenses)	→											
2.5 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);	→											
2.6 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);			◆									
2.7 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).	→											
2.8 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).							◆				◆	
2.9 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)						◆	◆	◆	◆			
3. Strengthening external engagement and relationships												
3.1 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)								◆				
3.2 Develop plans and build capacity to organise and facilitate a range of engagement activities and events (ongoing);	→											
3.3 Significantly develop relationships with stakeholders, policymakers and workforce representatives to inform SPA strategy and oversight (on-going);	→											
3.4 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);	→											
3.5 Refresh SPA website content, navigation and accessibility (Q2);	→											
3.6 Review our publication scheme to ensure SPA is operating to best practice in publishing information (Q2).									◆			
4. Building SPA executive team capacity and capability												
4.1 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);		◆										
4.2 Revise the model of executive support for SPA Committees to provide a higher quality service with increased expertise (Q4 for full implementation);		◆										
4.3 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 (Q4).										◆		
4.4 Align the executive team's activities over the year with the priorities outlined in this improvement plan (on-going).	→											