



Meeting	Audit, Risk and Assurance Committee
Date	22 June 2023
Location	MS Teams
Title of Paper	SPA Audit and Improvement Recommendations Update
Presented By	John McNellis, Head of Finance, Audit and Risk
Recommendation to Members	For consultation
Appendix Attached	Appendix A - SPA audit and inspection recommendations

PURPOSE

To provide the Audit, Risk and Assurance Committee (ARAC) with an update on:

- Open recommendations from all SPA corporate audit and inspection activity.

The paper is presented in line with the corporate governance framework of the Scottish Police Authority (SPA) and Audit, Risk and Assurance Committee (ARAC) terms of reference and is submitted for consultation.

1. BACKGROUND

- 1.1 Progress against audit and inspection recommendations are routinely reported to ARAC, these are tracked through a single audit and improvement recommendations tracking document.
- 1.2 In addition, other committees may also consider specific updates on progress where relevant to their terms of reference.
- 1.3 SPA Corporate will shortly be transitioning to using a platform called [4Action](#) to track and report on progress against achievement of business plan objectives and improvement recommendations. This platform is already used successfully within PS.

2. FURTHER DETAIL ON THE REPORT TOPIC

- 2.1 In January 2023 HMICS published their Thematic Inspection of Domestic Abuse Phase 1. This included two recommendations to be jointly actioned by SPA Corporate and PS. An action plan for these recommendations is in place.
- 2.2 In April 2023 HMICS published their Assurance Review of the Scottish Police Authority Forensic Toxicology Provision. There are a total of twenty five recommendations arising from this review. The majority are to be jointly actioned by various parties. Eight recommendations include actions for SPA corporate to address.
- 2.3 Action plans to address the recommendations will be developed in collaboration with Police Scotland and Forensic Services.

3. FINANCIAL IMPLICATIONS

- 3.1 There are no specific financial implications from this report, however, the implementation of some actions are likely to require financial resources.

4. PERSONNEL IMPLICATIONS

- 4.1 There are no specific personnel implications associated with this paper.

5. LEGAL IMPLICATIONS

- 5.1 There are no specific legal implications associated with this paper.

6. REPUTATIONAL IMPLICATIONS

- 6.1 There are no reputational implications associated with this paper, however there are potential reputational implications associated

with the pace and effectiveness with which the recommendations are addressed.

7 SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this paper.

8 COMMUNITY IMPACT

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

9 EQUALITIES IMPLICATIONS

9.1 There are no equality implications associated with this paper.

10 ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications associated with this paper.

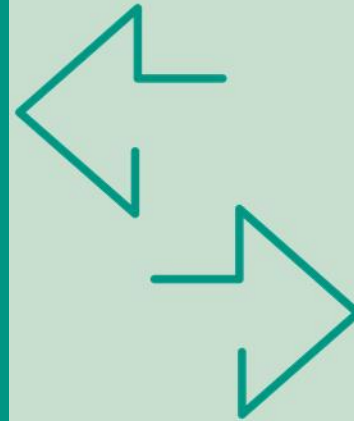
RECOMMENDATIONS

Members are requested to note the updates provided.

Appendix A

SPA audit and inspection recommendations update

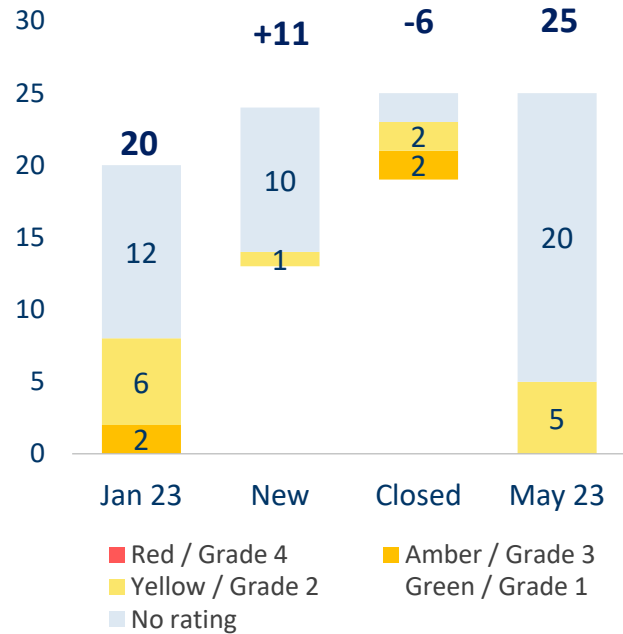
June 2023



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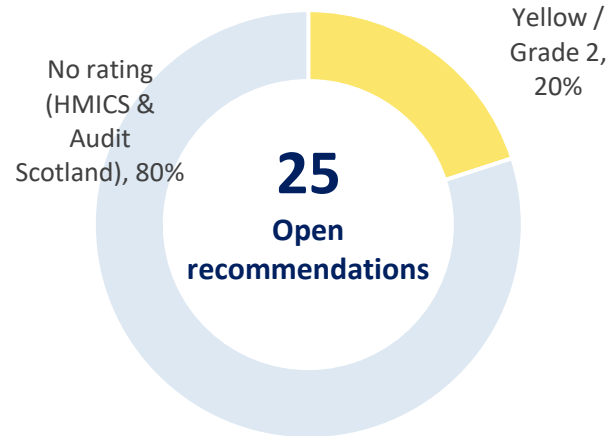
SPA audit and inspection dashboard

Progress update (number of SPA recommendations)



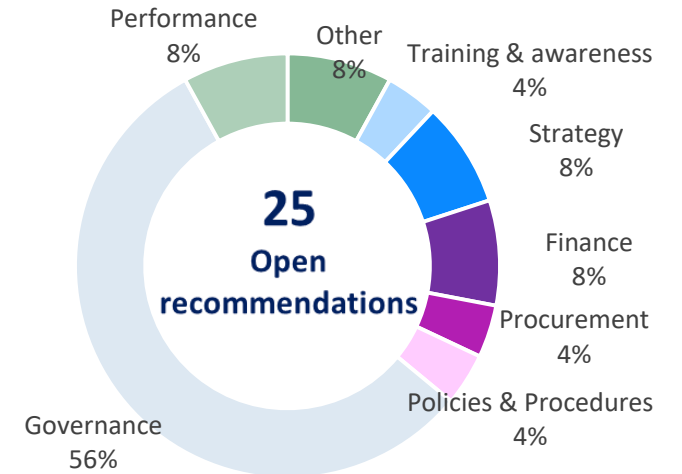
- Ten new recommendations have been added following two recent HMICS reviews, further details are provided on the next page. There is also one new recommendation from internal audit.
- The next page provides further detail of the SPA's tracking of actions against their agreed completion date.

RAG analysis



- Note: the recommendations without a rating are HMICS and one from Audit Scotland. HMICS and Audit Scotland do not rate their recommendations.*
- The biggest proportion of recommendations are actions are from HMICS
 - There are four open ICO recommendations which are all graded as a yellow, reasonable level of assurance

Identified theme



- All audit and inspection recommendations are recorded on a central SPA tracking document. This allows SPA to review and identify themes across reports and inspection bodies which may help our analysis and continuous improvement.
- Governance accounts for the largest proportion of improvement actions (56%). Current open recommendations have primarily arisen from HMICS reports and ICO.

Further detail on progress

Movement since previous ARAC report

	Jan 2023	New	Complete	May 2023
Internal Audit	4	1	(4)	1
Audit Scotland	2	-	(1)	1
HMICS	10	10	(1)	19
ICO	4	-	-	4
Total	20	11	(6)	25

Actions completed in current financial year and outstanding

	Actions completed (since Jan 23)	Actions outstanding (May 23)	Actions outstanding:	
			On target	Overdue
Internal Audit	4	1	1	-
Audit Scotland	1	1	1	-
HMICS	1	19	19	-
ICO	-	4	1	3
Total	6	25	22	3

New actions

- Ten new recommendations have been added following two HMICS reviews;
 - two from Thematic Inspection of Domestic Abuse Phase 1 (published Jan 23); and
 - eight from the Assurance Review of the SPA Forensic Toxicology (published April 23).
- Work is underway to agree actions and target dates to address the recommendations from the Review of the Scottish Police Authority Forensic Toxicology Provision.
- One new action has been allocated to SPA by internal audit following the Cyber Security Audit, January 2023.

Complete actions

- Four internal audit actions have been completed, one from the Strategic Planning Audit and three from the Data Protection Audit which relate to staff training and updates to procedures.
- One Audit Scotland action has been completed in relation to ensuring clear timescales to implement planned mitigations are in place for risks outwith appetite/tolerance
- One HMICS recommendation from the Review of Police Scotland Strategic Workforce Planning has been completed. This relates to agreeing the frequency of reporting to the SPA People Committee in respect of SWP progress with the recommendations highlighted from the review.

Overdue actions

- There are three actions outstanding from the 2018 ICO SPA Audit - GDPR Compliance, these all relate to the enhancement of the asset register. There are interdependencies with PS and work is being done to engage with digital division colleagues to progress these.