

<b>Meeting</b>	<b>Audit, Risk and Assurance Committee</b>
<b>Date and Time</b>	<b>4 May 2022</b>
<b>Location</b>	<b>Via MS Teams</b>
<b>Title of Paper</b>	<b>Police Scotland Audit and Improvement Recommendations Tracker – Q4</b>
<b>Presented By</b>	<b>ACC Speirs - Professionalism and Assurance</b>
<b>Recommendation to Members</b>	<b>For Discussion</b>
<b>Appendix Attached:</b>	<b>YES</b> Appendix A – Audit and Inspection Dashboard Appendix B – Master Tracker Appendix C – List of Dependencies





## PURPOSE

The purpose of this paper is to provide the Audit, Risk and Assurance Committee with an update of current open recommendations from all audit and improvement activity.

Members are invited to discuss the contents of this paper.

## 1 BACKGROUND

- 1.1 A report on Police Scotland's management of recommendations made by external scrutiny bodies. The report is produced on a quarterly basis for Members review.
- 1.2 The Tracker is provided at **Appendix B**. This provides a breakdown of all publications, risk and a summary of progress. We are now including an extract from the Dame Elish Angiolini recommendations at the end of the Tracker. This shows the recommendations being tracked that relate to Police Scotland only along with their current status.
- 1.3 All recommendations are assessed in terms of the risk they present to Police Scotland so that we can prioritise activity. Internal Audit use the following risk grading structure and this has been applied to all recommendations within Police Scotland, regardless of whether they have been made by Internal Audit. This ensures a consistent approach is taken, allows for prioritisation and enables comparisons to be made.
- 1.4

	Very high risk exposure - major concerns requiring immediate senior attention that create fundamental risks within the organisation
	High risk exposure - absence / failure of key controls that create significant risks within the organisation.
	Moderate risk exposure - controls are not working effectively and efficiently and may create moderate risk within the organisation
	Low risk exposure - controls are working effectively, but could be strengthened to prevent the creation of minor risks or address general house-keeping issues

## 2 FURTHER DETAIL ON THE REPORT

- 2.1 Refer to Appendix A –Audit and Inspection Recommendations Dashboard Q4.

## 3 FINANCIAL IMPLICATIONS

- 3.1 There may be financial implications associated with implementing

recommendations from Audits/Inspections and these are detailed where relevant within Appendix B – Recommendations Tracker.

#### **4 PERSONNEL IMPLICATIONS**

4.1 There may be personnel implications associated with implementing recommendations from Audits/Inspections and these are detailed where relevant within Appendix B – Recommendations Tracker.

#### **5 LEGAL IMPLICATIONS**

5.1 There may be legal implications associated with implementing recommendations from Audits/Inspections and these are detailed where relevant within Appendix B – Recommendations Tracker.

#### **6 REPUTATIONAL IMPLICATIONS**

6.1 There may be reputational implications associated with implementing recommendations from Audits/Inspections and these are detailed where relevant within Appendix B – Recommendations Tracker.

#### **7 SOCIAL IMPLICATIONS**

7.1 There may be social implications associated with implementing recommendations from Audits/Inspections and these are detailed where relevant within Appendix B – Recommendations Tracker.

#### **8 COMMUNITY IMPACT**

8.1 There may be a community impact associated with implementing recommendations from Audits/Inspections and these are detailed where relevant within Appendix B – Recommendations Tracker.

#### **9 EQUALITIES IMPLICATIONS**

9.1 There may be equality implications associated with implementing recommendations from Audits/Inspections and these are detailed where relevant within Appendix B – Recommendations Tracker.

### **RECOMMENDATIONS**

Members are invited to note the content of this paper.

OFFICIAL



# Audit and Inspection Recommendations Dashboard Q4 2021/22

**Reporting Period: January – March 2022**

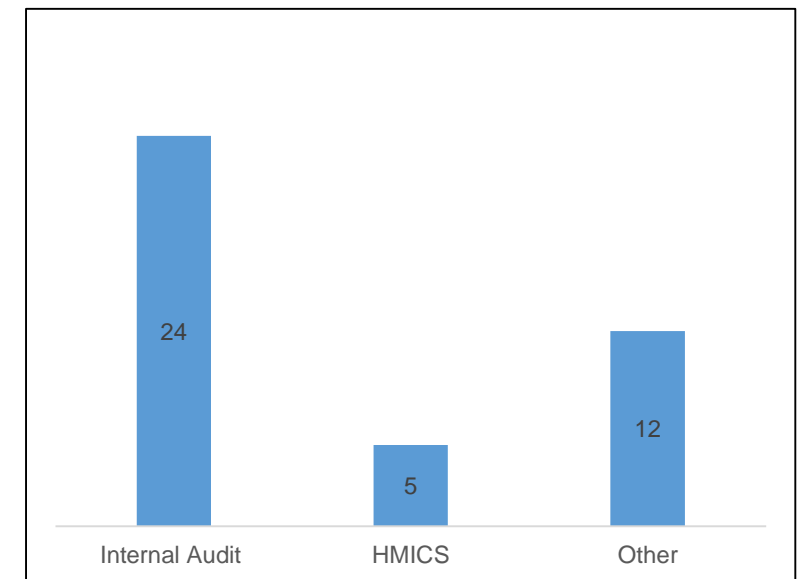
# Police Scotland Recommendations Dashboard

Total	Ongoing	Delayed	Closed
112	97	15	41

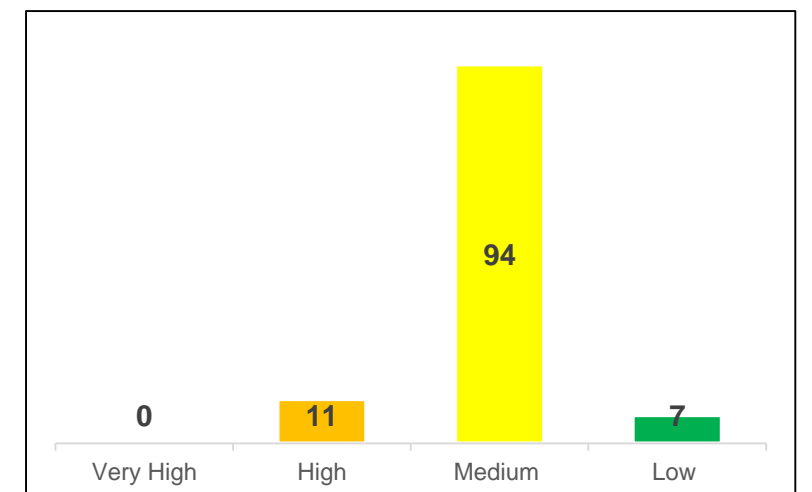
## Recommendations Progress Summary

- 112 recommendations open.
- 15 new recommendations added since the last report.
- 10% of recommendations have a high risk status.
- 90% of recommendations due up to 31 March 2022 were achieved – 26 out of 29.
- 3 recommendations due 31 March 2022 were not achieved. Another 6 recommendations due September 2022 were also reported as delayed. All delays are reported starting at slide 3.
- A total of 41 closures are reported with further detail at slide 9.
- Further detail in relation to the themes, dependency and age is also provided (slide 10).
- Appendix B provides details of every audit and inspection by publication, the individual status of each recommendation along with a summary of progress.

## Closed Q4 – March 2022



## Risk Assessment

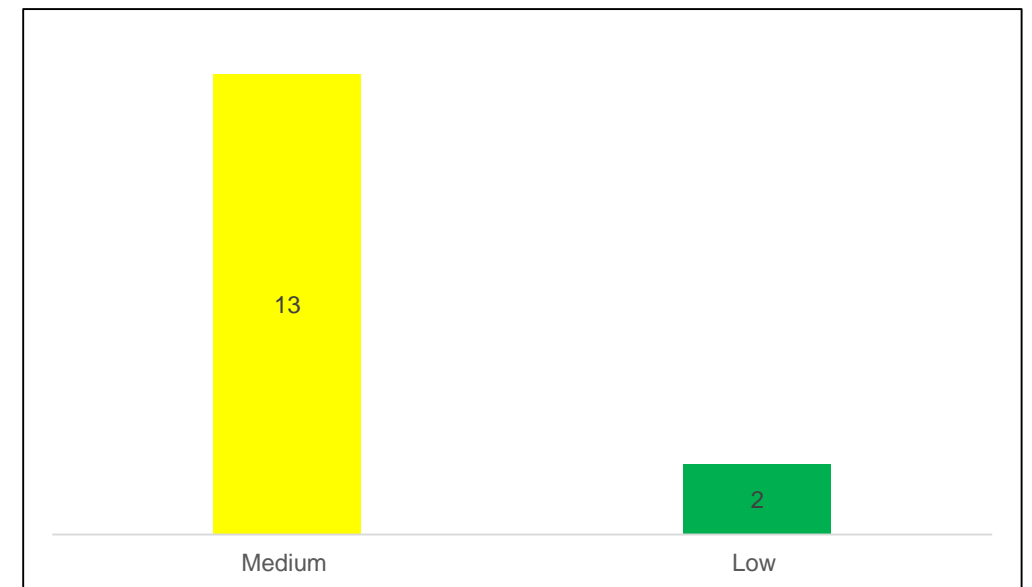


# Recommendations Delayed - Overview

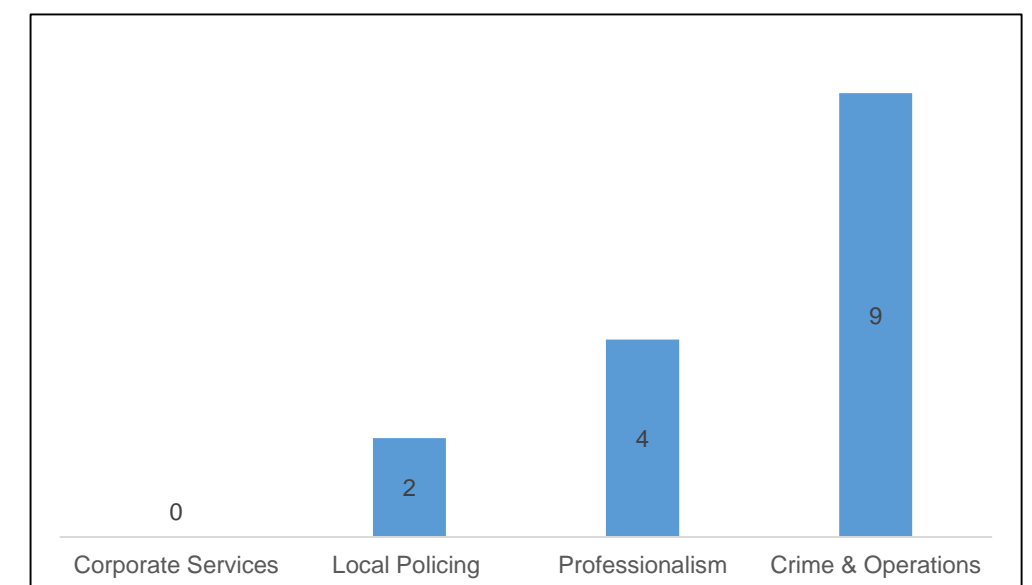
## Overview

- 15 recommendations have incurred delays.
- 9 of these are new delays reported in Q4. 6 of these relate to the Crime Audit and have a dependency with the full roll out of the National Crime System or other major project (Force Middle Office Review).
- 3 have minor delays of 3 months or less.
- All of the recommendations reported as delayed have already had extensive work on them but their complexity or requirements to demonstrate improvement mean that they cannot yet be closed.
- These recommendations are under continual review. Further detail in relation to the feasibility/confidence to conclude these recommendations has been requested by the Police Scotland Audit and Risk Board giving consideration to the risk, relevancy given the time elapsed, complexity and new priorities. This work will be undertaken for the Q1 Review in June 2022.

## Delays by Risk



## Delays by Portfolio



# Delayed Recommendations

Recommendations where delays have been agreed and reported internally. There were 9 new delays reported in Quarter 4. 2 recommendations have incurred further delay to already revised timescales. Management action has been taken on these recommendations where possible.

Report / Date	Recommendation	Risk	Date	Update
- NEW~ HMICS Crime Audit 2020/21	<b>6 Recommendations</b> R1 Reporting results of crime audits R2 SCRS Compliance R3 QA processes R4 Crime Management Units Structure R5 OL & Training Approaches R6 Implementation of Single Crime System	Medium	Sept 2022  March 2023 (earliest)	<p><b>Approved Delay – Dependency with Project</b></p> <p>The complexity and cross cutting nature of the actions and delivery of the recommendations are heavily dependent on the delivery of the COS and FMOR Projects.</p> <p>In December 2021, Police Scotland Change Board were provided a summary of the delivery to date of Phase 1 and the Phase 2 product development components and updated on the progress of the Digitally Enabled Policing Programme (DEPP) Core Operational Solutions (COS) Phase 2 roll-out. Change Board considered the learning from the Phase 2 Pilot and the implications for the national roll-out beyond the North region and the scale of the work required to complete the delivery nationally and approved the overall schedule moving from September 2022 to January 2023.</p> <p>At the January 2022 DEPP Programme Board the recent challenge from Covid-19 and the need to support Op Talla with DEPP officers was acknowledged.</p> <p>This provision, the wider training moratorium put in place plus Covid impacts in N Division meant that there would be a delayed rollout into N Division with further impact for the rest of the implementation schedule into other divisions.</p> <p>DEPP are currently working through what the impact will be, however the current estimate would be that the overall schedule will need to move from January 2023 to March 2023 at the earliest.</p>
~NEW~ Independent Complaint Handling Report 2020/21	R16 – Diversity of Disciplinary Committees The Chief Constable should publish annually Police Scotland’s performance in dealing with complaints against the time scales set out in the statutory guidance	Medium	March 2022  June 2022	<p><b>ACTION COMPLETE – PENDING EVIDENCE PACK</b></p> <p>The action is complete but delays have been incurred in producing the evidence pack on time for reporting to SG due to other priorities and annual leave.</p>



# Delayed Recommendations cont...

Report / Date	Recommendation	Risk	Date	Update
~NEW~ Independent Compliant Handling Report 2020/21	R60 - Audit Arrangements - using Audit Scotland Both Police Scotland and the PIRC should consider drawing on the expertise of Audit Scotland and the Scottish Public Services Ombudsman in re designing the audit arrangements in respect of police complaints	Medium	<del>March 2022</del> June 2022	ACTION COMPLETE – PENDING EVIDENCE PACK There were original delays to the completion of this recommendation in March due to dependencies with partners. Now due June 2022 and on track.
~NEW~ Independent Complaint Handling Report 2020/21	R78 – Performance Reporting – Complaint information The Chief Constable should publish annually Police Scotland’s performance in dealing with complaints against the time scales set out in the statutory guidance.	Medium	<del>March 2022</del> June 2022	Minor delay due to the availability of the evidence to complete the action. Requires publication of Annual Report to submit along with closure report.  Although delayed this will still be presented and included within the Thematic Report for December as originally planned.  Now Due by June 22.
Legal Claims	5.1 Review of Claims Outcomes We recommend that Police Scotland adopt a process which documents any retrospective review of Legal Claims which is performed, and any outcome or action. The review process should be based on a defined and documented set of principles, agreed with stakeholder groups.	Medium	<del>Dec 2021</del> Sept 2022	<b>Dependency with Organisational Learning structure</b>  We will await the formal development of an organisational learning structure and we will feed in learning to that process. Any immediate learning in the meantime will be shared appropriately and raised through our governance structure for recording purposes. Now September 2022

# Delayed Recommendations cont...

Report / Date	Recommendation	Risk	Date	Update
Events HMICS Thematic 2019/2020	<p>R4 - Baseline and Risks</p> <p>Police Scotland should develop a framework or means of guidance to event commanders regarding a baseline for the level of resource required and a means of considering the risks to the wider policing environment.</p> <p>Risk - Police Scotland should provide clear guidance regarding baseline officer levels for events in the form of a framework or matrix to guide commanders. This would assist commanders to demonstrate the rationale of their decision-making regarding the level of resource deployed and achieve greater consistency.</p>	Medium	To be agreed	<p><b>Further delayed</b></p> <p>HMICS Assessment - Further Evidence Required</p> <p>We have reviewed our approach to determining resources for events and strengthened our governance around decision making. We have documented guiding principles so that there is greater clarity and consistency over application. We are working in partnership with other Divisions and Departments to arrive at decisions that support the delivery of events whilst also protecting service delivery.</p> <p>We have reviewed with the business area to identify other sources of evidence from DPU that may assist with discharging this recommendation.</p>
Events HMICS Thematic 2019/2020	<p>R8 - Demand Analysis Products for Events</p> <p>Police Scotland should progress demand analysis products to ensure that there is a consistent understanding of demand to inform the resourcing of events.</p> <p>Risk - If Police Scotland continues to use OBLs as a means of identifying available resource it is crucial that they are accurate and that the same principles are being used across Scotland.</p> <p>Police Scotland must understand demand to ensure that officers and staff are in the right place, and then agreement must be made regarding OBLs, including which officers and staff are included and what the exceptions are.</p>	Medium	To be agreed	<p><b>Further delayed</b></p> <p>HMICS Assessment - Further Evidence Required</p> <p>We have reviewed our approach to determining resources and strengthened our governance around decision making. We have documented guiding principles so that there is greater clarity and consistency over application. We are working in partnership with other Divisions and Departments to arrive at decisions that support the delivery of events whilst also protecting service delivery. Demand products to be expanded to National Divisions. We have reviewed with the business area to identify other sources of evidence from DPU that may assist with discharging this recommendation.</p>

# Delayed Recommendations cont...

Report / Date	Recommendations	Risk	Date	Update
Undercover Policing HMICS Thematic 2017/18	<p>R16 - Integrated Records Management System Police Scotland should introduce an integrated record management solution for the management and supervision of undercover policing.</p> <p>Risk - During our fieldwork, we accessed a range of individual source documents and found that the information contained therein was inconsistent. There was also no simple means to read across the various systems to establish an accurate picture of activity. Police Scotland has recognised that the current processes are neither efficient nor effective and have produced a business case to update the existing source management ICT system to include undercover operations.</p>	Medium	To be agreed	<p><b>Further delayed</b></p> <p>Technical and Information Security Issues to resolve prior to roll out.</p> <p>Procurement for an undercover module from SMAN has been procured. Roll out was planned for completion August 2021 but there has been a delay due to ISO concerns which have now been fully investigated and a compromise solution has been identified.</p> <p>The initial risks identified have been mitigated through a review and consolidation of paper record keeping and establishment of audit procedures.</p>
Review of Custody Centres 2018 HMICS 2018/19	<p>R1 Custody Estate Police Scotland should develop its custody estate strategy as a matter of urgency in order to address variations in provisions across the country and better meet demand.</p> <p>Risk - While Police Scotland has invested in its custody estate and closed centres it deemed unnecessary, challenges posed by the estate remain and cannot be easily fixed without significant further investment. In 2014, we noted that Police Scotland intended to develop a custody estate strategy. We recommended that it be finalised as a matter of urgency and that Police Scotland should work with the SPA and Scottish Government to prioritise investment in the custody estate.</p>	Medium	To be agreed	<p><b>Further delayed</b></p> <p>Strategy provided along with Custody Investment Plan. What is lacking to finalise this recommendation is a supporting implementation plan outlining how the strategy will be measured, achieved, resourced and delivered. Agreement reached between CJSD and Estates Change Manager to completely refresh this with a 5yr strategy. This will include timeline and plans in order to meet HMICS requirements for completion. Was to be reported to SPA Policing Performance Committee on 17 March 2022 but delayed.</p>

# Delayed Recommendations cont...

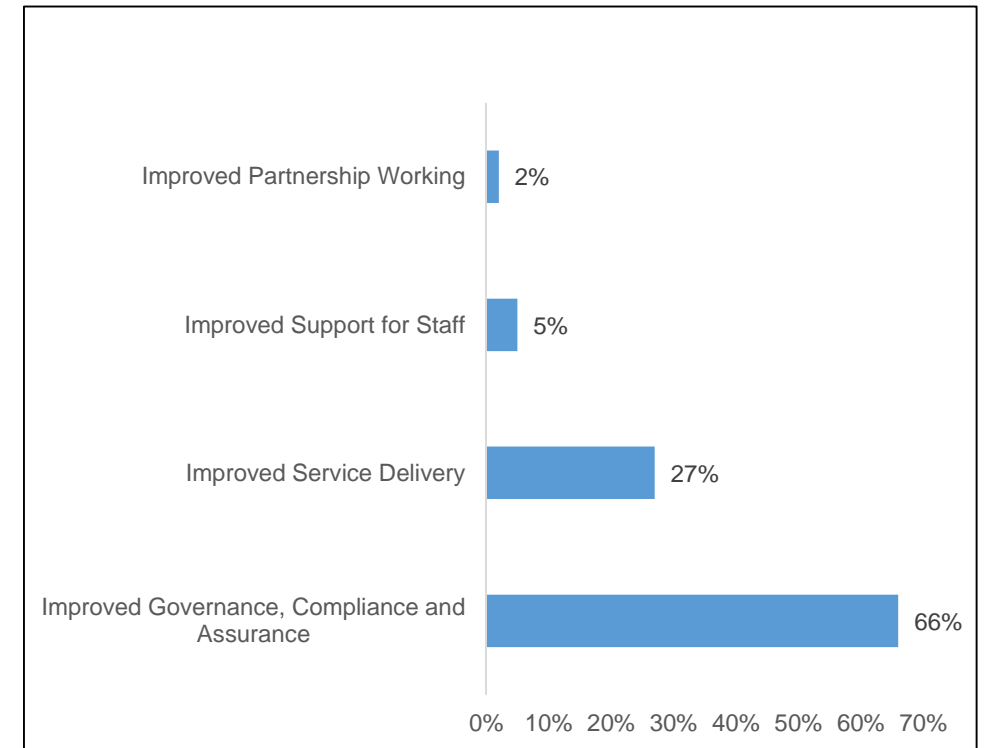
Report / Date	Recommendations	Risk	Date	Update
Greater Glasgow Custody 2019 HMICS	<p>Management of Queues at Custody Police Scotland should reconsider how it can better manage custody queue levels and provide radios to large custody centres to improve communication inside the centre and with local policing.</p> <p>Risk - Police Officers are non-productive whilst waiting to book in prisoners.</p>	Medium	To be agreed	<p><b>PENDING CLOSURE</b> A pilot of the Custody Co-ordinator has been ongoing for several months which was anecdotally making improvements to waiting times. A formal evaluation was hampered due to Covid restrictions so the pilot was extended in order to gather more data. The evaluation is complete and there is a better understanding of the things that work as a result of the pilot. The pilot cannot be sustained based on other priorities and a review of how achievable this recommendation is ongoing along data analysis to understand if there has been an improvement to delays resulting from other work – namely alternative measures to custody.</p>

# Recommendations Closed - Overview

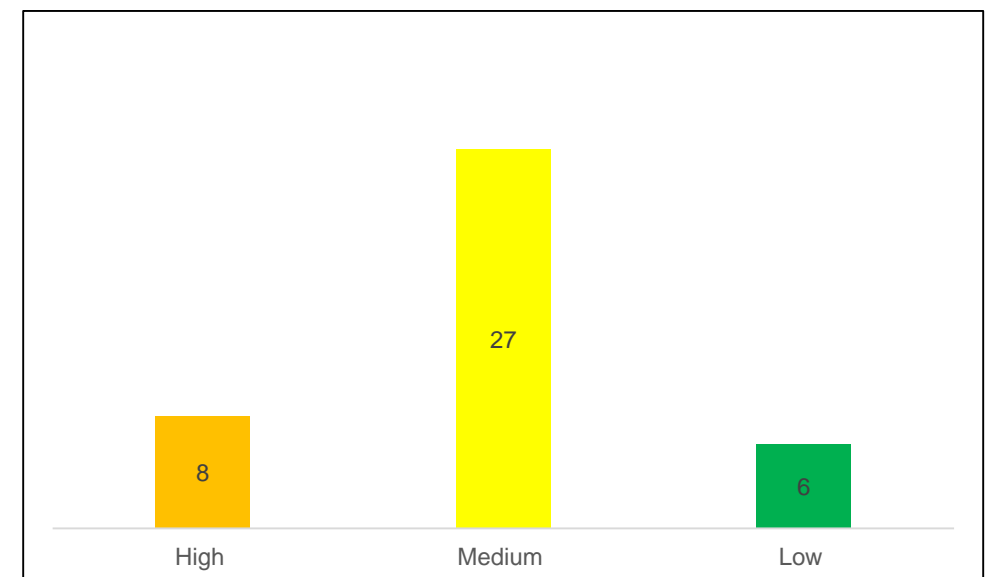
## Overview

- 41 recommendations have been submitted for closure.
- Over half of the recommendations closed were Internal Audit recommendations.
- 8 recommendations had a high risk status – 20%.
- 29 of the 41 recommendations were achieved on time, 7 ahead of time and 5 recommendations were closed that had previously incurred delays or been reopened due to insufficient evidence.
- The improvements are broadly categorised as follows:
  - Improved service delivery linking to Outcomes 1 and 2 of the Joint Strategy.
  - Improved working partnerships linking to Outcome 3.
  - Improvements to supporting our people linked to Outcome 4.
  - Improved governance, compliance and assurance processes linked to Outcome 5.
- The largest proportion of closures this quarter are in relation to the improved governance, compliance and assurance category reflecting the high number of Internal Audit recommendations addressed.

## Impact Factor

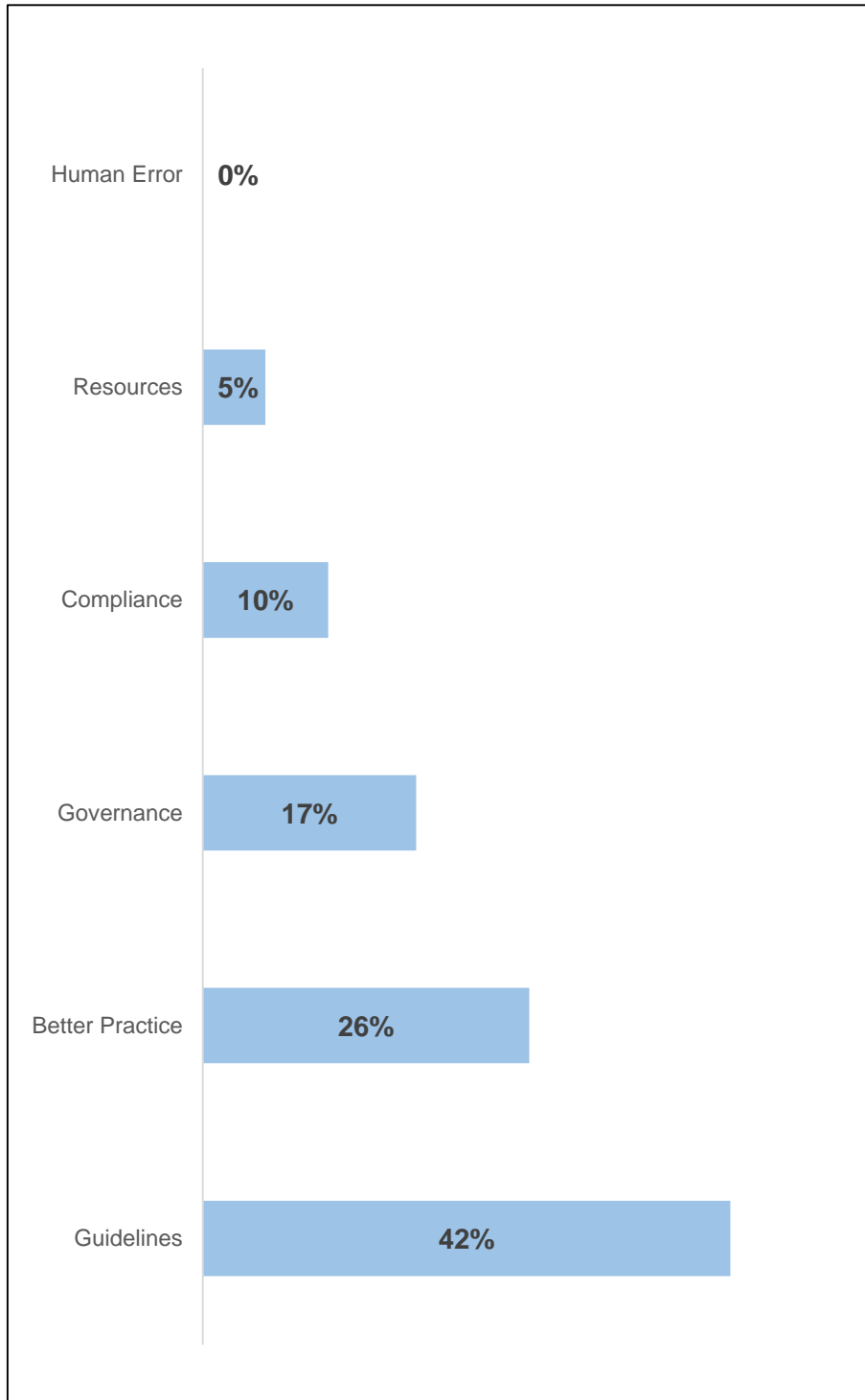


## Risk Assessment

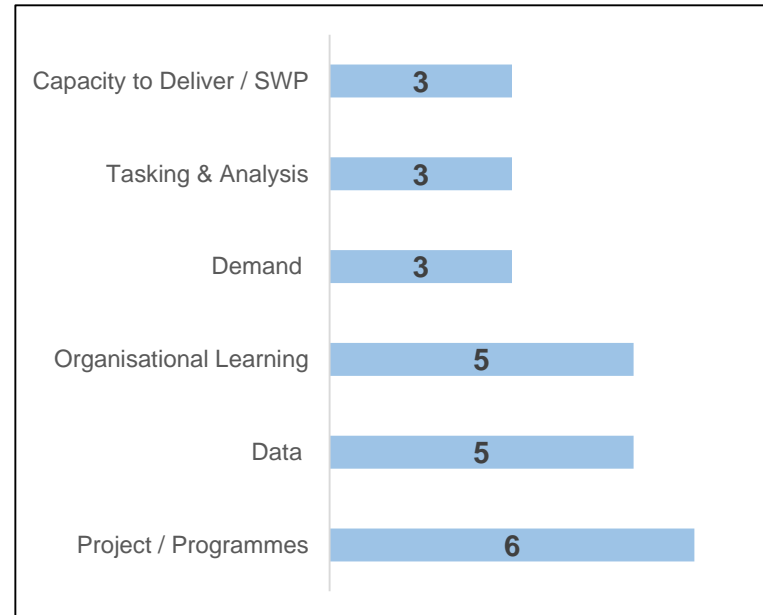


# Police Scotland Recommendations Dashboard

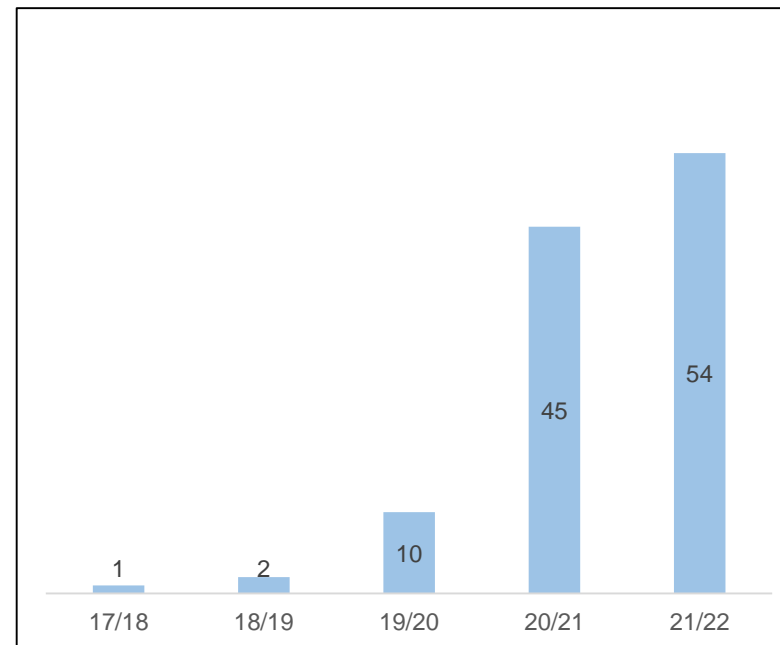
## Recommendations by Theme



## Dependencies



## Recommendations by Age



## Summary

- Themes** - The largest proportion of recommendations are categorised within the “Guidelines” theme. This theme includes a lack of or insufficient documented approaches, strategies or operating procedures to govern what, why and how activities are progressed. The order of these themes has not changed in the last year.
- Dependencies** – where there are a number of recommendations reliant on the same piece of work we have mapped these to improve our understanding of dependencies. A full breakdown of the individual recommendations with dependencies is provided at **Appendix C**.
- Age** – two of the oldest recommendations have been delayed once again. One relates to Undercover Policing and has a dependency with introducing an electronic information management system, the other relates to developing a Custody Estates Strategy.

# Police Scotland Benchmarking

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## Benchmarking - Recommendations Management

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- We have carried out benchmarking to compare how well we manage our recommendations with The Metropolitan Police, the Police Service of Northern Ireland and Scottish Ambulance Service. From these exercises we were able to share templates, processes and reporting products.
- Some of Police Scotland's processes and trend information around recommendations management was more comprehensive/advanced than our partners but it did offer opportunities for learning. We were able to take on board learning in respect of reporting, risk and prioritisation management and the importance of training in respect of effectively auctioning recommendations. These are all areas where we continue to look to improve.
- What was evident from the exercise is the scrutiny of recommendations within Police Scotland is sometimes greater than that observed in the organisations benchmarked against. Our scrutiny bodies play an active role in evaluating our success in implementing recommendations to ensure sustainable improvement to the communities of Scotland.

## Benchmarking - Recommendations Implementation

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- As well as benchmarking on the process of managing recommendations, we also carry out benchmarking during the implementation phase.
- This can often be directed by our scrutiny bodies and we take all opportunities to harness this learning wherever possible.
- As all of the recommendations are managed centrally, this provides an extra opportunity to review recommendations received Force-wide and allows learning to be shared internally.

Internal Audit Recommendations Progress Tracker - March 2022									
Risk Grading Key	4	Very High Risk Exposure	3	High Risk Exposure	2	Moderate Risk Exposure	1	Limited Risk Exposure	
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Benefits Realisation October 2020 11 recommendations	1	1					We are expecting these to conclude but need to provide evidence of the updated Performance Framework and Strategic Assessment to demonstrate closure	Change / Strategy & Analysis	Performance Framework refresh and Strategic Assessment
	4	2	2						
	3	3							
	3	3							
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Performance Management January 2021 7 recommendations							We have received updates for 5/7 recommendations which are due May 2022 which we consider completes these. The updates suggests we can close early and we will submit to Azets in April for consideration.	DoSA	Performance Framework refresh and Strategic Assessment
	2			2		2			
	5			3		2			
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Home Working Security March 2021 4 recommendations							R2.1 Mobile Device Management - this is a long term action and will be delivered as part of a wider project to deliver Office 365 - target date is March 2023. Confirmed on track April 2022.	CDIO	Dependent with roll out of Office 365
	4	3				1			
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Environmental Impact August 2021 3 recommendations							All recommendations now complete.	CFO	
	2	1		1					
	1	1							
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Legal Claims Handling August 2021 8 recommendations							5 recommendations submitted for closure.  One outstanding action remains and has a dependency with the wider organisational learning framework.  Other recommendations not due.	Head of Legal Services	Organisational Learning impact
	2	1		1					
	5	1		2	1	2			
	1			1					
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
COP26 Budget and Cost Allocation Model May 2021 3 recommendations							All recommendations now complete.	ACC COP26 / CFO	
	2				2				
	1				1				



Internal Audit Recommendations Progress Tracker - March 2022													
Risk Grading Key	4	Very High Risk Exposure				3	High Risk Exposure		2	Moderate Risk Exposure	1	Limited Risk Exposure	
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments					Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track							
Data Quality and Integrity Sept 2021 6 recommendations	2			1		1	2 actions are due March 2022 and complete					ACC Professionalism and Assurance	
	4			1		3							
Overtime and Allowances December 2022 4 recommendations	1					1	2 recommendations submitted for closure. 2 recommendations remain ongoing but are not yet due.					DoPD	
	2			1		1							
	1			1									
Estates Management December 2022 7 recommendations	4			2		2	All actions on track					CFO	
	3			1		2							
Strategic Planning March 2022 4 recommendations	1					1						DoSA CDIO	
	3					3							
	1			1									
CFC IFRS16 Preparedness March 2022 6 recommendations	5			2		3						CFO	
	1					1							
Procurement and Tendering March 2022 2 recommendations	1			1			All recommendations complete.					CFO	
	1			1									

Audit Scotland Recommendations Progress Tracker - March 2022										
Risk Grading Key	4	Very High Risk Exposure			3	High Risk Exposure	2	Moderate Risk Exposure	1	Limited Risk Exposure
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency	
		Total Closed	Pending	Closed Mar	Delayed	On track				
SPA Annual Audit Report 2019/2020  10 recommendations (4 SPA, 6 PS)							Recommendation previously closed but not fully discharged due to further work/evidence requested by Audit Scotland. Further update and evidence now provided for closure.	DoPD		
	3	3								
	2	1		1						
	1	1								
SPA Annual Audit Report 2020/21 Interim Report ~ NEW  6 recommendations							All recommendations now complete pending verification from Audit Scotland.	CFO DoPD		
	6	4		2						
SPA Annual Audit Report 2020/21  7 recommendations							A further 2 recommendations closed in March. Remaining 2 due end of April/end of Sept 2022.	CFO DoPD Legal PPCW CDIO		
	7	3		2	2					

HMICS Recommendations Progress Tracker - March 2022									
Risk Grading Key	4	Very High Risk Exposure	3	High Risk Exposure	2	Moderate Risk Exposure	1	Limited Risk Exposure	
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Undercover Policing February 2018 19 recommendations							R16 - Integrated Record Management System - PS requires to purchase an upgrade of the SMAN system v5.1, this is being set up on the cloud to allow testing to ensure it is fit for purpose first. A full timeline for implementation has been produced. Update and evidence (project timeline) that this has now been met provided and submitted to HMICS who will not discharge until the system has been tested and rolled out (Mid-2021). Pending. <b>NOW DELAYED</b>  R1 - Strategy and Implementation Plan - sent to HMICS for review. Awaiting confirmation of discharge.	ACC OCCTI	New ICT Product Impact (external supplier)
	6	6							
	4	4							
	9	7		1	1				
Review of Custody Centres 2018 August 2018 7 recommendations							For closure - R05 risk assessments recently returned from HMICS for further work they have requested clarification on the term of the QA role and a copy of QA framework in order to close. This is complete but needs evidence submission form.  Ongoing R01 estate strategy requires the Custody Improvement Plan (MED). All actions have been completed but not discharged until evidence of implementation plan which is still awaited. Decision made to refresh on a 5 year basis - <b>DELAYED</b>  R02 Inconsistent Practice - final pieces of evidence being gathered for closure. (LOW)	ACC Local Policing & CJS	Extensive business process review
	4	2	1		1				
	3	2			1				
Review of Delivery of the Policing Plan March 2019 12 recommendations							One recommendation removed from report regarding Scottish Policing Model. All action complete and HMICS to maintain a watching brief on impact/progress.	Director of Strategy & Analysis/ CDIO  ACC OCCTI	Dependency with progress with Target Operating Model
	12	11	1						
LP+ Greater Glasgow Inspection March 2019 11 recommendations							1 recommendation is ongoing relating a review of Campus Officers - we are awaiting confirmation of a post implementation review.	ACC Local Policing West (1)	
	6	6							
	5	4			1				
Greater Glasgow Custody Inspection June 2019 5 recommendations							Ongoing R01 custody queues - ORIGINAL TIMESCALE DELAYED DUE TO PANDEMIC. Action to be reviewed for feasibility and to review data to understand if problem still exists.  R05 improving quality of information - This has reliance upon QA Framework and QAI role. Development of a Strategic and Operational Self-assessment template and QA Universe document. (75% complete)	ACC Local Policing & CJS	Business process review
	1	1							
	4	1	1		1				
LP+ Events Inspection May 2019 15 recommendations							2 recommendations remain open as evidence submitted only partially addresses the recommendations: Resourcing Framework or Matrix for Event Commanders Demand Products  We have reviewed these areas in discussion with DPU and there are some products available that will support the closure of the recommendations. Further discussions and testing required before submitting for closure.	ACC Operational Support	Demand data for resourcing
	15	12			2				
					1				

HMICS Recommendations Progress Tracker - March 2022									
Risk Grading Key	4	Very High Risk Exposure	3	High Risk Exposure	2	Moderate Risk Exposure	1	Limited Risk Exposure	
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Strategic Review of Custody May 2019 12 recommendations	3	3					ONGOING R3 – Analytical assistance - There is a dependency here with the force-wide analytical review. An interim measure for a temporary post was not approved so other options to be considered and with HMICS agreement will be resubmitted to CJSD SMT for closure.	ACC Local Policing & CJS ACC Operational Support	Capacity to deliver / SWP implementation
Online Child Sexual Abuse February 2020 & August 2021 11 recommendations	5	2		1		2	We have made progress with addressing some of the outstanding points. A further 4 submitting for consideration of closure.	ACC Crime and Public Protection / ACC OCTI	Capacity to delivery / SWP implementation / Tasking processes / significant business process review
Training and Development-Phase 1 December 2020 17 recommendations	17	12				5	There are 2 recommendations at an advanced stage with Evidence submission forms drafted to submit to HMICS which will be done by end of April 2022. There are a further 3 recommendations which are at an advanced stage but will take many more months to evidence a change or outcome and dependent on project activity.	DoPD ACC Partnerships and Prevention	Training review
Scottish Crime Recording Audit March 2021 6 recommendations	6					6	Major dependency with new Crime Application which is delayed from September 2022 date. Comprehensive updates provided to SPA Policing and Performance Committee	ACC Major Crime and Public Protection	Dependency with COS and FMOR
Hate Crime June 2021 15 recommendations	15					15	Actions ongoing	ACC Preventions, Partnerships and Community Wellbeing	Data dependency Partnership working
Demand, Analysis and Management July 2021 12 recommendation	11	1	2			8	1 recommendation discharged by HMICS. 2 Complete pending further evidence. 6 recommendations due at end of March have been prepared for submission to HMICS - they are going through final quality checks for evidence.	DoSA	

HMICS Recommendations Progress Tracker - March 2022											
Risk Grading Key	4	Very High Risk Exposure				3	High Risk Exposure	2	Moderate Risk Exposure	1	Limited Risk Exposure
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency		
		Total Closed	Pending	Closed Mar	Delayed	On track					
Training and Development							Action plan at final review stage.	DoPD			
September 2021											
10 recommendation	10					10					
Title & Date of Publication	Risk Rating	Total Closed	Pending	Closed Mar	Delayed	On track	Comments	Owner(s)	Dependency		
Custody North East Hub										Action plan at final review stage.	ACC Criminal Justice
December 2021											
3 recommendation	3					3					

Other Recommendations Progress Tracker - March 2022									
Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Mar	Delayed	On track			
Digital Forensics Working Group (DFWG) April 2020 5 recommendations (1 SPA, 4 PS)	5	2				3	Actions due December 2022	ACC OCCTI	
Independent Complaints Handling Review November 2020 26 Police Scotland only recommendations (+10 recommendations where we work in partnership with other organisations but do not have the lead)	26	6	3	6	3	8	Work ongoing. 3 recommendations approved for closure by HMICS in February and supported for discharge by Ministerial Group. 6 recommendations approved for closure by HMICS in March and awaiting review by Ministerial Group. 5 recommendations are currently on track for closure in June 2022.	ACC Professionalism and Assurance	Data dependency for some of the more complex recommendations
Civil Aviation Authority (CAA) Oversight Report 2019 September 2019 2 recommendations	1					1	Ongoing	ACC Operational Support	
ICO Mobile Phone Data Extraction by Police in Scotland June 2021 6 recommendations	6					6	Ongoing	SCD	DESC dependency

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