



Meeting	Audit, Risk and Assurance Committee
Date	17 January 2023
Location	Video-conference
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 Business Plan – Progress Summary Appendix B - SPA audit and inspection recommendations

PURPOSE

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

- progress against the SPA business plan (2022/23); and
- 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 The SPA annual business plan (2022/23) was approved by the Board in March 2022. The plan outlines seven priorities linked to 34 objectives and 165 milestones to aid tracking of delivery.
- 1.2 Progress against completion of the business plan objectives is reported to ARAC on a quarterly basis.
- 1.3 Progress against audit and inspection recommendations are routinely reported to ARAC, these are tracked through a single audit and improvement recommendations tracking document.
- 1.4 In addition, other committees may also consider specific updates on progress where relevant to their terms of reference.

2. FURTHER DETAIL ON THE REPORT TOPIC

Part i) SPA business plan progress (Appendix A)

- 2.1 The business plan has seven priorities with 34 objectives aligned the priorities. Internally SPA set 165 underpinning milestones to support tracking against delivery of the objectives. These milestones allow the SPA to track and evidence progress towards achieving each priority which is reported quarterly to ARAC.
- 2.2 Of the 165 milestones the majority are on track or have been completed (80%), with 27 (16%) having been re-phased and 6 (4%) delayed. The majority of these re-phased or delayed milestones are expected to be delivered within the current financial year with two carried over to 2023/24.

Part ii) SPA audit and inspection recommendations (Appendix B)

- 2.3 HMICS published their assurance review of Police Scotland Strategic Workforce Planning on 2 August. This included four recommendations for SPA. Three joint with Police Scotland and one joint with Scottish Government and Police Scotland. Action plans to address the recommendations will be developed in collaboration with Police Scotland and Scottish Government.
- 2.4 Five long stand recommendations from ICO related to the Section 83 Agreement and the launch of the Data Protection Moodle training pack have been discharged.

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.



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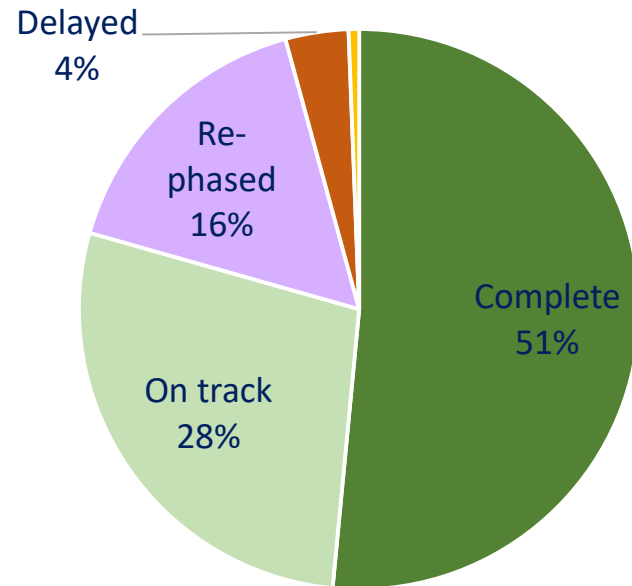
Appendix A

SPA Business plan progress

January 2023

Business plan progress summary

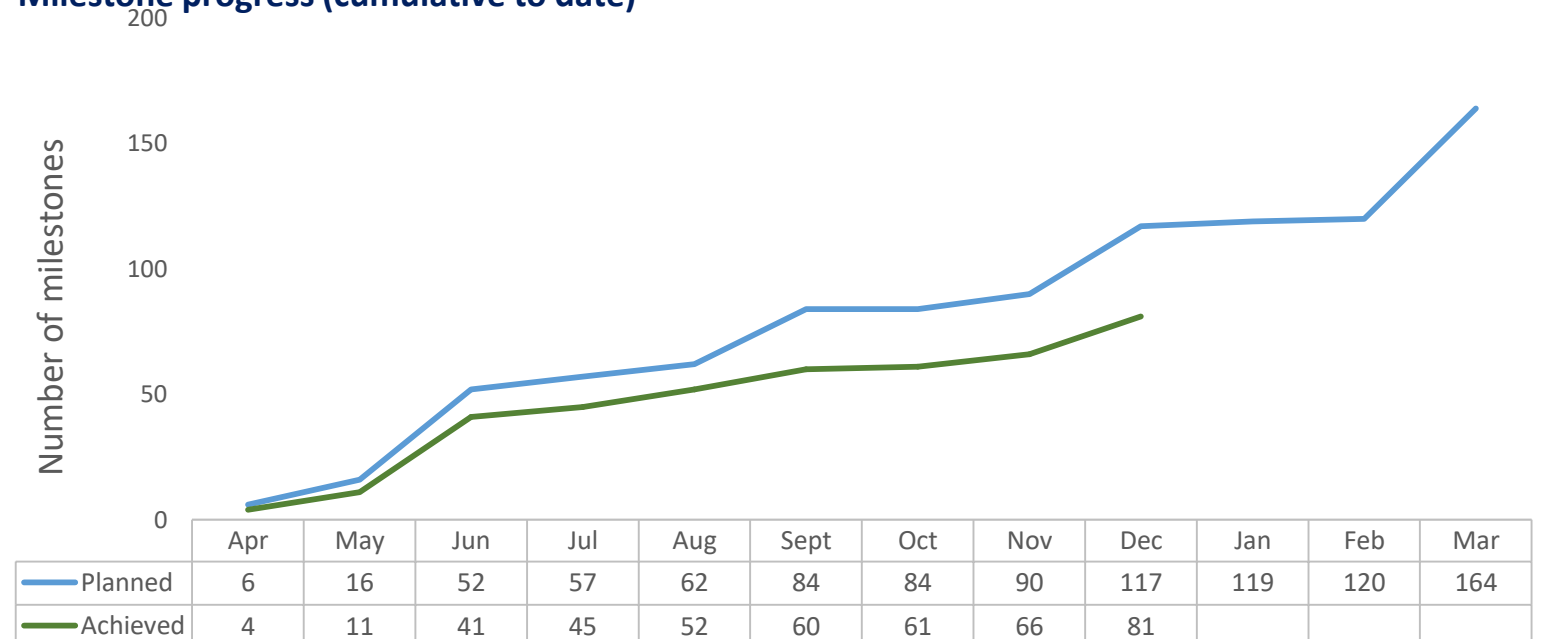
Overall business plan progress



- The Authority's [Business Plan for 2022-23](#) sets out 7 priorities for the year.
- Each milestone is underpinned by 34 objectives and a further 165 milestones will be tracked to support performance reporting and delivery of these priorities / objectives.
- This update reflects **progress** against the **quarter three** reporting period to December. The underlying detail is monitored by SPA officials and the SPA SMT
- The SPA has achieved or is on track for the majority of milestones (80%). Further detail on priorities with delayed, re-phased or closed milestones are shown on the following pages.
- At this time, of those milestones re-phased or delayed, 94% (31) are expected to be delivered within the current financial year with 2 carried over to 2023/24.

Priority	No. of Objectives	No. of Milestones	Current status				
			Complete	On track	Re-Phased	Delayed	Closed
1. Public trust / confidence	4	15	9	5	1	0	0
2. Core Service Excellence	6	23	15	2	4	1	1
3. Best Value	9	40	24	10	5	1	0
4. Statutory and Public Body Duties	5	36	18	11	6	1	0
5. Engagement and Communication	2	12	3	6	3	0	0
6. Digital Presence / Information	2	8	1	2	5	0	0
7. Our People	6	31	15	10	3	3	0
Totals	34	165	85	46	27	6	1
%			51%	28%	16%	4%	1%

Milestone progress (cumulative to date)



Movements in milestones

- The following pages provides further detail by exception of milestones that have been re-phased, delayed or closed.
- Out of a total of 165 milestones:
 - **27 (16%)** have been **re-phased**, i.e. milestones proactively re-profiled (e.g. due to re-phase of interdependent activity, re-phased external timelines);
 - **6 (4%)** are **delayed**, i.e. milestones not delivered by original target date due to internal pressures (e.g. absence, resource challenge);
 - **1 (<1%)** is **closed**, i.e. milestone no longer appropriate.

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
1.4	Oversight and input to the response to recommendations from the Independent Review of Complaints Handling, Investigations and Misconduct Issues in Relation to Policing (Dame Elish review).	1 - Re-phased	1.4.2 Influence enhanced assurance content within Police Scotland reports to CCC. Whilst there has been some improvement, further report development still required. Engagement with PS ongoing via SPA Members & officials. Target date tracking: June 22; August 22; November 22 , March 23
2.4	Develop and implement a finance business-partnering service to support SPA Corporate and Forensics Services and monitor its effectiveness.	1 - Re-phased	2.4.5 Support Forensic Services with financial analysis and input into proposals for long term Drug Driving service planning. The action has developed further than anticipated and is being considered as part of ongoing work for the resource spending review and budget setting for 2023-24. Target date tracking: June 22; August 22 ; February 23
2.5	Work with key stakeholders to review the current processes for ill health retirement and injury on duty .	2 – Re-phased 1 – Delayed (carried over to 23/24)	2.5.2 Review current process identifying areas for improvement. Work is ongoing to identify areas for improvement and implement changes and detail will be provided to the March legal committee. Target date tracking: September 22; December 22 , March 23 2.5.3 Implement SPA process improvements identified. Re-phased to allow for completion of work detailed at 2.5.2. Target date tracking: December 22 ; March-23 2.5.4 Update documentation to reflect new process. Document updates delayed to FY23/24 to allow for completion of review work Target date tracking: March 23 ; carried over to 23/24

Movements in milestones *(continued)*

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
2.6	Work with key stakeholders to improve our framework, capability and toolset for long-term sustainable financial planning , while continuing to effectively support and oversee the budgeting and allocation of resources on a strategic and demand-led basis.	1 – Re-phased 1 - Closed	<p><u>2.6.1 Support Police Scotland Finance and SPA with analysis and reporting on SG Revenue Spending Review and implications on financial strategy.</u> Updated budget strategy to be presented to Resources Committee and Board in Sep/Oct 2022 - though long term financial strategy will not be prepared by PS as envisioned due to RSR. Work will be ongoing to support the RSR till March 2023 including supporting Members via the budget scrutiny group. SPA finance are in regular discussion with PS finance colleagues. Target date tracking: June-22; March-23</p> <p><u>2.6.2 Review and assess Police Scotland long term financial planning framework and feedback to Police Scotland and Members / AO.</u> Following the RSR the expected review of the long term financial planning framework has been postponed. The focus is on the RSR and the four year outlook its sets out. This action is being captured at 2.6.1.</p>
3.3	We will support members in making an annual assessment of Board and Committee effectiveness which will shape this annual Governance review.	3 – Re-phased	<p><u>3.3.1 Recommend and support delivery of annual board effectiveness event mid-year.</u> Committee effectiveness session with Board ongoing and prioritised over Board effectiveness. Board process will follow once complete. Target date tracking: September-22; March 23</p> <p><u>3.3.2 Evaluate the effectiveness of our governance processes informed by insight and best practice from other public bodies.</u></p> <p><u>3.3.3 Recommendations to SMT / Chair to improve governance processes.</u> Board and Committee effectiveness will inform governance review Target date tracking: December-22; March 23</p>
3.6	We will keep under review the processes and products to support the Authority's effective oversight of change .	1 - Delayed	<p><u>3.6.4 Support Police Scotland in the revised approach to benefit assurance and realisation, as per HMICS report.</u> Police Scotland have stated that their new Benefits Realisation Framework will not be presented to Resources Committee until Q4 2022/23. We reach out to support Police Scotland in the creation of the Framework over the course of Q3 and Q4 Target date tracking: September-22; March 23</p>

Movements in milestones *(continued)*

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
3.8	We will work with Police Scotland and other partners to embed organisation learning from complaints and seek assurance that thematic causal factors are identified and mitigated.	2 – Re-phased	<p><u>3.8.2 Publish Complaints & Conduct Committee Annual Report 2021/22.</u> Aug CCC approval to publish subject to incorporation of outstanding feedback from PS/PIRC. PIRC issue with validation & publication of PIRC ARA. This is expected to be published shortly. Target date tracking: September 22; December 22</p> <p><u>3.8.3 In partnership with the Police Investigations and Review Commissioner (PIRC), carry out an initial joint audit in respect of Police Scotland complaints-handling and report findings to the Complaints & Conduct Committee.</u> SPA official involvement complete. Dependent on PIRC for completion of audit report. At Aug CCC, PIRC advised on track to publish by end Q2 (with report to Nov CCC). However, subsequently advised slippage due to capacity challenges, no revised timescale provided. Target date tracking: September 22; March 23</p>
4.1	We will deliver a programme of activity to ensure timely discharge of the range of SPA statutory and public body duties .	3 – Re-phased	<p><u>4.1.3 Publication of revised Gaelic Language Plan.</u> Feedback expected from BNG 30 Jan 2023. Target date tracking: September 22; March 23</p> <p><u>4.1.8 Assess the effectiveness of EqHRIA training and provide feedback to support continuous improvement.</u> Training provision delayed by Police Scotland. Majority of advisory group have received the training and collective views have been collated, however waiting for all members to have attended training in new year before submitting feedback. Target date tracking: December 22; March 23</p> <p><u>4.1.9 Jointly review existing EqHRIA framework and the effectiveness of its implementation with Police Scotland.</u> Joint work with Police Scotland and can't be progressed until capacity within PS to be progressed. Target date tracking: December 22; March 23</p>
4.2	We will develop and implement activities which contribute to the delivery of the approved Joint Equality Outcomes and Mainstreaming commitments.	1 – Re-phased	<p><u>4.2.3 Work with Police Scotland on improved approaches to support leaders to have the right skills and confidence to lead in relation to EDI.</u> EDI package delivered Dec 22, will be reviewed and engagement with PS on how any gaps will be addressed through YLM Phase 2. Target date tracking: December 22; March 23</p>

Movements in milestones *(continued)*

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
4.3	Deliver the SPA Corporate Parenting Plan and embed a coordinated approach to assuring the rights of children and young people are taken into account in decision-making.	2 – Re-phased	<p><u>4.3.2 Carry out roundtable with care experienced young people to understand how policing services impact their lives.</u> Children in Conflict with the Law event was held on the 15th November with a report currently being drafted. The CYP Biometrics review will be delivered by Q4 and the CYP interaction with Police Scotland report is currently in its final draft. Target date tracking: August-22; March-23</p> <p><u>4.3.5 Explore options for providing work placement opportunities for care experienced young people across the SPA.</u> Milestone re-phased to Q4 due to clarity required on funding for post as a result of budget review Target date tracking: December-22; March 23</p>
4.5	Work collaboratively with Police Scotland to conduct a review of the 2020 Joint Strategic Police Plan and report the outcome to the Authority.	1 – Delayed (carried over to 23/24)	<p><u>4.5.4 Strategic Police Plan Review report to Board.</u> Scottish Government delays have resulted in the re-phasing of this work. Target date tracking: November 22; carried over to 23/24</p>
5.1	We will implement and review the approved SPA Engagement Strategy and Local Authority Engagement Plan.	3 – Re-phased	<p><u>5.1.1 Support introductory meetings for the Chair and CEO with new COSLA office bearers.</u> Meeting with CC and COSLA presidential team 20/12/22 Target date tracking: September-2022; December 2022</p> <p><u>5.1.4 Conduct a stakeholder mapping exercise.</u> Conduct a stakeholder mapping exercise. Target date tracking: December-2022; March 23</p> <p><u>5.1.5 Review effectiveness of 2021-2023 Engagement plans informed by feedback from key stakeholders.</u> Milestone moved into 2023 to align with development of engagement strategy aligned to Corporate Strategy. Target date tracking: December-2022; March 23</p>
6.1	Develop and implement an improved approach to our digital presence and information accessibility.	5 – Re-phased	<p>6.1.1 Review and revise the SPA Publication Scheme (needs to coordinate with website launch). 6.1.2 Develop a public facing knowledge hub for sharing resources. 6.1.3 Migrate our streaming service, including all existing recordings, to a more stable YouTube platform. 6.1.4 Launch a new SPA website which fully complies with accessibility guidelines and with supporting communications plan. 6.1.5 Provide guidance and support for staff, in transition to the new website. Website launch moved into 2023. Requirement to build in user testing and accessibility sign off. Target date tracking: September-22; October-22; March 23</p>

Movements in milestones *(continued)*

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
7.1	Develop the SPA People and OD Plan for CEO approval and progress its implementation throughout the year.	2 – Re-phased 1 - Delayed	<p>7.1.1 <u>We will develop and deliver GDPR and Information Security Training via Moodle and in person.</u> Training is now live and we are monitoring completion. Target date tracking: May-22; September-22; October 22; March 23</p> <p>7.1.2 <u>We will deliver and launch an Information Management Handbook encompassing the key areas from IM policy and procedures.</u> Handbook will be revised into a IM quick reference guide. Engagement is ongoing with staff on requirements and the guide is expected to be completed by end of Q2. Target date tracking: June-22; September-22; December 22; March 23</p> <p>7.1.10 <u>Roll out of ‘My Careers’ to corporate staff in place of the Performance Development Process</u> Monitoring of Moodle completion ongoing. All Staff will use MyCareer for end of year performance conversations . Staff briefing session planned for Feb 23. Target date tracking: December 22; March 23</p>
7.3	Support the Chair and Vice Chair in developing a programme of development for Authority Members both individually and as a team.	1 - Delayed	<p>7.3.1 <u>Evaluate if there is any requirement for finance training or refresher training for SPA Board.</u> Draft plan for training being developed. Target date tracking: May-22; July-22; September-22; March 23</p>
7.4	We will review organisational progress, learning and the changing strategic environment to review the current SPA Corporate Plan to inform development of the Corporate Strategy 2023-26.	1 – Re-phased	<p>7.4.2 <u>Internal engagement on development of SPA Corporate Strategy 2023-26.</u> This is ongoing - Staff briefing delivered 13/12/22. Internal workshops in Jan 2023. Target date tracking: November-22; January 23</p>
7.5	We will undertake a review of the SPA whistleblowing policy , evaluating implementation against good practice guidelines and taking any required improvement.	1 – Delayed	<p>7.5.3 <u>Implement improvements.</u> Ongoing work to implement improvements with intention to delivery by end Q4. Target date delivery: December-22; March 23</p>

Definitions:

Complete - milestone met within planned target date

On track - milestone anticipated to be met within planned target date

Re-phased - any milestone or activity which has not been delivered by the agreed date set in the plan as a result of internal pressures – i.e. absence, resource challenge, workload (where the delay is reactive and unplanned).

Delayed - those milestones or activities where a decision has been taken to proactively re-profile the work. This could be due to prioritisation, re-phased activities on which this activity is dependent, a delay in provision of necessary content/prep work from elsewhere, re-phased timelines externally.

Closed – milestone no longer appropriate.



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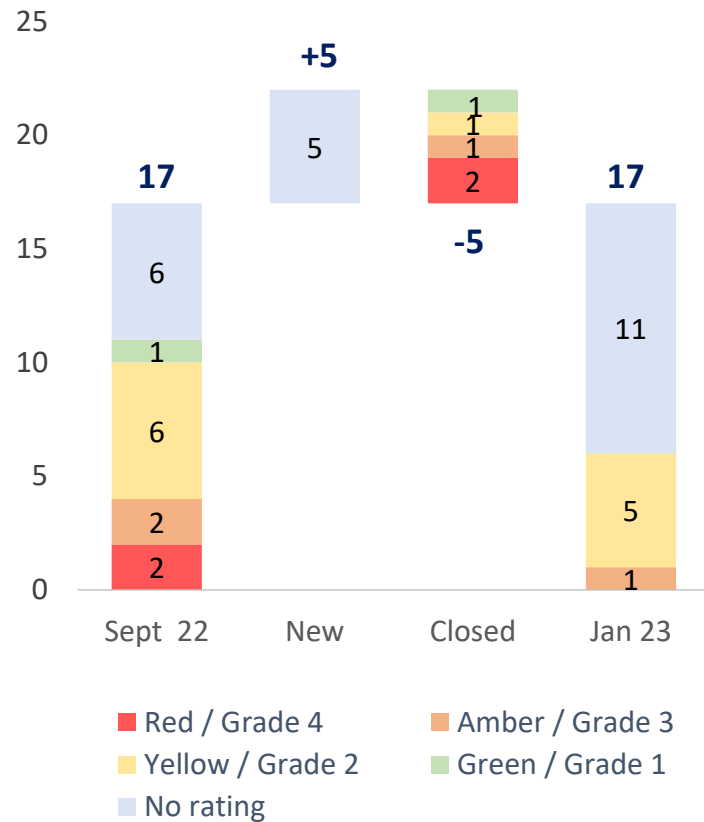
Appendix B

SPA audit and inspection
recommendations update

January 2023

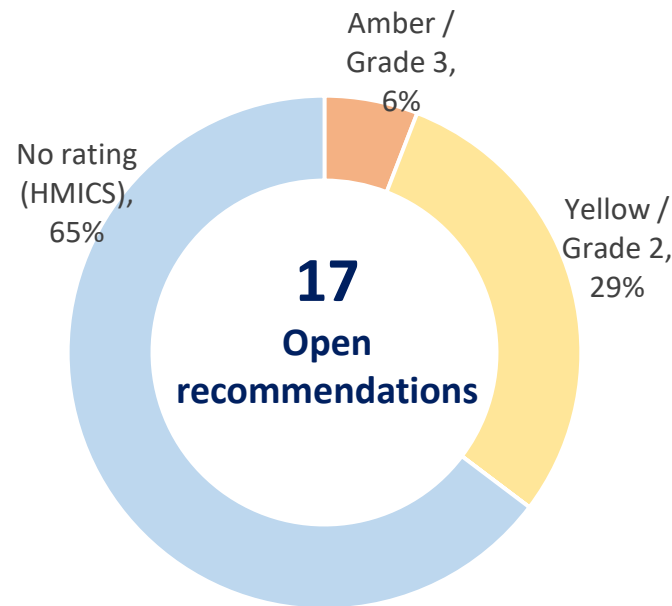
SPA audit and inspection dashboard

Progress update (number of SPA recommendations)



- Four new recommendations relate to joint SPA, Police Scotland and Scottish Government findings from the HMICS assurance review of Strategic Workforce Planning and 1 new recommendation has arisen from Audit Scotland
- 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 on from Audit Scotland. HMICS and Audit Scotland do not rate their recommendations and the SPA is considering self-assessing the priority of future HMICS and Audit Scotland 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 (70%). Current open recommendations have primarily arisen from HMICS reports and ICO.

Further detail on progress

Movement since previous ARAC report

	Sept 2022	New	Complete	Jan 2023
Internal Audit	2	-	-	2
Audit Scotland	0	+1	-	1
HMICS	6	+4	-	10
ICO	9	-	(5)	4
Total	17	+5	(5)	17
<i>Internal audit – FS data security</i>	2	-	-	2

Actions completed in current financial year and outstanding

	Actions completed (since Sept 22)	Actions outstanding (Jan 22)	Actions outstanding:	
			On target	Overdue
Internal Audit	-	2	1	1
Audit Scotland	-	1	1	-
HMICS	-	10	10	-
ICO	5	4	4	-
National Records of Scotland	-	-	-	-
Total	5	17	16	1

New actions

- One new action has been allocated to SPA since the last ARAC, from Audit Scotland to ensure that clear timescales to implement planned mitigations are in place for risks outwith appetite/tolerance
- Four new actions, joint with Police Scotland, from the HMICS Assurance Review of Police Scotland Strategic Workforce Planning. SPA colleagues are engaging with Police Scotland to develop a plan to address the actions which will be provided to the People Committee.

Complete actions

- Five long standing actions allocated by ICO have been completed, these are in relation to the Section 83 Agreement and the launch of the Data Protection Moodle training package.

Overdue actions

- Internal audit: There is one overdue actions from the Data Protection Internal Audit relating to training although this is linked to the development and launch of the Moodle package.
- An element of this recommendation is reporting on completion rates – the package was launched in December 2022 and the deadline for completion has not yet passed. The reporting element has not fully been addressed as yet, revised target completion date March 2023.