



Meeting	Audit, Risk and Assurance Committee
Date	17 January 2023
Location	Video Conference
Title of Paper	Police Scotland Audit and Improvement Recommendation Tracker Q3
Presented By	Assistant Chief Constable Professionalism and Assurance
Recommendation to Members	For Discussion
Appendix Attached	Yes Appendix A - Audit and Improvement Dashboard Appendix B - Audit and Improvement Tracker





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 progress detailed within the report.

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. A copy of the Dashboard is available at **Appendix A**.
- 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 Independent Review of Complaints Handling 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.

	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 Q3.

3. FINANCIAL IMPLICATIONS

3.1 There are no financial implications in this report.

4. PERSONNEL IMPLICATIONS

4.1 There are no personnel implications in this report.

5. LEGAL IMPLICATIONS

5.1 There are no legal implications in this report.

6. REPUTATIONAL IMPLICATIONS

6.1 There are no reputational implications in this report.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications in this report.

8. COMMUNITY IMPACT

8.1 There are no community implications in this report.

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications in this report.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications in this report.

RECOMMENDATIONS

Members are invited to discuss the progress detailed within the report.



Audit and Inspection Recommendations Dashboard

Reporting Period: Q3 December 2022

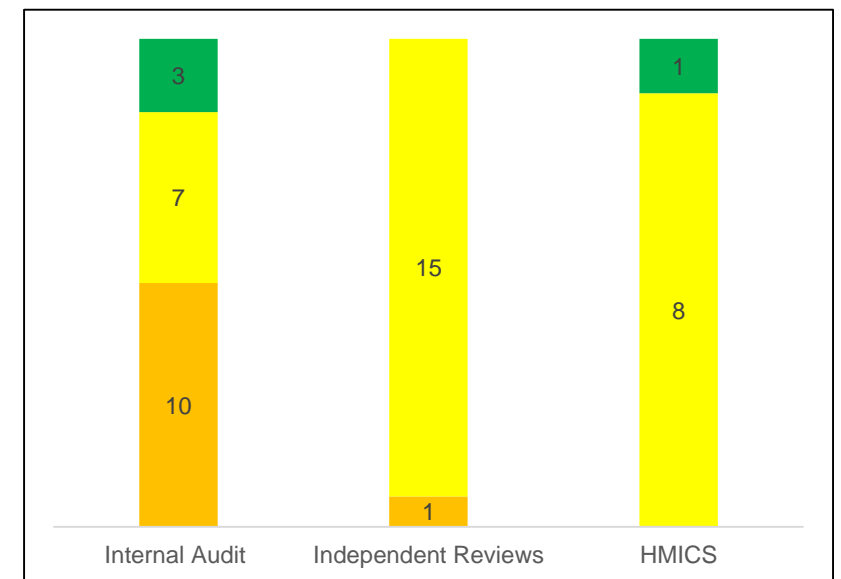
Police Scotland Recommendations Dashboard

Total	Ongoing	Delayed	Closed to Date
126	102	24	45

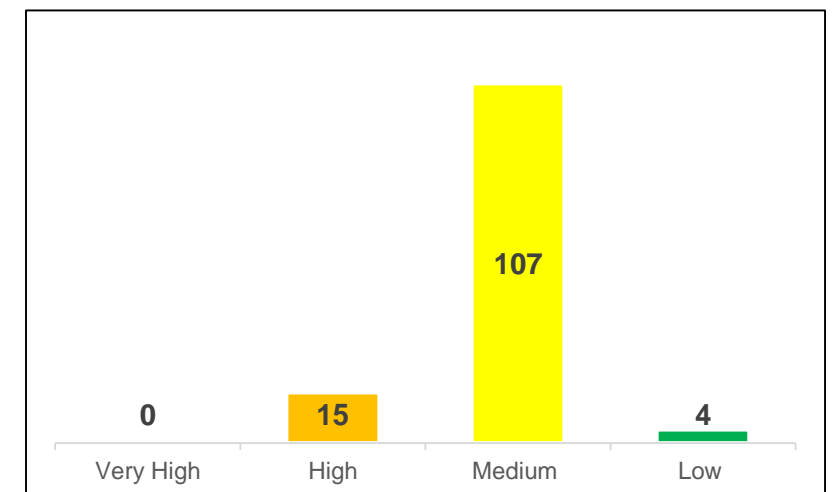
Recommendations Management – Highlights

- There are 45 closures to report - 24% were High Risk actions.
- 36 new recommendations were added in the last quarter.
- 12% of recommendations have a High Risk status.
- 6 recommendations are pending which means the action is complete but require more time to show evidence of improvement or implementation has embedded.
- 81% of recommendations are on track.
- 24 recommendations are delayed. 2 have a high risk status. 8 are new delays this quarter and are described in detail within pages 9-11 of this pack.
- Appendix B provides details of every audit and inspection by publication.

Closed – Q3 December 2022



Risk Assessment



Closures

Of the total closures, 11 are High Risk, 30 Medium Risk and 4 Low. A summary of the most significant achievements follows:

Performance Management - We have developed and documented our approach to recording and analysing contextual information provided by operational areas to strengthen the scrutiny of performance. This approach establishes a performance baseline and seeks to measure the impact of management. We have established criteria for identifying and escalating the highest priority matters within the Quarterly Performance Reports. We have further developed our half yearly reporting against the Annual Policing Plan to improve scrutiny over progress.

Health and Safety

Alerts for mandatory H&S training has been turned on within SCOPE which is allowing for improved monitoring of compliance and providing assurance that all staff are receiving up-to-date H&S information and training.

Vetting - The Supplier vetting manual has been updated to include guidance on cumulative spend and responsibility for vetting unit undertaking financial checks. We have also added a definition for grave professional misconduct to ensure clarity in the supplier vetting process. Estates Facilities Management Teams have conducted briefings with in-house Reception and Security Officer staff to remind them of their responsibilities in relation to ensuring hosts provide information in relation to whether visitors must be escorted on site.

The Vetting manual of guidance has been updated in line with recommendations and communicated. Improvements have been made to documentation control and cases are quality checked by the Force Vetting Manager and the Force Vetting Coordinator on a regular basis. This is to ensure all documentation is accurate and rationales are robust. Cases which are subject to appeal are fully quality checked as per the appeals process.

Improvements have been made in relation to managing the demand in relation to vetting. Additional staff have joined the vetting unit over the course of November and December 2022. Safeguards currently being administered to address peaks in demand include the deferral of non-core tasks until early 2023 when staff are trained and competent, and a minimum staffing level to monitor annual leave. Overtime has been offered each month since August to address backlogs. Turnaround times where there is increased demand is communicated to stakeholders in order to manage expectations.

Closure – Business Benefits

The following recommendations reported within the Benefits Realisation Internal Audit published in October 2020 remain open. We have taken as much action as possible at this time and are closing these. Further detail on the recommendations is provided below along with our response opposite.

3.2 Performance Impact of Realised Benefits – Grade 3 (High)

We have previously raised recommendations in our 2019/20 review Demand and Productivity that relate to the development of measures of demand and capacity and the implementation of the Resource Allocation Model, which we understand will provide a greater ability to view organisational performance from a productivity and efficiency perspective.

In the interim we recommend Police Scotland convert forecast or realised FTE benefits into a clearly articulated performance impact expressed in terms of operational performance metrics. Pending the review and implementation of the Resource Allocation Model, we recognise that there are limitations to the data available to support this, however potential approaches include:

- ☐ Updating Benefit Profiles for benefits which release FTE such that they include a summary of expected impacts to relevant performance metrics and monitoring these in conjunction with benefits data collated by the Project Teams;
- or
- ☐ Analysing divisional or organisational performance metrics against volumes of measured capacity or efficiency created in those areas to identify trends.

5.1 Organisational Performance Reporting – Grade 3 (High)

Performance reporting should be revised to reflect realised benefits in terms of their impact on organisational performance. This may be contingent on the implementation of actions to address MAP 3.1 and 4.1, which would provide for the availability of relevant data to carry out this analysis.

Police Scotland Response to Closure

We agreed with Azets in August that with no appropriate Business Cases in the pipeline to demonstrate a live example of how we will link Benefits to performance at the outset, it was agreed that an Analysis and Performance Unit documented process document, that links to Portfolio Management Office's Benefit Management Strategy, would be sufficient to close this out. A copy of this briefing paper has been provided to Azets.

Whilst Police Scotland agrees with Azets's assessment that we are unable to practically demonstrate the processes intended to realise and report benefits as per the recommendations, it our belief that the submitted briefing paper demonstrates effectively what our process will be when we have the opportunity to action this and should therefore provide the appropriate assurance to the SPA.

The residual risk is that we fail to follow the documented process but from an ARAC perspective there is improved monitoring of benefits realisation at SPA Resources Committee and this will be demonstrated in reporting when viable.

Currently, our pipeline of potential projects simply does not allow the practical demonstration of the documented process. Based on this we will close the recommendations relating to 3.2 and 5.1, supported and approved by DCC Professionalism.

Pending

Recommendations where we have taken all the action we set out to but we cannot yet evidence the impact or there might be a dependency that is delaying this work.

Report / Date	Recommendation	Risk	Date	Status
Demand Analysis & Mgmt June 2021	R02 Annual Demand Baseline Product Integration Police Scotland should integrate the development of the annual demand baseline product with the force strategic assessment to ensure a more strategic focus, consistency of approach and address areas where demand information is currently lacking.	M	Nov-22 Dec 22 (on track)	Pending Evidence of Implementation – STRA HMICS acknowledges progress in this area and has engaged with those leading the STRA process. Once the new demand baseline product, revised ODB reporting format and STRA are available we will review these to assess if integration has been achieved to the expected level. Next steps- The Demand baseline complements, informs and supports organisational governance and transformation strategies around demand. As soon as the STRA has been finalised this can be closed.
Demand Analysis & Mgmt June 2021	R05 Leadership of Scrutiny Processes Police Scotland and the Scottish Police Authority should, in line with a demand framework, review the operational leadership, governance and focus of their scrutiny processes around demand analysis and management	M	Feb-22 Apr 23	Evidence of Implementation – APT Implementation HMICS comments within SWP Assurance Review:-The DPU/APU business case to review structures and delivery has been progressing through governance. Its approval and implementation should allow closure of this recommendation. Target date for APT Implementation-April 2023

Pending

Report / Date	Recommendation	Risk	Date	Status
Demand Analysis & Management June 2021	R12 Analysis Transformation to Include Demand Approach Police Scotland, in its development of the Full Business Case for the Analysis and Performance Unit re-design, needs to include proposals for further development of the demand approach and the Demand and Productivity Unit itself.	M	Feb-22 Apr 23	Target date for APT Implementation-April 2023
Independent Complaints Handling Nov 2020	R18 Discrimination Culture In the light of the very worrying evidence that I have received, I consider that issues related to discrimination and their impact on public confidence in Police Scotland should be the subject of a broader, fundamental review of equality matters by an independent organisation. That review should take into account HMICS's proposed inspection of Training and Development that is to concentrate on the recruitment, retention, development and promotion of under-represented groups.	M	Sept-22 Dec 23	Outwith PS Control An Independent Review Group has been established to provide critical oversight of equality matters, guide strategic direction and scrutinise activity. HMICS previously indicated that they would not close this recommendation until the IRG report on their findings. The IRG were originally due to report in September 2022 but due to delays will now provide a full report to SPA by end of 2023.

Pending

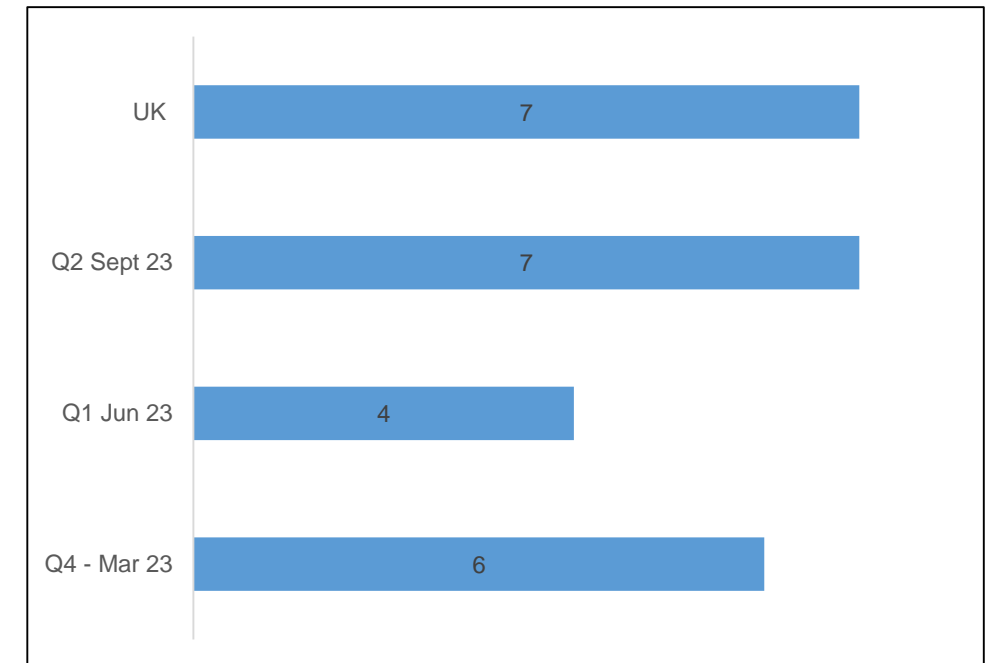
Report / Date	Recommendation	Risk	Date	Status
Vetting Audit July 2022	<p>2.1 Approach to prioritisation We recommend that the Force Vetting Unit develops a formal approach to prioritisation, linked to the risks and objectives of the wider organisation. This should be communicated across Police Scotland to ensure consistency of understanding and allow expectation management.</p> <p>Where higher priority is assigned to vetting applications due to urgent or exceptional circumstances, this should be subject to agreement with the Force Vetting Manager, in order to ensure workload within the Vetting Unit can be managed.</p>	M	Sep 22 Mar 23	<p>3 examples were provided which explains the approach to prioritisation in practice. We consider certain criteria, a non-exhaustive list would be: Financial constraints, risks, loss of candidate.</p> <p>We have improved our engagement throughout the organisation so that we have earlier identification of demand. We have increased staffing within the Vetting Unit which now better reflects current demand and allows for flexibility outside the core priorities.</p> <p>We will consider the development of a template to formalise this process and ensure consistency in approach.</p>
Vetting Audit July 2022	<p>1.9 NPPV vetting We recommend that wording around vetting timescales included within supplier contracts should be reviewed to ensure any timescales laid out are realistic and attainable</p>	L	Oct 22 Mar 23	<p>Dependent on evidence for 2.1 above It was agreed no change to process. The evidence submitted in respect of 2.1 above will provide the necessary evidence to close this action. No further action meantime.</p>

Delayed – Overview

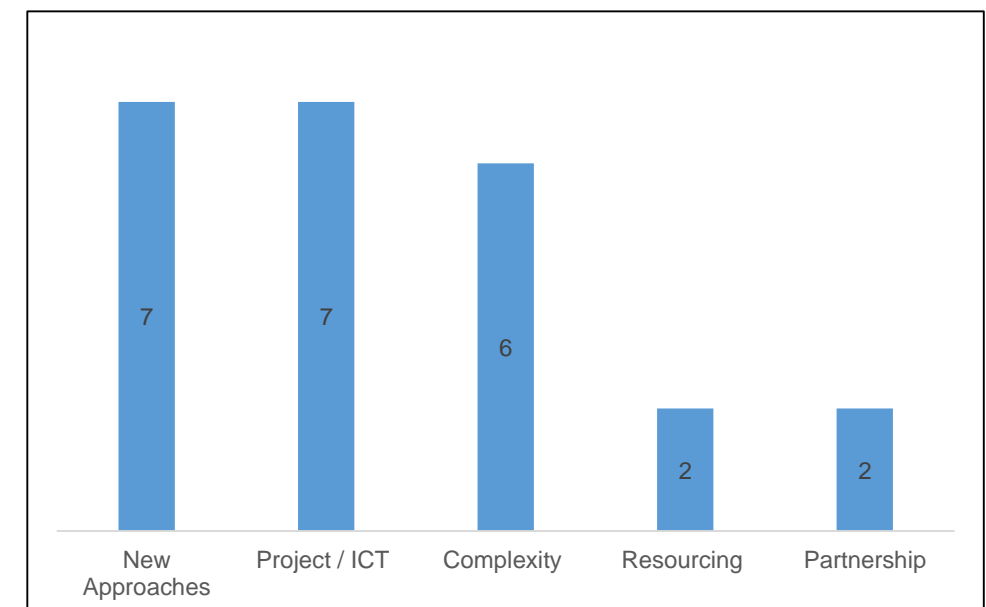
Overview

- 24 recommendations have incurred delays.
- The recommendations with unknown timescales depend on other work, are difficult to show any improvement or are difficult to address without additional investment of time/people. These are currently with business areas to agree next steps and/or revised dates.
- We have completed a deep dive on a third of the recommendations across SCRS, Demand, Hate Crime and Training and Development to assess completion. This has resulted in SCRS and Hate Crime being comprehensively reviewed and action re-planned.
- Where dependencies were cited as a reason for delay we have interrogated these further. We have identified next steps which might help bring some towards a close earlier than anticipated. These are with the Tactical Groups or Business area to progress.
- Developing new approaches/growth areas is one of the main reason why some recommendations are delayed. The implementation of COS is the common reason why 6 out of the 7 Project/ICT recommendations are delayed.

Length of Delay



Reasons for Delay



Delayed Recommendations – New Delays

Report / Date	Recommendation	Risk	Date	Delays	Status
Demand Analysis & Mgmt June 2021	R07 Formalise Organisational Design Support Police Scotland should set out a transparent process for the provision of organisational design support including how demand analysis is used to inform decision making concerning officer and staff numbers and calculate the demand and capacity imbalance at an organisational level.	M	Dec 22 Unknown	-	NEW APPROACH There is no current process for Organisational Design. Has been subject to internal discussion. Internal Audit will carry out work Q4 which may help address this – scope to be finalised.
Demand Analysis & Mgmt June 2021	R10 Tasking and Co-ordinating Process use of Demand Products Police Scotland should ensure consistency and compatibility (not requiring mandatory compliance) in revised tasking and co-ordinating processes and the associated use of demand products across all local policing divisions.	M	Sept 22 Unknown	-	COMPLEXITY This requires local policing divisions to consistently demonstrate their use of demand products in the tasking and co-ordinating process. This is difficult to evidence as we have some examples but they are limited to certain divisions. We are currently reviewing ODB papers to identify examples where demand products are being consistently used across a number of divisions.
Demand Analysis & Mgmt June 2021	R11 Further Development of Demand Forecasting Approach The Scottish Police Authority and Police Scotland should commit to further development of the demand forecasting approach to support medium to longer term planning and decision-making.	M	Dec 22 Unknown	-	NEW APPROACH This work requires the Data Scientist position to be filled before it can be progressed.

Delayed Recommendations – New Delays

Report / Date	Recommendation	Risk	Date	Delays	Status
ICT Service Delivery April 22	<p>3.1 Demand Planning and Prioritisation</p> <p>We recommend that Digital Division, in collaboration with senior stakeholders in the organisation, develops and implements formal processes through which resource demands are collated and prioritised. Formal criteria should be developed to allow a consistent approach to prioritisation of demand over a rolling 12-18 month period.</p>	H	Dec-22 Unknown	-	<p>On hold pending revised TOM</p> <p>A significant amount of work has taken place within the Change function to identify the key priority projects and programmes of work. In addition to this as we are progressing through the development of the Digital Strategy and Target Operating Model works we are looking to identify new ways in which we will be working and operating and a clear roadmap of prioritised Transformation change and BAU change. To this effect - no further work has been completed in regards to the Service plan approach as indicated in the initial response. As we have developed through the process in defining our Digital Strategy, SOBC and Target Operating Model it has become apparent that these initiatives will indeed ensure clear process is in place.</p>
ICT Service Delivery April 22	<p>2.2 Service Catalogue</p> <p>We recommend that the Digital Division updates their service catalogue to cover all services within their portfolio, with reference to associated SLAs, targets, objectives, or performance expectations.</p>	M	Dec-22 Unknown	-	<p>On hold pending revised TOM</p> <p>A high Level taxonomy of services provided by the Digital Division is being developed at this time as part of the current Target Operating Model work. However as we move towards the new proposals there will be a change in the way that services are provided and provisioned for the Digital Division. This process is currently moving towards the end of the design phase and would request that the resolution to this action is placed on hold until we have a clear direction and agreement on next steps for this critical piece of work.</p>

Delayed Recommendations – New Delays

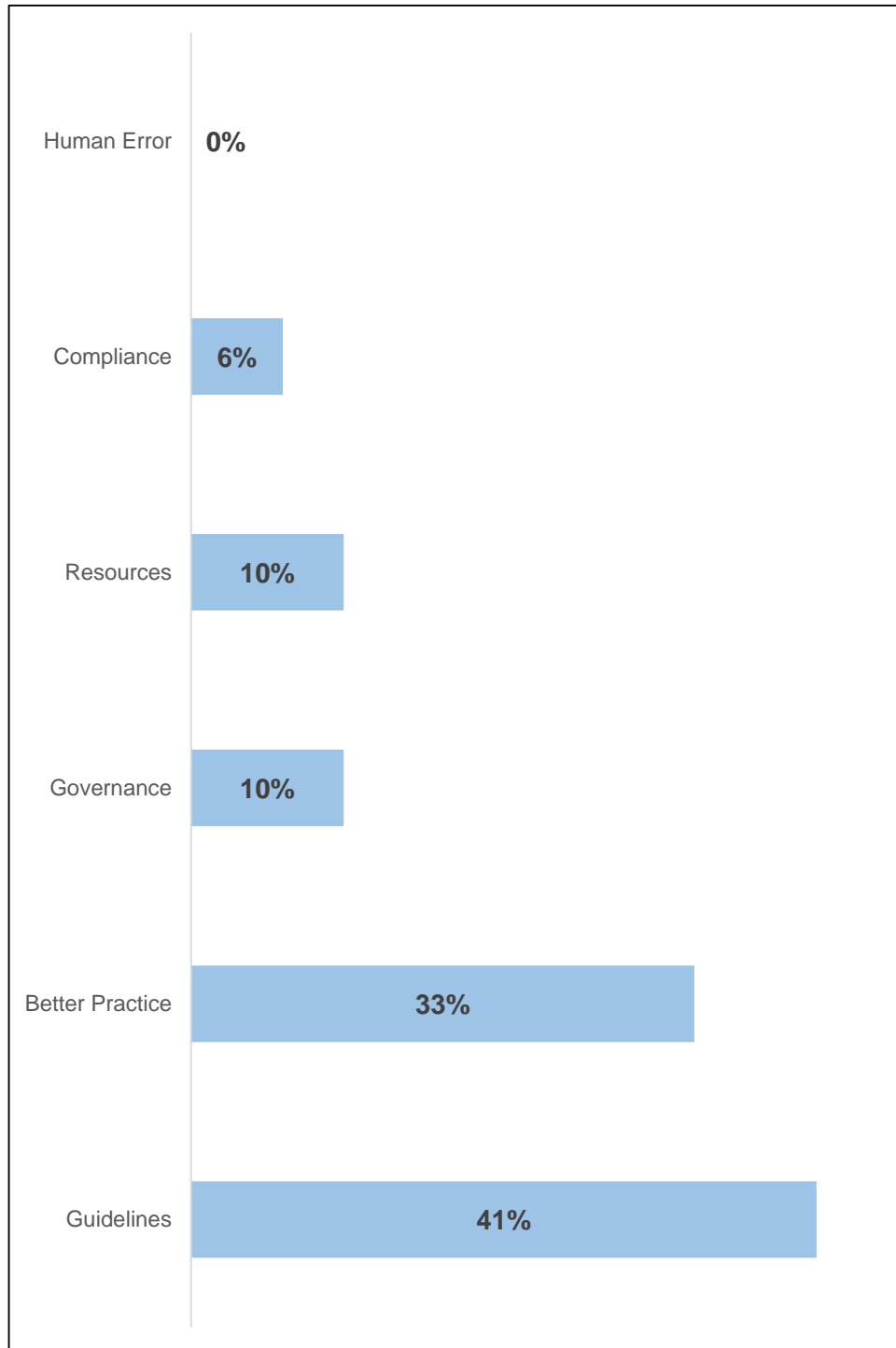
Report / Date	Recommendation	Risk	Date	Delays	Status
Business Continuity Management July 2022	<p>7.1 Business Continuity Testing</p> <p>We recommend that a formal programme of testing business continuity plans is developed and implemented.</p>	M	Dec-22 Mar 23	3 months	<p>Reason for delay – recruitment and transfer of management</p> <p>The Business Continuity team is now fully resourced as of 21/11/2022 and has recently moved from Operational Support Division to Professionalism and Assurance. This has delayed progress and therefore a new target date has been set for March 2023. This will allow for Business Continuity Officers to fully embed within the function, gain understanding of all BCP's and construct an appropriate testing schedule for the next Financial Year.</p>
Leadership, Training and Development Phase 1	<p>R14 - Enhancing Training Capacity</p> <p>Police Scotland should review the various places where local and specialist training are being delivered throughout the force, out with the Leadership Training and Development business area, and consider the opportunities to increase capability and capacity through sharing resources.</p>	M	Dec-22 Mar 23	3 months	Change to delivery date to reflect dependency with Strategic Training Review outcomes.
Legal Claims Internal Audit August 2021	<p>R5.2 Police Scotland Organisational Learning</p> <p>Subject to the implementation of MAP 5.1, Legal Services should seek to establish the review of legal claims as a potential source of organisational learning and align its review processes with the structures put in place to coordinate and implement any identified actions.</p> <p>In the interim, Police Scotland should incorporate organisational learning from existing reporting and communication channels into operational business areas.</p>	M	Sept-22 Sept 23	12 months	<p>Reason for delay</p> <p>Legal Services do not own the learning from the claims processes. We still await the implementation of a force wide Organisational Learning framework and structure to apply a consistent structure. In the interim we have improved ownership of learning in respect of Employment Tribunals and Motor Claims. Some of the other learning around public liability claims is being explored but is contingent on data being available for analysis.</p>

Delayed - Assurances

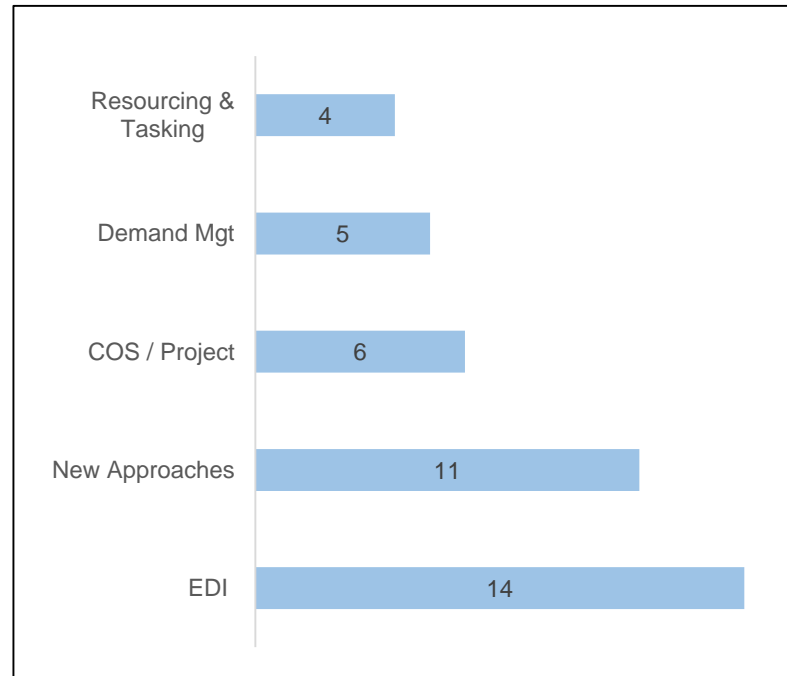
- We continue to make good progress with recommendations but are starting to see a number where we are having to reprioritise action because we were too ambitious or not taking account of the complexities or dependencies.
- We are closing a high percentage on time and on occasion earlier than planned and we are putting effort towards those with a high risk status.
- Where we have delays, there are typically good reasons why and we are starting to see greater evidence of these actions being built into Divisional/Departmental delivery plans.
- When delays have occurred we have assessed the work undertaken to be substantial and delays are not due to actions being overlooked. When recommendations relate to growth areas or developing new approaches, these tend to take longer to resolve and often require to be replanned.
- We continue to set ambitious timescales and we encourage business areas to consider a target date that shows evidence of implementation rather than evidence of action taken. We encourage the use of milestones to keep track and show progress. This is particularly important for HMICS recommendations which are difficult to finalise due to their stringent evidential requirements.
- We encourage careful consideration of target dates but appreciate when the work required is extensive there may always be dependencies or the scheduling of action may need to be revisited. Therefore, it is important to acknowledge that on occasion some recommendations will be delayed but our internal governance processes ensures a continued focus on these and prioritising the areas in greatest need.
- We report to Management Teams or have given business areas their own enhanced access so they can take reports from 4Action. This ensures a continued focus on recommendations and allows forward planning to be undertaken.

Police Scotland Recommendations Trends

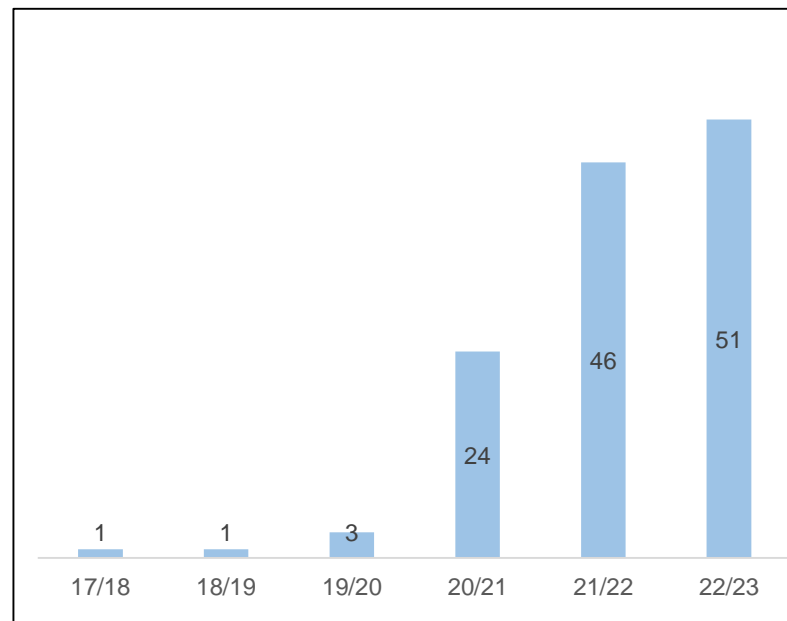
Recommendations by Theme



Dependencies



Recommendations by Age



Summary

- Themes** - The largest number of recommendations are within the “Guidelines” theme and this remains unchanged quarter to quarter. This includes a lack of or insufficient documented approaches, strategies or operating procedures to govern what, why and how activities are progressed. There has been a reduction in the number of compliance related actions and increases in the resourcing and better practice categories.
- 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. With the launch of the EDI training modules this will address some of the recommendations but others are due to data capture requirements.
- Age** – there has been a small movement with 8 actions pre 2020 closed. The 2 oldest actions are almost complete and we will have a decision on closure in the next quarter.

Internal Audit Recommendations Progress Tracker - December 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 Dec	Delayed	On track			
Benefits Realisation October 2020 11 recommendations	1	1					Proposed for closure These remaining recommendations are complex to address and evidence. We have documented the process within procedural documents to evidence the process in place in the absence of projects which have demonstrated realignment of resource.	Change / Strategy & Analysis	
	4	2		2					
	3	3							
	3	3							
Performance Management January 2021 7 recommendations							All work now complete and evidence submitted for closure.	DoSA	Performance Framework refresh
	2			2					
	5	4		1					
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	CDIO	ICT Internal Dependent with roll out of Office 365
	4	3			1				
Legal Claims Handling August 2021 8 recommendations							Has a dependency with wider OL Framework but evidence submitted which outlines improvements to ET and motor claims learning.	Head of Legal Services / ACC Professionalism and Assurance	Organisational Learning impact
	2	2							
	5	4			1				
	1	1							
Data Quality and Integrity Sept 2021 6 recommendations							Complete	ACC Professionalism and Assurance	
	2	1		1					
	4	4							
Estates Management December 2022 7 recommendations							1 recommendation open but has been delayed from May 2022 due to the volume of work required and interdependencies. It relates to the development of Estates Plans for National Divisions as per the work undertaken for Local Policing. These are in draft and we expect to finalise for revised date.	CFO	
	4	3			1				
	3	3							

Internal Audit Recommendations Progress Tracker - December 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 Dec	Delayed	On track					
Strategic Planning March 2022 4 recommendations	1 2 1						2 recommendations ongoing due April 2023 1 1	DoSA CDIO			
Health and Safety April 2022 10 recommendations	4 4 2		2	2			Remaining recommendation not yet due. 1 2 1	ACC Professionalism and Assurance			
ICT Service Delivery April 2022 8 recommendations	3 5				1	2	2 recommendations due for end of Q3 not met due to significant change in approach as a result of the Digital Strategy and TOM. Further discussions taken place with Azets to review next steps. Update paper to be prepared for next review cycle. 1 3	CDIO			
Business Continuity Planning June 2022 6 recommendations	2 3 1					2	There were delays with new staff starting. Delayed by 3 months. 1 2	ACC Professionalism and Assurance			
Vetting June 2022 17 recommendations	9 7 1		1	3		5	A substantial amount of progress made in addressing these recommendations. Some recommendations are highlighted as pending - they are complete but evidence is being collate to support the change. 1 5 1	ACC Professionalism and Assurance / CFO / CDIO			
Organisational Learning ~ NEW September 2022 8 recommendations	8					8	New actions added.	ACC Professionalism and Assurance			

Audit Scotland Recommendations Progress Tracker - December 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 Dec	Delayed	On track			
SPA Annual Audit Report 2020/21 7 recommendations	7	6				1	One not yet due	CFO DoPD Legal PPCW CDIO	
SPA Annual Audit Report 2021/22 10 recommendations (for PS)	10			3		7	NEW	Mixed	

HMICS Recommendations Progress Tracker - December 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 Dec	Delayed	On track			
Undercover Policing February 2018 19 recommendations	6 4 9	6 4 8				1	<p>Delays R16 - Integrated Record Management System Testing and training on the system is now underway to ensure it is both fit for our purpose and to identify and fix any glitches. This will run until after the change freeze is lifted mid January. The plan will be to do the full data migration in January 2023 and Go live at that point. At this point we will have discharged our responsibilities required by IPCO and HMICS.</p> <p>The delay in implementation has been due to the security and firewall stipulations required which have taken a significant period of time to resolve. A SLWG has been established by the CAB to oversee implementation following a testing period.</p>	ACC OCCTI	ICT External Impact (external supplier)
Review of Custody Centres 2018 August 2018 7 recommendations	4 3	4 2			1		<p>Submitted to HMICS for closure</p> <p>R01 estate strategy requires the Custody Improvement Plan (MED). Now complete following publication of CJSD 5 Year Strategy. Pending update to HMICS</p>	ACC Local Policing & CJS	Extensive business process review
LP+ Greater Glasgow Inspection March 2019 11 recommendations	6 5	6 4				1	<p>1 recommendation is ongoing relating a review of Campus Officers - we are awaiting confirmation of a post implementation review. This will now not take place until after the summer holiday period.</p>	ACC Local Policing West	
Greater Glasgow Custody Inspection June 2019 5 recommendations	1 4	1 3				1	<p>Further consideration due to feasibility</p> <p>R01 custody queues - Action reviewed for feasibility and discussed with HMICS. Data captured and submitted to Divisional Commander for decision on way forward.</p>	ACC Local Policing & CJS	Business process review
LP+ Events Inspection May 2019 15 recommendations	15	12			3		Proposed for closure - awaiting review by HMICS	ACC Operational Support	Demand data for resourcing

HMICS Recommendations Progress Tracker - December 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 Dec	Delayed	On track					
Strategic Review of Custody May 2019 12 recommendations	4 3 2 7		3 2 6				1	ONGOING R3 – Analytical assistance - There is a dependency here with the force-wide analytical review and development of bespoke CJSD Power BI Dashboard. The Dashboard is going through final testing before going live early next year.	ACC Local Policing & CJS ACC Operational Support	Capacity to deliver / SWP implementation	
Online Child Sexual Abuse February 2020 & August 2021 11 recommendations	4 5 6		3 4		1		2	1 updated and re-submitted for closure relating to the significant uplift in staff Forensic examinations. 2 subject to ongoing discussion regarding closure based on work to date.	ACC Crime and Public Protection / ACC OCCTI	Capacity to delivery / SWP implementation / Tasking processes / significant business process review	
Training and Development-Phase 1 December 2020 17 recommendations	4 17		14		2	1		2 submitted for closure in October - awaiting discharge from HMICS. 1 remains open but has a dependency with the Strategic Training Review and will have a short delay.	DoPD ACC Partnerships and Prevention	Project Training review	
Scottish Crime Recording Audit March 2021 6 recommendations	4 6		1				5	1 recommendation approved for discharge. Major dependency with new Crime Application (COS) which is delayed from original September 2022 date. Comprehensive updates provided to SPA Policing and Performance Committee. In light of some of the developments, these actions are undergoing a comprehensive review to consider action to be taken. R2 SCRS Compliance - strategy revised but more evidence required on culture change which will also be evidence over time and supported by COS. R3 QA processes - a process for health checks and integrity audits is in place with the pilot areas. Will be further enhanced when COS is fully implemented and processes are standardised. R4 Crime Management Units Structure (FMOR dependent) - requires single structure implementation. R5 OL & Training Approaches - is COS dependent R6 Implementation of Single Crime System	ACC Major Crime and Public Protection	Project Dependency with COS and FMOR	
Hate Crime June 2021 15 recommendations	4 15		3				9	3 3	9 recommendations delayed as follows. Significant progress in some areas. A deep dive was undertaken and some re-planning is necessary. R1 Hate Crime (HC) Profile - being progressed as part of Strategic Assessment - closure imminent R3 R3 Dedicated Hate Crime Unit - re-prioritised due to staffing R5 Partnership Relationships and Knowledge Sharing - awaiting SG action to progress R6 Third Party Reporting Improvements - awaiting SG action to progress R8 Hate Crime National Document Review - is ongoing but has a dependency with COS R10 IT Systems Data Review - HC Knowledge and Trends - subject to a business case for new TOM R12 Hate Crime Training Review - a prioritisation exercise is ongoing R14 Hate Crime Champions - prioritising HC Advisors training first R15 Cyber Crime Investigations - provided guidance on HC to staff. Awaiting development of an App to support.	ACC Preventions, Partnerships and Community Wellbeing	Data dependency Partnership working
Demand, Analysis and Management July 2021 12 recommendation	4 1 11		1 3		3	1	3	1	3 Complete Pending evidence R02 Annual Demand Baseline Product Integration -evidence of how the Demand Baseline integrates with the STRA when published. Will be closed as soon as STRA is finalised. R05 Leadership of Scrutiny Processes - requires evidence of transformation implementation R12 Analysis Transformation to Include Demand Approach - requires implementation of transformation programme. 3 Delayed R7 - Organisational Design R10 - Demand Products Tasking and Co-ordination R11 - Demand Forecasting - Dependency with Data Scientist Post	DoSA	Evidence and implementation of Analysis and Demand Transformation

HMICS Recommendations Progress Tracker - December 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 Dec	Delayed	On track					
Training and Development Phase 2 September 2021 10 recommendation	Very High High Moderate Limited					10	Actions progressing and not due. Update and deep dive revealed significant levels of progress towards completion. Business areas requested to confirm residual information for consideration of closure ahead of time. We will review these for closure early in the new year.	DoPD			
Custody North East Hub December 2021 3 recommendation	Very High High Moderate Limited			1		2	Actions underway. 1 proposed for closure but still to be assessed by HMICS	ACC Criminal Justice			
Strategic Workforce Planning August 2022 10 recommendation	Very High High Moderate Limited					10	Action plan to be developed and risk assessment applied/confirmed	DOSA CDIO			
CAM August 2022 8 recommendation	Very High High Moderate Limited					8	Action plan to be developed and risk assessment applied/confirmed	ACC North			

Other Recommendations Progress Tracker - December 2022

Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Dec	Delayed	On track			
Digital Forensics Working Group (DFWG) April 2020 5 recommendations (1 SPA, 4 PS)	High						Actions reported at Forensics committee.	ACC OCCTI	
	Medium								
	Low	2		3					
	Very Low								

Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Dec	Delayed	On track			
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)	High						Significant progress achieved 4 ongoing which we anticipate will all be included in the next formal review by SG commencing Feb 23.	ACC Professionalism and Assurance	Data dependency for some of the more complex recs
	Medium								
	Low	26	20	1	1	4			
	Very Low								

Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Dec	Delayed	On track			
Civil Aviation Authority (CAA) Oversight Report 2019 September 2019 2 recommendations	High						Complete	ACC Operational Support	IT External Dependency with ICT system - Chronicle (external supplier)
	Medium			1					
	Low	1		1					
	Very Low								

Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Dec	Delayed	On track			
ICO Mobile Phone Data Extraction by Police in Scotland June 2021 6 recommendations	High							SCD	Project DESC
	Medium								
	Low	6	1	1		4			
	Very Low								

Title & Date of Publication	Risk Rating	No. Open & RAG					Comments	Owner(s)	Dependency
		Total Closed	Pending	Closed Dec	Delayed	On track			
PSNI Independent Review of ET & Grievance 17 learning points / recommendations	High						6 proposed for closure A number of others at an advanced stage Significant number of dependencies with existing and new workstreams. Deep Dive with People Committee on 21 December 2022	Force wide actions ACC Professionalism and Assurance (Chair, SOG)	
	Medium								
	Low	17		6		11			
	Very Low								

Summary of Progress Table

	Total	Discharged	Proposed	Out for consultation	Open
Police Scotland PSD	18	15			3
Police Scotland P&D	5	4			1
Police Scotland Other Div/Dept	3	2			1
Police Scotland Only Total	26	21			5
Other Organisations + Police Scotland	10	6			4
<i>Total with partners</i>	<i>36</i>				<i>4</i>

DAME ELISH COMPLAINTS HANDLING RECOMMENDATIONS - POLICE ONLY

Due up to and including end of September 2022

Rec No.	Summary Title	Owner	Target Date	Status	Comment	Confidence of Achievement
18	Independent review of equality matters within Police Scotland	P&D	Sep-22	Pending	To represent to HMICS following IRG interim update to SPA and future plans.	100%

Due up to and including end of December 2022

Rec No.	Summary Title	Owner	Target Date	Status	Comment	Confidence of Achievement
5	Diversity Data Public Reporting – Expansion and Reporting	PSD	Dec-22	On track		80%
11	Sergeant Workload and Supervisory Ratios	LP	Dec-22	On track	Revert to original timeline and keep under continual review. Final report with outcomes due February but we should have sufficient progress to report or close by then.	100%
19	Diversity Data Collection and Analysis (staffing)	PSD	Dec-22	On track		80%
60	Complaints - Demographic Analysis	PSD	Dec-22	On track		80%

COMPLETE

Rec No.	Summary Title	Owner	Target Date	Status	Comment	Confidence of Achievement
3	Post-Incident Conferral	PSD	Complete	Discharged		
4	Performance Reporting Trends	PSD	Mar-22	Discharged		
6	PSD Induction Training	PSD	Complete	Discharged		
9	FLR by PSD Staff	PSD	Complete	Discharged		
14	Promotion Competencies	P&D	Complete	Discharged		
15	Staff Survey – Under-represented Group Experience	P&D	Complete	Discharged		
16	Diversity of Disciplinary Hearings	PSD	Complete	Discharged		
17	Support for Internal Discrimination	PSD	Sep-22	Proposed for Closure	Proposed for closure. Included in the October Highlight Report. For Ministerial Group approval 7 December.	
21	Whistleblowing	PSD	Complete	Discharged		
33	Local Scrutiny Committees	PSD	Complete	Discharged		
48	Publicise Right to Complain	PSD	Complete	Discharged		
49	"Know Your Rights" - Website Development	PSD	Complete	Discharged		
50	Third Party Reporting	PPCW	Complete	Discharged		
61	Audit Arrangements - using Audit Scotland	PSD	Jun-22	Discharged		
62	PSD Training Officer	PSD	Complete	Discharged		
66	Equality & Diversity Legislation and Unconscious Bias Training	P&D	Jun-22	Discharged		
67	Officer Mental Ill-Health Training	P&D	Complete	Discharged		
77	Officer and Support Staff Welfare	PSD	Complete	Discharged		
78	Publish - Performance in dealing with complaints	PSD	Jun-22	Discharged		
PR 3	Skilled Complaints Handling Staff (Civilianisation)	PSD	Jun-22	Discharged		
PR 11	Body Worn Video	CJS	Complete	Discharged		