

Meeting	Forensic Services Committee
Date	25 April 2022
Location	Via MS Teams
Title of Paper	Annual Certificate of Assurance
Presented By	Jennifer Muir
Recommendation to Members	For Noting
Appendix Attached	Yes

PURPOSE

To provide members with an overview of the Forensic Services submission to the SPA Annual Governance Statement.

The paper is submitted for noting.

1. BACKGROUND

- 1.1 The Scottish Police Authority (SPA) has a statutory duty to produce the SPA Annual Report and Accounts that includes a Governance Statement.
- 1.2 To support and contribute to the overall assurance process and content of the SPA Governance Statement, Forensic Services provides a Certificate of Assurance of Internal Controls to provide assurance that organisational objectives and requirements will be achieved.

2. FURTHER DETAIL ON THE REPORT TOPIC

- 2.1 The Certificate of Assurance, Appendix A, provides detailed response and descriptions on the maintenance and review of internal control systems within Forensic Services.
- 2.2 The Director of Forensic Services has reviewed and approved the Forensic Services Certificate of Assurance and Internal Controls.
- 2.3 The Forensic Services Certificate of Assurance and Internal Controls will also be reported as part of the SPA Annual Reporting to SPA Audit Risk and Assurance Committee.

3. FINANCIAL IMPLICATIONS

- 3.1 There are no direct financial implications. The Forensic Services financial position will be reported as part of the SPA Annual Report and Accounts.

4. PERSONNEL IMPLICATIONS

- 4.1 There are no specific personnel implication associated with this paper however there are controls detailed within the response of activity associated with Personnel within Forensic Services.

5. LEGAL IMPLICATIONS

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

6. REPUTATIONAL IMPLICATIONS

- 6.1 There are reputational implications associated for Forensic Services to ensure the Certificate of Assurance meets the requirements of the SPA Governance Statement and provides confidence of internal controls for reporting to Scottish Police Authority.

7. SOCIAL IMPLICATIONS

- 7.1 There are no social implications associated with this paper.

8. COMMUNITY IMPACT

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

9. EQUALITIES IMPLICATIONS

- 9.1 There are no equality implications associated with this paper however there are controls within the response that provides detail of Equality, Diversity and Inclusion activity within Forensic Services.

10. ENVIRONMENT IMPLICATIONS

- 10.1 There are no specific environmental implications associated with this paper.

RECOMMENDATIONS

Members are requested to:

NOTE the information contained within the report.

APPENDIX A	Forensic Services Certificates of Assurance
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Annex 2: Internal control checklist 2021/22 - Feb 2022

The contents of the internal control checklist are as follows:

Section	Page No	Completed	
1	Risk Management	3	Yes
2	Business Planning	10	Yes
3	Major Investment	13	Yes
4	Project Management	17	Yes
5	Financial Management	21	Yes
6	Fraud	30	Yes
7	Procurement	32	Yes
8	Human Resources	36	Yes
9	Equality & Diversity	39	Yes
10	Information	44	Yes
11	Health & Safety	49	Yes
12	Sponsored Bodies	50	N/A
13	Compliance	61	Yes

14	Review	63	Yes
15	Other	65	N/A

Issue	Response	Details, including review work you have carried out to verify response (mandatory)	Guidance Note (Where Applicable)
1. Risk Management			
1.1 Do you have processes in place to ensure that your risks are linked to divisional business plans, (including objectives and targets and that this information is reviewed on an on-going basis?)	Yes	<p>Forensic Services have established processes in place for the purposes of both identifying and recording risk.</p> <p>A strategic risk register is in place articulating longer-term risk. These risks are linked to strategic objectives. Strategic risks are presented to the FS Committee every six months. Operational risks are presented to the FS Committee quarterly with a focus on the most severe (highest scoring) risks</p> <p>Mitigating actions, within the control of FS, are considered and implemented to mitigate risk.</p> <p>The organisation wide risk management framework is used to score all risks</p> <p>Operational risk is managed monthly within each business unit by the Head of Function.</p>	<p>Your objectives will be the focus of any risk management information, so risk identification needs to be undertaken with a clear strategy and clarity of purpose. Risk identification an important part of business/project planning, managing performance and prioritising effectively.</p> <p>Confidence levels will be shaped by:</p> <ul style="list-style-type: none"> the identification and recording of key business risks as part of business planning activity; is regular management discussions objectives and; performance monitoring arrangements processes that ensure the right people are involved in the management of risk and that each stage in the process is being actively recorded and managed

		<p>These risk registers are consolidated within the main Forensic Services Risk Register.</p> <p>All risks are assessed against a 5x5 matrix and associated scoring criteria used across SPA in order to ensure consistency in risk methodology and assessment throughout the organisation.</p> <p>Risks are reviewed by the Director of Forensic Services at each reporting interval and at least quarterly to ensure risks are accurately captured, recorded, reported and where possible mitigated.</p>	<ul style="list-style-type: none"> • you revisit risks periodically to ensure that updates or changes to business planning activity, objectives or projects reflect the current situation • the maintenance of risk registers, based on the corporate template, at divisional/branch/project level as considered appropriate and that there is a nominated person within your division/team with responsibility for coordinating the update of the register. • Risk Champion within your Directorate that has the responsibility to ensure that systems and processes are in place and are consistent with the SG Risk Management approach (The SG Risk Management Guide and the SG Template risk register is available on the Intranet. General guidance is available through Risk Management on the SPFM.)
<p>1.2 Do you employ a systematic approach to help the identification and prioritisation of your risks and manage</p>	<p>Yes</p>	<p>Detailed risk reviews are undertaken, by the Risk Owner/Risk Lead and the Risk Manager, to ensure both the accuracy and the relevance of the identified risks.</p> <p>A relevant responsible senior manager is identified as a Risk Owner for each individual risk on each Risk Register. The Risk Owner</p>	<p>It doesn't matter what method you use to help identify your risks but you should take a systematic approach to ensure you have a complete risk profile. Confidence levels will be shaped by:</p> <ul style="list-style-type: none"> • using a simple technique that provides a wide scan of areas that may affect objectives such a

<p>them by allocating resources proportionately in alignment with your business plans?</p>		<p>conducts regular reviews of the risks under his/her area of responsibility.</p> <p>This process ensures that all risks are recorded, assessed and that resources are deployed to mitigate and monitor the risk, as deemed appropriate.</p> <p>Where mitigation is within the control of SPA FS, resources are allocated to manage the risk within the parameters of resources available.</p>	<p>PESTLES or SWOT Analysis</p> <ul style="list-style-type: none"> • using other sources of data to support risk identification and prioritisation • you consider cost, feasibility, probability, risk appetite and the potential impact when determining how to address your risks • you utilise diverse perspectives from stakeholders, your teams, division, directorate, project or programme and think about what arrangements are in place in your area to ensure that risk information is supporting your decision-making <p>(The SG Risk Management Guide and the SG Template risk register is available on the Intranet. General guidance is available through Risk Management on the SPFM.)</p>
<p>1.3 Is risk management activity within your area led from the top, actively promoted and delivered by branch heads and team leaders</p>	<p>Yes</p>	<p>There is a keen awareness throughout Forensic Services of the importance of risk management.</p> <p>This stems from strong Executive-Level support and regular scrutiny of risk by senior management.</p> <p>Forensic Services has an established process for risk management. This process ensures that all risks are recorded, assessed and</p>	<p>Effective communication is vital to effective risk management.</p> <p>Confidence levels should be shaped by:</p> <ul style="list-style-type: none"> • deputy Directors, Branch Heads and Team Leaders understand their responsibilities and are actively involved in the identification and management of risk • the Risk Champions within your Directorate

<p>alongside support from your Directorate's Risk Champion</p>		<p>reviewed with resources deployed to mitigate and monitor risk as deemed appropriate.</p> <p>Review of risk registers is supported from the Director of FS through to Operations Managers.</p>	<p>are known and utilised to support the development of your risk management approach</p> <ul style="list-style-type: none"> • all risks, once identified, are assigned to an owner who has responsibility for ensuring that the risk is managed and monitored over time • your teams have an understanding of the current risk landscape and that emerging risks are recorded. • risk management is viewed as a continual learning process, good practice is shared and communicated allowing your teams to benefit from lessons learned in a project or programme • risk is discussed as a regular part of management/senior team discussions • you have lines of communication to ensure that relevant teams and colleagues are informed of further action, escalation and the general outcome of discussions <p>(The SG Risk Management Guide and the SG Template risk register is available on the Intranet. General guidance is available through Risk Management on the SPFM.)</p>
<p>1.4 Are you assured that all staff have</p>	<p>Yes</p>	<p>Staff managing risk have been doing so effectively over the last year and years before this. Evidenced by the identification of</p>	<p>Ensuring all staff have the right level of skills and training to ensure effective engagement with the risk</p>

<p>undertaken basic risk management training in your area and understand their role in the identification and management of risk?</p>		<p>risk within the risk registers for each area and the ability to effectively rank and rate risk within these departmental risk registers.</p> <p>The Senior Management Team have undergone risk awareness training in how risks are rated in terms of probability and impact. This has been passed down to their teams who are also able to identify key risks which are then managed by the Senior Management Team.</p>	<p>management process is key. Everyone in the organisation has a role in helping to identify and manage risks, therefore it is essential that all staff have a basic understanding of risk management policy and process. All staff but especially those who lead risk management activity should have some risk management training to ensure a base level of knowledge of the corporate processes.</p> <p>Confidence levels should be shaped by:</p> <ul style="list-style-type: none"> • all staff within the core SG should have at minimum completed the appropriate SG Risk Management e-Learning Pathway SG risk management eLearning • key staff with particular responsibility or interaction with risk management have undertaken the SG risk management CPD course • key staff may have undertaken equivalent training from external training providers such as CIPFA, the Institute of Risk Management (IRM) or Management of Risk (MoR) qualification • you actively make sure that lessons are also learned from experience. This applies particularly to perceived failures, e.g. an unforeseen risk or a crystallised risk which
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			<p>turned out more damaging than expected. But it is equally true of successes, especially those where risk was managed well, to see whether there is anything to be gained by repeating effective techniques elsewhere.</p> <ul style="list-style-type: none"> consideration is given to the recommendations of any internal or external assurance reviews of activity that your team have been involved in <p>All Business areas should be aware that the SG risk management e-learning is now mandatory for all staff – this came into force in January 2022 therefore areas should in the next 12 months be working towards full completion in their areas.</p> <p>(The SG Risk Management Guide and the SG Template risk register is available on the Intranet. General guidance is available through Risk Management on the SPFM.)</p>
<p>1.5 Do you regularly review your key risks (including Cyber risks and threats), record them using the standard SG Risk</p>	<p>Yes</p>	<p>Per above. Risk monitoring is also monitored and reviewed at the Forensic Services Committee on a quarterly basis.</p> <p>Risks are reviewed by the Director of Forensic Services at each reporting interval and at least quarterly to ensure risks are accurately captured, recorded, reported and</p>	<p>Each division should have a method in place for recording and managing their key risks. Reporting on your risks however doesn't always have to mean just using risk registers to record scores and related information.</p> <p>Confidence levels should be shaped by:</p>

<p>Register format and do you receive reports on the management of those key risks and controls/mitigating actions?</p>		<p>where possible mitigated.</p> <p>Risk reporting is reviewed monthly and signed off quarterly prior to reporting to the Forensic Services Committee. In addition any emerging or high level risks are flagged through SMT weekly discussion by members of the team so effective mitigation can be taken as required.</p>	<ul style="list-style-type: none"> • having in place a risk register which is compliant with the SG guidance and template • processes which utilise risk register detail and the knowledge of wider outside influences to support your understanding of the wider risk landscape and help to recognise current pressures across a project or programme • you routinely look across your risk landscape and perform deep dives on key risks • risks form a part of regular management discussions with controls, actions, target scores and dates scrutinised • you have processes in place to escalate key risks ensuring effective communication, increasing awareness of the risk and highlighting where more senior supportive action is needed • you have lines of communication to ensure that relevant teams and colleagues are informed of further action, escalation and the general outcome of discussions <p>(The SG Risk Management Guide and the SG Template risk register is available on the Intranet. General guidance is available through Risk Management on the SPFM.)</p>
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<p>1.6 Have you articulated your appetite to key risks and do you use this to help identify the extent to which you need to address your risks?</p>	<p>Yes</p>	<p>Forensic Services risk appetite follows the same standard assessment criteria as that used throughout the organisation. The risk appetite for the areas of the business has been assessed by the SMT and is used in the assessment of risk.</p> <p>Appetite/Tolerance levels were reviewed and updated during 2021-22</p>	<p>Your risk appetite should reflect the level of risk that you are prepared to accept (and not accept) for different types of risk in order to achieve your objectives. Ensuring you understand your appetite for risk is essential to helping you prioritise risk mitigations, and therefore resources, on those risks outside of your agreed acceptable limits. Risk appetite should be considered within the wider context of your Directorate and DG to ensure that your approach is appropriate</p> <p>Confidence levels should be shaped by:</p> <ul style="list-style-type: none"> • having clearly articulated risk appetite statements/or equivalent for all types of risk either within projects, programmes or at minimum directorate level • having clear definitions that provide lower level examples to clarify meaning for use during day-to-day processes and procedures. This can help guide and advise staff on what is expected of them as part of a programme. For example when staff should avoid actions or particular risks, when they should not allow certain things to happen and where people should look to take more risk
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			<ul style="list-style-type: none"> • having effective measures that can actively monitor performance against the appetite definitions as well as the overall statements. This can be taken from appropriate IT and other systems to support the risk management processes, such as financial information, people information, consultation information etc. All forms of measurement need to be appropriate to the relevant environment • using target scoring within your risk register to ensure you risk appetite is reflected in the register, supporting effective discussion when current scores are beyond the target/risk appetite and when risks are close/proximate (The SG Risk Management Guide and the SG Template risk register is available on the Intranet. General guidance is available through Risk Management on the SPFM.)
<p>1.7 Is there a Business Continuity Plan covering your business area which has been reviewed and updated and</p>	<p>Yes</p>	<p>The FS Business Continuity Plan is in place for Forensic Services with details of command structure, responsibilities, response activity and key contact information for staff, partners and service providers that support FS.</p> <p>The plan is supported by the use of 24/7 staff</p>	<p>Every Division should either have a separate Business Continuity Plan in place or be covered within its Directorate Business Continuity Plan. Plans should be regularly reviewed and updated and should be exercised at least annually (to allow for changes in personnel, responsibilities, priorities, working</p>

<p>exercised in the last year?</p>		<p>duty management rosters at each FS site to provide immediate resilience/ response to disruption.</p> <p>The FS BCP is stringently linked to the requirements of UKAS Accreditation, ISO 17025</p> <p>These plans are tested and content reviewed throughout the year. As evidence of this in November 2021 Forensic Services invoked the BCP in response to major disruption at the Gartcosh Laboratory site.</p>	<p>practices, processes and procedures and in the external and internal context; and to apply lessons learned). The plan should describe how essential business across the Division would carry on in the event of losing staff, building access or corporate systems such as ICT. These should consider situations where many staff are working from home and ensure robust communication and incident management arrangements are in place (e.g. sign up to GroupCall as well as local business area-specific arrangements). Exercise scenarios should test these arrangements.</p> <p>Guidance and support for local business continuity planning activities can be requested from the Security and Business Continuity Unit in Workplace Division.</p>
<p>1.8 Do you have disaster recovery plans/arrangements in place for the event of the loss of key systems (including corporate ICT systems and line of</p>	<p>Yes</p>	<p>Forensic Services receive ICT Support from Police Scotland. Police Scotland Digital Division manage ICT Disaster Recovery arrangements on behalf of Forensic Services</p>	<p>Local response to the possible loss of corporate functions and resources (e.g. accommodation, SCOTS, SEAS, eRDM, e-HR, MiCase, line of business applications) might be considered in the context of divisional risk management, incident management and business continuity processes and procedures. Where local systems are in operation, including but not exclusively ICT systems, the business area has a</p>

<p>business applications) upon which your and/or other business operations depend on?</p>			<p>responsibility to ensure that plans are in place for business continuity and for recovery e.g. back-up data to ensure that services can be fully restored. Business areas with staff in non-main buildings may have local arrangements in place in the event of loss of key facilities and resources. Your recovery plans/arrangements should be tested regularly to ensure they are fit for purpose and meet your needs in the event of a loss or continuity event; your level of confidence should reflect the extent to which you have tested your plans and updated them accordingly.</p>
<p>2. Business Planning</p>			
<p>2.1 Do you have clear business objectives relating to the high priority business objectives of your division (linked to National Performance Outcomes and where appropriate the Programme for</p>	<p>Yes</p>	<p>Forensic Services business priorities and objectives are linked to the FS 2026 Strategy.</p> <p>Our business plans reflect the priorities and demonstrates our commitment to strategic delivery and continuous improvement.</p> <p>Progress is tracked and evaluated through our management reporting via the SPA Forensic Services Committee throughout the year.</p> <p>Service delivery performance to our partners,</p>	<p>You should have clear business objectives which are linked to key National Performance Outcomes and where appropriate the Programme for Government. Business plans should be based on a minimum of a three year period but also reviewed annually, they should also form the basis for any risk management information. Confidence levels should be shaped by:</p> <ul style="list-style-type: none"> • your business objectives/SMART targets are reflected and documented in the Divisional Plan and via staff performance appraisal forms at all levels as appropriate

<p>Government) and do they relate to those articulated within your Directorate business plan?</p>		<p>Police Scotland and COPFS, are reported the SPA Forensic Services Committee and SPA Board.</p> <p>There were a number of key deliverables achieved during the year:</p> <ul style="list-style-type: none"> • Maintaining high quality forensic services to Police Scotland and COPFS • Retaining and growing the scope of UKAS accredited. 	<ul style="list-style-type: none"> • plans provide a clear link (golden thread) to your Directorate’s Plan and provide a clear set of priorities
<p>2.2 Have your objectives been translated into short, medium and long term measurable targets of both Business As Usual service delivery (e.g. FOI performance) and change projects (e.g. PfG deliverables), against which</p>	<p>Yes</p>	<p>Each of the objectives are underpinned by a plan that has key targets/milestones designed to deliver strategic improvement in provision of services by FS to partners as well as organisational developments required to enable effective delivery of the strategy, this includes planning collaboration with services back provision as enablers (e.g ICT, P&D, Procurement etc)</p>	<p>New initiatives or spend, or changed systems should normally be discussed with Finance, Procurement and Internal Audit colleagues before proposals are finalised. New property requirements should be discussed with Property and Construction Division for advice.</p> <p>For change initiatives managed as projects or programmes, section 3 (major investment) or 4 (projects) should be completed. The Approaches and methodologies toolkit provides some guidance on the difference between Business As Usual and projects. Teams should utilise the AO templates for spending decisions per approval limits.</p>

<p>performance and progress are measured?</p>			<p>In terms of undertaking change, the Improvement Framework is one of the main mechanisms underpinning the Scottish Government’s approach to Public Service Reform. Further guidance can be provided through the Leading Improvement Team. (Guidance on the Role of Finance is available on the Intranet. General guidance on Procurement and Internal Audit is available in the SPFM.)</p>
<p>2.3 Are there clear plans for how your division will contribute to Directorate improvements in their performance – in keeping with the vision and values of In the Service of Scotland?</p>	<p>Yes</p>	<p>Business continuous improvement initiatives are in place across the organisation.</p> <p>Development and access to improved management information utilising Advanced Analytics.</p> <p>Organisational utilisation and operational efficiency is an intrinsic part of the FS Performance Board, with internal KPIs to support service delivery</p>	<p>This question seeks to find out if the relationship between inputs, outputs and outcomes is being applied in developing business and staff performance measures. Our vision - 'In the Service of Scotland' - provides the blueprint for how to successfully operate in an uncertain and evolving world. If you would like to know more about our vision and how you can help shape how we achieve it, contact IntheserviceofScotland@gov.scot. Additionally, Guidance on Performance Management is available on the intranet.</p>
<p>2.4 Do you regularly receive timely, relevant and reliable reports on progress</p>	<p>Yes</p>	<p>The Forensic Services Performance Board which is held monthly, reviews and monitors KPIs re organisational utilisation and operational efficiency. This board reports to</p>	<p>This could take the form of regular reports prepared for consideration at progress meetings or updates provided in the context of regular meetings with managers. Corrective action might involve the</p>

<p>and performance against key indicators and targets alongside your risk information and take corrective action where necessary?</p>		<p>the Forensic Services Planning & Performance Board.</p> <p>The Forensic Services Planning & Performance meeting is held monthly with oversight of operational and business performance (including review Risk and Finance).</p>	<p>reprioritisation/reallocation of resources (budgets and staff) and the reordering of key business priorities.</p>
<p>2.5 Does your business plan inform your financial, people, and operational plans and prioritisation?</p>	<p>Yes</p>	<p>Business plans and continuous improvement initiatives are planned in collaboration with service back provision (e.g ICT, Finance, P&D, Procurement) through various forums e.g FS People Board, FS ICT Board, FS Corporate Board</p>	<p>This could be demonstrated whereby the business plan is used as a reference document when considering new requests that come in to identify opportunity cost and prioritisation advice. There should be a connection between the items in the business plan and assumptions for finance, people and operational decision making – whereby delivery identified within the business plan has resource allocated within financial and people plans, and operational plans about where people are deployed accommodate the deliverables and schedule within the business plan.</p>
<p>3. Major Investment</p>			
<p>3.1 Has your area</p>	<p>Yes</p>	<p>Project Weaver is a project to transfer Post</p>	<p>Major investments are defined in the Major</p>

<p>been responsible for the initiation or delivery of one or more major investments during the past financial year? (If not, please ignore the other questions in this section)</p>		<p>Mortem Toxicology Services from University of Glasgow to SPA Forensic Services. The project involves the following activities:</p> <ul style="list-style-type: none"> • Establish a new Laboratory facility for delivery of the services. • Staffing of the service, where possible through transfer of existing GU staff to the be SPA FS service. • Design and implementation of a service to ISO 17025 standards. • Evaluation and implementation of chosen CMS <p>Due to the nature of the project, multiple workstreams are involved in facilitating the transfer of the service. Such workstreams are estates, Forensic Services, comms and engagement, people, IT, and procurement.</p>	<p>Investment Projects section of the Scottish Public Finance Manual (SPFM) but can also be defined as initiatives:</p> <ul style="list-style-type: none"> • requiring spending over and above departmental expenditure limits • requiring primary legislation • being innovative or contentious <p>All Major Investments must adhere to the guidance in the SPFM, and its key principles should be adopted in relation to all investment projects.</p> <p>Any property and construction procurement requirements should be addressed at least 1 year in advance of budget planning and advice sought from Property and Construction Division.</p>
<p>3.2 Do/did your project's governance arrangements align with the Scottish Government's</p>	<p>Yes</p>	<p>Programme and project governance</p> <ul style="list-style-type: none"> • The project spans two financial years and involves multiple workstreams drawing resource from across Police Scotland Corporate Services, SPA Forensic Service and external contractors. 	<p>Relevant procedures include the following:</p> <ul style="list-style-type: none"> • declaring all new major investments to the Portfolio, Programme and Project Assurance Hub by means of the submission of a completion of a Risk Potential Assessment form (see question

<p>strategy and sector specific governance procedures?</p>		<ul style="list-style-type: none"> Given the complexity of the programme, dedicated Project Management resource was put in place at the planning stage. This includes oversight and assurance of workstream and governance forums including a biweekly Delivery Board and bimonthly Executive Steering Committee with stakeholders from SPA, Police Scotland, COPFs, Scottish Government and University of Glasgow. <p>According to the Scottish Government’s website, the following have been considered:</p> <p>Business case</p> <ul style="list-style-type: none"> We secure a mandate for our work; identify, record, and evaluate our objectives and options for meeting them; and ensure that we secure and maintain management commitment to our selected approach. <p>Roles and responsibilities</p> <ul style="list-style-type: none"> We assign clear roles and responsibilities to appropriately skilled and experienced people and ensure their levels of delegated authority are clearly defined. <p>Benefits</p> <ul style="list-style-type: none"> We record the benefits we seek, draw up a plan to deliver them and 	<p>3.3)</p> <ul style="list-style-type: none"> issuing the SRO (Senior Responsible Owner) with an appointment letter, confirming their responsibilities and the aims, objectives, timescales and funding arrangements for the project putting arrangements in place to address each of the SG’s Programme and Project Management (PPM) Principles. Information to help with this can be obtained from the PPM-CoE for construction and infrastructure projects, complying with the guidance in the Construction Procurement Manual. Further guidance and support is available from the Scottish Government’s Construction Procurement Policy Unit for IT and digitally enabled projects, registering the project with the Digital Assurance Office and complying with the Technology Assurance Framework; including compliance with the Digital First Service Standard for new digital public services and Scottish Government corporate system for Health Sector projects, complying with the
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		<p>evaluate our success.</p> <p>Risk</p> <ul style="list-style-type: none"> We identify, understand, record, and manage risks that could affect the delivery of benefits. <p>Planning</p> <ul style="list-style-type: none"> We develop a plan showing when our objectives will be met and the steps towards achieving them, including appropriate assurance and review activities, and re-plan as necessary. <p>Resource management</p> <ul style="list-style-type: none"> We identify the financial and other resources, inside and outside the organisation, required to meet our objectives <p>Stakeholders</p> <ul style="list-style-type: none"> We identify those affected by our work and engage them throughout the process from planning to delivery. <p>Project closure</p> <ul style="list-style-type: none"> We ensure that the transition to business as usual maximises benefits and that operational delivery is efficient and effective. <p>Lessons learned</p> <ul style="list-style-type: none"> We record lessons from our 	<p>guidance in the NHS Scotland Scottish Capital Investment Manual</p>
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		<p>programmes and projects and share them with others so they may learn from our experience.</p> <p>Regarding risk, Project Weaver has carried out the following:</p> <ul style="list-style-type: none">• The Forensic Services Change Programme and each associated project have risk registers. Additionally, risk is included as a key section within the Business Cases for all significant change projects.• Risk assurance will be part of the initial business case for the new Operating Model and ultimately subject to SPA Member review.• Monthly project assurance sessions are held with the Police Scotland project assurance team, where planning, risks, issues, lessons learned and required documentation are reviewed. <p>A letter to the cabinet secretary was issued on 22/03/2021 confirming the appointment of SPA, their responsibilities, aims, objectives, timescales, and funding</p>	
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		arrangements for the project. This has been included as an attachment for reference.	
3.3 Have you assessed your project(s) in line with the SG’s assurance procedures and engaged with the appropriate assurance process?	Yes	<p>An independent review was carried out by Police Scotland to review the assurance procedures in place for Project Weaver. The feedback received was positive and concluded delivery confidence against an amber/green rag rating. The criteria definition for this rag rating is as follows: successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p> <p>A few recommendations, including implementing a lessons learned log and formal change control process were provided, which we have taken on board or implemented since.</p> <p>As this is an IT and digitally enabled project, SG's Digital Assurance Office receives a regularly updated Project Register which includes FS Projects. Moreover, team members have been involved in DAO engagement for all FS Projects.</p>	<p>Relevant procedures include the following:</p> <ul style="list-style-type: none"> • completing the Risk Potential Assessment Forms to determine the potential impact and complexity of your investment(s) • submitting the completed RPA to the SG’s Portfolio, Programme and Project Assurance Hub for review of your project’s assurance needs • actively engaging with corporate assurance providers, taking advice on board and promptly acting on review recommendations • major infrastructure projects over £20 million in value, or of critical importance/unusual scale or nature to the procuring organisation, or revenue funded, or procured through competitive dialogue, may require Key Stage Reviews (KSRs) during key procurement stages - KSRs are undertaken by the Scottish Futures Trust

		Also a construction and infrastructure led project, Project Weaver has complied with the guidance in the Construction Procurement Manual.	
3.4 Do you have an up-to-date case for change (e.g. business case) demonstrating continued strategic alignment, viability and value added, and providing business justification for each project?	Yes	<p>Project Weaver has complied with the Procurement Section of the SPFM and the Scottish Procurement journey</p> <p>A requirement from the Scottish Government was posed on Police Scotland to ensure a business case was provided for Project Weaver. A business case was then prepared to receive funding from the Scottish Government and meet governance processes. Information detailing the ongoing justification of the project, strategic priorities, commercial benefits and expected delivery plan of the service were included.</p> <p>Taken from the health check report created by Police Scotland: 'The Business Case was prepared and submitted to the SPA Forensics Committee and SPA Board for approval. A</p>	<p>Projects must be appraised in accordance with the Appraisal and Evaluation section of the SPFM. This must include clear links to strategic priorities (strategic case), an options appraisal (economic case) supported by solid evidence that the chosen option provides the best commercial value (commercial case), is affordable (financial case) and is deliverable (management case). The five-case model provides a robust and accessible approach to investment appraisal and business justification. You must be able to demonstrate the on-going justification of the need for your project and should regularly review the case for change to ensure its currency.</p> <p>For projects including a procurement element, you must also be able to demonstrate compliance with the Procurement Section of the SPFM.</p> <p>For construction and/or an infrastructure project, you must be able to demonstrate compliance with</p>

	<p>meeting reviewing the financial business case was held between the SPA Forensic Services Committee Chair, SPA Resources Committee Chair, SPA Chief Executive and Director of Forensic Services prior to the November 2020 SPA Board with approval being given to progress Morbid Toxicology services.'</p> <p>In a letter sent to Mr Yousaf, Cabinet Secretary for Justice, on 22 March 2021, the SPA Chief Executive confirmed that SPA would take on this service from 1 April 2022.</p> <p>The benefits of the project, included in the PID are as follows: Integration of Toxicology with Forensic Services enables:</p> <ul style="list-style-type: none"> • a holistic Forensic response to Police Scotland and COPFS • real time integrated intelligence • a single point of co-ordination to support Drugs Deaths initiatives 	<p>the Construction Procurement Manual. Further guidance and support is available from the Scottish Government's Construction Procurement Policy Unit. For property requirements, you must be able to demonstrate compliance with the Property Section of the SPFM. Further guidance and support is available from Property and Construction Division.</p>
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		<ul style="list-style-type: none"> enhanced career opportunities for existing and transferring staff <p>Realisation of these benefits remains central to the objectives of the project.</p>	
3.5. Have you assessed your capability and capacity to deliver your project(s) and are you aware of when you need specialist resources and how to secure the specialist resource?	Yes	<p>A detailed project delivery plan has been followed throughout.</p> <p>External project management support was identified and secured during the planning stage and onboard to the project in January 2021.</p> <p>Principal project management roles are documented in the Project Initiation Document V1.4 which was reviewed and approved at Executive Steering Committee 17th March 2021.</p> <p>A detailed matrix of roles and responsibilities (RACI) covering project management and governance and functional and specialist workstreams was also reviewed and agreed with the Executive Steering Committee 17th March 2021.</p> <p>Detailed resource plans have been prepared and maintained, at workstream level</p>	<p>The SRO (Senior Responsible Owner) must be appointed at the earliest possible stage of the project. Clear roles and responsibilities should be assigned and levels of delegated authority should be clearly identified and agreed. These should be documented in formal letters of appointment between the Investment Decision Maker and the SRO and between the SRO and various post holders within the Project Management Structure.</p> <p>You should ensure that people appointed to positions within the project’s governance and management structure have the skills, experience and knowledge necessary to fulfil their role, using existing performance management and PLP arrangements in accordance with question 8.1.</p> <p>Internal and external specialist resources required for the successful delivery of the project should be identified and secured at planning stage. For consultants, you must comply with the Scottish</p>

		including external contractors, to support Laboratory design and fit out. Resource planning and financial requests have also been made to increase resources for the procurement, IT and people workstreams.	Government Consultancy Procedures in accordance with COA question 7.4.
3.6 Have you put all necessary arrangements in place to assess the realisation of benefits and capture lessons from the delivery of your project(s)?	Yes	<p>The benefits of the project, included in the PID are as follows: Integration of Toxicology with Forensic Services enables:</p> <ul style="list-style-type: none"> • a holistic Forensic response to Police Scotland and COPFS • real time integrated intelligence • a single point of co-ordination to support Drugs Deaths initiatives • enhanced career opportunities for existing and transferring staff <p>Realisation of these benefits remains central to the objectives of the project.</p> <p>The PMO is maintaining Lessons Learned document. This document is updated, as issues and opportunities are identified and will form part of the review on completion of</p>	<p>Necessary arrangements include:</p> <ul style="list-style-type: none"> • ensuring that benefits are identified, plans for the realisation of benefits are put in place, and delivery of benefits is measured to demonstrate that the intended return on investment is being achieved - the IPA has published a "Guide on Effective Benefits Management in Major Projects" • capturing lessons during the project lifecycle and sharing as appropriate. The Lessons Toolkit provides some guidance on how to capture lessons • formal contract management arrangements should be put in place, where appropriate including the identified benefits, and implementing the SG's contract management handbook guidance including recording, monitoring and reporting KPIs <p>Ensuring that:</p>

		key milestones and at the close out of the project.	<ul style="list-style-type: none"> carrying out a Post Project Review to establish how well the project was managed and benefits realised is carried out (Gate 5 Review – Operations Review and Benefits Realisation) post Implementation Reviews (also known as Post Occupancy Reviews for construction projects) to establish if the original project objectives are being achieved are carried out. This review is likely to be repeated all feedback is used to inform future project delivery
4. Project Management			
4.1 Has your area been responsible for one or more projects - other than major investment projects – during the past financial year?	Yes	<p>The Forensic Services change programme commenced in 2019 and with that we have refreshed the Forensic Services Strategy (2021) to include the expected outcomes of our transformational change. We currently have 5 projects underway, all of which use a programme framework and are expected to run over a 2-5 year period. The projects are:</p> <ul style="list-style-type: none"> Operating Model Core Operating System Access to Lab Deployment of Scene Examination 	<p>This section covers all projects and investments not covered by the SPFM definition of a “major investment project”, including non-capital projects such as new policy delivery or changes to existing policy, business change projects.</p> <p>The Approaches and methodologies toolkit provides some guidance on the difference between business as usual and projects.</p>

		<ul style="list-style-type: none"> • Data Migration and Governance <p>The first significant project being undertaken is to change to the Operating Model. This project has been running for over 2 years and has progressed with a structured approach, gathering of information and undertaken extensive engagement throughout the business.</p> <p>Operating Model, Access to Lab and Deployment of Scene Examination have approved Full Business Cases with the Core Operating System project at Initial Business Case, Full Business Case expected 2023. Data Migration & Governance is at initiation stage, Initial Business Case expected 2022.</p>	
<p>4.2 Did/do your project's governance arrangements align with the Scottish Government's</p>	<p>Yes</p>	<p>A bi monthly Programme Board was established with representation from all significant stakeholders who both support and use the services provided by Forensic Services.</p>	<p>The general principles set out in the Major Investment Projects section of the SPFM should be applied proportionately, as appropriate, to all projects. Relevant procedures include:</p>

<p>strategic and sector specific procedures?</p>		<p>Below this there is a project team established which have weekly meetings to review progress against plans.</p> <p>As the Forensic Services change programme is supported as part of the wider Police Scotland Strategic Change Programme we report progress to the Change Portfolio and to Police Scotland Change Board.</p> <p>The programme is supported by a Programme Manager & a Senior Project Manager, the projects are supported by defined Project Managers and Business Change Analysts, supplied via the Police Scotland Change Team.</p> <p>Each of the projects have project boards, reporting to programme board and FS Committee within SPA and also within Police Scotland Change Programme to ensure visibility and ongoing consideration of business interdependencies.</p>	<ul style="list-style-type: none"> • putting arrangements in place to address each of the SG’s Programme and Project Management (PPM) Principles. Information to help with this can be obtained from the PPM-CoE • for construction and infrastructure projects, complying with the guidance in the Construction Procurement Manual. Further guidance and support is available from the Scottish Government’s Construction Procurement Policy Unit • for property projects further guidance and support is available from Property and Construction Division • for IT and digitally enabled projects, complying with the Technology Assurance Framework, further guidance is available from the Digital Assurance Office • for Health Sector projects, complying with the guidance in the NHS Scotland Scottish Capital Investment Manual
<p>4.3 Have you assessed your</p>	<p>Yes</p>	<p>The Forensic Services Change Programme and each associated project have risk</p>	<p>Relevant procedures include the following options:</p> <ul style="list-style-type: none"> • completing the Risk Potential Assessment

<p>project(s) in line with the Scottish Government assurance procedures and engaged with the appropriate assurance process?</p>		<p>registers. Additionally risk is included as a key section within the Business Cases for all significant change projects. Risk assurance will be part of the initial business case for the new Operating Model and ultimately subject to SPA Member review.</p> <p>Monthly project assurance sessions are held with the Police Scotland project assurance team, where planning, risks, issues, lessons learned and required documentation are reviewed.</p>	<p>Forms to determine the potential complexity and risk of your project(s)</p> <ul style="list-style-type: none"> Submitting the completed RPA to the SG's Portfolio, Programme and Project Assurance Hub
<p>4.4 Do you have an up-to-date case for change (e.g. business case) demonstrating continued strategic alignment, viability and value added, and providing business justification</p>	<p>Yes</p>	<p>The case for change was set out in the Forensic Services 2026 Strategy. This has been expanded upon through presentations to both the Forensic Services Committee and the Programme Board.</p> <p>The Forensic Services Strategy has been refreshed after extensive consultation with stakeholders and approved in September 2021.</p>	<p>Guidance given states:</p> <ul style="list-style-type: none"> projects must be appraised in accordance with the Appraisal and Evaluation section of the SPFM (this must include clear links to strategic priorities (strategic case), an options appraisal (economic case) supported by solid evidence that the chosen option provides the best commercial value (commercial case), is affordable (financial case) and is deliverable (management case)) - the five-case

<p>for each project?</p>		<p>Associated business cases have been outlined in section 4.1.</p>	<p>model provides a robust and accessible approach to investment appraisal and business justification</p> <ul style="list-style-type: none"> • you must be able to demonstrate the on-going justification of the need for your project and should regularly review the case for change to ensure its currency • for projects including a procurement element, you must also be able to demonstrate compliance with the Procurement Section of the SPFM, should your project include procurement • for construction and/or an infrastructure project, you must be able to demonstrate compliance with the Construction Procurement Manual. Further guidance and support is available from the Scottish Government’s Construction Procurement Policy Unit • for property requirements, you must be able to demonstrate compliance with the Property Section of the SPFM. Further guidance and support is available from Property and Construction Division
<p>4.5 Have you assessed your</p>	<p>Yes</p>	<p>The Director of Forensic Services is the SRO for the Forensic Services Change</p>	<p>The SRO must be appointed at the earliest possible stage of the project. Clear roles and responsibilities</p>

<p>capability and capacity to deliver your project(s) and are you aware of when you need specialist resources and how to secure the specialist resource?</p>		<p>Programme. The resource requirement for delivery of the transformational change programme has been assessed and resource requirements clearly set out.</p> <p>There has been a significant drive to secure additional budget to continue delivery of this work, with the roles identified and skill sets necessary for delivery. Work to deliver the required resources is ongoing and the programme continues to work with the Police Scotland recruitment team to deliver this.</p> <p>It is expected that in early 2022 there will be a team of 14 change specialists associated to the programme to with at least 7 Subject matter experts (SMEs) from Forensic Services, other SME's are available as required, including from areas of Police Scotland (e.g. People and Development ; Digital Division; procurement; Estates)</p>	<p>should be assigned and levels of delegated authority should be clearly identified and agreed. These should be documented in formal letters of appointment between the Investment Decision Maker and the SRO and the SRO and various post holders within the Project Management Structure.</p> <p>You should ensure that people appointed to positions within the project's governance and management structure have the skills, experience and knowledge necessary to fulfil their role, using existing performance management and PLP arrangements in accordance with question COA 8.1.</p> <p>Internal and external specialist resources required for the successful delivery of the project should be identified and secured at planning stage. For consultants, you must comply with the Scottish Government Consultancy Procedures in accordance with question COA 7.4.</p>
<p>4.6 Have you put all</p>	<p>Yes</p>	<p>Benefits realisation has been clearly set out</p>	<p>Recommended arrangements include:</p>

<p>necessary arrangements in place to assess the realisation of benefits and capture lessons from the delivery of your project(s)?</p>		<p>in the case for change which further expanded upon the work set out within the Forensic Services 2026 Strategy.</p> <p>For each transformational project benefits realisation is a key part of project assessment. It is essential when mapping out the benefits required and tying this to the overall required strategic benefits that the best value and outcomes are being created for justice in Scotland.</p> <p>Benefits have been outlined in Initial Business Cases and Full Business Cases for each of the ongoing projects, and will be monitored through implementation</p>	<ul style="list-style-type: none"> ensuring that benefits are identified, plans for the realisation of benefits are put in place, and delivery of benefits is measured to demonstrate that the intended return on investment is being achieved. The IPA has published a "Guide on Effective Benefits Management in Major Projects", which should be applied in a proportionate way capturing lessons during the project lifecycle and sharing as appropriate. The Lessons Toolkit provides some guidance on how to capture lessons conducting an End of Project Evaluation Review, including the review and handover of benefits identified in the business case to an accountable owner
<p>5. Financial Management</p>			
<p>5.1 Do you ensure that a documented business case has been prepared for all policy proposals and do you ensure that</p>	<p>Yes</p>	<p>The SPA has oversight of all business cases for policy proposals across policing, and these are progressed through the relevant committee for scrutiny and subsequent approval. This is carried out in accordance with Finance Regulations, Schemes of</p>	<p>Finance should also be consulted on any novel or contentious spending proposal and any matter which includes issues of financial propriety and regularity. The need to consult Finance might also be included in induction material and local desk instructions. We recommend that the relevant UK guidance such as</p>

<p>your Finance Business Partner (or equivalent) and, as necessary, Scottish Procurement and Property Directorate SPPD and Internal Audit and Assurance Directorate is involved at the earliest possible stage in its preparation where there are resource, control, procurement, property or other finance related implications and that they are kept informed of developments?</p>		<p>Delegation and the SPFM.</p> <p>The finance regulations include the requirement to refer to SG in the case of any “novel or contentious” spend.</p>	<p>the Green Book is also consulted as part of any policy proposal alongside the SG approach to Risk Management.</p>
<p>5.2 Do you have procedural</p>	<p>Yes</p>	<p>Financial policies and procedures are in place in line with the SPFM and with guidance from</p>	<p>Local desk instructions should be drawn, as appropriate, from the key principles of the SPFM.</p>

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<p>instructions, cleared with Finance, about how financial matters are handled within the area, including guidance to ensure that proper and accurate accounting records are maintained and entries in them are properly authorised? Are processes in place for regular monitoring of compliance with these instructions?</p>		<p>SG Police Division. This includes all Charges for Services of Police or the provision of information.</p> <p>For 21/22 financial processes were performed by Police Scotland (PS) on behalf of the SPA, including Forensic Services, and this included following the standard budget monitoring procedures in place by Police Scotland for pay and non-pay expenditure.</p> <p>For 22/23, the revenue finance business partnering function will be performed by the SPA finance team but will rely on same finance procedures and systems as Police Scotland for SPA Forensic Services.</p>	<p>Instructions should be in place covering the arrangements for entering into commitments and for approving and processing the resultant payments, including VAT – and ensuring adequate separation of duties. This may also cover other matters such as delegated authorities, budget monitoring procedures and the requirement to consult Finance on all proposals that may have resource or other finance related implications.</p> <p>Monitoring of compliance should be supported by regular management checks and the consideration of financial matters at regular meetings with your managers. The response to this question needs to reflect both the provision of information needed for accounting purposes (e.g. the proper and timely entry of data into SEAS and/or EASEbuy) and for cash management purposes. The response should also take into account the controls in place within your area to ensure that only authorised personnel have access to the SEAS system.</p> <p>(Guidance on SEAS and EASEbuy is available on the Intranet.)</p>
<p>5.3 Do you ensure that all staff that</p>	<p>Yes</p>	<p>The SPA delegates authority to staff, including Forensic Services, at appropriate</p>	<p>Delegated financial authority (i.e. where members of your staff have full responsibility for budgets and</p>

<p>have budgetary responsibility have written delegated authority and the appropriate skills and training to discharge their responsibilities for managing public money?</p>		<p>levels as agreed by the AO and in line with the Scheme of Delegation.</p> <p>Training for SPA staff, including budget holders, delivered in 21/22 has included system training on P2P for requisitioners/authorisers.</p> <p>Further refresher finance training for non-finance staff is planned for 22/23 (including refresher training on procurement plus training on Best Value) along with the provision of day to day coaching and advice on budget matters from the Police Scotland and SPA finance teams.</p>	<p>take decisions without having to refer upwards) will not be appropriate in many Divisions but where it is you should provide details of the broad arrangements e.g. set out in desk instructions, financial responsibility statements. This is separate from Delegated Purchasing Authority (DPA). The authority required to make and authorise payments etc. within SEAS and the authority to purchase in EASEbuy are also separate authorities.</p> <p>(General guidance on Delegated Authority is available in the SPFM. Guidance on the Scheme of Delegation is available on the Intranet.)</p> <p>(Guidance on Budget and Financial Management is available on the Intranet under Financial Accountability and Assurance and Pathways Digital Learning Platform,)</p>
<p>5.4 Is there adequate separation of duties where required and are staff with these duties adequately trained to discharge their responsibilities</p>	<p>Yes</p>	<p>Day to day financial functions including cash and banking, payroll, purchase reconciliations, accounting and asset management are provided by the Police Scotland Finance function though service back arrangements.</p>	<p>Confidence levels will be shaped by the strength of procedures applied to activities such as authorising and processing payments and receipts or awarding grants. There may be concerns (e.g. within small units) where the rules on separation of duties cannot practically be achieved. In such circumstances the response should relate to whether the local arrangements (e.g. compensating controls) agreed</p>

<p>in that regard and how do you ensure that this is achieved?</p>			<p>with Finance are working satisfactorily. (The requirement for appropriate separation of duties is included in a number of sections of the SPFM, notably those covering Expenditure and Payments and Income Receivable and Receipts.) This covers all staff involved in the financial process. The level of knowledge and training should be related to the part played by the individual in the financial process. Individual duties should be covered in desk instructions. All staff with responsibility for entering into contracts, raising purchase orders or issuing invoices etc. should have a knowledge of the rules relating to VAT and the ability to recover and or charge VAT. Note that this is separate from the authority required to make and authorise payments within SEAS or to purchase within EASEbuy.</p>
<p>5.5 Do you ensure that Finance (and Property where applicable) are informed of any changes to assets as they arise and that</p>	<p>Yes</p>	<p>Communication takes place with and between Police Scotland Finance and Estates/ICT/Fleet teams regarding any changes to assets that SPA Forensics are aware of. Capital expenditure on equipment is routed via PS finance which has responsibility for maintaining the asset 4000</p>	<p>Capitalised expenditure (PPE and Intangibles) must meet the approved corporate thresholds and definitions, and be supported by Asset Addition forms. Any disposal of previously capitalised assets should be recorded correctly in SEAS and supported by Asset Disposal forms. Further guidance is available from your Finance Business Partner and via the</p>

SEAS is maintained up to date to reflect the assets held in your area?		system as the Authority's fixed asset register.	Intranet.
5.6 Do you have arrangements to ensure that all assets for which the area is responsible are properly managed and safeguarded? How do you ensure this?	Yes	<p>The majority of business assets are safeguarded in secure laboratory environments.</p> <p>Providing forensic services does involve scene attendance by scene going and laboratory staff. Assets which are taken to scene are the responsibility of these staff and are appropriately managed during this time in line with standard operating procedures.</p> <p>There are procedures in place and appropriate financial controls are in place surrounding both the purchase and disposal of assets.</p>	<p>Only assets for which the area is responsible need to be considered here. This will include those assets on a locally maintained inventory of valuable and attractive items. The response should consider safeguards such as those against unauthorised use or disposal.</p> <p>(Guidance on Property Management and Fraud is available in the SPFM.)</p>
5.7 Do you have effective arrangements in place to ensure that you are managing and monitoring any money due to the	Yes	Accounts receivable functions, including credit control/collections, performed by Police Scotland finance team through service back arrangements.	<p>Further detail on Debt recovery can be found in the Income receivable and receipts section of the SPFM.</p> <p>Staff should be trained in local procedures/arrangements which should be reviewed and kept up to date. Confidence levels will be shaped by the strength of procedures surrounding:</p>

<p>Scottish Government and that it is collected within reasonable timescales and are procedures written with reference to the SPFM and are they reviewed and updated regularly?</p>			<ul style="list-style-type: none"> • any relevant Statutory Authority for fees and charging and associated VAT • appropriate accounting treatment and budgeting treatment of income, receivables, receipts and internal transactions • adequate segregation of duties • credit control and relevant the monitoring and management • debt recovery and uninvoiced income • EC Receipts, Excess Receipts, designated receipts, NLF repayments and recoveries from the SCF
<p>5.8 Do you have procedures in place for timeous and effective monitoring and reviewing of financial information and budgets for which you are responsible?</p>	<p>Yes</p>	<p>SPA Forensic Services spend is part of the overall budget monitoring conducted monthly by Police Scotland’s Management Accounting team and the resulting information made available to the Forensic Director and for scrutiny by the Resources Committee and SPA Board.</p> <p>There is a monthly meeting with the finance specialist and Forensic Director and members of the Forensics management team to review and discuss in year performance and</p>	<p>The response should reflect the following:</p> <ul style="list-style-type: none"> • measures to ensure that financial systems contain accurate and up to date information • measures to monitor the security of financial information • local arrangements for monitoring and reviewing operating costs and programme budgets • measures should include regular management checks. Arrangements for reviewing budgets should be consistent with re-profiling information returned to Finance. (Guidance on Budget and

		monitoring	Financial Management is available on the Intranet and the Learning Portal)
5.9 Do you have procedures in place to ensure that budgets are reviewed during the year and that budget transfers are completed and authorised in line with corporate finance deadlines?	Yes	SPA Forensic Services budget management falls into Police Scotland Finance process, and includes quarterly re-forecasting done in conjunction with budget holders and communicated through the governance mechanisms above and a controlled mechanism for in year budget transfers.	You will wish to consider here the mechanisms in place for communicating budgetary information both at the beginning of the year and changes made in-year whether at the time of formal monthly or quarterly reviews or at other times. This would also cover the transfer of funds between one area and another or between the centre and your area.
5.10 Do you regularly review internal financial reports which report actual against budget outturn and discuss progress with your Director or equivalent and how do you ensure this is	Yes	SPA Forensic Services spend is part of the overall budget monitoring conducted monthly by Police Scotland’s Management Accounting team and the resulting information made available to the Forensic Director and for scrutiny by the Resources Committee and SPA Board. There is a monthly meeting with the finance specialist and Forensic Director and members	The review of the regular financial reports needs to take account of both forecast outturn positions and year-to-date actual costs against profiled budget spend.

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achieved in line with corporate finance deadlines and what action is taken following financial review to ensure a balanced budget is achieved?		of the Forensics management team to review and discuss in year performance and monitoring and reports are also provided to the Forensic Services Committee quarterly.	
5.11 Do you ensure that that the Subsidy Control Unit is consulted on all proposals that may have subsidy implications?	N/A		Guidance on Subsidy Control procedures is included in the SPFM. Detailed guidance on Funding and Subsidy Control during the coronavirus are available on the Intranet. Further detailed guidance is available from the Subsidy Control Team.
5.12 Do you ensure that any grant proposals and payments comply with the guidance in the SPFM and internal guidance?	Yes	Regular tripartite meetings with Police Scotland and Scottish Government ensure all capital and revenue grant proposals and use of reform funding is identified and authorised by SG and in accordance with the SPFM.	The section of the SPFM on Grant and Grant in Aid includes references to checklists covering the grant proposal, application and assessment processes and a Model Offer Grant Letter document. SG Grant Management guidance can be found on the Intranet.
5.13 Do you ensure	Yes	For grant funding which has been received	The National Performance Framework (NPF) is

<p>that any grants awarded are linked to the National Performance Framework National Outcomes and where applicable any Programme for Government commitments via the Model Offer Agreement, including the contribution the grant is expected to make in achieving these outcomes including how they will be monitored and evaluated?</p>		<p>particularly for Drug Driving this has been done. The objectives and value from investment have been clearly set out and can be measured against.</p> <p>The Forensic Strategy has also referred the Scottish Government objectives and alignment between outcomes is evident.</p>	<p>Scotland’s well-being framework and was refreshed in 2018. The NPF is intended to inform discussion, collaboration and planning of policy and services across Scotland, encompassing the public sector, businesses, civil society and communities. It broadly sets the strategic direction for non-reserved policy areas, which should be aligned to the NPF and National Outcomes, including the work of Public Bodies.</p> <p>It also represents a closer partnership approach with local government to the delivery of services in Scotland. The approach to setting, reviewing, and reporting on progress to achieving the National Outcomes, is set out in the Community Empowerment Act 2015.</p> <p>Grants awarded should have a shared understanding of the joint priorities to contribute towards the National Outcomes</p> <p>This should include what public spending supports, what this aims to achieve, the contribution it is expected to make to National Outcomes and evidence for this, how plans are being delivered, and the impact this is having.</p> <p>Programme for Government (published annually</p>
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			following 'Summer Recess' sets out the priorities for government and the legislative programme of the parliamentary year.
5.14 Do you have confidence that all of your staff who are involved in the management of grants have the skills and training to allow them to manage their grants effectively?	Yes	Police Scotland Finance staff administered the grant on behalf of Forensic Services.	<p>Ensuring key staff have the right level of skills and training to ensure effective engagement with the grant management process is key. Confidence levels should be shaped by:</p> <ul style="list-style-type: none"> • staff should complete the Grants Process Training available on Pathways • staff regularly refer to the grants guidance on the Intranet before commencing any grant award • staff involved in grant management have at minimum undertaken the SG Due Diligence-Grants Process e-Learning on Pathways • DG Grant managers are engaged with the Grants Managers network on Yammer • your grant managers are actively sharing lessons learned within the business area from experience
5.15 Do you have procedures in place to monitor any Losses, Special	Yes	These are set out in the organisational policies which staff must follow.	Losses, Special Payments and Gifts should be disclosed each year. The SPFM includes guidance on Losses and Special Payments and Gifts giving guidance on the various types of Losses, special

<p>Payments and Gifts in year?</p>			<p>payments and gifts and the approval process. You should ensure the guidance is followed to correctly report any of these transactions.</p>
<p>5.16 Do you have year-end procedures in place to ensure all Annual Accounts returns are completed in a timely and accurate manner?</p>	<p>Yes</p>	<p>Coordinated through Police Scotland and SPA Finance teams, for onward transmission to the Chief Financial Officer prior to review by the Accountable Officer within SPA. There are regular update meetings prior to and following year end to ensure the ARA preparation meets the agreed deadlines for completion.</p> <p>Reporting deadlines are adhered to and there is internal review and sign off by the Director of Forensic Services. This process is also overseen by the Forensic Services Committee and the Audit, Risk and Assurance Committee.</p>	<p>There are various returns due to finance as part of the annual accounts process. You should have procedures in place to ensure that information requested can be provided to Finance in an accurate and timely manner. Information requested will be used to ensure income and expenditure are recorded in the appropriate financial year and that any assets or liabilities of the Scottish Government are reviewed and appropriately accounted for. This includes consideration of committed and contingent balances (Contingent Liabilities, contingent assets), indemnities and guarantees.</p> <p>Confidence levels can be shaped by:</p> <ul style="list-style-type: none"> • having an embedded finance team or person who undertakes these key processes for your area • ensuring that those staff have the appropriate qualifications/training to undertake this activity • the team or staff member has established clear links with the relevant finance team/FBP etc.

6. Fraud			
6.1 Are operational managers and all members of staff within your area aware of their responsibilities with regards to the prevention and detection of Fraud (including Cyber Fraud)?	Yes	All staff are vetted as part of the recruitment process. Induction training is undertaken for all staff via Police Scotland which includes detailed sessions about Anti-Corruption and Fraud reporting. Staff have ready access to Whistleblowing guidance on the intranet and there is a documented Whistleblowing Policy, this includes specific reference to anonymous reporting to Crimestoppers. Operational managers and staff are equipped with the knowledge to help them identify red flags for fraud and subsequently the tools to report any suspicions.	<p>Confidence levels should be shaped by:</p> <ul style="list-style-type: none"> • awareness of the relevant guidance in the section on Fraud in the SPFM which might be brought to the attention of staff periodically and other relevant local guidance – the SG has a comprehensive guide on the intranet • the linking of induction materials to the relevant internal guidance on fraud prevention – there is a comprehensive guide on saltire • within the SG ensuring that staff have undertaken the Civil Service Learning on fraud prevention for staff and managers within the last three years <p>Unless separate prescribed procedures are in place any suspicion of fraud (internal or external) should be reported to the SG Governance and Risk Team via email Risk_Management_and_Fraud_Response@gov.scot or the Crimestoppers Hotline 08000 15 16 28.</p>
6.2 Are any cases of suspected fraud	Yes	Cases of Fraud and Theft are examined and investigated within the SPA and reported to	<p>Confidence levels should be shaped by:</p> <ul style="list-style-type: none"> • awareness of the relevant guidance in the

<p>within your area dealt with in accordance with the Scottish Government Fraud Guidance?</p>		<p>the SPA Audit, Risk and Assurance Committee (ARAC) quarterly. Reporting to AC considers the control/process which failed in respect of such incidents and what action has been taken to prevent any potential future occurrence. Internal Audit may also be asked to review specific areas following such instances to provide additional process and control assurance as required.</p>	<p>section on Fraud in the SPFM which might be brought to the attention of staff periodically and other relevant local guidance – the SG has a comprehensive guide on the intranet</p> <ul style="list-style-type: none"> • the linking of induction materials to the relevant internal guidance on fraud prevention – there is a comprehensive guide on saltire • within the SG ensuring that staff have undertaken relevant civil service learning on fraud prevention for staff and managers accessible via Civil Service Learning • established Fraud Management Procedures (linked to a Counter Fraud Management Strategy) documented and accessible to staff • fraud being appropriately and systematically recorded and reported to Governance and Risk where applicable and the relevant Audit/Assurance Committee <p>Unless separate prescribed procedures are in place any suspicion of fraud (internal or external) should be reported to the SG Governance and Risk Team via email Risk_Management_and_Fraud_Response@gov.scot or the Crimestoppers Hotline 08000 15 16 28.</p>
<p>6.3 When new grant</p>	<p>Yes</p>	<p>Irrespective of funding source, all spend of</p>	<p>Within grant schemes confidence levels should be</p>

<p>schemes or other spend programmes are being developed do you ensure you are considering whether fraud prevention measures need to be built into your plans, based on appropriate Fraud Risk assessments being in place?</p>		<p>monies is governed by Police Scotland finance policies and procedures which include fraud prevention measures such as segregation of duties, adherence to a clearly documented delegation of authority and review and challenge of spend vs budget by the finance business partners (whether for revenue, capital or reform spend) and senior management team.</p>	<p>shaped by:</p> <ul style="list-style-type: none">• awareness of the fraud procedures in place within prospective funding recipient's business processes• ensuring appropriate due diligence checking has been undertaken on applicants to ensure they are legitimate recipients• appropriate criteria for determining eligible expenditure are in place• payment in advance of need is appropriately assessed by your finance business partner• throughout the grants process, decisions, key documentation and evidence should be appropriately recorded to ensure an effective audit trail. This will ensure that you can evidence decisions made and support any internal or external review. You should use the audit trail checklist to ensure you have all of the appropriate documentation to support your grant <p>Within other spend confidence levels should be shaped by:</p> <ul style="list-style-type: none">• ensuring you are in compliance with the Scottish Procurement Policy Manual <p>Unless separate prescribed procedures are in place</p>
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			any suspicion of fraud (internal or external) should be reported to the SG Governance and Risk Team via email Risk_Management_and_Fraud_Response@gov.scot or the Crimestoppers Hotline 08000 15 16 28.
7. Procurement			
7.1 Do you ensure that the Scottish Procurement and Property Directorate (SPPC) are consulted from the earliest possible stage on any business cases proposals that may involve procurement, commercial and/or property activity?	Yes	<p>All procurement activity is carried out through Police Scotland’s in-house team as a service back, thus ensuring compliance with the Procurement Manual, and Standing Orders relating to procurement.</p> <p>Resources Committee and SPA Board approve procurement activity in line Standing Orders and Scheme of Delegation for SPA / Police Scotland.</p> <p>The Scottish Government Police Division, as initial point of contact for the SPA/PS, are consulted or provide approval in cases that may be novel or contentious</p>	<p>Guidance on the role of the Scottish Procurement and Property Directorate (SPPD), guidance on Buying Goods, Services or Works and the Security Questionnaire is available on the Intranet. The need to consult SPPD might be included in induction material and local desk instructions.</p> <p>SPPD must be consulted early on any novel or contentious spending proposal and any matter which includes issues of procurement and/or property propriety or regularity.</p>
7.2 Do you have sufficient staff with Delegated Purchasing Authority (DPA) to meet your	Yes	All agreed delegated purchasing limits are set out in the Financial Regulations and the Scheme of Delegation for SPA / Police Scotland.	DPA is the authority from the Director of Procurement and should on a personal basis to permit permanent SG members of staff to enter into a contract for goods, services and works and oversee the process leading up to and including the award of a contract

business needs?			<p>and any subsequent contract changes on behalf of the Scottish Ministers. This is separate from financial authority and the authority to make purchases on EASEbuy.</p> <p>Please confirm how many staff in your area have DPA and if the number does meet your business needs. (Guidance on DPA is available on the Intranet).</p>
7.3 Do you have contracts in place for all procurement spend in your division whether bespoke contracts for your area or corporate contracts available for use across the Scottish Government?	Yes	Forensic Services procurement is part of Police Scotland framework agreements for items such as stationery and ICT. This is part of the service back agreement with Police Scotland.	Divisions should understand if their procurement spend is covered by contract and should be aware of the Scottish Government contract register.
7.4 Is all	Yes	Any procurement is carried out by trained	Evidence should be provided by staff with DPA to

<p>procurement activity within your area undertaken in accordance with the Procurement Policy Manual?</p>		<p>and authorised users for small value items, with everything else going through Police Scotland’s Procurement team.</p>	<p>assure Division Heads that all procurement activity has been conducted with the Procurement Policy Manual. Specific guidance on the operation of the electronic Purchasing Card and the EASEbuy System. Does your business area have a system in place to ensure staff are aware of the latest and any other significant Scottish Public Procurement Notes SPPN’s (Cyber Security, Climate Change)?</p>
<p>7.5 Does your area’s use of external consultants comply with the Scottish Government Consultancy Procedures? This includes using the consultancy account codes on the Purchase Orders that are created in the purchasing system.</p>	<p>Yes</p>	<p>The procurement of consultancy services is routed via Police Scotland procurement team who apply specific procedures for such processes (Professional Services & Consultancy Guidance)</p>	<p>Contracts for consultancy of up to £10 000 in value need to be approved at Deputy Director level. Consultancy contracts between £10 000 and £50 000 need to be approved at Director General level. Consultancy contracts above £50 000 must be authorised by the Cabinet Secretary for Finance, Economy and Fair Work. If there have been no such cases during the period then please provide a nil response. Consultancy expenditure must be coded against the account codes stated in the Consultancy Procedures. Management checks on consultancy expenditure on SEAS should be carried out to ensure approval was sought at the appropriate approval level prior to purchase.</p>
<p>7.6 Is the number of</p>	<p>Yes</p>	<p>FS rolled out Eproc in December 2022 and a</p>	<p>Staff who are authorised as purchasing system</p>

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<p>staff authorised and trained to act as purchasing system requisitioners and approvers consistent with your Division's needs?</p>		<p>review was done of essential requisitioner rights in FS (due to limited permissions available). This will be monitored.</p>	<p>requisitioners and approver need to recognise the importance on the financial information being entered correctly. The amount of knowledge and training does, of course, need to be related to the part played by the individual in the financial process. Individual duties might be covered in desk instructions. Details of available training are provided on the EASEbuy training page.</p>
<p>7.7 Do you ensure that staff with electronic Purchasing Cards (ePCs) are fully aware of their responsibilities to monitor compliance and meet the ePC policy?</p>	<p>Yes</p>	<p>There is a specific Police Scotland purchasing card policy that cardholders sign off on as having read and understood as part of receiving their card. Finance monitor card usage within that policy.</p>	<p>Monitoring of compliance might be achieved by regular management checks and the consideration of financial matters at regular meetings with your managers. (Guidance on ePC is available on the Internet.)</p>
<p>7.8 Do you ensure that staff are complying with the prompt payment of suppliers' process to meet the 10 day payment</p>	<p>Yes</p>	<p>E proc systems details invoices for payment and notifies authoriser accordingly. Payment of suppliers is a service back to SPA provided by Police Scotland Finance.</p>	<p>Relevant guidance regarding the prompt payment of suppliers' policy must be brought to the attention of staff periodically and/or in reviewing training requirements.</p>

commitment?			
7.9 Do you have in place appropriate arrangements in your area to ensure effective contract management enabling delivery of both technical and commercial requirements?	Yes	<p>FS have maintenance contracts in place for technical operational requirements and these are monitored as part of BAU.</p> <p>Otherwise, this is part of service back arrangements from Police Scotland’s procurement team when required.</p>	<p>Staff managing contracts should have the knowledge and skills to deliver both the technical and commercial conditions of the contract. Staff can seek guidance or arrange for Contract Management services to be delivered by the SPCD Contract Management Team. Additional guidance is also available on the Procurement Journey.</p>
8. Human Resources			
8.1 Do you have, and regularly update, workforce plans linked to resourcing plans that enable you to match resources to priorities and affordability and have they contributed to	Yes	<p>Forensic Services engagement with Police Scotland P&D ensures that workforce planning and development activities are aligned to Police Scotland/ SPA policies and procedures and business priorities, as outlined in the refreshed FS Strategy (published September 2021).</p> <p>A key enabler is the ongoing governance arrangements to ensure effective decision making at a Strategic / Change Programme and BAU level. The People Board, with People</p>	8.1 Do you have, and regularly update, workforce plans linked to resourcing plans that enable you to match resources to priorities and affordability and have they contributed to increased diversity and inclusion?

<p>increased diversity and inclusion?</p>		<p>Partner, Talent Acquisition Advisor and Equality and Diversity Advisor in attendance, meet monthly to consider people related matters across Forensic Services. Three key sub-groups have been established which report against the overarching People Plan and Sub-group plans- Attendance Management; Equality, Diversity and Inclusion; Wellbeing.</p> <p>People related decision making also takes into account people metrics information / data which is readily accessible via a dashboard platform with key highlights being reviewed via the People Board and associated sub groups.</p> <p>In addition, a draft Strategic Workforce Plan has been documented which aims to align decision making in terms of resource availability, performance, training, Equality, Diversity and Inclusion and the Forensic Services Strategy.</p>	
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<p>8.2 Do you have processes in place to develop staff and increase capability to support diverse and inclusive, high performing teams?</p>	<p>Yes</p>	<p>The Forensic Services Strategy has a strategic outcome of "Our people are supported through a positive working environment, enabling them to provide excellent forensic services".</p> <p>The Forensic Services People Plan for</p>	<p>8.2 Do you have processes in place to develop staff and increase capability to support diverse and inclusive, high performing teams?</p>

		<p>2021/22 has been delivered with further development of the plan for 22/23 ongoing. This dovetails with the FS Equality Diversity & Inclusion Sub Group that has developed an Equality, Diversity & Inclusion Plan in consultation with diversity reps and engagement and support with FS People Partner and EDI Advisor.</p> <p>The Change Programme within Forensic Services consists of a number of projects, with the Operating Model project focussing on the delivery of key people benefits- improved staff wellbeing, improved levels of empowerment and a greater sense of value, improved career path opportunities, opportunities for some people to expand their existing skills, knowledge and experience, and opportunities for improved training and development. The Full business case was approved to move to the consultation phase in October 2021, and is currently ongoing. Equality Human Rights Impact Assessments (EqHRIAs) have been developed for the overall Forensic Services Strategy and</p>	
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		<p>Projects within the Change Programme to ensure that any potential disproportionate impact on protected characteristics is considered and opportunities identified.</p> <p>Change Agent Network established to provide greater awareness on change readiness, culture change and provides an improved connection between staff and management, and forums for discussion of the ongoing Change Programme within Forensic Services.</p> <p>During 2021 Forensic Services were part of the pilot project MyCareer, a revised appraisal system which aligns with the new Forensic Services Competency Values Framework. MyCareer is being formally launched across Police Scotland and SPA in April 2022.</p>	
<p>8.3 Are line managers at all levels skilled in managing performance and</p>	<p>Yes</p>	<p>All managers have access to a suite of documents within the Police Scotland / SPA Policy Hub which provide advice and guidance on people related matters and ensures consistent procedures and</p>	<p>8.3 Are line managers at all levels skilled in managing performance and supporting the wellbeing of their staff?</p>

supporting the wellbeing of their staff?

considerations are applied across all people related processes.

Managers also have seven day a week access to People Direct (people service desk) which enables direct contact with advisors who can provide advice or escalate queries as required.

In addition, a rolling development programme for managers across Forensic Services is in place, led by the Leadership Development Programme Lead. This is currently being rolled out to members of staff who aspire or are considering becoming a first line manager.

During 2021/22 a number of senior managers within Forensic Services were part of the Your Leadership Matters development programme established by Police Scotland, where 3 summits focused on Leading for the Future; Leading Self; and Leading People. The sessions were interactive, supported by pre course work, podcasts and research.

Forensic Services decided to refocus wellbeing across the organisation by establishing a Wellbeing sub-group, which reports to the Forensic Services People Board. The sub-group comprises representatives from across the organisation and the main aim is that the Wellbeing Subgroup to identify wellbeing trends and issues which are impacting on our people, and to develop a plan to further support our staff in relation to these issues.

A Wellbeing Plan for 22/23 was approved at the FS People Board in March 2022.

There are 6 Wellbeing Champions across Forensic Services, with further mechanisms and tools available across SPA and Police Scotland which are accessible to Forensic Services – TRiM, Mental Health First Aid training and the Eleos psychological resilience training 87% Partnership App.

Forensic Services continues to put staff wellbeing at the forefront of decision making,

		with the response to the COVID-19 pandemic providing evidence of this. This will continue with a shift from more traditional ways of working to flexible hybrid working principles, and the benefits they bring, across the organisation.	
9. Equality And Diversity			
9.1 Are all new, revised or strategically significant policies/activities/projects in your area assessed, in line with legislative requirements, for their impact on people with one or more of the Protected Characteristics listed in the Equality Act 2010 at the earliest	Yes	<p>Forensic Services has an Equality, Diversity & Inclusion sub-group that reports to the Forensic Services People Board. The group has developed an FS Equality, Diversity & Inclusion Plan.</p> <p>This sub-group, includes a work stream pertaining to Equality and Human Rights Impact Assessments.</p> <p>There are a number of EqHRIAs in place that underpin the refreshed Forensic Strategy and supporting projects, which are the most significant changes impacting Forensic Services.</p> <p>The EqHRIAs are active documents that are approved, updated and reviewed regularly as the programmes of work progress.</p>	<p>This question relates to the leadership responsibility under the statutory Public Sector Equality Duty (PSED), and the specific duty to assess and review policies and practices. Policy should be understood broadly to embrace the full range of policies, provisions, criteria, functions, practices and activities undertaken by the Scottish Government. You are expected to ensure that, in line with legislative requirements, new or revised policies and practices in your area are assessed for their impact on people with one or more of the protected characteristics in the Equality Act 2010. These are age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; and sexual orientation. Going beyond statutory obligation, the First Minister and the</p>

<p>possible stage in the policy development process?</p>			<p>Permanent Secretary have made clear their ambition for equality and human rights to be embedded in everything SG does.</p> <p>In terms of process, assessment would typically be done through the EQIA process. Guidance on EQIAs is available on Saltire. Relevant deputy director (or equivalent is required to sign off on EQIAs, and in signing off they are required to ensure the impact of applying the policy has been sufficiently assessed against the three needs of the equality duty and EQIA is robust and addressing all relevant equality issues.</p> <p>In answering, you should be able to demonstrate that you have in place appropriate arrangements for identifying and monitoring EQIA application and for prioritisation of EQIA within policy and practice development and review.</p>
<p>9.2 Are you confident that all staff in your division have the capacity and capability to embed equality within the policies or programmes they</p>	<p>Yes</p>	<p>Forensic Services has an Equality, Diversity & Inclusion sub-group that reports to the Forensic Services People Board.</p> <p>Its purpose is implement the FS vision, strategy and Equality, Diversity and Inclusion Plan in support of SPA Equality Outcomes and Forensic Services strategy and objectives.</p> <p>Membership is made up of FS staff, PS</p>	<p>This question seeks to find out if SG staff have the capacity and capability to deliver on equality obligations. In answering this question you should consider whether staff have had sufficient time, information, training, guidance and support to enable that aim to be realised, considering for example if:</p> <ul style="list-style-type: none"> • they have an appropriate 'stretch' Diversity Objective

<p>are working on?</p>		<p>Equality & Diversity Advisor and representatives from a broad range of Diversity Staff Associations.</p> <p>It considers good practice and assess the feasibility of how individual aspects could be incorporated into Forensic Services ways of working, in support of the Forensic Services People Plan and development of an even more inclusive workplace.</p> <p>The group has also reviewed the most recent Equality and Diversity Employment Monitoring & Analysis Report and has aligned the work of the sub-group work streams with areas highlighted within the report.</p> <p>Awareness is raised through the work of this group, as mentioned above, including the publication of an Equality, Diversity & Inclusion newsletter called 'Belonging'.</p>	<ul style="list-style-type: none"> • they have good awareness of equality issues; an understanding of the need for good quality impact assessment and how this relates to the development of policy or practices (evidence may include confirmation of training at induction and ongoing training and capacity building updated via appropriate continuous professional development) • they know about and use relevant sources of data such as the SG equality evidence finder and relevant employee data • they know about and engage with equality advocacy groups and that completed EQIAs evidence the use of evidence from engagement in shaping policy • for internal policy and employee-related policies/practices, they are drawing on employee lived experience and insights gathered for example through the People Survey • they have sufficient time, which is reflected in their business objectives, to consider equality matters in developing and delivery policy and/or relevant activity • they understand the need to ensure that EQIAs in the business area they have
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			<p>responsibility for, should be kept under review and that they are able to demonstrate that this is happening</p> <p>Equality guidance and tools are available on the Intranet. In answering, you should be able to demonstrate how you are developing staff on an ongoing basis in this area.</p>
<p>9.3 Are you confident that any procedures in place to ensure that equality considerations are embedded into all policies/activities/projects in your area are delivering improved outcomes for people with protected characteristics?</p>	<p>Yes</p>	<p>Forensic Services has an Equality, Diversity & Inclusion sub-group that reports to the Forensic Services People Board.</p> <p>Its purpose is implement the FS vision, strategy and Equality, Diversity and Inclusion Plan in support of SPA Equality Outcomes and Forensic Services strategy and objectives.</p> <p>Its acts as in an ambassadorial capacity and promote Equality and Diversity within Forensic Services to develop and lead implementation of the FS Equality, Diversity & Inclusion Plan (incl EQHIRA activity) for Forensic Services to support equality considerations, using data analysis to identify areas for improvement</p> <p>It considers good practice and assesses the feasibility of how individual aspects could be incorporated into Forensic Services ways of</p>	<p>This question relates to the extent to which policies and programmes are delivering meaningful outcomes for the people whose lives the Scottish Government is seeking to improve, which includes those with one or more protected characteristics under the Equality Act 2010.</p> <p>Specifically, EQIAs must consider impacts based on the three tests of the Public Sector Equality Duty (PSED) it is required to address:</p> <ul style="list-style-type: none"> do policies, practices or programmes contribute to reducing or eliminating discrimination for individuals with one or more protected characteristics - This means reducing disadvantage or less favourable treatment do policies, practices or programmes advance equality of opportunity for individuals with one or more protected characteristic? This means

		<p>working, in support of the Forensic Services People Plan and developing an even more inclusive workplace.</p> <p>The overall FS Equality, Diversity & Inclusion Plan seeks to develop an inclusive environment creating a sense of belonging (which includes, but is not limited to, the protected characteristics).</p>	<p>understanding and meeting diverse needs, increasing participation of underrepresented groups and, ensuring reasonable/workplace adjustments are implemented</p> <ul style="list-style-type: none"> • does policies, practices or programmes foster good relations between those who share a protected characteristics and those who do not? This means tackling prejudice and promoting understanding <p>In answering you should consider and reflect the evidence (both quantitative and qualitative) demonstrating improvement in your area and the narrative of how policies and programmes in your area demonstrate active due regard to all three needs of the PSED.</p>
<p>9.4 Are you confident that any schemes operated by your Division for funding the work of external stakeholders meet statutory equality requirements and</p>		<p>N/A</p>	<p>This question relates to the extent to which funding for partners’ activities and projects (or core funding for partners designated as intermediaries) aligns to statutory requirements under the Equality Act 2010. Where a private or voluntary organisation provides a ‘public function’ it is then subject to the general equality duty. A public function refers to activities that are carried out on behalf of the State not similar in kind to services that could be performed by private</p>

<p>therefore delivers improved outcomes for people with protected characteristics?</p>			<p>people. Public functions can also be carried out by private or voluntary organisations, for example when a private company manages a prison or when a voluntary organisation takes on responsibilities for child protection. In answering this question, you should set out how you are ensuring this is the case in addition to 9.1 and 9.3.</p>
<p>10. Information</p>			
<p>10.1 Does your division demonstrate best practice information governance and management including compliance with relevant legislation?</p>	<p>Yes</p>	<p>SPA has an Information Management (IM) department. Staff are qualified in Data Protection, Information Security, ISO 27001 Audit and Records Management.</p> <p>SPA has a Records Management Plan that has been submitted to the Keeper of the Records for Scotland.</p> <p>A comprehensive suite of policies/procedures/documents are in place to meet the requirements of the Data protection legislation. This includes;</p> <ul style="list-style-type: none"> • Information Asset Register 	<p>Have you ensured information held in assets complies with the Public Records (S) Act 2011 and the SG records management plan and policy? The General Data Protection Regulation and Data Protection Act 2018 came into force in May 2018. Have you:</p> <ul style="list-style-type: none"> • registered your information assets that contain personal data, and reviewed your existing assets • reviewed the legal basis for any personal data processing • updated any privacy notices • updated any contracts with third parties that include personal data processing • documented any personal data sharing in a

		<ul style="list-style-type: none"> • Data Protection Policy LED • Data Protection Policy • Privacy Notices (reviewed by ICO) • Data Sharing Agreements • Register of DPIA's • Policy & Procedure for Security Incidents • Retention/weeding Policy <p>The Information asset register identifies all data processed, what regime it's processed under (Part 3 of GDPR) any transfers and the retention/weeding policy.</p> <p>An additional resource was recruited in IM to drive the programme in Forensic Services to manage legacy data inherited from the former Forces in an unstructured format.</p> <p>Staff have been trained via presentations on key topics via Teams, including incorporating IM requirements in procurement, reporting security incidents and the requirements of Part 3 (in particular logging and transfers).</p>	<p>data sharing agreement</p> <ul style="list-style-type: none"> • conducted a Data Protection Impact Assessment (aka Privacy Impact Assessment) where required • made sure your staff know what to do if a security incident involving personal data takes place • identified any personal data processing for law enforcement purposes covered by part 3 of the Data Protection Act 2018? Guide to law enforcement processing • identified any personal data being processed outside of the UK • there was an Information Management Maturity Assessment benchmarking exercise undertaken at the end of 2021/beginning of 2022 but in future years the questions from that Maturity Assessment will form part of this annual Certificates of Assurance process • directorates should therefore assure themselves they are confident that all information within their areas is managed appropriately and in line with current policies and procedures
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		<p>All new software purchased must be GDPR/Part 3 compliant. IM is involved in marking tenders to ensure this happens and sits on the FS IT Board.</p> <p>Work continues to ensure compliance with the logging requirement of Part 3 by 2023 for legacy systems.</p>	
<p>10.2 Have you reviewed your information assets over the past financial year and updated the Scottish Government Information Asset Register (IAR) accordingly?</p>	<p>Yes</p>	<p>See above response.</p> <p>A review of data is undertaken via the Information Asset register, which is updated every 6 months.</p> <p>Information Asset owners have been formally trained and certified.</p> <p>SPA IM staff provided refresher training in March 2022 to FS IAO's regarding the importance of completing the IAR and understanding the requirements of Part 3.</p>	<p>The General Data Protection Regulation and Data Protection Act 2018 came into force in May 2018. Have you:</p> <ul style="list-style-type: none"> • registered your information assets that contain personal data, and reviewed your existing assets • reviewed the legal basis for any personal data processing • updated any privacy notices • updated any contracts with third parties that include personal data processing • documented any personal data sharing in a data sharing agreement • conducted a Data Protection Impact Assessment (aka Privacy Impact Assessment)

			<p>where required</p> <ul style="list-style-type: none"> made sure your staff know what to do if a security incident involving personal data takes place identified any personal data processing for law enforcement purposes covered by part 3 of the Data Protection Act 2018? Guide to law enforcement processing identified any personal data being processed outside of the UK
10.3 Are access control mechanisms in place for each system?	Yes	<p>ICT security is integral to system access and is managed for SPA FS by Police Scotland.</p> <p>There are a mix of access control mechanisms, depending on the classification of the system across the business.</p> <p>The ICT services which dictate, test and continually monitor this are provided to SPA by PS.</p> <p>All buildings have physical access control and are protected by manned guarding.</p> <p>Information Asset register maintained and updated every 6 months.</p>	<p>Access control mechanisms for each system are documented by IAOs. Control Mechanisms are in place for physical access and access to information. Location of information assets are registered on the Information Asset Register.</p>
10.4 Has your	Yes	FS IAO's were formally trained and certified	IAOs (usually Deputy Directors) are responsible for

<p>Information Asset Owner been trained in the role and is this training up to date?</p>		<p>by an independent training provider. IM has provided annual refresher training since the certified training was delivered.</p>	<p>ensuring that their information assets are recorded on the corporate Information Asset Register (IAR). Guidance can be found on the IAR pages on the Intranet. See guidance on "What is an Information Asset?" in the IAO Handbook.</p>
<p>10.5 Do any supporting staff have an awareness of the role and responsibilities of an IAO and have they been trained in information handling?</p>	<p>Yes</p>	<p>SPA has an information management team that provide support and guidance including training to Forensic Services in IAO requirements. The IM staff includes trained/certified IAO's/Data Protection Officers/Records Managers and ISO 27001 Auditors The Deputy Chief Executive (Resources) is the SIRO and has been formally trained.</p>	<p>Staff are available and appropriately knowledgeable to discharge these roles and have undergone or are undergoing appropriate training. For core SG the SIRO is DG Organisational Development and Operations, non-core bodies will have their own SIRO. Guidance on mandatory roles can be found on the intranet. Mandatory eLearning packages (Data Protection and Responsible for Information) can be found on the Intranet.</p>
<p>10.6 Can you confirm that information risk assessments have been carried out for all information assets and do you take all</p>	<p>Yes</p>	<p>See above SPA has a suite of Information Management policies and procedures including how to manage SAR requests. All information is available on the intranet. Assurance that FS staff have read relevant policies is available via Q-Pulse. A revised e-learning package will be deployed</p>	<p>Staff are available to discharge these roles and have undergone or are undergoing appropriate training. For core SG the SIRO is DG Corporate, non-core bodies will have their own SIRO. Guidance on mandatory roles can be found on the intranet. Mandatory eLearning packages (Data Protection and Responsible for Information) can be found on the</p>

<p>required actions to safeguard your information assets and the corporate infrastructure and regularly/actively consider and manage current and emerging cyber risks and threats pertinent to your business?</p>		<p>in Q1 2022.</p> <p>Staff have undergone interim training via Teams on key elements relevant to their responsibilities in the past 2 years.</p> <p>All current systems for which SPA/FS are strategic data owners are on the PS ICT supported environment. Work is ongoing for legacy systems to create equivalent risk managed environments dependent on the required solution for that particular system.</p> <p>SPA IM works with PSoS Technical Security to test staff awareness in respect of cyber risks and target education based on results.</p> <p>A dedicated email address is available for staff to report suspect emails.</p>	<p>intranet. Confidence levels should be shaped by whether the following has been covered in business areas:</p> <ul style="list-style-type: none">• IAOs must ensure that their staff successfully complete the mandatory eLearning packages (Data Protection and Responsible for Information) (please note: specific IAO training module)• all staff should have read and understood the relevant policies and guidance (such as DPA, IT Code of Conduct, and Records Management)• all staff should be aware of how to handle requests for personal data – from individuals (Subject Access Requests) as well as 3rd parties; and when a Data Sharing Agreement is appropriate (Guidance can be found on the Intranet: Subject Access Requests; Conduct; Data Protection)• senior Managers must consider and manage cyber risks in line with other business risk, with clear ownership and responsibilities• all staff should be aware of the dangers posed by phishing and social engineering, guidance on Saltire is available to support this
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			<ul style="list-style-type: none"> all staff should be aware how to report suspicious email
<p>10.7 Do you have processes in place for dealing with security incidents involving data?</p>	<p>Yes</p>	<p>A security incident reporting process is in place and is supported by SPA policy and procedures, furthermore Forensic Services Management System procedures are in place via Q Pulse Non-Compliance reporting.</p> <p>SPA Forensics staff have been trained in procedures to follow regarding security / data handling incidents.</p> <p>This involves reporting to SPA Information Management within 24 hours and completion of an incident form. Once notified, this is raised to the Director of Resources, in capacity as SIRO/reported to ICO where relevant within 72 hours.</p> <p>These incidents are reported to the SPA Audit Risk & Assurance Committee quarterly with an annual report also going to Committee.</p> <p>Mandatory training is delivered via Moodle and ongoing 'key topics' training is delivered via Teams.</p> <p>Contract owners are responsible for reviewing ongoing security arrangements in contractors.</p>	<p>Information risk assessments should be carried out as appropriate for the classification of the information asset; the restriction of access to information as appropriate; the training of staff in handling sensitive information; the management of processing of personal data; the impacts of loss or corruption of information; and so on. Such risk assessments should extend to procurements and shared services initiatives, and to all delivery partners, suppliers and contractors. Management and monitoring of supplier security and information assurance arrangements must take place.</p> <p>Mandatory eLearning packages (Data Protection and Responsible for Information) can be found on the Intranet.</p>

<p>10.8 Have you had any information security incidents involving data that occurred in your area over the past financial year that you did not record on the corporate security incident reporting tool?</p>	<p>No</p>	<p><i>All incidents, including those where data is misplaced and then recovered are logged, as are near misses.</i></p>	<p>Incidents would relate to cases where information (both personal and non-personal) may have been accidentally exposed, lost or made unavailable regardless of whether this has resulted in harm to individuals.</p> <p>IAOs are aware of and follow the corporate process in place to report, manage and recover from information risk incidents. Lessons have been learnt, and shared, from incidents (if any). Local managers have a responsibility to ensure that staff are aware of and comply with the relevant guidance, to initiate checks where non-compliance is suspected and to monitor suppliers. Managers have a responsibility to ensure that all staff and suppliers are aware of their responsibilities to safeguard Government information. An IAO checklist for dealing with security incidents can be found on the intranet. Please open the document and refer to section 5.</p>
<p>11. Health And Safety</p>			
<p>11.1 Have you identified staff undertaking critical business work and</p>	<p>Yes</p>	<p>Forensic Services did not undertake occupational risk assessments for individual staff.</p>	<p>Covid-19 occupational risk assessment and Covid-19 Wellbeing form require to be completed and regularly reviewed.</p>

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<p>completed the relevant Covid-19 risk assessments?</p>		<p>As part of the organisational response to Covid-19 Forensic Services implemented OP Talla guidance re supporting staff based on risk assessment e.g PPE (inlc training and fitting for FFP3 masks) for operational staff, shielding requirements, working from home, hybrid working, and control measures in the workplace and operational activities e.g physical distancing and provision of PPE and hygiene products.</p>	
<p>11.2 Are all of your staff aware of the facility to request home working equipment?</p>	<p>Yes</p>	<p>All FS staff who were able to work from home (in context of operational considerations) were provided with equipment to do so.</p>	<p>The Covid-19 Homeworking Equipment mailbox should be used for requests. Guidance on Home Working equipment and set up is on the Intranet.</p>
<p>11.3 Do you have an appointed and trained Health and Safety Liaison Officer and has the role and support provided to staff by the HSLO changed to reflect the current</p>	<p>Yes</p>	<p>FS implemented homeworking and hybrid working practices as part of the Op Talla response. This included guidance to staff and DSE assessments for home working environments.</p> <p>FS have support from PS H&S Advisor.</p>	<p>Health and Safety Liaison Officers perform key health and safety functions which help managers discharge their own responsibilities. In particular, local health and safety inductions and first point of contact for Display Screen Equipment queries.</p> <p>Homeworking policies have been consulted by managers and workplace assessments completed including the Covid-19 occupational risk assessment and Covid-19 Wellbeing form.</p>

homeworking and hybrid work practices operating across SG?			
11.4 Do you have a mechanism to keep in touch with staff who work for you both at home and the workplace?	Yes	Line Mangers have regular 1-2-1 and team meetings with staff. This is either face to face or via MS Teams.	Managers are encouraged to stay connected with staff who are working from home.
12. Sponsored Bodies			
12.1 Non Departmental Public Bodies - Is your area responsible for sponsoring any NDPBs or other bodies? (If not, please ignore the other questions in this section.)	N/a	N/A – not a sponsoring body	Please complete for all of the bodies you sponsor answering each question separately and highlight key points of interest (good or bad). Guidance can be found in the NDPB Sponsorship Guidance Notes. A list of public bodies in Scotland is available on the National Public Bodies Directory . Additional information can be obtained from Public Bodies Unit if necessary.
12.2 National Outcomes - Do the operations, business	na	na	The National Performance Framework (NPF) is Scotland’s well-being framework and was refreshed in 2018. The NPF is intended to inform discussion,

planning and objectives of the public body align with the National Performance Framework (NPF), National Outcomes and Programme for Government?

collaboration and planning of policy and services across Scotland, encompassing the public sector, businesses, civil society and communities. It broadly sets the strategic direction for non-reserved policy areas, which should be aligned to the NPF and National Outcomes, including the work of Public Bodies.

It also represents a closer partnership approach with local government to the delivery of services in Scotland. The approach to setting, reviewing, and reporting on progress to achieving the National Outcomes, is set out in the Community Empowerment Act 2015.

Supporting documents such as the corporate plan, business plan, and framework documents should be in place to enable the sponsor team to develop a shared understanding of the joint priorities to contribute towards the National Outcomes, and to ensure that individual bodies' corporate communications (including annual report) and engagement strategies fully reflect these.

The Scottish Parliament Budget Review Group (SPBRG) has also recommended that Public Bodies should consistently set out how they plan to contribute towards specific National Outcomes in the

			<p>NPF in their published corporate and business plans, and report on their contribution to National Outcomes through their annual reports, to support parliamentary scrutiny of their activities and public spending. This means providing public information about the strategic direction and operational delivery of public bodies and how this aligns to National Outcomes and the NPF.</p> <p>This should include what public spending supports, what this aims to achieve, the contribution it is expected to make to National Outcomes and evidence for this, how plans are being delivered, and the impact this is having.</p> <p>Does the corporate plan, business plan and annual reports clearly set out how the public body contributes to National Outcomes, with a line of sight to the National Performance Framework, including links to planned spending and specific outputs that are expected and how they contribute to achieving National Outcomes?</p>
<p>12.3 Framework Documents - Is there an up to date Framework</p>	<p>N/A</p>	<p>N/A</p>	<p>You should be able to confirm that Framework Documents are finalised or otherwise, that they are up to date, and were subject to proper consultation (including with Public Bodies Unit, your Finance</p>

<p>Document in place, and published, with your sponsored body, with appropriate arrangements in place to monitor adherence to this?</p>			<p>Business Partner (or equivalent) and the Directorate for Internal Audit and Assurance. Details of the steps taken to monitor these areas should also be provided. Guidance on the role of the sponsoring team is set out in the Model Framework Document for Executive NDPBs and is provided at Annex 3 of the Scottish Public Finance Manual section on Accountability. Governance structures, processes, systems and controls should be in place to ensure robust financial management and monitoring, and compliance with the Scottish Public Finance Manual. Guidance on the role of the sponsoring team is set out in the Model Framework Document for Executive NDPBs and is provided at Annex 3 of the Scottish Public Finance Manual section on Accountability.</p>
<p>12.4 Effective Boards - Are you assured that the Board of your sponsored body is undertaking its functions effectively?</p>	<p>N/A</p>	<p>N/A</p>	<p>The four main functions of public body Boards are:</p> <ul style="list-style-type: none"> • to ensure that the body delivers its functions in accordance with Ministers’ policies and priorities • to provide strategic leadership • to ensure financial stewardship • to hold the Chief Executive and senior management team to account <p>Boards play a vital role in the accountability chain</p>

			and therefore it is essential that they have the capability and capacity to perform their functions effectively.
12.5 Has your sponsored body carried out a skills audit see succession planning guidance and the Gender Representation on Public Boards (GRP) guidance and taken steps to build a diverse talent pipeline (shadowing, mentoring, outreach events to support public appointment vacancies)?	N/A	N/A	<p>Boards should ensure that they maximise opportunities to develop and attract diverse candidates that meet the body’s needs and legislative requirements, See the Succession Planning Guidance for Public Body Boards (as published in February 2017) and the Gender Representation on Public Boards (GRP) guidance. Confidence levels should be shaped by whether:</p> <ul style="list-style-type: none"> • have you carried out a skills audit • have you taken steps to build a diverse talent pipeline (shadowing, mentoring, outreach events to support public appointment vacancies) <p>Guidance given states:</p> <ul style="list-style-type: none"> • designate a person on the board, or have a nominations committee, to take the lead on board appointments • map current skills in the board and the skills needed in the future, within the context of the public body’s strategic plan and the board’s role • draw up a timeline of when individual board

			<p>members’ and chairs’ appointments come to an end or are up for renewal and identify action that can be taken to attract a diverse range of candidates(provide shadowing, mentoring, co-opt potential talent)</p> <ul style="list-style-type: none"> • provide opportunities to develop prospective board members, particularly for people from groups that are under-represented on your board • take specific and measurable actions to attract women and meet the Gender Representation Objective - See Guidance here
<p>12.6 Relationships – Are arrangements in place to support strong, strategic relationships with the public body to ensure effective collaboration in delivering business/corporate plans and do you issue an annual letter of strategic</p>	N/A	N/A	<p>Sponsorship should always be considered a strategic activity, based on strong relationships characterised by openness, trust, respect and mutual support. The objective is to find ways of working with bodies that engage and empower them in a shared vision and understanding of the strategic environment, while ensuring proportionate arrangements are in place to safeguard public funds and incentivise performance. Executive Team and Ministers have an agreed approach which has at its core supportive, trusting relationships at a senior level; an appropriate place for the SG in the accountability chain – Ministers holding Chairs to account for the actions of Boards,</p>

<p>engagement to the Sponsored Body?</p>			<p>Boards holding Executives to account for performance - and ensuring proportionate arrangements to safeguard public funds and incentivise performance; and a greater focus on strengthening the Boards and Accountable Officers of public bodies through induction and on-going support.</p> <p>As part of this Ministers also agreed revised pay policy and procurement controls. The importance of sponsorship and the relationships between sponsors and public bodies is seen as being crucial in empowering public bodies to deliver outcomes. It would be helpful if Sponsor Teams could provide some information, commenting specifically on their experiences from adopting this approach to sponsorship.</p>
<p>12.7 Finance – Does your sponsored body demonstrate financial capability by providing accurate and timely financial monitoring and forecasting information to the</p>	<p>N/A</p>	<p>N/A</p>	<p>Sponsorship Teams and Public bodies should be aware of formal responsibilities they hold over the stewardship of public funds considering; SPFM, Audit Committee Handbook, The Public Sector Internal Audit Standards (PSIAS), Financial Reporting Manual (FReM), and the relevant NDPB Model Framework Document, Budget Allocation and Monitoring Letters. Other requirements relevant to Sponsorship Teams and Public Bodies include:</p>

<p>Scottish Government and do you review financial information and liaise with corporate finance colleagues in line with deadlines?</p>			<ul style="list-style-type: none">• sponsorship teams and public bodies should work closely in overseeing the management and use of public monies• Model Framework Documents should cover the arrangements for funding the body and the conditions attached to the use of those funds• the Accountable Officer and the Board should ensure that the public body has in place appropriate systems to support their financial responsibilities• ensure appropriate systems in place for managing risks and that these are escalated appropriately• check that systems are in place for internal and external audit, an audit committee is in operation and that arrangements are in place for producing a statement on internal control• ensure that arrangements are in place for the body to provide regular high quality budget monitoring and forecast information as required by Financial Management Directorate and with support from Finance Business Partners (or equivalent) review annual accounts• co-operate with any enquiries initiated by the
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			Auditor General for Scotland or by the Public Audit and Post Legislative Scrutiny Committee of the Scottish Parliament
12.8 Finance – Do you have year-end procedures in place to ensure all Annual Accounts returns are completed by your sponsored body in a timely and accurate manner	N/A	N/A	There are various returns due to finance part of the annual accounts process. You should have procedures in place to ensure that information requested can be provided to Finance in an accurate and timely manner. Information requested will be used to ensure income and expenditure are recorded in the appropriate financial year and that any assets or liabilities of the Scottish Government are reviewed and appropriately accounted for. This includes consideration of committed and contingent balances.
12.9 Fair Work - Is your sponsored body an exemplar as a Fair Work employer: demonstrating commitment to fairness through being an accredited Living Wage employer, promoting:-	N/A	N/A	Is your sponsored body an accredited Living Wage employer and if not when does the body envisage this will be reached? For example, you may wish to check if the body is an accredited Living Wage employer; has it got an invest in youth plan with stretching targets to recruit and develop young people (e.g. recruiting Apprentices); runs an employee engagement survey and takes action on the results; works in positive partnership with trades unions. How have you used procurement policies to encourage the living wage and youth employment in

<p>equality, youth employment, engagement and workforce development and working to deliver the Fair Work Convention's Fair Work Framework?</p>			<p>your supply chain?</p> <p>The Equality Action Plan for Apprenticeships aims to ensure that our Apprenticeship family is open to all in our society. You should look to provide some detailed examples of how your sponsored body (as an employer) is taking action to tackle equality issues and any information that it has taken to register as a living wage and/or carer positive employer. Please provide information which will highlight the actions your sponsored body has been doing to support Youth Employment.</p> <p>As an example; a public body organisation is a disability confident employer, carer positive employer, IYP Gold award employer and a Stonewall Top 100 employer. They are ambitious about diversity and inclusion. They encourage applications from the right candidates regardless of age, disability, race, sex, gender identity, sexual orientation, pregnancy and maternity, religion or belief.</p> <p>They may also have published an Apprenticeships Equality Action Plan annual report outlining progress and the focus for activity in 2021-22.</p>
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<p>12.10 Assurance – Regarding Major Investment(s), has your sponsored body engaged with the appropriate authority and recorded all relevant projects with the appropriate authority? If the answer is yes you should provide information of what investments the public body has and</p>	<p>N/A</p>	<p>N/A</p>	<p>Systems should be in place to ensure all business cases are assessed.</p> <p>For all Major Investments as defined in the Scottish Public Finance Manual: a Risk Potential Assessment Form should be completed and submitted to the SG’s Portfolio, Programme and Project Assurance Hub</p> <p>For investment in projects containing an IT or digital elements:</p> <ul style="list-style-type: none"> • integrated Assurance and Approval Plans should be completed for projects by your sponsored body • projects should be registered on the Project Register, held by the Digital Assurance Office • further advice can be found on the Technology Assurance Framework or by emailing Digital

<p>if there is evidence that they have assessed them against the criteria for major investments (including Construction, Infrastructure and IT investments) in the SPFM?</p>			<p>Assurance Office</p> <p>For construction and infrastructure projects:</p> <ul style="list-style-type: none"> • projects should be registered on the SG’s Infrastructure Projects Database if they have an Outline Business Case prepared and a total capital investment of £5 million or more
<p>12.11 Fraud - Does your sponsored body have effective arrangements to counter fraud (including Cyber Fraud), bribery and corruption through a well communicated counter fraud policy, an up-to-date fraud action plan and effective avenues for</p>	<p>N/A</p>	<p>N/A</p>	<p>Processes should be in place to ensure that policies for fraud response are consistent with SG guidance, including a review of current fraud response activity, whilst ensuring robust reporting procedures have been adopted by sponsored bodies.</p> <p>Further information can be found in the Fraud section of the SPFM and the SG Counter Fraud Strategy, Policy and Response Plan and Protecting Public Resources guidance.</p>

reporting suspicions of fraud?			
12.12 Procurement - How does your sponsored body use public procurement to support a green recovery and wider climate and circular economy ambitions through procurement, embedding climate considerations in organisational procurement related activities.	N/A	N/A	<p>See Guidance on Protecting Scotland’s Future Chapter 1</p> <p>Contact procurementcapabilityenquiries@gov.scot (Scottish Procurement and Property Directorate (SPPD)):</p> <ul style="list-style-type: none"> • 0141 242 0229 • 0782 409 7780 <p>A Fairer, Greener Scotland: Programme for Government 2021-22 - gov.scot (www.gov.scot) – Sets out Scotland's ambitions in relation to contribution to climate change, and to restore nature and enhance our climate resilience, in a just and fair way.</p> <p>Scottish Procurement Policy Note (SPPN) 1/2021 - clarifies expectations with respect to climate and circular economy considerations, aligning climate change reporting duties and current procurement policy and legislation which already requires public bodies to consider and act on opportunities to improve environmental wellbeing. This policy note highlights that public bodies should use their public procurement spend to support climate and circular economy ambitions.</p>

			<p>Taking account of climate and circular economy considerations in public procurement: SPPN 1/2021 Sustainable Procurement Tools –These tools have been designed to help public sector organisations identify and address how they can optimise the economic, social and environmental outcomes of their procurement activity.</p> <p>Training - Sustainable Procurement Tools platform includes access to Climate Literacy eLearning, which comprises of 3 modules: The Climate Challenge; Responding to the Challenge; and Taking Action. The demand led product is designed to encourage and assist public bodies to take account of climate and circular economy in their procurement activity.</p>
<p>12.13 Procurement - What measurable improvements has your sponsored body made to contract management?</p>	<p>N/A</p>	<p>N/A</p>	<p>Contact procurementcapabilityenquiries@gov.scot (Scottish Procurement and Property Directorate (SPPD)):</p> <ul style="list-style-type: none"> • 0141 242 0229 • 0782 409 7780 <p>Organisations should build into their contract management activities sufficient checks to ensure suppliers are meeting their contractual obligations. The purpose of Contract and Supplier Management is to work closely with suppliers and internal customers to:</p>

			<ul style="list-style-type: none"> • minimise the total cost of ownership • to maximise Supply Chain efficiencies throughout the life of the contract <p>Further details on Contract and Supplier Management and associated Managing and Improving Performance principles can be found on the Procurement Journey: Contract and Supplier Management Procurement Journey</p>
12.14 Property – how do you ensure your sponsored body plans strategic matters and consults the Property and Construction Division at least six months in advance of any proposed changes or additions to their estate as per SPFM guidance?	N/A	N/A	<p>For example do you ensure your sponsored body plans strategic property matters and; consults Property and Construction Division in accordance with the SPFM guidance when required etc.</p> <p>Contact PropertyandConstructionDivision@gov.scot and PropertyControls@gov.scot</p> <p>Guidance can be found here in sections on property, construction procurement and best value Scottish Public Finance Manual - gov.scot (www.gov.scot) and also here Client guide to construction projects - gov.scot (www.gov.scot)</p>
13. COMPLIANCE			
13.1 Do you have	Yes	FS work to the Organisational Policies as set out by SPA and Police Scotland - dependent	Processes might refer to desk instructions, local

<p>processes in place to ensure compliance with applicable existing, new and updated policies, procedures, laws and regulations – including those referred to separately in this Checklist e.g. the SPFM and any other required Impact assessments outlined on Saltire in relation to Policy Development?</p>		<p>on the process being followed.</p> <p>Operational procedures are dictated by the standard operating procedures in place as managed through the quality management system.</p>	<p>checklists, retention schedules and/or periodic management checks e.g. relating to the existence of statutory authority for expenditure and the holding/provision of information under the Data Protection and Freedom of Information Acts. The level of response should reflect the work of the Division. (Guidance on Data Protection responsibilities and FOI is available on the Intranet.)</p>
<p>13.2 Do you have appropriate arrangements in place to ensure staff are appropriately trained and supported to handle</p>	<p>Yes</p>	<p>FOI and EIR requests are handled corporately by SPA relevantly trained staff. Staff are trained to respond to requests, and the 'Freedom of Information' standard operating procedure published on the intranet provides guidance to other staff in their responsibilities under the legislation to</p>	<p>Processes might refer to desk instructions, local checklists, retention schedules and/or periodic management checks e.g. relating to the existence of statutory authority for expenditure and the holding/provision of information under the Data Protection and Freedom of Information Acts. The level of response should reflect the work of the</p>

FOI and EIR requests in line with legislative requirements?		provide and publish information for FOI and EIR purposes. There are mechanisms in place to escalate and address significant FOI and EIR requests.	Division. (Guidance on Data Protection responsibilities and FOI is available on the Intranet.)
13.3 Are your staff appropriately trained and aware of their Data Protection and information security responsibilities?	Yes	See section 10 for details	Training available for Data Protection and Information Security on Pathways .
14. Review			
14.1 How confident are you about the robustness of your arrangements for reviewing and improving the effectiveness and efficiency of controls in your area, and are you satisfied that controls in your area support your	Yes	<p>Detailed reviews are undertaken by External Audit and Internal Audit on a planned basis with, reporting findings to management and the Audit Committee.</p> <p>There is ongoing review within the business as part of the requirements for compliance with the UKAS accredited ISO17025 standard.</p>	14.1 How confident are you about the robustness of your arrangements for reviewing and improving the effectiveness and efficiency of controls in your area, and are you satisfied that controls in your area support your objectives?

objectives?			
14.2 How confident are you that you have a comprehensive picture (e.g. through an Assurance Map) of the sources of evidence underpinning your assessment of controls?	Yes	Yes, there is a considerable level of feedback through the Forensic Services own quality reporting in addition to feedback provided from both internal and external audit.	14.2 How confident are you that you have a comprehensive picture (e.g. through an Assurance Map) of the sources of evidence underpinning your assessment of controls?
14.3 Where objectives, risks and controls in your area have been subject to independent review, how confident are you that recommendations arising from these reviews have been acted on in a timely fashion?	Yes	<p>Internal audit review current business controls responded to within agreed timeframe. HMICS recommendations are longer term in nature and are still working towards completion.</p> <p>The SPA Internal Audit Plan periodically directly and indirectly reviews processes within Forensic Services and has covered information management incidents in the last year.</p> <p>Recommendations are considered and acted upon as required which are passed down through all audits.</p>	14.3 Where objectives, risks and controls in your area have been subject to independent review, how confident are you that recommendations arising from these reviews have been acted on in a timely fashion?

		FS UKAS accredited processes are subject to annual audit. Recommendations are all acted upon and closed timeously to ensure continued accreditation to ISO 17025 is maintained.	
14.4 Based on the assurances you have of whether your objectives, risk management and internal controls are being met and operating successfully, are there any key areas that would benefit from independent review?	No	<p>The internal audit function is provided via an external provider so is already in place to provide independent review and assurance.</p> <p>Operationally, Forensic Services are re-accredited each year by UKAS which provides independent assurance regarding the quality of the scientific processes.</p>	14.4 Based on the assurances you have of whether your objectives, risk management and internal controls are being met and operating successfully, are there any key areas that would benefit from independent review?
15. Other Issues			
15.1 Apart from the issues raised above, are there any significant control matters or	No		Provide here details of any other control problems, specific to your area of responsibility, which you have encountered during the year.

contentious issues arising in your area which could impact or adversely affect the signing of the Scottish Government Governance Statement by the Perm Secretary?			
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