

Meeting	Audit, Risk and Assurance Committee
Date	15 September 2022
Location	By video-conference
Title of Paper	SPA Audit and Improvement Recommendations Update
Presented By	John McNellis, Head of Finance, Audit & Risk
Recommendation to Members	For consultation
Appendix Attached	Appendix A - SPA Business Plan – Q1 Progress Summary Appendix B - SPA audit and inspection recommendations

PURPOSE

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

- progress against the SPA business plan (2022/23);
- open recommendations from all SPA corporate audit and inspection activity; and
- progress on delivery of recommendations from the FS data security audit

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

1. BACKGROUND

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

2. FURTHER DETAIL ON THE REPORT TOPIC

Part i) SPA business plan progress (Appendix A)

- 2.1 The business plan has seven priorities with 34 objectives aligned the priorities. Internally SPA set 165 underpinning milestones to support tracking against delivery of the objectives. These milestones allow the SPA to track and evidence progress towards achieving each priority which is reported quarterly to ARAC.
- 2.2 Of the 165 milestones the majority are on track or have been completed with 10 (6%) having been re-phased and 3 (2%) having been delayed. All of these re-phased or delayed milestones are expected to be delivered within the current financial year.

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

- 2.3 HMICS published their assurance review of Police Scotland Strategic Workforce Planning on 2 August. This included four recommendations for SPA. Three joint with Police Scotland and one joint with Scottish Government and Police Scotland. Action plans to address the recommendations will be developed in collaboration with Police Scotland and Scottish Government.
- 2.4 One recommendation, joint with Police Scotland, from the HMICS Thematic Inspection of Hate Crime has been discharged.

3. FINANCIAL IMPLICATIONS

3.1 There are no specific financial implications associated with this paper.

4. PERSONNEL IMPLICATIONS

4.1 There are no personnel implications associated with this paper.

5. LEGAL IMPLICATIONS

5.1 There are no legal implications associated with this paper.

6. REPUTATIONAL IMPLICATIONS

6.1 There are no reputational implications associated with this paper, however there are potential reputational implications associated with the pace and effectiveness with which the recommendations are addressed.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this paper.

8. COMMUNITY IMPACT

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

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications associated with this paper.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications associated with this paper.

RECOMMENDATIONS

Members are requested to note the updates provided.

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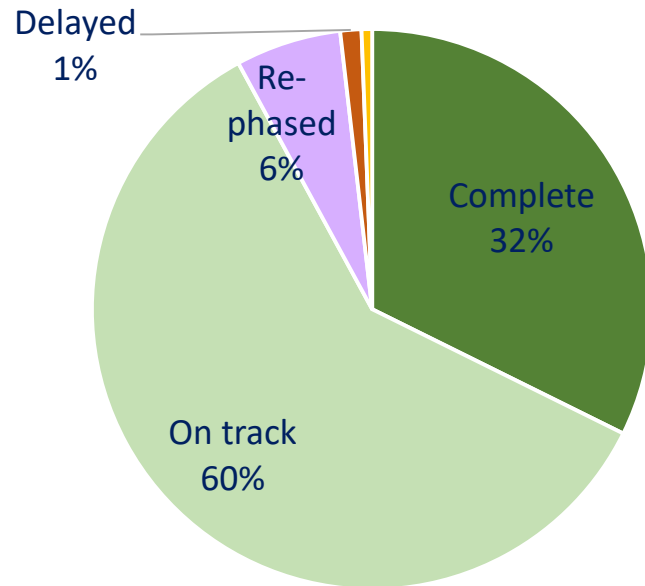
Appendix A

SPA Business plan progress

September 2022

Business plan progress summary

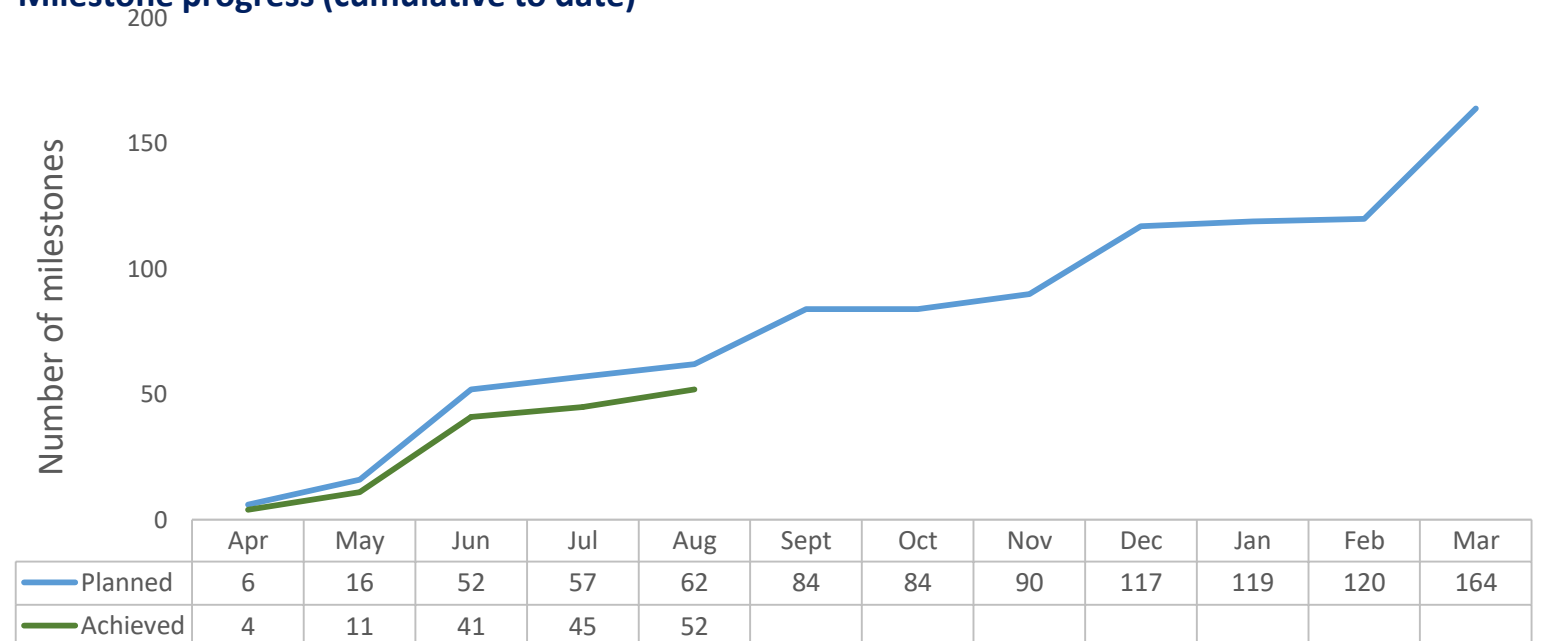
Overall business plan progress



- The Authority's [Business Plan for 2022-23](#) sets out 7 priorities for the year.
- Each milestone is underpinned by 34 objectives and a further 165 milestones will be tracked to support performance reporting and delivery of these priorities / objectives.
- This update reflects **progress** against the **quarter two** reporting period to August. The underlying detail is monitored by SPA officials and the SPA SMT
- The SPA has achieved or is on track for the majority of milestones (91%). Further detail on priorities with delayed, re-phased or closed milestones are shown on the following pages.
- At this time, of those milestones re-phased or delayed, all are expected to be **delivered within the current financial year**.

Priority	No. of Objectives	No. of Milestones	Current status				
			Complete	On track	Re-Phased	Delayed	Closed
1. Public trust / confidence	4	15	7	7	1	0	0
2. Core Service Excellence	6	23	8	10	4	0	1
3. Best Value	9	40	13	24	1	2	0
4. Statutory and Public Body Duties	5	36	11	24	1	0	0
5. Engagement and Communication	2	12	0	12	0	0	0
6. Digital Presence / Information	2	8	0	7	1	0	0
7. Our People	6	31	14	14	2	1	0
Totals	34	165	53	98	10	3	1
%			32%	59%	6%	2%	1%

Milestone progress (cumulative to date)



Movements in milestones

- The following pages provides further detail by exception of milestones that have been re-phased, delayed or closed.
- Out of a total of 165 milestones:
 - **10 (6%)** have been **re-phased**, i.e. milestones proactively re-profiled (e.g. due to re-phase of interdependent activity, re-phased external timelines);
 - **3 (2%)** are **delayed**, i.e. milestones not delivered by original target date due to internal pressures (e.g. absence, resource challenge);
 - **1 (1%)** is **closed**, i.e. milestone no longer appropriate.

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

Movements in milestones *(continued)*

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
2.6	Work with key stakeholders to improve our framework, capability and toolset for long-term sustainable financial planning , while continuing to effectively support and oversee the budgeting and allocation of resources on a strategic and demand-led basis.	1 – Re-phased 1 - Closed	<p><u>2.6.1 Support Police Scotland Finance and SPA with analysis and reporting on SG Revenue Spending Review and implications on financial strategy.</u> Updated budget strategy to be presented to Resources Committee and Board in Sep/Oct 2022 - though long term financial strategy is unlikely to be prepared by PS as envisioned due to RSR. Work will be ongoing to support the RSR till March 2023 including supporting Members via the budget scrutiny group. SPA finance are in regular discussion with PS finance colleagues. Target date tracking: June-22; March-23</p> <p><u>2.6.2 Review and assess Police Scotland long term financial planning framework and feedback to Police Scotland and Members / AO.</u> Following the RSR the expected review of the long term financial planning framework has been postponed. The focus is on the RSR and the four year outlook its sets out. This action is being captured at 2.6.1.</p>
3.4	Conclude the Review of the Independent Custody Visiting Scheme and develop a supporting improvement plan for delivery.	2 - Delayed	<p><u>3.4.2 ICVS Vision created.</u> Target date tracking: April-22; September-22</p> <p><u>3.4.3 ICVS Improvement Plan created.</u> Target date tracking: May-22; September-22</p> <p>Staff absence and a busy period for ICVS with the Annual Conference and submission of the annual report to PPC has meant this work has been delayed. These milestones will be completed in Q2. To give members assurance a draft vision statement has been produced. Key next steps will be to discuss with the Vice Chair and circulate to Visitors for comment.</p>
3.7	Work with strategic partners to promote and support a collaborative policing approach to wider public sector service redesign.	1 – Re-phased	<p><u>3.7.1 Support development of Mental Health governance and demand work.</u> PS requested a delay in reporting of this work to PPC, now scheduled for September 2022. Target date tracking: July-22; October-22</p>

Movements in milestones *(continued)*

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
4.3	Deliver the SPA Corporate Parenting Plan and embed a coordinated approach to assuring the rights of children and young people are taken into account in decision-making.	1 – Re-phased	<p>4.3.2 <u>Carry out roundtable with care experienced young people to understand how policing services impact their lives.</u></p> <p>This action has evolved as discussed and developed. There will now be a series of work and events focussed on Children's interaction with Police Scotland. The theme of care experience will be a focus in this activity. Upcoming events:</p> <ol style="list-style-type: none"> 1) CYP Interaction with Police Scotland Report due for presentation at Authority in Q3. 2) Children in Custody Event with Chief Social Work Officers 15th November 2022 3) CYP Biometrics Review November 2022 - March 2023 4) SPA Officers continue to engage and seek the views of care experienced young people through engagement with the Stirling Champions Board . <p>Target date tracking: August-22; March-23</p>
6.1	Develop and implement an improved approach to our digital presence and information accessibility.	1 – Re-phased	<p>6.1.4 Launch a new SPA website which fully complies with accessibility guidelines and with supporting communications plan.</p> <p>Expect to be testing the site with internal and external stakeholders from mid September</p> <p>Target date tracking: September-22; October-22</p>
7.1	Develop the SPA People and OD Plan for CEO approval and progress its implementation throughout the year.	2 – Re-phased	<p>7.1.1 We will develop and deliver GDPR and Information Security Training via Moodle and in person. Training is now fully completed and on Moodle. It is undergoing final checking with LTD and is expected to be pushed out shortly.</p> <p>7.1.2 We will deliver and launch an Information Management Handbook encompassing the key areas from IM policy and procedures.</p> <p>Handbook will be revised into a IM quick reference guide. Engagement is ongoing with staff on requirements and the guide is expected to be completed by end of Q2.</p>

Movements in milestones *(continued)*

#	Business plan objective	No of milestones re-phased or delayed	Milestones and update
7.3	Support the Chair and Vice Chair in developing a programme of development for Authority Members both individually and as a team.	1 - Re-phased	7.3.1 Evaluate if there is any requirement for finance training or refresher training for SPA Board. Not yet undertaken engagement with members to evaluate requirement.

Definitions:

Complete - milestone met within planned target date

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

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

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

Closed – milestone no longer appropriate.

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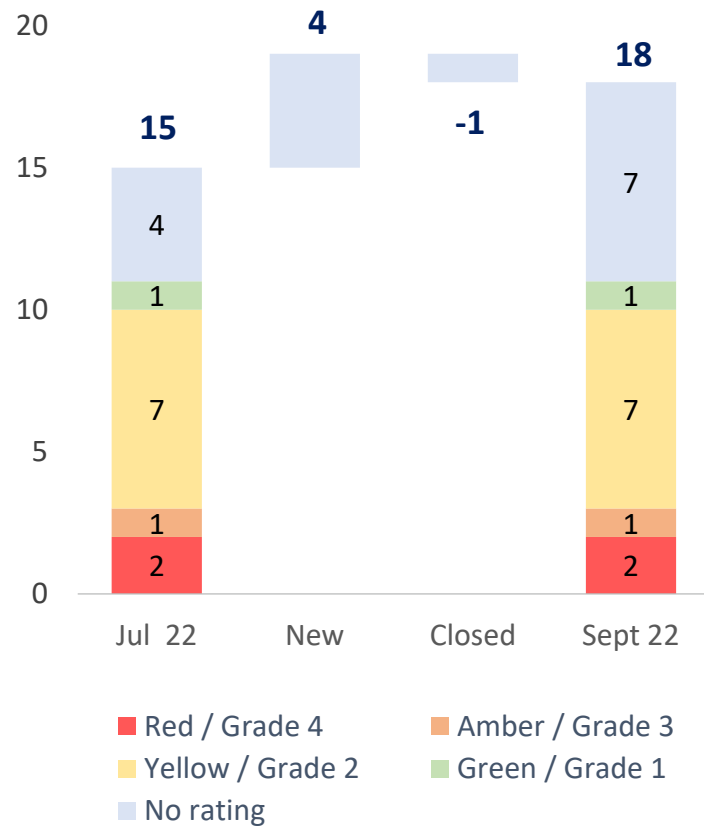
Appendix B

SPA audit and inspection
recommendations update

September 2022

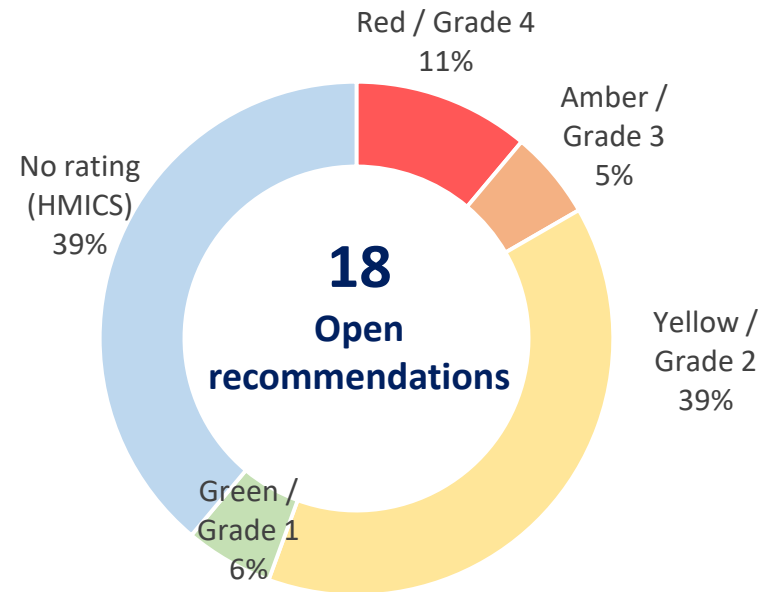
SPA audit and inspection dashboard

Progress update (number of SPA recommendations)



- Four new recommendations relate to joint SPA, Police Scotland and Scottish Government findings from the HMICS assurance review of Strategic Workforce Planning.
- The next page provides further detail of the SPA's tracking of actions against their agreed completion date.

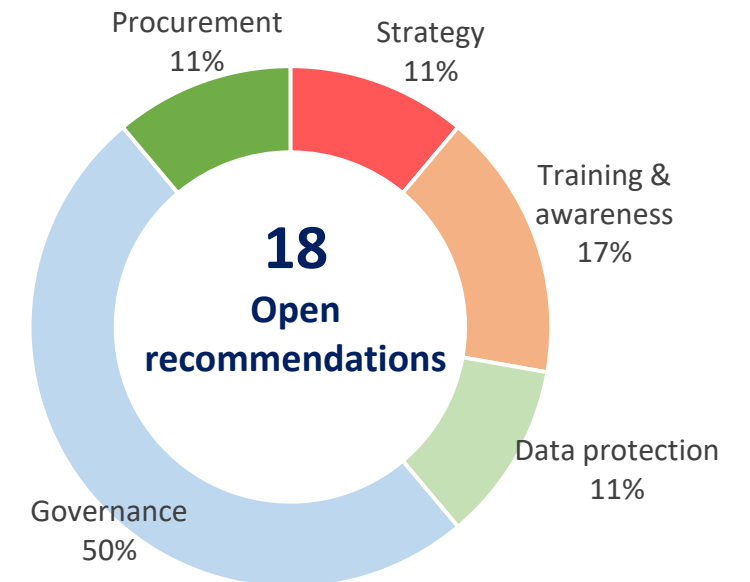
RAG analysis



Note: the recommendations without a rating are HMICS. HMICS do not rate their recommendations and the SPA is considering self-assessing the priority of future HMICS recommendations.

- The biggest proportion of recommendations are actions from HMICS – four new and three existing recommendations and yellow (grade two) category, which indicates moderate risk exposure.
- There are two outstanding red (grade four) recommendations, indicative of very high risk exposure. These relate to the ICO audit of the SPA and will be discharged by the completion of a s83 data sharing agreement between the SPA and Police Scotland. This is now in its final stage of completion and is anticipated to be finalised shortly.

Identified theme



- All audit and inspection recommendations are recorded on a central SPA tracking document. This allows SPA to review and identify themes across reports and inspection bodies which may help our analysis and continuous improvement.
- Governance accounts for the largest proportion of improvement actions (50%). Current open recommendations have primarily arisen from HMICS (7) reports and ICO (9).

Further detail on progress

Movement since previous ARAC report

	July 2022	New	Complete	Sept 2022
Internal Audit	2	-	-	2
Audit Scotland	0	-	-	0
HMICS	4	4	(1)	7
ICO	9	-		9
Total	15	4	(1)	18
<i>Internal audit – FS data security</i>	2	-	-	2

Actions completed in current financial year and outstanding

	Actions completed (since Jul 22)	Actions outstanding (Sept 22)	Actions outstanding:	
			On target	Overdue
Internal Audit	-	2	1	1
Audit Scotland	-	-		
HMICS	1	7	7	
ICO	-	9	4	5
National Records of Scotland	-	-		
Total	1	18	12	6

Complete actions

- Recommendation no 11 from the Thematic Inspection of Hate Crime has been discharged by HMICS.

New actions

- Four new actions have been allocated to SPA since the ARAC in July 2022 from the HMICS assurance review of Police Scotland Strategic Workforce Planning.

Overdue actions

- Internal audit: There is one overdue actions from the Data Protection Internal Audit relating to training which requires the use of moodle to deliver staff training.
- ICO: There are five ICO recommendations overdue. Below indicates current timescale expectations to discharge the remaining overdue ICO recommendations.

	No of Open Recs	Revised Target Date	Notes
Section 83	2	Sep 22	The discharge of these actions is not within the full control of SPA. An updated agreement has been agreed between the SPA and Police Scotland. It has now been signed by the Chief Executive and is currently with Police Scotland to countersign.
Training	3	Dec 22	The training package is fully developed and is in the final stages of being approved for release allowing the training to be delivered to staff. Roll out of training will commence shortly and be completed by Dec 22.
Total overdue	5		