

Meeting	Audit, Risk and Assurance Committee
Date	15 July 2021
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 progress Appendix B - SPA audit and inspection recommendations

PURPOSE

To provide the Audit, Risk and Assurance Committee (ARAC) with an update on the progress against the SPA corporate business plan (2021/22) and open recommendations from all SPA corporate audit and inspection activity.

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

1. BACKGROUND

- 1.1 The SPA annual business plan (2021/22) was approved by the Board in May 2021. The plan outlines six strategic outcomes with 25 underlying priorities.
- 1.2 The SPA has internally developed a single audit and improvement recommendations tracking document. This is used to collate all recommendations, including accountability for delivery, target completion date and progress. In addition, the SPA has classified all recommendations by priority/ risk and theme (eg governance, data protection, finance, health & safety, etc).
- 1.3 Both progress against the business plan and all recommendations are routinely reported to ARAC. SPA has continued to evolve its reporting of progress with new and additional dashboard information.
- 1.4 In addition, other committees may also consider specific updates on progress where relevant to their terms of reference.

Reporting to other committees

Committee	Detail	Date / frequency
Forensic services committee	Update on implementation of the improvements set out in HMICS Thematic Inspection of the SPA Forensic Service	Quarterly ongoing
Complaints & conduct committee	During the committee meeting in March 2021 a high level action plan following publication of the final report 'Review of Complaints Handling and Misconduct Issues in Relation to Policing' was shared. A more detailed Action plan was shared in May, including progress to date. Governance and reporting arrangements for the detailed action plan were also covered within the paper.	March and May 2021

2. FURTHER DETAIL ON THE REPORT TOPIC

Part i) SPA business plan progress (Appendix A)

- 2.1 The business plan has six strategic outcomes with 25 underlying priorities for 2021/22. Internally the SPA has set a further 126 underpinning milestones. These milestones allow the SPA to track and evidence progress towards achieving each priority.
- 2.2 At the end of quarter one, of the 126 milestones:
- o 18% (22) have been achieved;
 - o 80% (101) are on track; and
 - o 2% (3) have been delayed.
- 2.3 Progress against achieving milestones is closely monitored and tracked by the SPA strategic business management team.
- 2.4 An overview of progress to date is provided at **Appendix A - SPA business plan progress**.

Part ii) SPA audit and inspection recommendations

- 2.5 Since the last update to ARAC in May HMICS have published three reports. There are a total of six recommendation's arising from these reports for the SPA - two are solely for the SPA to address and the others are jointly to be addressed with Police Scotland.
- 2.6 Three recommendations from internal audits data protection audit have been closed.
- 2.7 Progress is being made with other findings with two HMICS recommendations currently with HMICS to consider closing and the majority of other recommendations on target (28 recommendations). There are a further five recommendations overdue. Action is being taken on each overdue action of which the four overdue ICO actions are expected to be completed soon.
- 2.8 ICO has also recently published a report on "mobile phone extraction in Scotland". SPA and Police Scotland have recently received the report and will discuss the findings with ICO. The findings from this report have not yet been included in this update. Further detail will be provided to the September ARAC.

3. FINANCIAL IMPLICATIONS

3.1 There are no 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 update on progress of SPA business plan and audit / improvement recommendations.

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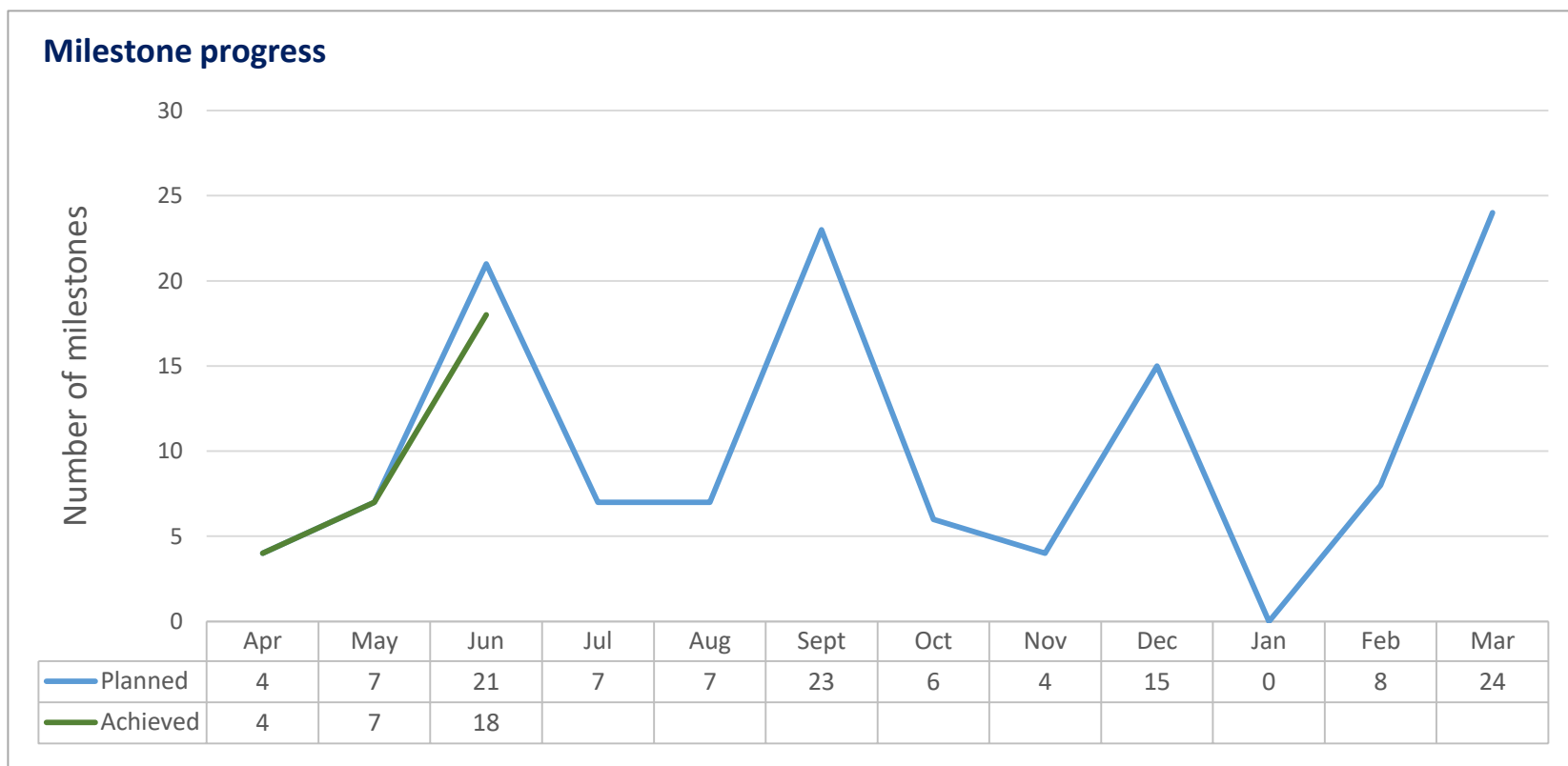
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Appendix A –
SPA Business Plan Progress
July 2021

SPA business plan – progress summary

SPA Strategic Outcomes	No. of Priorities	No. of Milestones	Current status at June 2021		
			Complete	On track	Delayed
1. Communities and partners	4	20	2	18	0
2. Public interest and confidence	8	54	20	33	1
3. Partner collaboration	3	11	0	11	0
4. Resourcing requirements	5	17	0	17	0
5. Workforce	3	11	0	9	2
6. Decision making, scrutiny and reporting	2	13	0	13	0
Total	25	126	22	101	3
%			18%	80%	2%

- Business plan priorities are organised under the most appropriate corporate plan outcome and a number of milestones underpin each priority in order to evidence progress throughout the year.
- Each milestone has an agreed measure of success using the SMART approach (specific, measurable, achievable, realistic and time bound).
- A summary of progress against the business plan priorities to June 2021 (quarter one) is shown.
- In addition the line graph breaks down how the 126 milestones are anticipated to be achieved over the financial year as well as actual progress to date. The underlying detail is monitored by SPA officials and the SPA senior management team.
- The SPA has achieved or is on track for the majority of milestones (98%). Further detail on the three delayed milestones is provided on the next page.



Delayed milestones

There are three delayed milestones. Further detail on these and the actions being taken to address the issue is outlined below.

Whilst there are delays each of three milestones are still anticipated to be completed in the current financial year.

SPA strategic outcome	Business plan priority	Update
2. Public interest and confidence	2.2 Review and improve the content and accessibility of SPA website and digital presence to ensure the Authority's oversight and activities are effectively communicated through proactive use of the SPA Model Publication Scheme.	<p>Two procurement exercises have been conducted to identify an external supplier to support, review and improve accessibility and navigation of the SPA website.</p> <p>To date, no bids have been received. Work is ongoing with procurement understand and learn from this issue and subsequently refine the request with a revised timescale.</p>
5. Workforce	5.1 Influence and seek assurance on the development of a new People Strategy , and on the development and effective implementation of a corresponding 21/22 Delivery Plan, ensuring clear reporting against planned timescales for completion of agreed deliverables, and demonstrating evidence of impact of completed actions against strategic outcomes (particularly in respect of equality, diversity and inclusion; strategic workforce plan implementation; and leadership development).	The development of the new People Strategy is progressing at a slower pace than anticipated and Police Scotland now intend to present the new People Strategy to the People Committee in November 2021.
5. Workforce	5.2 Working with Police Scotland, Scottish Government and Staff Bodies, ensure approaches to workforce pay and benefits are aligned to strategic objectives in relation to wellbeing, diversity and capacity to improve the delivery of policing to the public.	Discussion and negotiation on the 2020/21 pay deal for officers and police staff remain ongoing through respective formal negotiating forums.

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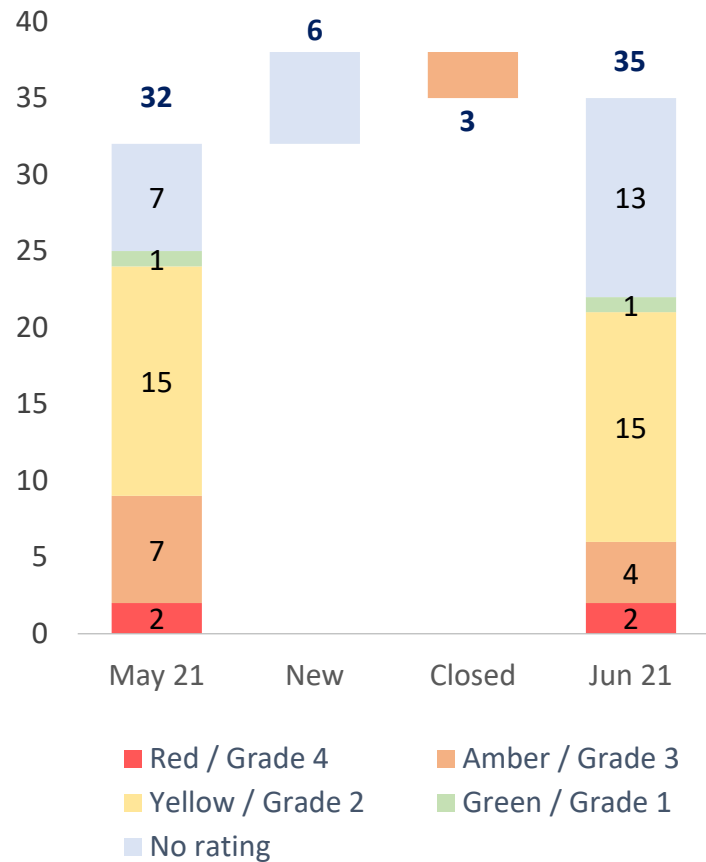
Appendix B

SPA audit and inspection recommendations update

July 2021

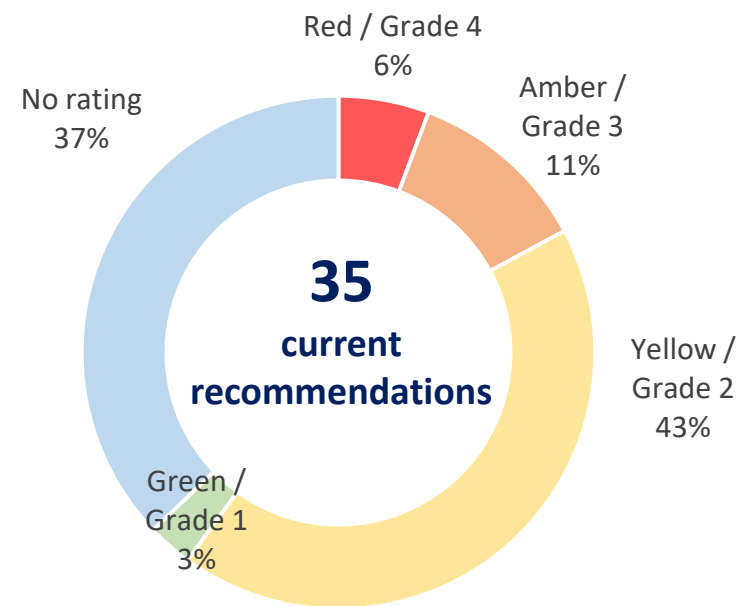
SPA audit and inspection dashboard

Progress update (number of SPA recommendations)



- Six new recommendation relate to recently published HMICS reports.
- Three recommendations have been closed related to internal audit data protection findings.
- The next page provides further detail of the SPA's tracking of actions against their agreed completion date.

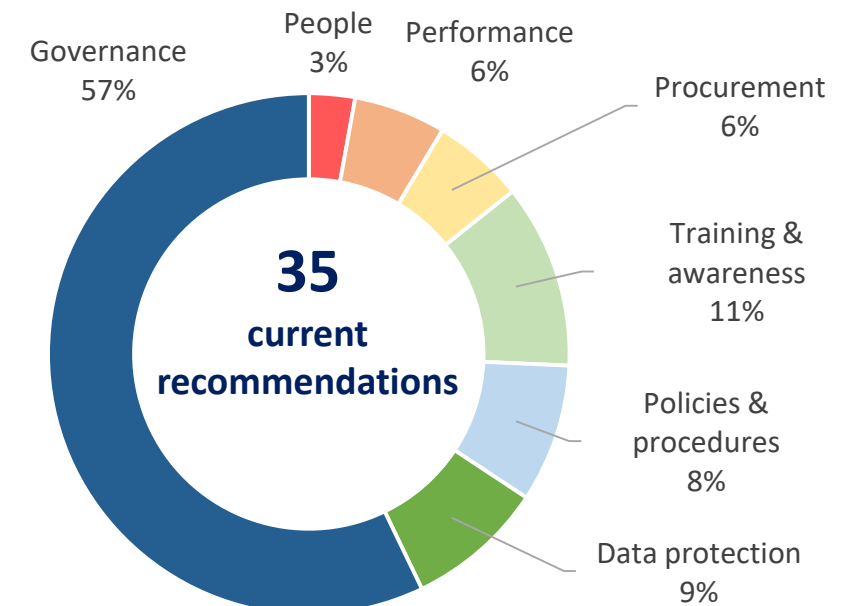
RAG analysis



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 largest proportion of actions fall into the yellow (grade 2) category, which indicates moderate risk exposure.
- There are two outstanding red (grade four), 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. The agreement has been prepared and is with Police Scotland to review and approve. The target date for completion is 30 September.

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 (57%). Recommendations have primarily arisen from HMICS reports and ICO. This highlights a continued need for SPA to ensure public scrutiny and accountability which is a theme of the SPA business plan.
- Underlying the themes of: training, policies/procedures and data protection illustrates the challenges of the last 18 months with incomplete staff structures and COVID-19 demands such that some actions were not able to be processed. Additional staff are in post and are being recruited that are working to addressing outstanding issues.

Further detail on progress

Movement since previous ARAC report

	May 2021	New	Complete	July 2021
Internal Audit	7	-	(3)	4
Audit Scotland	1	-	-	1
HMICS	7	6	-	13
ICO	15	-	-	15
National Records of Scotland	2	-	-	2
Total	32	6	(3)	35

Actions completed in current financial year and outstanding

	Actions completed (since 1 April)	Actions outstanding (at 30 Jun)	Actions outstanding:		
			On target: with HMICS for closure	On target	Overdue
Internal Audit	5	4	-	4	0
Audit Scotland	0	1	-	0	1
HMICS	0	13	2	13	0
ICO	0	15	-	11	4
National Records of Scotland	0	2	-	2	0
Total	5	35	2	28	5

Complete actions

- Internal audit: three recommendations from the data protection audit have been closed. These relate to: compliance with data incident management, reporting process for security incident and subject access requests.

New actions

- All new actions relates to three HMICS reports published during June 2021. Action plans are being developed in coordination with Police Scotland.
- An update at agenda item 4b provides further detail on the progress of all HMICS recommendations.

Overdue actions

- Audit Scotland: one overdue action relates to the review of committee agenda and papers (original target April 2021). Work has been progressed for papers to ARAC and Resources Committee in conjunction with Police Scotland. Further work is required to address the action which will require joint working with Police Scotland and revised target date requires to be agreed.
- ICO: the four overdue actions relate to data protection and information security training. A moodle online training package has been developed to discharge these actions. This will be mandatory training for SPA staff including an online assessment with records of completion. The training is now ready and SPA is currently working with Police Scotland to deploy the training on the online system.

Other comments

- National records of Scotland: at the May ARAC Members discussed a long standing action related to agreeing a data sharing agreement with Police Scotland. The Chief Executive has now signed the data sharing agreement which is currently with Police Scotland to counter sign.
- Although progress for some areas may appear static, there is a lot of work ongoing to progress the actions of which some have been incorporated into SPA business plan objectives. The SPA's revised recommendations tracking document and newly appointed risk and assurance officer are also helping to focus on the completion of actions.