

Agenda Item 7

Meeting	SPA Complaints and Conduct Committee	
Date	06 June 2024	
Location	Video Conference	
Title of Paper	HMICS Assurance Review of Vetting – Improvement Plan	
Presented By	Assistant Chief Constable Stuart Houston, Professionalism and Assurance	
Recommendation to Members	For Discussion	
Appendix Attached	Appendix A – 20240315 Vetting Improvement Plan - HMICS	

PURPOSE

The purpose of this paper is to furnish the SPA Complaints and Conduct Committee with Police Scotland's Improvement Plan to address the recommendations contained within the recent *HMICS Assurance review of vetting policy and procedures within Police Scotland* report, published on 03 October 2023.

Members are invited to note and discuss the contents of the paper.

OFFICIAL

1. BACKGROUND

On 03 October 2023, His Majesty's Inspectorate of Constabulary in Scotland (HMICS) published a report following a review of Police Scotland's vetting policy and procedures.

The aim of the review was to assure the quality of vetting and renewals and whether these effectively identified potential misconduct, risk or vulnerability. With recent high-profile cases of police officers abusing their positions vetting, is an integral part of the process to identify individuals who are unsuitable to work within policing. The review focussed on Recruitment and Management vetting of officers and staff either being recruited by or those already working within Police Scotland.

HMICS considered the history of vetting in Scotland in the years prior to the creation of Police Scotland in 2013. It reviewed vetting case files of officers and staff over a 4-year period between 2019 and 2022 as well as examining guidance and policy which currently provide the basis for vetting in Police Scotland.

2. RECOMMENDATIONS AND ACTION PLAN

The report contains 15 recommendations and identifies areas for development to improve Police Scotland's vetting of its officers and staff and subsequent identification and management of risk. The report also highlights examples of good practice within the Force Vetting Unit.

The Improvement Plan containing all the actions and relevant timescales is attached at Annex A.

A progress update on all the actions can be brought back to the Committee at regular intervals.

3. FINANCIAL IMPLICATIONS

3.1 There are no financial implications in this report.

4. PERSONNEL IMPLICATIONS

4.1 There are no personnel implications in this report.

5. LEGAL IMPLICATIONS

5.1 There are no legal implications in this report.

6. REPUTATIONAL IMPLICATIONS

OFFICIAL

6.1 There are no reputational implications in this report.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications in this report.

8. COMMUNITY IMPACT

8.1 There are no community implications in this report.

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications in this report.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications in this report.

RECOMMENDATIONS

Members are requested to note the contents of the paper and to discuss the Action Plan.

HMICS Assurance Review of Vetting Policy and Procedures within Police Scotland

Recommendation	Management Response	Action to be taken	Key	Current Target
Recommendation 1 - The	This recommendation is largely outside of the control of Police Scotland. We are liaising with colleagues within the Police Division of the Scottish Government to collaborate and explore the opportunities to place vetting and the requirement to attain and maintain same on a statutory footing. We are also querying whether it would be appropriate to include an amendment to the Police (Ethics, Conduct and Scrutiny) Bill which will shortly be entering Stage 2 of the legislative process. It is currently at Stage 1. We will continue regular meetings and dialogue with Scottish Government colleagues.	1. Ongoing liaison with Scottish Government. 2. Explore opportunities within current Conduct or Performance Regulations whereby a FVU decision to remove vetting clearance could result in Gross Misconduct proceedings being instigated. 3. Liaise with and continue to monitor the progress of the Metropolitan Police Service's Operation Assure - a new	Review relevant stages of the Police (Ethics, Conduct and Scrutiny) Bill to look for opportunities to amend the	1. 31/12/2024.
Recommendation 2 - Police Scotland should undertake an urgent review to ensure that all officers and staff have been subject to at least Recruitment Vetting.	As was noted within the report, current vetting practices are conducted to a good standard. All police officers, police staff, contractors and service providers are vetted in line with UK standards. Whilst there was a difference in vetting practices and recording within legacy police forces prior to the creation of Police Scotland, it must be stressed that all forces did operate vetting procedures and all officers and staff were subject of vetting on appointment. DCC Professionalism, Strategy and Engagement reiterated this position at the SPA's Complaints and Conduct Committee meeting on 14 November 2023. In addition, over 5,000 officers and staff within Police Scotland are vetted to a higher level which are subject to annual reviews. Following the announcement made by the Home Secretary, that all police officers, staff and volunteers in England and Wales are being checked against the Police National Database (PND). Police Scotland recognised the importance of the aforesaid announcement and how it may impact on their organisation and the requirement for the public to have trust and confidence in the police service, particularly following recent convictions, court cases and misconduct allegations involving serving officers. As a result, Police Scotland progressed a Historical Data Wash (HDW) to identify any intelligence or allegations that needed further investigation. Police Scotland's Anti-Corruption Unit led not the exercise along with the Force Vetting Unit, and a review of its (then) 23,472 employees (Police Officers, Members of Police Staff and volunteers) was carried out. This consisted of a check on PND and cross check of Police Scotland's internal Interim Vulnerable Persons Database (IVPD). A large volume of data was returned and any matters that required further assessment, a further deep dive took place. No significant matters were uncovered that the force were not already aware of. As a result of the HDW checks, there were no instances whereby an officer or member of staff had been criminally invest	1.Produce report from Domestic Circumstances review to highlight best practice, learning and recommendations. 2.Develop and implement Red, Amber and Green (RAG) status risk management and mitigation model for ACU review. 3. Consider alignment of PS vetting approach and guidance with the Approved Professional Practice for Vetting. 4. Continue with back record conversion of historic and legacy vetting files.	Complaints and Conduct Committee.	1. 30/06/2024. 2. 30/05/2024. 3. 30/11/2024. 4. 31/01/2025.
Recommendation 3 - Police Scotland should introduce a programme so that officers and staff who hold only Recruitment Vetting are re vetted at least every 10 years.	National Security Vetting (NSV) clearance - are exempt from the requirement, as there are separate arrangements in place for the renewal of these types of clearance. Work is ongoing to develop a policy to support this work which includes benchmarking against other UK police forces. Police Scotland are taking full cognisance of the points raised by HMICS regarding introducing renewals on a 10 year basis.	1. Liaise with legal services and the College of Policing on whether Police Scotland can adopt the Authorised Professional Practice (APP) on Vetting for England and Wales to replace the Vetting Manual of Guidance. 2. Develop programme/approach to 10 year vetting renewals in consultation with Scottish Police Federation (SPF) and Trade Unions - UNISON and Unite.	RV Renewals Draft Policy:-(i)Presentation at	1. 30/04/2024 2. 31/07/2024.

Recommendation 4 - Police	The Force Vetting Unit accepts that the guidance and processes in relation to granting conditional vetting clearances ("conditional postings") is not well	Develop detailed guidance to be added to	1. Publication - Vetting	1. 30/11/2024.
Scotland should ensure it has in place clear policy and robust	considered or clear. As part of the annual review of the Vetting Manual of Guidance, a detailed section will be added to give vetting staff guidance on how to consider when a conditional posting might be appropriate / not appropriate and the factors they will require to consider. There is no provision for	the Vetting Manual of Guidance in the November 2023 review cycle.	Manual of Guidance annual	2. 30/11/2025
processes for the granting of Conditional Vetting Clearance,	this within the APP for Vetting for England and Wales however enquiries have been made with the Ministry of Defence, British Transport Police and Civil Nuclear Constabulary to ascertain whether these forces have a similar process given their UK-wide jurisdiction. We are also developing a process of	Development of a process to notify	2. Review impact of change	3. 30/04/2024.
including the ongoing management of identified risk.	notification and management, which will ensure that conditional postings, when granted, are notified to the relevant teams - recruitment, professional standards and HR - to ensure this is reflected on the officer's record. ACU will also be notified to ensure ongoing management of identified risk, which may also include liaison with the officer's divisional management.	relevant teams when a conditional posting is granted and teams who are required to be involved in the ongoing management of	during annual amendment cycle.	4. 30/04/2024.
		identified risk.	3. Publication of internal Conditional Postings	
		3. Liaise with SCoPE management team to explore the feasibility of adding marker to SCoPE, the Force's HR system, to ensure management and identification of a	Process document, socialisation with relevant teams.	
		conditional posting is easier.	Results of feasibility discussion with SCoPE management team.	
Recommendation 5 - Police Scotland should as a matter of		Phase 1 - Develop list of all posts across the force, by division.	1. List of all posts across the force - phase 1.	
to the identification of designated	each and every post to ensure that they have the correct levels of vetting based on the requirements of the role. This first phase includes all posts to ensure the force has a comprehensive list of every post. The second phase is to take those posts which require MV clearance and create a new Designated Posts list. This list will be reviewed annually. The third and arguably most important phase is to ensure individuals within a designated post	Phase 2 - Review posts which are designated, using existing and new	2. List of designated posts	 31/05/2024 31/08/2024
require working with vulnerable	have the correct level of vetting clearance. As part of the first phase, this will include a review of any posts which are currently not designated but should be i.e. posts that require working with vulnerable people. Any changes to the definition of a designated post will be amended in the Vetting Manual of Guidance.	guidance and create new force Designated Posts list which will be reviewed annually.	3.Results of vetting clearance review.	
реоріс.		Phase 3 - Ensure all individuals who occupy a designated post carry the correct levels of vetting clearance.	oleanance review.	
Recommendation 6 - Police Scotland should have clear policy	Whilst Police Scotland are confident there is sufficient guidance available to those who hold Management Vetting (MV) and National Security Vetting (NSV) clearances regarding the requirement to report changes to their personal circumstances, it is accepted there is a lack of guidance for all other	A new process concerning changes in personal circumstances for all staff and	1.Change of Circumstances form for staff and officers.	1. 30/04/2024.
		officers to be developed in consultation with PSD and P&D to ensure staff and officers		2. 30/04/2024.
and staff to report relevant changes of their personal circumstances.		are encouraged to complete the form if reporting changes to line managers / heads of department.		3. 30/11/2024. 4. 30/11/2025.
		2. Develop communications to remind all staff and officers that they must notify the FVU about relevant changes to their personal circumstances. A list of relevant but non-exhaustive changes in	Review impact of change during annual amendment cycle.	
and supporting processes requiring all officers and staff to report any off-duty criminal charge, conviction or offence.	There is a guidance that all officers and staff must report off-duty criminality, whether charged, convicted or otherwise however it is accepted that the process for reporting matters is not well known or familiar to all officers and staff. The guidance is contained within The Police Service of Scotland	circumstances will be included. 1. Develop reminder via corporate comms and intranet to all staff and officers that they must report such matters to the PSD	Intranet communications.	30/04/2024.
	Police officers behave in a manner which does not discredit the police service or undermine public confidence in it, whether on or off duty. Police officers report any action taken against them for a criminal offence, any conditions imposed on them by a court or the receipt of any penalty notice.	Gateway Unit / P&D. 2. Review of reporting to the FVU and		
	For police staff, Section 8 of the Code of Conduct - Notification of Criminal Offence/Investigation:	consideration of vetting review.		
	You must notify the organisation immediately if you become aware that you are the subject of any criminal investigation by the police or any other law enforcement/reporting agency. If you find yourself subject to such an investigation you must advise the police or law enforcement/reporting agency that you are employed by the Scottish Police Authority/Police Scotland. Similarly, if you are charged, reported or convicted of a criminal offence you must immediately notify the organisation of this through your line manager.			
	Police Scotland are content there is sufficient guidance available to all staff and officers however clearer guidance on the process for reporting will be developed			
	1	<u> </u>	I	L

December detice 0 Delle-	It is accorded there is no formal policy on an invite the vertice along one of the second of the sec	4 Fetablish formal process for sevices	4 Formel program and the	4 20/04/2024
Scotland should have a policy in relation to reviewing the vetting	It is accepted there is no formal policy on reviewing the vetting clearances of officers or staff following misconduct proceedings. This gap was recognised at the end of 2022 when the HMICFRS Inspection of Vetting, Misconduct and Misogyny in the Police Service report was published. As a result of this, an informal pilot process was developed between the PSD Conduct Unit and the FVU. Initially the process worked well however as it was not formally documented, it is not as robust as it could be. A formal process which will be referenced in the Vetting Manual of Guidance will be developed. This will also be developed with People and Development to include police staff.	vetting clearances with additional guidance included in Vetting Manual of Guidance and existing Disciplinary/Misconduct SOPs for both staff and officers	2. Vetting Manual of	1. 30/04/2024. 2. 30/11/2024. 3. 30/11/2025.
	It is appreciated that the current Vetting Manual of Guidance does not allow all levels of vetting clearance to be refused, suspended or withdrawn and there is no provision for review of suitability to continue to hold RV clearance after an officer or staff member has their MV or NSV refused. This position will be reviewed, in line with the recently published Vetting Code of Practice. This sets out 18 requirements of Chief Officers and one requirement is the ability to review or renew any vetting type in line with the renewals process or if adverse information comes to light at any time. We are also liaising with colleagues within the Police Division of the Scottish Government in respect of Recommendation 1, to collaborate and explore the opportunities to place vetting and the requirement to attain and maintain same on a statutory footing. We are also querying whether it would be appropriate to include an amendment to the Police (Ethics, Conduct and Scrutiny) Bill which will shortly be entering Stage 2 of the legislative process. It is currently at Stage 1. We will continue regular meetings and dialogue with Scottish Government colleagues.		.,	1. 30/09/2024. 2. 30/11/2024. 3. 30/11/2025.
Scotland should introduce an		2. New process will be developed where staff and officers will require to submit relevant changes to their personal circumstances to the FVU as and when they arise.		1. 31/05/2024. 2. 30/04/2024. 3. 30/04/2024.
_	Officers and one requirement is the ability to review or renew any vetting type in line with the renewals process or if adverse information comes to light at any time.	Review impact of changes to guidance	Vetting Manual of Guidance updated and published. Results of post implementation impact.	1. 30/11/2024. 2. 30/11/2025.
of trained Chief Superintendents	We accept that there is a lack of guidance in the Vetting Manual of Guidance about Management Vetting (MV) appeals, nor are there processes in place for this to be consistently handled. A training programme and sufficient guidance materials will be developed, with appropriately trained chief superintendents sitting on a rota to handle appeals. This will prevent ad hoc appointments and possible inconsistencies. Thereafter the Vetting Manual of Guidance will be updated to incorporate this new process.		Training programme developed and implemented.	1. 30/04/2024. 2. 31/05/2024. 3. 30/06/2024. 4. 30/11/2024.
Recommendation 13 - Police Scotland should review the specific cases identified in this HMICS inspection as a matter of urgency and consider whether the vetting clearance granted is appropriate, and where risk is identified ensure mitigation plans are put in place.	2022. This work is ongoing and an update on the specific cases can be provided to HMICS if required.	Continue with case review and liaison between relevant departments - FVU, PSD, ACU, legal services and divisional commanders to manage risk if required.	Completion of the ongoing case review including the determination of plans for their ongoing management.	31/05/2024.

Force Executive becomes involved in the decision making of any vetting case (out with the processes described with the Vetting Manual of Guidance) it	ensure there is a rationale for them becoming involved. There is however a lack of guidance for ACC/Director level involvement in accepting risk, where	Develop additional guidance about policy decisions made by ACC/Director including which factors should be considered and how risk should be managed moving forward.	Vetting Manual of Guidance updated and published. Results of post implementation impact.	1. 30/11/2024. 2. 30/11/2025.
Recommendation 15 - Police Scotland should, as part of the work being conducted for the NPCC Historic Data Wash, ensure that iVPD checks are conducted for all officers and staff.		Police Scotland will review the national HDW report and take any action as appropriate.	Confirmation to HMICS that iVPD checks have been completed.	Completed.
AFD01-Police Scotland should ensure that the quality assurance sampling of vetting cases is carried out and that records are maintained evidencing this process. AFD02-Police Scotland should increase the use of vetting interviews, ensuring that FVU staff are trained and confident in carrying out these interviews. AFD03-Police Scotland should have a vetting IT system that interfaces with its human resources IT system. AFD04-Police Scotland should	 Interview guidance from the Authorised Professional Practice (APP) for England and Wales will be incorporated into the Vetting Manual of Guidance in November 2023. In addition, we will amend our training materials for new staff and create a bespoke training refresher on interviewing skills for current staff. We will utilise the experience within other areas of Professional Standards and the Anti-Corruption Unit who have extensive investigative interviewing skills. It is not currently possible for the current vetting system, CoreVet to interface with Police Scotland's HR IT system, SCOPE. To do so would come with cost and resource implications outside of the FVU (Digital Division) and there would need to be sufficient safeguards and firewalls in place to ensure HR staff do not have access to vetting information as they do not have a lawful need to do so. We will liaise Liaison with Digital Division to ascertain if it is feasible and within resourcing and budgetary constraints to amend/update the current HR system to interface with the vetting system. A structure review of the FVU is ongoing and consideration will be given to this Area for Development recommendation. Consideration is being given to recruiting an embedded Chief Inspector within the FVU to bridge knowledge gaps between FVU and internal partners (e.g. PSD, ACU, etc) critical to the functions of FVU. This role would also provide resilience in the appeals process for refusal of RV and provide support to the Force Vetting Manager and their deputy. 	1. Continue with monthly quality assurance sampling of vetting approvals with effectiveness analysis at 6 months and 12 months. 2. Include nterview guidance from the Authorised Professional Practice (APP) for England and Wales into the Vetting Manual of Guidance. 3. Amend training materials for new staff and create a bespoke training refresher on interviewing skills for current staff. 4. Liaise with Digital Division to ascertain if it is feasible and within resourcing and budgetary constraints to amend/update the current HR system to interface with the vetting system. 5. Benchmark with other sized UK police forces to contribute to FVU structure review.	1. Results of reviews-6 months and 12 months with improvements required. 2. Training materials actions linked to recommendation 12. 3.HR system actions linked to recommendation 4. 4. Results of Benchmarking and FVU structure proposals.	2. 30/11/2024.