

Meeting	SPA Audit, Risk and Assurance Committee
Date	16 September 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 – Interim 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 Progress against completion of the business plan objectives is reported to ARAC on a quarterly basis. Where reporting does not align an interim update will be provided, to give an exceptions based insight on any delayed milestones.
- 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.

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. Further progress updates were provided in August.	March, May and August 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 initially set a further 126 underpinning milestones, this has been increased to **127 milestones** following an action arising from the August Resources Committee. These milestones allow the SPA to track and evidence progress towards achieving each priority.
- 2.2 Progress against achievement milestones is reported to ARAC on a quarterly basis. The quarter one progress was reported to the July ARAC and quarter two has not completed this report provides by exception a summary of any milestones that have been delayed.
- 2.3 Cumulative year to date progress will be reported up to quarter three to the January ARAC.
- 2.4 At the end of August, of the 127 milestones:
- o 33% (42) have been achieved;
 - o 61% (78) are on track; and
 - o 6% (7) have been delayed.
- 2.5 Progress against achieving milestones is closely monitored and tracked by the SPA strategic business management team.

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

- 2.6 At the July ARAC HMICS we noted three new publications that made six recommendations for the SPA to address. Action plans are in the process of being agreed between relevant stakeholders and HMICS within the three month timescale that HMICS expect.
- 2.7 There has also been constructive updates and dialogue with HMICS on the outstanding SPA Thematic Inspection recommendations with all except one recommendation fully within the SPA's control now discharged. A full update report on this inspection is provided at agenda item 2d.
- 2.8 One recommendation from internal audit SPA/PS/Forensics Joint Working has been closed. The only SPA recommendation from Audit Scotland has also been closed. One recommendation from the

National Records of Scotland has also now been closed with the signing of the data sharing agreement.

- 2.9 One new recommendation is being tracked following the publication of the Information Commissioners (ICO's) Mobile phone data extraction by police in Scotland. Agreement has been reached between PS, COPFS and SPA for the recommendation to be addressed as part of the DESC project.

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 the SPA audit/improvement recommendations and interim progress of the business plan.

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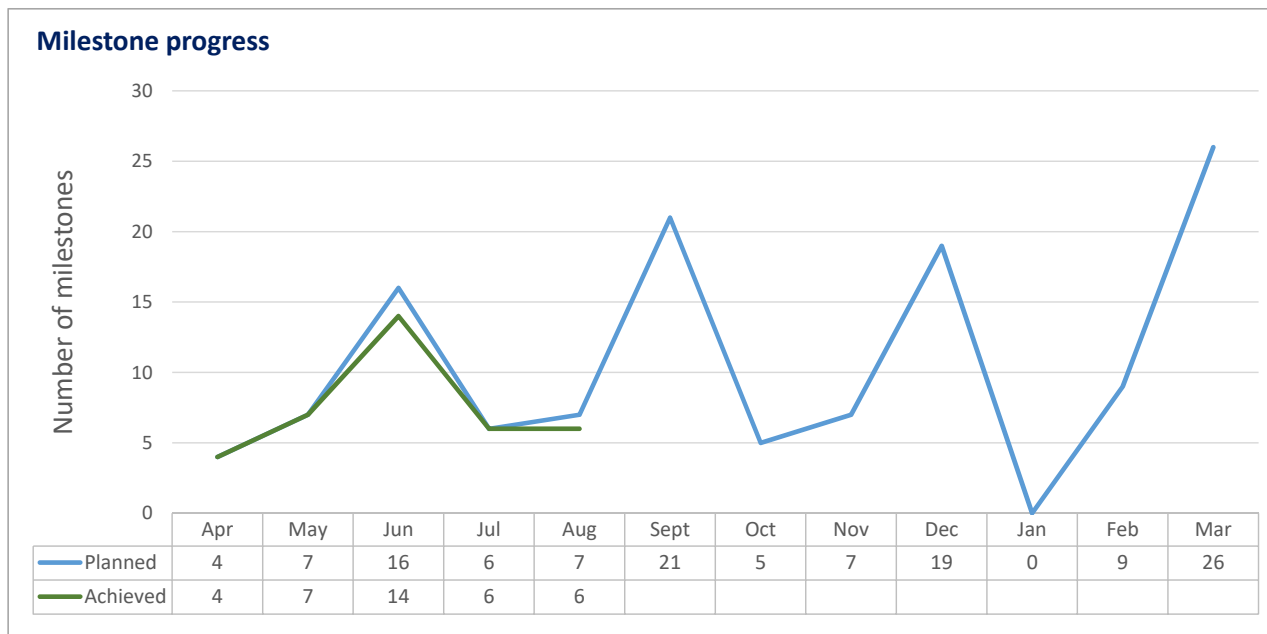
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Appendix A –
SPA Business Plan Interim Progress
September 2021

SPA business plan – progress summary

SPA Strategic Outcomes	No. of Priorities	No. of Milestones	Current status at August 2021		
			Complete	On track	Delayed
1. Communities and partners	4	20	6	13	1
2. Public interest and confidence	8	54	29	24	1
3. Partner collaboration	3	11	1	11	0
4. Resourcing requirements	5	17	4	13	0
5. Workforce	3	11	0	8	3
6. Decision making, scrutiny and reporting	2	13	2	9	2
Total	25	127	42	78	7
%			33%	61%	6%

- 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).
- To support reporting to ARAC, an interim summary of progress against SPA Business Plan priorities to August 2021 is shown. A full summary of progress for quarter two will be provided to the SPA senior management team in October 2021 in line with the quarterly reporting schedule and shared with ARAC in January combined with quarter three reporting.
- In addition the line graph breaks down how the 127 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 SMT
- The SPA has achieved or is on track for the majority of milestones (94%). Further detail on the **seven delayed milestones** is provided on the next page.



Delayed milestones

There are 7 delayed milestones - 3 reported from Q1 and a further 4 reported as delayed at August 2021.

BP priority	Summary of business plan milestone	Original Date	Revised Date	Update
1.3	Undertake SPA commissioned public confidence polling .	-	TBC	A new programme of longer term polling is now planned, therefore commissioning will take longer as a result. A specific time scale/ date for this work has still to be agreed, however, the work is expected to be completed by the end of the current financial year.
2.2	Procure external supplier to support review and improve accessibility and navigation of SPA website .	Jul 21	Mar 22	<i>Delayed as reported at ARAC July 2021.</i> Update: Following an unsuccessful procurement exercise the statement of requirements have been amended and work has been ongoing to understand the issues. The target date has been extended to March 2022 and is dependent on a supplier and recommendations being delivered by December 2021. Work is taking place to ensure this is achievable.
5.1	Influence development of the new People Strategy and ensure it is informed by an effective needs assessment, is aligned to the Strategic Workforce Plan, and that there are clear outcomes measures identified	Sep 21	Nov 21	<i>Delayed as reported at ARAC July 2021.</i> Update: The target date for SPA to influence the development of the People Strategy has been extended to reflect Police Scotland's amended timetable with the new People Strategy being presented to the People Committee in November 2021.
	Independently assess delivery against the 2018-2021 People Strategy and provide Committee Member Briefing to support oversight of Police Scotland self-evaluation.	Sep 21	Nov 21	A further milestone has also been revised to reflect that SPA officials will now undertake an evaluation of delivery against the 2018-21 People Strategy, as opposed to self-evaluation by Police Scotland. The target date on this revised milestone has been extended to reflect the change in approach and to align with presentation of the new People Strategy to Committee in November.
5.2	Ensure effective completion of 2020/21 pay negotiations .	-	TBC	<i>Delayed as reported at ARAC July 2021.</i> Update: Affordability parameters fully understood and agreed within SPA and Police Scotland. Discussions ongoing within Official Side (Police Officers) and SPA/PS (Staff) to seek to identify the potential of being able to make a formal offer that is fair, affordable and will lead to agreement with the Staff Side.
6.1	File structure review	Aug 21	Oct 21	Resourcing issues have resulted in slower than planned progress with file structure review work as well as impacting on the formation of a working group. The target date for this activity has been extended to reflect this delay.
	Share Point user specifications	Aug 21	Oct 21	Work on user specifications depended on formation of a working group which has now been established and the target date extended to reflect this delay.

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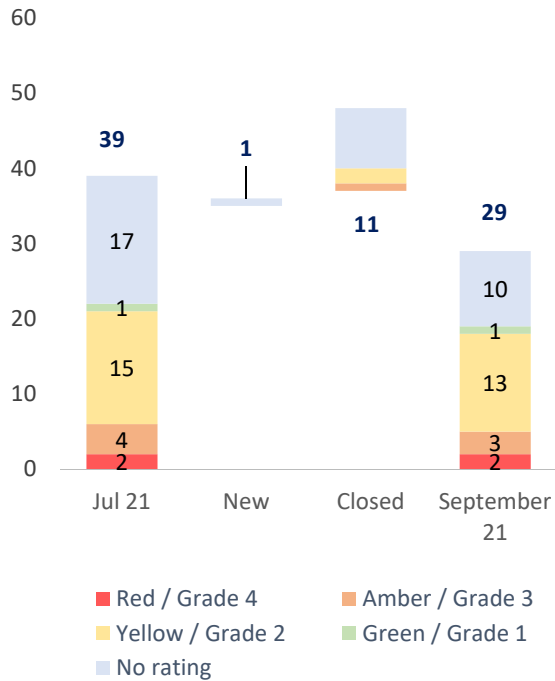
Appendix B

SPA audit and inspection
recommendations update

September 2021

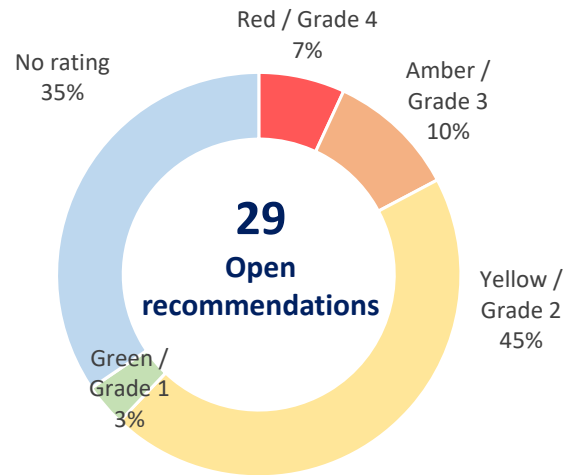
SPA audit and inspection dashboard

Progress update (number of SPA recommendations)



- One new recommendation has been added relating to ICO Mobile phone data extraction by police in Scotland.
- A total of 11 recommendations have been closed of the which the majority were related to the HMICS thematic inspection of SPA (eight recommendations).
- The next page provides further detail of the SPA’s tracking of actions against their agreed completion date.

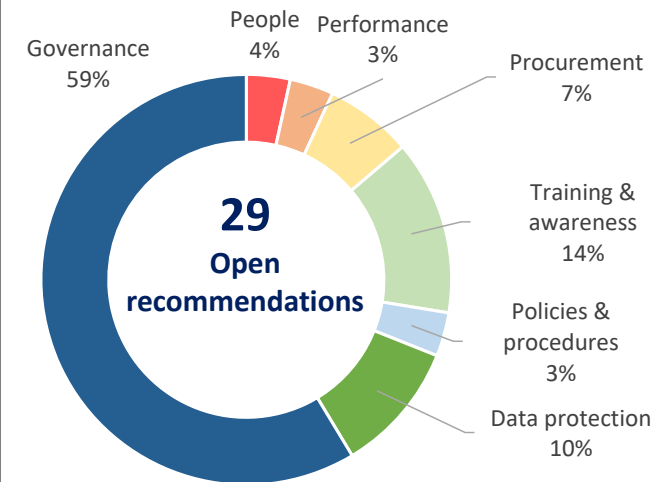
RAG analysis



Note: the recommendations without a rating are predominantly 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 (59%). 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.

Further detail on progress

Movement since previous ARAC report

	July 2021	New	Complete	Sept 2021
Internal Audit	4	-	1	3
Audit Scotland	1	-	1	0
HMICS	17	-	8	9
ICO	15	1	-	16
National Records of Scotland	2	-	1	1
Total	39	1	11	29

Actions completed in current financial year and outstanding

	Actions completed (since 30 June)	Actions outstanding (at 02 Sept)	Actions outstanding:		
			On target: with HMICS for closure	On target	Overdue
Internal Audit	1	3	-	3	0
Audit Scotland	1	0	-	-	-
HMICS	8	9	-	9	0
ICO	0	16	-	12	4
National Records of Scotland	1	1	-	1	0
Total	11	29	-	25	4

Complete actions

- Internal audit: one recommendation from the SPA/PS/Forensics Joint Working Audit has been closed.
- The one Audit Scotland recommendation has been closed, this relates to the volume and presentation of papers submitted to committee and how this should be addressed to ensure scrutiny is not being inhibited.
- Eight recommendations from the Thematic Inspection of SPA has been formally discharged by HMICS. Refer to agenda item 2d for a full progress update on HMICS recommendations.
- One of the National Records of Scotland recommendations has now been completed, with the signing of the data sharing agreement with Police Scotland.

New actions

- There has been one new recommendation identified since last reporting in July 2021, arising from the ICO Audit of Mobile phone data extraction by police in Scotland.

Overdue actions

- 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 materials are prepared and SPA is currently working with Police Scotland to deploy the training on the online moodle system, however, if further progress cannot be made the SPA will revert to in person delivery.

Other comments

- HMICS expect an action plan to be agreed within three months of publication of each report, when last reported there were three new publications; Thematic Inspection of Hate Crime, An Assurance Review - Policing of the 26th Conference of the Parties (COP26) and Assurance review of Police Scotland demand analysis and management – action plans are still to be agreed but still within time.