

Meeting	Policing Performance Committee
Date	28 May 2020
Location	By tele-conference
Title of Paper	SPA Audit and Improvement Recommendations Update
Presented By	Graham Stickle, SPA Risk and Policy Specialist
Recommendation to Members	For discussion
Appendix Attached	Yes – Appendices:- Recommendations from:- A HMICS Action Plan - SPA Thematic B HMICS C Audit Scotland D SPA Improvement Plan

PURPOSE

To provide the Policing Performance Committee an update on current open SPA recommendations relevant to the role and remit of the Policing Performance Committee.

1. BACKGROUND

- 1.1 SPA audit and improvement recommendations are reported to the Audit Risk and Assurance Committee on a quarterly basis.
- 1.2 An update on implementation of the improvements set out in HMICS Thematic Inspection of the Scottish Police Authority Forensic Service is provided to the SPA Forensic Services Committee on a quarterly basis.
- 1.3 An update on the progress of the recommendations from Dame Elish Angiolini's Preliminary Report is provided to the Complaints and Conduct Committee.

2. FURTHER DETAIL ON THE REPORT TOPIC

- 1.4 Below is a summary of SPA's outstanding Audit/Inspection recommendations relevant to the role/remit of the Policing Performance Committee: -

Body/Report	Comments
HMICS	14 Recommendations relate to the Thematic Inspection of the Scottish Police Authority published in September 2019. Appendix A shows the action plan to address these recommendations including recent progress. A further 2 HMICS recommendations for SPA are currently open and shown at Appendix B.
Audit Scotland	Appendix C outlines the outstanding recommendations relevant to the Policing Performance Committee.
SPA Improvement Plan	Appendix D outlines the detail of progress against objectives identified in the SPA Improvement Plan 2018-19 A total of 17 objectives have been delivered with progress made on the remaining 5.

3. FINANCIAL IMPLICATIONS

- 3.1 There are no financial implications associated with this paper.
There are financial implications associated with addressing recommendations

4. PERSONNEL IMPLICATIONS

- 4.1 There are no personnel implications associated with this paper.
There are personnel implications associated with addressing recommendations

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 discuss the content of this paper and the appended improvement recommendations and consider future reporting requirements to the Policing Performance Committee relating to improvement recommendations

APPENDIX D

Update on Progress to Address Recommendations from HMICS Thematic Inspection of the Scottish Police Authority Published Sept 19

No	Recommendation	Action	Progress Against Action – Jan 20	Progress Against Action – April 20	Owner/Lead	Target date
1	The Scottish Police Authority Chief Executive should lead and expedite the implementation of a new Scottish Police Authority corporate structure and ensure an appropriate focus on existing staff wellbeing.	SPA will produce a revised structure and Reorganisation Plan, Corporate Strategy which will include a strategic narrative and an Annual Business Plan supporting the Strategic Plan facilitating alignment of team and individual performance objectives.	<p>SPA are currently undergoing a review of the structure for SPA Corporate taking cognisance of the requirements to support the Board and Committees, the responsibilities of SPA under the act, statutory responsibilities as a public body and resources required to support the role of Accountable Officer. Development includes significant engagement with staff on an individual, team and organisational level. Many of the staff are inputting to the review.</p> <p>An SPA Corporate Strategy is currently under development (Jan 20) covering the period 2020 to 2023. It will be presented to the SPA Board for approval Feb 2020.</p> <p>An Annual Business Plan for 2020/21 will be developed to include both improvement and business as usual activities.</p> <p>Staff engagement sessions on the development of the organisation structure have taken place on 14/8/19, 17/9/19, 3/12/19, 12/12/19, and are scheduled for 14/1/20, 11/2/20, 18/3/20, 21/4/20, 26/5/20</p>	<p>Review of structure continues to be progressed despite staff working remotely from home.</p> <p>An update on the proposed organisational design will be given to Members at the seminar on 30 April. This will also include a proposed structure diagram. The intention is that further more detailed information in the form of a business case will be presented to the 20 May Board meeting for approval.</p> <p>SPA Corporate Plan 2020-23 was approved by the SPA Board</p> <p>SPA Annual Business Plan scheduled to be presented to the SPA Board May 20</p> <p>Regular staff engagement ongoing including updates from Interim CEO on weekly staff conference call</p>	<p>CEO and Directors</p> <p>CEO and Directors</p>	<p>Oct 2020</p> <p>Complete</p> <p>April 20 May 20</p> <p>Ongoing</p>
2	The Scottish Government should clarify in what respects the Scottish Police Authority differs from other public bodies and specify the implications for the system of governance for policing.	SPA CEO and Vice Chair will liaise with SG colleagues to inform revised SG Governance and Accountability Framework and ensure SPA Corporate Strategy and SPA Governance Framework are aligned to SG Framework.	SG have indicated intention to discuss with the relevant bodies roles and responsibilities within governance of policing	<p>Vice Chair participated in round table event on 11th March chaired by the Cab Sec for Justice. Details of further engagement to be confirmed.</p> <p>Extract from Vice Chair's report to March Authority Meeting: - <i>In summary, the Authority will welcome a system-wide review and contribute to it positively and openly. But its scope, intent and method must be well defined and must not prevent the Authority and its partners in the system from meeting their current responsibilities.</i></p>	Vice Chair and CEO	SG to confirm

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No	Recommendation	Action	Progress Against Action – Jan 20	Progress Against Action – April 20	Owner/Lead	Target date
3	The Scottish Government and the Scottish Police Authority should undertake an immediate review of the roles of the Chair and Board members in executive work, in line with principles of good governance, empowering the Scottish Police Authority executive team to assume operational management of the organisation.	SPA CEO and Vice Chair will lead work to ensure SPA Corporate Strategy and SPA Governance Framework are aligned to the 2012 Act and On Board best practice.	<p>SG proposing to seek light-touch independent advice to provide Scottish Government with independent assurance/advice around the legitimate scope/time commitment on the part of the Chair and Board members (as part of the process of addressing HMICS Recommendation 3, along with the review of the Governance and Accountability Framework) and help inform preparation for appointment of the new Chair and Board members</p> <p>Organisation development includes consideration of the capacity/capability of the SPA to deliver all the functions of the authority while providing the necessary support to the Chair and Board members in their non-executive capacity</p>	<p>The Scottish Government has commissioned former Auditor General, Robert Black, to undertake a review SPA Members' role, responsibilities and time commitment. This review is currently in progress with Mr Black having had telephone interviews with all Members, Vice Chair, a number of SPA officers and other key stakeholders.</p> <p>Work to ensure sufficient capacity and capability is central to the ongoing work on organisational development.</p>	<p>Vice Chair and CEO</p> <p>Vice Chair and CEO</p>	<p>March 20 TBC</p> <p>Oct 20</p>
4	The Scottish Government, the Scottish Police Authority and Police Scotland should develop a clear system of engagement and governance for reserved policing matters	SPA CEO and Vice Chair will liaise with SG colleagues to inform revised SG Governance and Accountability Framework and ensure SPA Corporate Strategy and SPA Governance Framework are aligned to SG Framework.	The review and refresh of the Governance and Accountability Framework and the strategic narrative included within the Corporate Strategy will support addressing this recommendation. Clarification of roles and responsibilities in relation to policing oversight led by Scottish Government would inform a strategic direction for options available to discharge the recommendation.	Ownership of the Governance and Accountability Framework rests with Scottish Government. SPA have and are continuing to provide input to the revisions and monitoring this through the Governance Development and Improvement Group which includes a representative from SG Sponsorship Team.	CEO and Directors	SG to confirm
5	The Scottish Police Authority should proceed to formally co-opt COSLA to their Board and appropriate Sub-Committees in order to enhance the link between local and national policing.	SPA CEO will liaise with COSLA colleagues to take forward the option of COSLA representation on the SPA Policing Performance Committee.	<p>SPA Vice Chair engaging with COSLA. COSLA would welcome cop-option of a representative of COSLA to the Policing Performance Committee.</p> <p>Legislation does not facilitate co-opting onto the SPA Board</p>	A CoSLA representative was invited to participate in meetings of the Policing Performance Committee. This is not a co-option, as such, given the nature of our relationship with CoSLA. The role and expectations were, however, clearly documented and agreed between the Vice Chair and CoSLA's President, Cllr Evison in January 2020. The Vice Chair also advised HMICS who supported this approach. Cllr Parry has since been nominated to represent CoSLA on the PPC.	Vice Chair	Complete

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No	Recommendation	Action	Progress Against Action – Jan 20	Progress Against Action – April 20	Owner/Lead	Target date
6	The Scottish Government, the Scottish Police Authority and Police Scotland should review the designation of Accountable Officer(s) within policing.	SPA CEO and Vice Chair will liaise with SG colleagues to consider options to review the role and designation of the Accountable Officer.	<p>The role of accountable officer is outlined in legislation. SPA are fully supportive of reviewing the role and designation of the Accountable Officer and will engage with SG to ascertain parameters for options to be considered.</p> <p>Organisation Development includes consideration of the requirements to support the role of Accountable Officer as CEO for SPA</p>	<p>The role of accountable officer is outlined in legislation. SPA are fully supportive of reviewing the role and designation of the Accountable Officer and will engage with SG to ascertain parameters for options to be considered.</p> <p>Organisation Development includes consideration of the requirements to support the role of Accountable Officer as CEO for SPA</p>	<p>Vice Chair and CEO</p> <p>CEO and Directors</p>	<p>SG to confirm</p> <p>Oct 20</p>
7	The Scottish Police Authority should implement effective engagement and feedback mechanisms with staff associations and unions as part of a wider stakeholder engagement and consultation approach.	SPA will produce an Annual Business Plan, which will include amongst its objectives effective communication and engagement across a wide range of internal and external stakeholders.	<p>A paper is being developed with options in order facilitate improvements to workforce governance through effective communication, consultation and engagement mechanisms with trade unions and statutory staff associations.</p> <p>This proposal is in development and requires engagement with Board Members, however focuses on recognising current stakeholder views, On-Board Guidance responsibilities and principles outlined in the Working Together Review: Progressive Workforce Policies in Scotland (Scottish Government Commissioned independent review). Early benchmarking has included consideration of the NHS Staff Governance approach.</p>	This proposal will benefit from the creation of a new committee that focuses on workforce governance and work is progressing to ensure that both the development of the committee and the stakeholder engagement proposal are fully aligned to ensure effective implementation and oversight.	CEO and Directors	June 20 (TBC)
8	The Scottish Police Authority executive team should develop proposals for effective governance of change and transformation, bringing forward proposals as a matter of urgency.	A comprehensive review of the SPA approach to the system wide oversight of change will inform a proposal to the SPA Board in February 2020.	Proposal to the SPA Board in February 2020.	Methodology for oversight of change approved at the February Authority meeting	Vice Chair	Complete

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No	Recommendation	Action	Progress Against Action – Jan 20	Progress Against Action – April 20	Owner/Lead	Target date
9	The Scottish Police Authority executive team should develop and secure approval from the Board for a new corporate plan.	See action 1. SPA will produce a revised structure and Reorganisation Plan, Corporate Strategy which will include a strategic narrative and an Annual Business Plan supporting the Corporate Strategy facilitating alignment of team and individual performance objectives.	<p>An SPA Corporate Strategy is currently under development (Jan 20) covering the period 2020 to 2023. It will be presented to the SPA Board for approval Feb 2020.</p> <p>An Annual Business Plan for 2020/21 will be developed to include both improvement and business as usual activities.</p> <p>Staff engagement sessions on the development of the organisation structure have taken place on 14/8/19, 17/9/19, 3/12/19, 12/12/19, and are scheduled for 14/1/20, 11/2/20, 18/3/20, 21/4/20, 26/5/20</p>	<p>SPA Corporate Plan 2020-23 was approved by the SPA Board</p> <p>SPA Annual Business Plan scheduled to be presented to the SPA Board May 20</p> <p>Regular staff engagement ongoing including updates from Interim CEO on weekly staff conference call</p>	<p>CEO and Directors</p> <p>CEO and Directors</p>	<p>Complete</p> <p>Apr-20 May 20</p> <p>Ongoing</p>
10	The Scottish Police Authority should further develop its self-assessment and performance monitoring approach to include examples and measures of the Scottish Police Authority's own impact on continuous improvement.	SPA will produce a revised structure and Reorganisation Plan, Corporate Strategy which will include a strategic narrative and an Annual Business Plan supporting the Corporate Strategy facilitating alignment of team and individual performance objectives.	<p>SPA will develop an Annual Business Plan including both improvements and business as usual objectives. A performance framework will be developed to facilitate tracking and reporting against the objectives within the Annual Business Plan.</p> <p>SPA will implement a self-assessment methodology with the first iteration to be completed by April 21. Thereafter regular re-assessment scheduled and plans to address identified improvements.</p>	<p>SPA Annual Business Plan scheduled to be presented to the SPA Board May 20</p> <p>Self-assessment will be completed after implementation of organisational development</p>	<p>CEO and Directors</p> <p>CEO and Directors</p>	<p>April-20 May 20</p> <p>April 21</p>
11	The Scottish Police Authority requires to set out in detail how it will exercise its duty to hold the Chief Constable to account through its system of governance.	SPA will produce a Corporate Strategy which will include a strategic narrative	<p>SPA have developed an Excellence Framework (to be presented to the Audit Committee on 30th January for approval) which provides a conceptual structure intended to serve as a guide for the building, and ongoing development, of a Scrutiny and Assurance Programme to deliver excellence within SPA, and derive assurance around excellence within Scottish policing.</p> <p>SPA approach to the system wide oversight of change to the SPA Board in February 2020.</p>	<p>SPA Excellence Framework approved at February Authority Meeting</p> <p>Methodology for oversight of change approved at the February Authority meeting</p>	<p>CEO and Directors</p> <p>Vice Chair</p>	<p>Complete</p> <p>Complete</p>

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No	Recommendation	Action	Progress Against Action – Jan 20	Progress Against Action – April 20	Owner/Lead	Target date
12	The Scottish Police Authority and Police Scotland should develop a forward planning system of proactive risk awareness and post-implementation scrutiny for policing policy changes which are likely to have an impact on public confidence.	SPA will produce an Annual Business Plan, which will include amongst its objectives effective horizon scanning of the public sector, public interest, political and legislative environment, to provide early indication of issues of importance and relevance to the SPA's role	<p>An Annual Business Plan for 2020/21 will be developed to include both improvement and business as usual activities.</p> <p>SPA approach to the system wide oversight of change to the SPA Board in February 2020.</p> <p>Excellence Framework to be presented to the Audit Committee on 30th January for approval</p> <p>Policing Performance Committee extract of terms of Reference :- <i>Consider significant proposed changes, in consultation with The Chair or at the request of The Board, to operational policing and ensure that the associated risks and opportunities have been fully assessed</i></p> <p>Strategic Risk Register in development – to be presented to the Audit Committee Jan 20 and Board Feb 20</p> <p>Biometrics Commissioner code of practice – future developments to be implemented in line with code of practice</p>	<p>SPA Annual Business Plan scheduled to be presented to the SPA Board May 20</p> <p>Methodology for oversight of change approved at the February Authority meeting</p> <p>SPA Excellence Framework approved at February Authority Meeting</p> <p>Strategic Risk Register approved by SPA Board Feb 20</p>	<p>CEO and Directors</p> <p>Vice Chair</p> <p>CEO and Directors</p> <p>CEO and Directors</p> <p>CEO and Directors</p> <p>CEO and Directors</p>	<p>Apr-20 May 20</p> <p>Complete</p> <p>Complete</p> <p>Ongoing</p> <p>Complete</p> <p>Ongoing</p>

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No	Recommendation	Action	Progress Against Action – Jan 20	Progress Against Action – April 20	Owner/Lead	Target date
13	The Scottish Police Authority should review the role of the Forensics Committee to work effectively with other Scottish Police Authority Committees and review the optimum governance and delivery options for Forensic Services.	SPA will produce a Corporate Strategy which will include a strategic narrative, and revised Corporate Governance Framework which will include a review of all committees and other governance and oversight mechanisms.	The SPA Corporate Organisational Development work includes consideration of how SPA Corporate staff will supports F/S. In parallel the FS Operating Model work is also ongoing. These pieces of work will bring clarity on roles/responsibilities between SPA Corporate and SPA F/S in respect to input at SPA Committees. Currently F/S do not have sufficient resources to input and present at all committees.	The organisational development work has considered how the interconnectivity between FS and SPA Corporate could develop in future. The output of this will be reflected in the roles that are developed within SPA Corporate.	CEO and Directors	Oct 20
			Review and update of the SPA Corporate Governance Framework aligned to the review/update of the Governance and Accountability Framework	The Vice Chair has reinstated the Governance Development and Improvement Group as the key vehicle for overseeing the development and continuous improvement of the SPA Corporate Governance Framework. The Group includes representation from SG and PS to ensure input, alignment and complementarity with other aspects of governance and accountability. The Interim Chief Executive also reviewed the previous workplan with lead officers to ensure appropriate prioritisation and resource to progress the work as quickly as possible. The current aim is to present a fully reviewed and updated version of the SPA Corporate Governance Framework to the Board in September 2020.	CEO and Directors	TBC
14	The Scottish Police Authority should improve visibility of the work of the Independent Custody Visiting Scheme, direct scrutiny of custody arrangements and outcomes for detainees. It should also review the optimum governance and delivery options for the Independent Custody Visiting Scheme.	SPA will produce a Corporate Strategy which will include a strategic narrative and revised Corporate Governance Framework.	A paper is being drafted providing information on the delivery of Independent Custody Visiting, including where SPA has an oversight and scrutiny role of Police Scotland Custody. The report will highlight for Committee consideration where improvement to delivery of the scheme is required. To be presented to the Policing Performance Committee	ICVS Suspended custody visiting in Scotland on 18 March 2020 the decision was made in the best interest of the health of visitors, detainee's, custody officers and staff. A report to the Policing Performance Committee will be drafted and submitted when there is a better understanding of the timeframe for resuming custody visiting.	National Custody Manager	April 2020 TBC
			SPA, via the Planning and Performance Committee, will consider the recommendation and options to discharge		CEO and Directors	May 2020 TBC

HMICS Open Recommendations

APPENDIX B

Report Name	Date of Report	Source Ref. No.	Recommendation	Progress	SPA Executive Lead	Committee/Member Lead	RAG STATUS
Local Policing + Inspection of Firearms Licensing	March 2018	6	<p>The Scottish Police Authority should introduce governance arrangements for the approval and ongoing monitoring of major change by Police Scotland, including the wider transformation portfolio under Policing 2026. This should include a commitment to conduct scrutiny of major change in public.</p> <p>Aligned to HMICS Thematic Inspection of the Scottish Police Authority recommendation no 8 The Scottish Police Authority executive team should develop proposals for effective governance of change and transformation, bringing forward proposals as a matter of urgency.</p> <p>Aligned to Internal Audit Transformation programme assurance process Recommendation 1.1 We recommend that SPA agrees governance arrangements for Police Scotland transformation programmes and projects, particularly when in delivery phase. Once agreed, the SPA Governance and Assurance Framework for Transformation Portfolios as well as the Police Scotland Integrated Assurance and Approval Strategy should be updated accordingly to highlight how this governance fits into overarching processes.</p>	<p>Jan 19 - The Transformation Working group considered draft proposals on the governance and assurance of the change portfolio from both PS and SPA at it's January meeting. Work is now being taken forward to bring these processes together into an integrated governance and assurance framework which will be presented to the next meeting of the TWG before being moved on to the SPA Board for approval.</p> <p>Aug 19 – The work being taken through the TWG was reviewed in April 2019 and lessons collated to inform future work. The SPA Vice Chair has established a review of the oversight of change in its broadest sense across Policing in Scotland which will update the SPA Board in August 2019 and report the findings and recommendations of the review to the Board in September 2019.111</p> <p>Oct 19 - Proposal to be discussed at Chairs Group Meeting 8/10/19 and then presented to SPA Board Nov 19</p> <p>Dec 19 - Proposal on oversight of transformation/change to be presented to the SPA Board Feb 20</p> <p>April 20 - The methodology for oversight of change has been approved by the Board (Feb 20). HMICS will be provided evidence proposing to discharge the recommendation when the methodology is implemented with proven success</p>	Director of Strategy	Vice Chair	Evidence of methodology being successful required
Thematic Review of Police Scotland's approach to the development and operational delivery of the Annual Police Plan (2018-19)	Dec-18	2	<p>Police Scotland and the Scottish Police Authority should develop a clear process for governance and engagement around strategic assessment and consideration of priorities as part of their statutory responsibilities in the planning process.</p>	<p>Aug 19 - A number of meetings have taken place between Board Members, the SPA Executive Team and the Police Scotland Executive Team regarding strategic planning and the supporting evidence base. A Research Forum, co-chaired by a Board Member and DCC People and Professionalism, was expected to be established in August 2019, with a strand of work being the development of appropriate horizon scanning, and data and intelligence analysis and assessment to inform the next strategic planning cycle, linked to the 10 year strategy refresh.</p> <p>May 20 - The changes in governance arrangements at the Authority that occurred in late 2019, whereby the Strategy, Policy and Performance Committee was stood down and a new Policing Performance Committee instigated, meant that the expected governance/engagement route for the Police Scotland strategic assessment changed (the Strategy, Policy and Performance Committee referenced strategic planning in its Terms of Reference). Therefore the high level priorities and strategic risks emerging from the Police Scotland Strategic Assessment 2019-22 were shared with the Authority as part of work taking place during Winter 2019/20 to develop, jointly, a new Strategic Police Plan. The governance and engagement arrangements for strategic assessments will be kept under review by the Authority and Police Scotland for future planning cycles (annual and strategic), with consideration being given at the relevant time on how best to approach engagement and governance using governance routes available to both organisations at the time. The Policing Performance Committee may want to give consideration to its own role in governance and engagement activity in future strategic/annual planning arrangements, given the clear link to its role in monitoring the police service's performance against agreed annual and strategic plans.</p>	Director of Strategy	SPP	Amber - further work required to discharge

APPENDIX C AUDIT SCOTLAND

Source	Report Name	Date of Report	Source Ref. No.	Recommendation	Completion Date	Context	Progress (Jan 20)	Progress (April 20)	SPA Executive Lead	RAG STATUS
Audit Scotland	2018/19 Annual Audit Report	Oct 19	Follow Up	The creation and approval of a workforce strategy is now critical. The further work required to fully develop the Data, Digital and ICT strategy should continue to enable funding to be identified and plans to be implemented.	No date	Partly actioned The Outline Business Case for DDICT was approved by the Board in September 2018 however funding has been lower than expected. The Estates Strategy was approved by the Board in May 2019. A framework for strategic workforce planning was approved in May 2019, but the strategic workforce plan is still in development.	Strategic Workforce plan scheduled for delivery November 2020 - as advised to the SPA Board Nov 2019	SPA representation on newly established SWP Project Board Internal Audit report of SWP to be reported to May meeting of ARAC	Interim CEO	Follow - up Ongoing
Audit Scotland	2018/19 Annual Audit Report	Oct 19	Follow Up	The newly implemented performance management framework must be reviewed and developed to support the identification and reporting of key performance areas.	No date	Partly actioned The new performance framework was approved by the Board in March 2019 and the first reporting against this framework is due in Q2 of 2019/20. However, this has not been subject to audit review.	Review of Police Scotland's Performance Management is included in the Strategic Internal Audit plan scheduled to be completed during 2021/22	No further update	Interim CEO	Follow - up Ongoing

APPENDIX D

SPA IMPROVEMENT PLAN 2018-19
Progress Update April 2020

Objective	Progress Update	Comment
1. Board and Committees: ensuring that the structure, composition, and workings of our decision-making arrangements enable a strategic approach which focusses on the right issues at the right time and adds value to the development of policing in Scotland		
1.1 Streamline and prioritise Board business and activities over the year ahead to focus on the issues of most strategic importance (on-going);	Delivered	<p>A number of changes have been made addressing this objective including: -</p> <ul style="list-style-type: none"> Revision of Committees roles and supporting terms of reference Standing up of Policing of COP26 Expenditure Committee CAM Oversight Group Methodology for change oversight approved by SPA Board Standing up of SPA Exceptional Circumstance Committee <p>The roles and remits of the committees and how they support the Board will continue to be reviewed and updated reflecting flexibility required</p>
1.2 Revise and publish Board objectives (Q2);	Delivered	Board objectives, developed and adopted by the whole Board, were introduced and published at the SPA Board meeting on 24th October 2018 in an annex to the Chair's Report, and have also been provided to Scottish Parliament.

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1.3 Develop and implement a more strategic and robust approach to identifying and managing risk which aligns with, and where appropriate integrates with, Police Scotland's approach to risk management (Q3);	Delivered	SPA Risk Framework, Excellence Framework and Strategic Risk Register all approved by the SPA Board
1.4 Complete and implement a review of Committee structures, terms of reference and composition, to provide increased scrutiny, improved decision making and support in the most important areas of policing, including the oversight of delivery of our strategic plan: '2026 – <i>Serving a Changing Scotland</i> ' (Q2);	Delivered	New Committee Chairs appointed and an initial review and first phase restructure of SPA Committees completed to address a range of identified deficiencies and weaknesses in SPA involving Committee on Policing Performance. Strategic Police Plan approved by SPA Board March 20
1.5 Implement an on-going Board development programme, including induction, to build Board effectiveness and continuous improvement (on-going).	Delivered	Over the past 12 months, a total of 30 events have been organised for Board Members including induction, training and development seminars. A programme of bi-monthly Board Development Seminars is being delivered, reviewed and refreshed on an ongoing basis.
1.6 Ensure business processes and procedures are aligned to the Board and Committee improvement priorities (on-going).	Delivered	Refer to 1.1 above.

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<p>2. Internal governance, policies and procedures: streamlining and improving our governance documents, policies and ways of working to deliver a more professional standard of operation which is consistent with best practice and builds a culture of continuous improvement.</p>		
<p>2.1 Implement a comprehensive programme to improve governance of spending decisions and increase assurance about value for money delivered. This programme responds in particular to recommendations from Audit Scotland contained in their 2016/17 annual audit of the SPA and in previous audits (on-going throughout 18/19, for completion in Q4);</p>	<p>Delivered</p>	<p>Series of improvements in governance and financial management made, including continuing development of the Chief Finance Officer and Finance function and relationship with Accountable Officer. Strengthened Forensic Services Committee is ensuring that financial planning and capital needs of FS are better integrated into the SPA's overall budget planning.</p> <p>Resources Committee provides oversight of business cases and budget with onward reporting/approval by Board as required</p> <p>Challenges remain in how to manage deficit. Governance and oversight of financial planning and reporting supports delivery of objective</p>
<p>2.2 Complete a review of all governance documents, including SPA's governance and accountability framework, financial regulations and financial protocol, budget monitoring arrangements, and schemes of delegation and also update and streamline SPA's own internal governance documents (on-going throughout 18/19, for completion in Q4)</p>	<p>Progress made</p>	<p>SPA Corporate Governance Framework reviewed and updated on an ongoing basis as required to reflect, for example, revised committee terms of reference.</p> <p>Ongoing engagement with SG to support the review of the Governance and Accountability Framework</p> <p>Scheme of delegation currently being reviewed – expected to be complete Sept 20</p>
<p>2.3 Procure internal audit services with no hiatus between the expiry of the current contract on 30 June 2018 and the beginning of the new arrangement (Q1)</p>	<p>Delivered</p>	<p>Following a rigorous, robust and timely procurement process, a contract was awarded for the provision of internal audit services by Scott-Moncrieff from 1 July 2018 for 3 years.</p>

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<p>2.4 Increase understanding of the role and responsibilities of the designated Accountable Officer for the policing budget, and implement systems of assurance which support that role (Q1).</p>	<p>Delivered</p>	<p>The Accountable Officer (AO) or her representative attends SPA Resources Committee and Audit Committee meetings, and Police Scotland Corporate Finance and Investment Board and Change board meetings to have oversight of the flow of any business with significant financial implications. Where the AO's sign off is sought, advice notes are prepared setting out the background, issues and legal and fiduciary responsibilities of the AO. Staffing structure to support the role of the AO role is included within the SPA 2020 organisational development .</p>
<p>2.5 Develop and maintain closer collaboration between SPA, Police Scotland and the Forensic Service on all aspects of financial governance to ensure clarity and consistency across the three constituent parts of the organisation. This collaboration will include, in particular, areas requiring significant future investment, medium and long-term financial planning, the development of the Annual Report and Accounts and the statutory audit cycle (on-going throughout 2018-2019, in line with financial cycles).</p>	<p>Delivered</p>	<p>The AO oversaw the collaboration and consultation on the budget planning cycle 19-20 across PS, SPA Corporate and Forensics ensuring that SPA Board priorities are represented. The PS Corporate Finance and Investment Board and SPA Resources Committee provide oversight to the PS Budget and SPA Budget setting processes respectively.</p>

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<p>2.6 Identify learning and take forward any required improvements from our planned 2018/19 Internal Audit reviews into risk management, forensic joint working, governance, staff performance management, relocation costs and tendering procedures and information management. (Progress will be reported every quarter to the SPA Audit Committee)</p>	<p>Delivered</p>	<p>Business as usual</p> <p>Improvement recommendations are monitored by SPA senior management with progress reported to the Audit, Risk and Assurance Committee on a quarterly basis</p>
<p>3. Strengthening external relationships and engagement: embedding a collaborative, outward looking approach to everything that SPA does, so that we can better reflect public and communities' views about policing in our actions, and build partnerships which help us work more effectively.</p>		
<p>3.1 Identify opportunities to work more collaboratively and in a more outward looking way, across our work (on-going). For example, in 2018-2019 we will implement and evaluate a more inclusive approach to producing the 2017/18 Annual Review of Policing, which increases the extent to which stakeholders' views and independent evidence inform its findings. (Autumn 2018 for publication of the Annual Review of Policing)</p>	<p>Delivered</p>	<p>A number of improvement have been made addressing this objective including: -</p> <ul style="list-style-type: none">HMICS and local authority input sought and incorporated into the Annual Review of PolicingDevelopment of new Strategic Police Plan involving a range of stakeholders and a 6 week open public consultationRegular SPA attendance at COSLA committeesEngagement with local authorities and local communities integrated with the SPA Board meetings held across the countryCoSLA representation at the SPA Policing Performance Committee

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<p>3.2 Develop plans and build capacity to organise and facilitate a range of engagement activities and events (on-going);</p>	<p>Delivered</p>	<p>In addition to engagement outlines in 3.1 above ,engagement activities with wide ranging participation includes: -</p> <p>A Joint Forum on Evidence and Research which has convened large scale cross public sector events on public interest topics Widespread advocacy of benchmarking across organisations and the convening of seminars to progress this Commissioning a justice system wide Digital Forensics Working Group which has brought together stakeholders into structured workshops</p>
<p>3.3 Significantly develop relationships with stakeholders, policymakers and workforce representatives to inform SPA strategy and oversight (on-going);</p>	<p>Delivered</p>	<p>Refer to 3.1 and 3.2 above</p>

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<p>3.4 Agree and progress a joint programme of work between SPA, Police Scotland, COSLA, SOLACE and local authorities to strengthen local policing and local scrutiny (Q1 to agree work programme – on-going thereafter);</p>	<p>Delivered</p>	<p>CoSLA representation at the Policing Performance Committee SPA attendance at COSLA committees</p>
<p>3.5 Refresh SPA website content, navigation and accessibility (Q2);</p>	<p>Progress made</p>	<p>The content of the SPA website has been improved and increased to include matters such as response to COVID 19. However, it is recognised that the structure/design/look of the website could be improved</p>
<p>3.6 Review our publication scheme to ensure SPA is operating to best practice in publishing information (Q2).</p>	<p>Delivered</p>	<p>FOI Publication Scheme reviewed and updated on SPA website</p>
<p>4. Building SPA executive team capacity and capability: building essential additional capacity and skills in order to deliver a professional and consistent standard of service in delivering SPA's core functions.</p>		
<p>4.1. Design and implement a new SPA executive staffing structure with sufficient capacity and capability to deliver effectively SPA's core functions, reflecting on recommendations from the SPA Executive Review published in March 2018 (Q1 for development of business case, Q4 for full implementation);</p>	<p>Progress made</p> <p>To be delivered Autumn 20</p>	<p>A number of steps have been taken over the past year to adapt the SPA's executive support, including several appointments.</p> <p>Board approved SPA Corporate Plan Board approved high level staff structure Board being requested to approve the following at May meeting: - Annual business plan aligned to Corporate Plan Detailed staff structure SPA Corporate Risk Register</p>

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4.2 Revise the model of executive support for SPA Committees to provide a higher quality service with increased expertise (Q4 for full implementation);	Progress made To be delivered Autumn 20	Refer to 4.1 above
4.3 Build and maintain staff interchange between SPA, Police Scotland and Forensic Service staff to enable the delivery of corporate service functions that are flexible, responsive and provide best value (Q2);	Progress made To be delivered Autumn 20	Refer to 4.1 above
4.4 Align the executive team's activities over the year with the priorities outlined in this improvement plan (on-going).	Delivered	Objective is now superseded with the introduction of the SPA Corporate and Annual Plan articulating the activities and priorities for SPA