

Meeting	Audit, Risk and Assurance Committee
Date	15 July 2021
Location	By video-conference
Title of Paper	HMICS Governance Pathway
Presented By	John McNellis, Head of Finance Audit and Risk
Recommendation to Members	For consultation
Appendix Attached	Appendix A - HMICS governance pathway diagram

PURPOSE

To provide the Audit Risk and Assurance Committee (ARAC) with an overview of the SPA's updated approach to formally considering and monitoring HMICS reports.

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 HMICS prepare an annual scrutiny plan which sets out how they will meet its statutory obligation to inquire into the state, efficiency and effectiveness of both Police Scotland and the Scottish Police Authority.
- 1.2 When HMICS' work is completed their reports are published on their own website, in the public domain.
- 1.3 The SPA and Police Scotland will separately consider what management action is required in response to the specific recommendations made in each report. Action to address each recommendation will be incorporated into the respective audit and assurance tracking procedures.
- 1.4 Progress to discharge each recommendation is monitored internally and reported to the ARAC which considers the adequacy of managements response to issues identified from audit and assurance activities.
- 1.5 The full detail of reports are considered internally by the appropriate business area. Reports may also be considered by SPA committees on occasion, however, there is currently no formal procedure in place for such consideration.

2. FURTHER DETAIL ON THE REPORT TOPIC

- 2.1 An updated approach to formally considering HMICS reports is proposed, that will ensure there is a clear and transparent process for the Authority to consider the findings from HMICS' work.
- 2.2 When HMICS reports are published a brief summary will be provided to all Members outlining the reports key findings and link to the full report for information. The Chief Executive will consider reports and will recommend the appropriate governance route for each report, with HMICS being invited to present the report to the appropriate committee.
- 2.3 In line with current practice, all recommendations made will be monitored by Police Scotland / SPA and reported quarterly to ARAC.
- 2.4 This approach is illustrated at appendix A.

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 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 revised SPA governance pathway for HMICS reports.

Appendix A

HMICS governance pathway

This diagram summaries how the Authority will consider reports from HMICS.

