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| Meeting | Policing Performance Committee |
| Date | 01 September 2021 |
| Location | Video Conference |
| Title of Paper | HMICS Crime Audit 2020 |
| Presented By | ACC Judi Heaton, Major Crime, Public Protection and Local Crime |
| Recommendation to Members | For Discussion |
| Appendix Attached | Yes Appendix A – Improvement Plan |

PURPOSE

The purpose of this paper is to provide members with an overview of the planned improvement activity in response to findings of the recent HMICS Crime Audit 2020.

Members are invited to discuss the content of this paper.

1. BACKGROUND

- 1.1** In 2020 HMICS conducted a Crime Audit, the aim of which was to assess the state, efficiency and effectiveness of crime recording by Police Scotland and the extent to which recording practice complies with the Scottish Crime Recording Standard (SCRS) and Counting Rules. The audit followed similar audits of crime recording undertaken by HMICS in 2013, 2014 and 2016.
- 1.2** HMICS raised concerns regarding the lack of operational learning from previous audits in 2013, 2014 and 2016 and internal audits by Police Scotland, however, for ease HMICS took the decision to close all previous recommendations and issue a current set of recommendations.

2. FURTHER DETAIL ON THE REPORT TOPIC

- 2.1** During the Crime Audit, HMICS commented and acknowledged that although compliance with recording standards and counting rules might not seem the most interesting of police related topics, they believe that it is at the core of public confidence, which is where Police Scotland obtain their legitimacy, in order that they can provide a police service to communities across Scotland.

2.2 Recommendations

The HMICS report ([HMICS Crime Audit 2020](#)) contained 6 recommendations, for Police Scotland improvement, as per below:

Recommendation 1

The Scottish Police Authority and Police Scotland should ensure that the results of internal and external crime recording audits are publicly reported, including a statement of compliance in their joint Annual Report and Accounts from 2020/2021 onwards.

Recommendation 2

Police Scotland should revise its current Crime Recording Strategy to focus on effective implementation and better consider the required level of cultural change required to improve SCRS compliance.

Recommendation 3

Police Scotland should review its overall approach to incident compliance, considering what constitutes best practice in quality assurance processes in C3, specialist units and front line policing, establishing clear relative roles and responsibilities.

Recommendation 4

Police Scotland should review crime management unit structures taking the opportunity to maximise the benefits of the new single national crime recording system.

Recommendation 5

Police Scotland should develop a comprehensive approach to organisational learning and training, with consistent approaches to the introduction of new or changes to legislation, to more effectively support delivery of its crime recording strategy.

Recommendation 6

It is recommended that the Police Scotland Core Operating Solutions (COS) Programme review its approach to business change as part of the implementation of the new single national crime recording system, taking the opportunity to standardise and streamline business, audit and quality assurance processes.

2.3 Response

In response to the findings and recommendations, key stakeholders within Specialist Crime Division (SCD) engaged with Governance, Audit and Assurance (GAA) resulting in an Audit Management Officer being appointed to assist. It is noted that the Crime Audit is particularly complex as it cuts across several business areas, including Crime, Criminal Justice, Local Policing and Professionalism and Assurance.

2.4 Improvement Plan

A detailed Improvement Plan (Appendix A) has been created to address the specifics of the HMICS recommendations. This plan highlights the intended actions, impacts, key considerations in terms of how Police Scotland will achieve the actions, target dates, progress updates and action owners, including the strategic owner, at ACC level. Each ACC will be responsible for the overall delivery against each recommendation, with ACC Heaton Crime and Public Protection having overall strategic responsibility for the co-ordination of implementation and delivery.

2.5 Timescales and Dependencies

It is acknowledged that some of the timescales may seem lengthy to members, however, this is primarily due to the complex and cross cutting nature of the recommendations and action required. In addition, the delivery of the Core Operating Systems (COS) and completion of the Force Middle Office Remodelling (FMOR), will have

a positive impact on the delivery of the recommendations, as such these are dependencies, which will be determined by the timelines of each project.

2.6 Approach

Police Scotland's approach will be to use their Product Design Framework, which focuses on the ***gathering of requirements, engagement with key stakeholders, design with the use of benchmarking and early policy development, followed by delivery and evaluation, using the Evaluation and Review Framework***, to ensure a consistent approach to each recommendation.

2.7 Governance Arrangements

ACC Crime and Public Protection will retain the overall Strategic Lead for delivery of the Crime Audit recommendations, and will chair a monthly Strategic Programme Board, to monitor progress. Head of Local Crime, will drive forward the delivery of each specific action across the specific business areas via a Tactical Delivery Group, which will also meet on a monthly basis, to ensure traction. Agenda, Terms of Reference and membership have all been agreed for the tactical level.

2.8 Prioritisation Plan

A prioritisation plan of short, medium and long term action in respect of each of the recommendations has been completed, in order that early improvements to the here and now can be made wherever possible. As acknowledged earlier in the report, some of the recommendations are heavily dependent on the delivery of the COS and FMOR Projects.

2.9 As previously articulated, it is acknowledged that a number of the recommendations are complex in nature and are heavily dependent on the delivery of COS via the National Crime Module and the FMOR. Given these dependencies, relevant members from each Project are key members of the Tactical Group, to ensure co-ordination and due consideration of the Crime Audit as each of the projects progress.

2.10 Opportunities

Police Scotland identifies the opportunity the Crime Audit Recommendations present, whereby end to end processes, re-enforcement of minimum standards and expectations, while focusing on data quality and compliance will result in an enhanced experience for all users, including partners and the public.

2.11 Police Scotland are key members of the Scottish Crime Recording Board and will use this board to sense check improvements, providing independent oversight as required.

2.12 HMICS Response

On 10 August 2021, Police Scotland provided a formal response to HMICS regarding the Crime Audit 2020, along with a high level plan of proposed action.

2.13 Next Steps

Police Scotland have established a Tactical Group of key stakeholders, who are now being tasked to develop delivery plans for each of the recommendations. Further progress updates can be prepared for members on request.

3. FINANCIAL IMPLICATIONS

3.1 Each Project (COS and FMOR) have undergone a full financial assessment as part of their Full Business Case (FBC), and although both projects are dependencies to the delivery of the Crime Audit recommendations, there are no presently identified financial implications connected to the delivery of the recommendations.

4. PERSONNEL IMPLICATIONS

4.1 The COS Programme within Digitally Enabled Policing, is resourced in accordance with defined scope according to the approved FBC in order to deliver a National Crime Recording System, with rollout commencing late Summer 2021 and expected to complete at the end of Summer 2022, implementing on a divisional basis.

4.2 The programme has identified the necessary specialist resources across ICT and Change functions together with the officer resources needed to develop the end solution and support rollout in collaboration with key stakeholders and subject matter experts. Based on assessment of the improvement plan it is assessed by the Project Team that the delivery of Crime Audit recommendations should be achievable within this envelope, unless significant additional demands result from the respective implementation work-streams.

4.3 FMOR Project has been established to review middle office functionality within the 13 Local Policing Divisions as well as SCD,

OSD, C3 and PPCW. One of three identified work streams for delivery includes structures, functionality and resources surrounding Crime and Incident Management Units. This work will focus upon HMICS recommendations 3 and 4.

- 4.4** FMOR Project Team resources have been agreed and will be supplemented by Subject Matter Experts (SME) as well as a Short Life Working Group (SLWG) of key stakeholders and interdependent Project Leads. A Chief Superintendent is the Project Lead and is supported by a Superintendent, Chief inspector, 2 x Inspectors, 2 x Sergeants, 2 x PCs and a Business change Analyst. A Project Manager and further Business Change Analyst have been approved and are currently being recruited.
- 4.5** The delivery of recommendations not connected to COS or FMOR, will be via various SLWGs. These groups will be resourced on an ad hoc basis, dependent on the requirements and specialisms of each recommendation.
- 4.6** Engagement remains ongoing with Staff Associations and Trade Unions, who have been invited to provide feedback on the content of this paper, including via JNCC. It should be noted that one of the Trade Unions has raised concerns regarding Quality Assurance processes reducing job satisfaction. This has been highlighted to the relevant business area, who have addressed this.

5. LEGAL IMPLICATIONS

- 5.1 There are no legal implications with this report.

6. REPUTATIONAL IMPLICATIONS

- 6.1 Police Scotland have a duty to rectify issues with crime and incident compliance, in order that all crime data is accurately recorded and thereby presented externally both to partners and the public. Failure to do so, could result in a loss of confidence and thereby reputational issues for the Service.

7. SOCIAL IMPLICATIONS

- 7.1 There are no social implications associated with this report.

8. COMMUNITY IMPACT

8.1 The improvements delivered by these recommendations will undoubtedly improve the service to the public and therefore the communities Police Scotland serves.

9. EQUALITIES IMPLICATIONS

9.1 Equality, diversity and human rights feature across each of the recommendations. EqHRIAs will be developed from the outset as new processes are developed. The Equality and Diversity Unit will be engaged throughout the delivery against the recommendations and will participate in SLWGs as required.

10. ENVIRONMENT IMPLICATIONS

10.1 Each of the projects directly connected to the delivery of these recommendations, COS and FMOR have a keen interest on efficiency and effectiveness. The use of ICT as a solution is a focus for the delivery of improvements, ensuring environmental sustainability for the future.

RECOMMENDATIONS

Members are invited to discuss the content of this report.

Improvement Plan Template



HMICS Crime Audit 2020 - Detailed Improvement Plan

| Recommendation | Risk/Outcome/Background | Risk Exposure | Action to be taken | Impact | Key considerations (How this will be achieved) | Target date | Updates | SRO/Operational Lead |
|---|---|---------------|--|---|--|-------------------|---|--|
| <p>Recommendation 1</p> <p>The Scottish Police Authority and Police Scotland should ensure that the results of internal and external crime recording audits are publicly reported, including a statement of compliance in their joint Annual Report and Accounts from 2020/21 onwards.</p> <p>The Committee received reports from the National Crime Registrar regarding audit results between 2014 to September 2016, however HMICS found that no further reports have been submitted or requested. HMICS could find no documented decision on this, but were told that given the positive results being reported, the then chair of the committee instructed Police Scotland to report on an exception only basis. HMICS could not identify clear criteria for reporting such exceptions and given that no further reports have been submitted since 2016 remains concerned regarding a lack of accountability. Also in 2014, we recommended that Police Scotland should provide local scrutiny committees with the findings of internal audits and any resulting improvement plans.</p> <p>The purpose of this recommendation was to assist local scrutiny committees to assess the reliability of crime data regularly presented to them by local commanders. HMICS could find no evidence of such reporting in any local policing division, however were told that the issue may be covered in performance discussions. This raises questions about accountability at local level. HMICS recommends that the SPA and Police Scotland include a statement of compliance in their joint Annual Report and Accounts from 2020/21 onwards. HMICS also considers that any compliance issues which may significantly impact on the accuracy of crime recording or operational demand analysis should be included in performance reporting and national statistics.</p> | <p>In relation to external scrutiny of crime recording, HMICS has previously stated its expectation that the SPA and local scrutiny committees are informed of the results of internal audits and that they seek assurance about the accuracy of crime data. In the 2014 crime audit, we recommended that the SPA's Audit and Risk Committee should request from Police Scotland the full results of internal crime recording audits and should monitor the implementation of any resulting improvement actions. The Committee should also monitor improvement plans developed by Police Scotland in response to recommendations made about crime recording by HMICS. This recommendation reflects the role of the SPA in holding the Chief Constable to account and our expectation that, in the context of crime recording, the SPA should satisfy itself that crime data given by Police Scotland to the public, the SPA and the Scottish Government is accurate.</p> <p>The Committee received reports from the National Crime Registrar regarding audit results between 2014 to September 2016, however HMICS found that no further reports have been submitted or requested. HMICS could find no documented decision on this, but were told that given the positive results being reported, the then chair of the committee instructed Police Scotland to report on an exception only basis. HMICS could not identify clear criteria for reporting such exceptions and given that no further reports have been submitted since 2016 remains concerned regarding a lack of accountability. Also in 2014, we recommended that Police Scotland should provide local scrutiny committees with the findings of internal audits and any resulting improvement plans.</p> <p>The purpose of this recommendation was to assist local scrutiny committees to assess the reliability of crime data regularly presented to them by local commanders. HMICS could find no evidence of such reporting in any local policing division, however were told that the issue may be covered in performance discussions. This raises questions about accountability at local level. HMICS recommends that the SPA and Police Scotland include a statement of compliance in their joint Annual Report and Accounts from 2020/21 onwards. HMICS also considers that any compliance issues which may significantly impact on the accuracy of crime recording or operational demand analysis should be included in performance reporting and national statistics.</p> | <p>Medium</p> | <p>1.1 Develop proposal for governance reporting arrangements which increase the visibility and develop consistency of approaches, with the expectation that results of audits would be shared with the groups that influence change, e.g. LPMB/COMB allowing for ACC's to performance manage SGRs and Incident Compliance; and in conjunction with Local Policing ACCs and Divisional Commanders; consider reporting performance and compliance data through Regional Delivery Boards (RDB's)/Operational Delivery Boards (ODB's) and Local Scrutiny Committees.</p> <p>Links with recommendations 1.4, 2.1, 2.2, 6.2.</p> | <p>Streamlined governance reporting providing clearer lines of reporting and accountability combined with increased visibility of reporting of Police Scotland's crime performance and trends.</p> <p>This will enable Police Scotland thereafter to have the capability to share all results internally/externally providing a greater degree of transparency.</p> | <p>Review the internal governance arrangements that are in place; engaging and consulting with local policing, national divisions and SPA to explore opportunities for streamlining arrangements into established governance processes.</p> <p>Develop a process map and standardised reporting templates; informed by benchmarking which provides for sharing of results internally/externally as required.</p> <p>Design process map which integrates and streamlines quality assurance checking and reflective learning into key business processes.</p> <p>Develop communications plan to raise awareness of governance arrangements, roles and responsibilities.</p> | <p>30/09/2021</p> | <p>July 2021</p> <p>SCRS Annual Audit reports are compiled by the Command Area Crime Registrars (Divisional, Command Area and Force Reports). National Crime Registrar determines relevant reporting routes depending on the type of audit.</p> <p>Audits can be identified from other areas of business e.g. COVID crime recording audit, new crime system health check audit etc.</p> <p>Fraud briefing paper developed in response to HMICS Crime Audit 2020 (paras 134-140) for consideration by Tactical Group.</p> <p>When considering specific crime types where recording issues may arise, these can be identified through common errors identified during the annual audit or HMICS auditor highlighted when reviewing statistical data e.g. anomaly where statistics are significantly different in one Division for a specific crime type, or through the ongoing discussions between Crime Registrars, Divisions, Departments etc. whereby a specific crime type may benefit from being checked to ensure accurate recording</p> | <p>ACC Major Crime, Public Protection and Local Crime.</p> |
| | | | <p>1.2 Establish tactical and strategic forums to ensure consistency and sustainability of approaches to the HMICS Recommendations across all business areas.</p> <p>Links with recommendation 4.1, 5, 4, 6, 1, 6, 2.</p> | <p>Provision of forums, with ACC and appropriate representation from across key business areas which have responsibilities for aspects of the crime recording/reporting system.</p> <p>Allows for the development of consistent approaches to business as usual crime recording/reporting and dependencies with other transformation activity, such as MDR and COS.</p> | <p>Develop regular meeting schedule with standard agenda and terms of reference for both strategic and tactical groups, with relevant attendees to drive forward the recommendations in a sustainable way.</p> <p>Design process map, engaging with local policing and national divisions to streamline communication channels which integrate and reflective learning into key business processes.</p> <p>Develop communications plan to raise awareness of recommendations progress and achievements.</p> | <p>30/09/2021</p> | <p>July 2021</p> <p>Monthly forums established with terms of reference: Crime Audit Tactical Group chaired by DCS Laura McIckue and Strategic Oversight Group chaired by ACC Major Crime and Public Protection.</p> | <p>ACC Major Crime, Public Protection and Local Crime.</p> |
| | | | <p>1.3 In conjunction with the SPA, identify appropriate arrangements for reporting to the relevant SPA Audit, Risk and Assurance Committee including:</p> <ul style="list-style-type: none"> (i) Initial update on plans to address recommendations allocated to Police Scotland (PS) from the HMICS Crime Audit and thereafter progress update on each recommendation. (In addition to the normal reporting on progress of improvement recommendations) (ii) Reporting on results of internal crime recording compliance checking; actions being taken to address any issues identified in line with PS crime compliance checking cycle. <p>Links with recommendations 1.1, 1.1, 2.1, 4, 6, 1.</p> | <p>Provides for increased engagement with SPA and ensures that reporting arrangements are in line with the expectations of the relevant SPA committees.</p> | <p>Review reporting arrangements that are in place; engaging and consulting with SPA to explore opportunities for improved and effective reporting on crime audit.</p> <p>Develop a process map and standardised reporting template which provides assurances on both quantitative and qualitative crime performance /results of quality assurance checking.</p> <p>Develop communications plan to include arrangements on Police Scotland reporting to SPA Committees to raise awareness of levels of assurance that are in place.</p> | <p>30/09/2021</p> | <p>July 2021</p> <p>The Crime Registrars carry out an annual audit and this is reported via ACC Speirs PASG and thereafter to DCC Taylor PPHB, so after going through these Boards it could be presented to other relevant DCC business areas and thereafter to SPA. The Crime Registrar function is to conduct the second line of defence in relation to Audit & Assurance for compliance with SCRS. This is in line with the 4 lines of defence model accepted by the Force. The services of monthly or quarterly update to service performance monitoring by ACCs or Scrutiny Boards would require to be undertaken by Divisions or Business areas as part of their first line of defence audits as there is insufficient capacity within the Crime Registrar function to facilitate this</p> | <p>ACC Professionalism and Assurance.</p> |
| | | | <p>1.4 Revise Audit Methodology document to deliver more complete assurance at all levels, including the following:</p> <ul style="list-style-type: none"> (i) annual reporting on crime types in order to inform thematic reviews; (ii) increased visibility of ownership and accountability for local and national quality assurance; and (iii) clarification on roles and responsibilities within Crime Recording and Incident Management for Divisional staff, Specialist departments and National/Regional Crime Registrars. <p>Links with recommendations 1.1, 1.1, 4, 2, 1, 2, 2, 4, 1, 6, 1, 6, 2.</p> | <p>Ensures the systematic approach to audit methodology and processes are in line with the new Crime Management system including corporate expectations for responsibilities and accountability, improving the accuracy of crime data.</p> | <p>Review existing arrangements that are in place; engaging and consulting with local policing/national divisions and SPA to explore opportunities for enhancements to exception reporting.</p> <p>Crime Registrars to develop a methodology which provides increased confidence in crime reporting informed by benchmarking which provides for sharing of results internally/externally as required.</p> <p>Design process map for level 1 compliance which integrates and streamlines quality assurance checking and reflective learning into key business processes.</p> <p>Develop communications plan to raise awareness of governance arrangements, roles and responsibilities</p> | <p>30/09/2022</p> | <p>July 2021</p> <p>SCRS Audit Methodology document, v 8.1 June 2019 requires to be updated.</p> | <p>ACC Professionalism and Assurance.</p> |
| | | | <p>1.5 Annual audit plan be developed in conjunction with Scottish Crime Recording Board to include general SCRS compliance and targeted/themed audits, consulted through Police Scotland internal governance boards and presented to SPA Audit, Risk and Assurance Committee for approval.</p> <p>Links with recommendations 1.1, 1, 3, 1.</p> | <p>Provides increased visibility and proactive approach to the development of an audit plan that addresses compliance and targets areas of concern.</p> | <p>Review existing arrangements that are in place; engaging and consulting with SPA and SCRB to explore opportunities for the development and monitoring of an annual audit plan for Crime Recording.</p> <p>Crime Registrars to develop a process map and standardised reporting templates; informed by engagement with local policing to ensure that priorities identified by local scrutiny committees are considered.</p> <p>Develop communications plan to promote engagement with local scrutiny committees and raise awareness of annual audit planning/reporting.</p> | <p>31/03/2022</p> | <p>July 2021</p> <p>SCRB advised by National Crime Registrar and Regional Crime Registrars. SCRB are advised of results of audits.</p> | <p>ACC Professionalism and Assurance.</p> |
| | | | <p>1.6 Plan to be agreed with SPA Head of Strategy and Performance for the inclusion of crime recording compliance in the Annual Report and Account for 2021/22 and annually thereafter.</p> <p>SPA to ensure the compliance of crime recording from the Chief Constable self-assessment is included within the Chief Constable's self-assessment, supporting the Annual Report.</p> <p>Links with recommendation 1.5.</p> | <p>Provides increased visibility of crime performance to the generic public.</p> | <p>Review reporting arrangements that are in place; engaging and consulting with SPA to explore opportunities for improved and effective reporting on crime audit.</p> <p>Develop a process map and standardised reporting template which provides assurances on both quantitative and qualitative crime performance /results of quality assurance checking.</p> <p>Develop communications plan to include arrangements on Police Scotland reporting to SPA Committees to raise awareness of levels of assurance that are in place.</p> | <p>30/09/2021</p> | <p>July 2021-discussion with SPA scheduled in respect of recommendation 1.</p> | <p>ACC Major Crime, Public Protection and Local Crime.</p> |

Improvement Plan Template



| Recommendation | Risk/Outcome/Background | Risk Exposure | Action to be taken | Impact | Key considerations (How this will be achieved) | Target date | Updates | SRO/Operational Lead |
|--|--|---------------|---|---|---|-------------------------------------|---|---|
| <p>Recommendation 2 Police Scotland should revise its current Crime Recording Strategy to focus on effective implementation, and consider the required level of cultural change required to improve SCRS compliance.</p> | <p>Since our 2016 audit, Police Scotland has published its Scottish Crime Recording Strategy, which links to the former Crime Recording Standard Operating Procedure (SOP). HMICS found the strategy, policy and the SOP to be consistent with the Police Scotland Code of Ethics. HMICS welcomes the development of the strategy since our 2016 recommendation, and supports the content. The strategy sets out the vision: "to be an efficient and effective crime recording approach which applies a victim centred approach, withstands scrutiny and allows for the accurate provision of reliable statistical data which can be exploited to better understand and tackle criminal trends."</p> <p>The strategy makes clear it is the responsibility of all police officers and staff involved in the incident and crime recording process to ensure crime is accurately recorded and emphasises a 'getting it right first time' approach.</p> <p>Governance structures and strategies to deliver its vision are set out, including arrangements for training, supervisory oversight and internal auditing. The strategy makes reference to a training input to probationers at the Scottish Police College and provides a general statement regarding the role of crime registrars in providing training. However, no comprehensive training strategy is outlined: indeed the strategy recognises in the majority of cases staff working within Police Scotland Scottish Crime Recording Strategy - version 2.01 April 2018 (internal document). 47 CMUs will receive 'on the job' training. This approach to training is not considered adequate to ensure the principles of accurate crime recording are embedded.</p> <p>The strategy sets out Police Scotland's self-imposed target of 95% compliance, and emphasises the importance of the development of a national crime recording system to bring consistency of approach across all local policing divisions. The strategy includes arrangements for internal audit, stating that where 95% is not achieved, improvement activities will be monitored, reviewed and updated.</p> | Medium | <p>2.1 Revise Crime Recording Strategy to include people /process improvements across all HMICS recommendations. Identify and develop criteria to measure the efficiency and effectiveness of the implementation of the strategy. <i>Links with recommendations 1.1; 2.4; 6.1; 6.2.</i></p> <p>2.2 Review SCRS Manual in consultation with key stakeholders to ensure the promotion of corporate expectations for incident management/crime recording and SCRS compliance in parallel with processes developed from the rollout of the national crime system. <i>Links with recommendation 2.4; 4.1; 6.1; 6.2.</i></p> | <p>Ensures that Police Scotland develops a crime recording strategy that reflects identified priorities that can be reviewed/measured.</p> <p>Promotes awareness across stakeholders of corporate expectations. Provision of standardised processes and practices</p> | <p>Review current strategy, engaging and consulting with local policing/national divisions and the SPA to explore opportunities for people/process improvements. Develop strategy to include best practice in crime recording and includes feedback from consultations to inform measurement criteria for levels of compliance and identified improvements. Develop process map and standardised reporting template which provides assurances on both quantitative and qualitative crime performance /results of quality assurance checking. Develop communications plan for staff to ensure awareness, roles and responsibilities and expectations outlined in the revised Strategy document.</p> <p>Crime Registrars to review the SCRS manual; engaging and consulting with key stakeholders-Local policing/national divisions and the SPA to identify corporate expectations. In conjunction with Crime Managers Forum and COS project team, Crime Registrars to develop a document which identifies corporate expectations and defines management controls, highlighting the reliance on data citizenship, and ensuring alignment with the deliverables/defined benefits of the COS programme and provided increased confidence in levels of assurances. Ensure that learning/training requirements are captured and identified to the Crime Manager Forum and the Tactical group. Develop communications plan to increase awareness and reinforces the 'data citizenship' approach and the promotion of benefits realised through the corporate approach.</p> | <p>30/09/2022</p> <p>30/09/2022</p> | <p>July 2021 Crime Recording Policy v 1.0 07/10/2020 owned by Professionalism and Assurance. Joint action with tactical group and key dependency on model for Crime Management Units.</p> <p>July 2021 SCRS manual updated on an annual basis. Joint action with tactical group and key dependency on model for Crime Management Units and Divisional responsibilities.</p> | <p>ACC Professionalism and Assurance.</p> <p>ACC Professionalism and Assurance.</p> |
| <p>Recommendation 3 Police Scotland should review its overall approach to incident compliance, considering what constitutes best practice in quality assurance processes in C3, specialist units and front line policing, establishing clear relative roles and responsibilities.</p> | <p>A single national incident recording system (STORM) is in place, however crime recording systems vary across divisions. Even where two divisions use the same system, they can use it in quite different ways, for example, where a system was modified for the purposes of a legacy force. While five of the six divisions in the West (making up legacy Strathclyde Police force) use the same type of system, there are eight standalone editions of the system, which relate to six sub-divisional boundaries, and it is not possible to transfer data between them. HMICS has previously emphasised the impact of disparate incident and crime recording systems on accurate crime recording. Until such time as the new national crime recording system is available, processes will continue to be dictated by legacy IT systems and local resourcing. Further consideration of the implications of the new national system is included at paragraphs 259 - 266. Internal Scrutiny - HMICS found that the extent to which incidents and crimes are scrutinised across Police Scotland remains variable. HMICS commends the strategy promoting a 'getting it right first time' approach, as recommended in our 2016 report. The recommendation stated that "Police Scotland should also consider what measures, such as improved training, will be necessary to support such an approach". We found no evidence of a fundamental improvement in training to support this and as highlighted at paragraph 55 further guidance is required to provide greater clarity on individual roles and responsibilities to embed ownership and improve standards.</p> <p>Incident compliance and scrutiny - Once an incident is raised and transferred to an Area Control Room (ACR) radio updates are often provided to ACR operators by attending officers, which should then be recorded on the incident log and where appropriate the incident closed off. We found there is not always sufficient detail on the incident records. With the roll out of mobile devices, officers can update incidents directly, which has the potential to vastly improve the speed and accuracy of updates to incidents. HMICS considers there is a need for quality assurance processes to accompany this direct recording to ensure updates are of sufficient quality to comply with the SCRS. We heard differing views of where the responsibility for incident compliance should lie, with some feeling this should be a C3 function as the gatekeepers for STORM, and others thinking it should be a function of local policing divisions. HMICS considers there must be clear guidance setting out who has primary responsibility for recording updates on incidents, the process to be followed, and how compliance will be scrutinised.</p> <p>Within C3, scrutiny processes have already been developed in its Quality Assurance Framework which could be further expanded to include SCRS incident compliance. The framework aims to:</p> <ul style="list-style-type: none"> Improve service delivery and increased opportunities for continuous learning and improvement Reduced risk arising from the use of inappropriate practices and procedures Empowerment and improved utilisation of staff. <p>The position regarding responsibility for compliance is less clear within divisions and differing approaches are taken. For example, we heard that in N division the onus is on the investigating officer to update the incident and where appropriate to raise a crime report. Where there is insufficient information the CMU will raise this with the officer but there is no ongoing dialogue to check for progress on updates. In E division, incidents closed with the code SCD are scrutinised by the Edinburgh Service Delivery Team. As in our 2016 audit, we found delays in these compliance checks being conducted, some many months after the incident had taken place.</p> <p>During our 2020 audit we saw evidence of scrutiny being applied both within C3 and by local policing divisions. Often there was a different emphasis on each layer of scrutiny, for instance much of the scrutiny by C3 was focused on assessing compliance with the time taken to attend, THRIVE and closing the incident off with an appropriate disposal code, whereas divisional CMU scrutiny was more focused on SCRS compliance. HMICS therefore concludes that there is a risk of quality assurance processes being inefficient, potentially creating confusion and duplication. HMICS considers that any scrutiny model and accompanying business processes adopted by Police Scotland should be as:</p> <ul style="list-style-type: none"> Crime managers lead CMUs and have day-to-day responsibility for ensuring crimes are SCRS compliant. Some crime managers also have responsibility for incident compliance. We reported in 2016 that there had been a diminution of the crime manager role, with many experienced inspectors being replaced by sergeants. Crime managers must also be able to influence change within their division, and must be seen as credible by their colleagues. HMICS considers that the divisional crime manager must be sufficiently experienced and skilled in applying SCRS, and must be able to engage in robust discussions with more senior colleagues regarding crime recording decisions. <p>HMICS identified that there continued to be a great deal of inconsistency across the role and scope of crime managers and CMUs across local policing divisions. Some remained within local policing CD structures, some within divisional co-ordination or support units and some within divisional 'regime rooms'. These hybridised versions often involve varied reporting lines, additional responsibilities and diverse priorities.</p> <p>We highlighted in 2016 that the changes to the crime manager role would negatively impact SCRS compliance. HMICS now considers that these changes and lack of standardised approaches to structure, function and process have indeed adversely impacted on SCRS compliance in a number of divisions.</p> | Medium | <p>3.1 Identify best practice/learning from C3 National QA various quality assurance approaches including end to end processes / reactive quality assurance for specific issues raised, and targeted quality assurance for consideration in the review of SCRS Audit Methodology document. <i>Links with recommendation 2.4; 2.6; 1.6; 2.</i></p> <p>3.2 Develop a national structured approach to local scrutiny, to include frequency and scope of compliance checks; audit methodology / SCRS compliance and monitoring arrangements for Divisional Improvement Plans. <i>Links with recommendations 1.4; 2.1; 2.2; 2.4; 1.6; 1.</i></p> | <p>Provision of consistent organisational approaches to QA and organisational learning.</p> <p>Structured approach and standardisation of compliance and level 1 assurance across both local and specialised policing divisions. Increased identification of ownership of improvements at local levels.</p> | <p>Review end to end C3 processes and C3 Quality Assurance Framework engaging and consulting with Local Policing and National Divisions to explore opportunities for improved and effective quality assurance arrangements, including SCRS compliance. Develop a process map which captures organisational learning and develop a future state for Crime which complies and is aligned to the audit methodology included in action provides confidence in levels of assurance at local and national levels. Develop communications plan to raise awareness of the Crime Quality Assurance Framework.</p> <p>Review existing divisional improvement plans engaging and consulting with COS project team; local policing and national divisions to explore opportunities for improved and effective approaches to compliance checks. Develop a structured approach to divisional compliance checks, and divisional improvement plans, which provide for clear ownership for actions and improvements at local levels. Ensure that any training needs are captured and reported to the Crime Managers Forum. Develop communications plan to promote the role of the Crime Managers Forum in the dissemination of organisational learning.</p> | <p>30/03/2022</p> <p>30/09/2022</p> | <p>ACC Criminal Justice Services Division</p> <p>ACC Criminal Justice Services Division</p> | |
| <p>Recommendation 4 Police Scotland should review crime management unit structures taking the opportunity to maximise the benefits of the new single national crime recording system.</p> | <p>HMICS identified that there continued to be a great deal of inconsistency across the role and scope of crime managers and CMUs across local policing divisions. Some remained within local policing CD structures, some within divisional co-ordination or support units and some within divisional 'regime rooms'. These hybridised versions often involve varied reporting lines, additional responsibilities and diverse priorities.</p> <p>We highlighted in 2016 that the changes to the crime manager role would negatively impact SCRS compliance. HMICS now considers that these changes and lack of standardised approaches to structure, function and process have indeed adversely impacted on SCRS compliance in a number of divisions.</p> | Medium | <p>4.1 Develop a structure across the organisation linked with FMOR which combines Crime and Incident Management Units within a Regional Tiered Governance Structure and which aligns to the requirements of SWP in terms of maximising workforce mix and talent, including succession planning arrangements for the National Crime Registrar, Regional Crime Registrars and Divisional crime management to ensure continuity of specialist knowledge of Crime Recording/Incident Management processes. <i>Links with recommendations 1.4; 2.1; 2.2; 2.4; 1.6; 2.</i></p> | <p>Improved governance arrangements through clear and streamlined corporate governance structure, combining crime and incident management functions.</p> | <p>Review Force Middle Office Review (FMOR) plans that are in place; engaging and consulting with local policing, national divisions and SWP team to explore opportunities for improved and effective reporting on crime audit. Develop FMOR proposals considering the outcomes of engagement and ensure that change proposals and business rules developed are operationally fit and provide for sustainable structures. Further engage with the SWP team to ensure that plans are aligned with the overall SWP approach and principles. Develop communications plan to raise awareness of corporate expectations aligned to FMOR developments.</p> | 30/09/2022 | | ACC Criminal Justice Services Division |

Improvement Plan Template



| Recommendation | Risk/Outcome/Background | Risk Exposure | Action to be taken | Impact | Key considerations (How this will be achieved) | Target date | Updates | SRO/Operational Lead |
|---|--|---------------|--|--|--|-------------|---------|--|
| <p>Recommendation 5 Police Scotland should develop a comprehensive approach to organisational learning and training, with consistent approaches to the introduction of new or changes to legislation, to more effectively support delivery of its crime recording strategy.</p> | <p>HMICS has consistently raised issues associated with training in crime recording in our previous audits and is disappointed in the lack of progress in this area. In 2013, we recommended that, 'to improve consistency in crime recording, Police Scotland should review the training needs of all those involved in crime recording decisions and develop a strategy to address those needs. The strategy should address initial and refresher training and bespoke training for crime managers and their staff. It should also set out how officers and staff will be kept up to date with changes to crime recording practice.</p> <p>Having closed this recommendation prior to our 2016 audit based on interim evidence submitted, we again recommended the need to develop a training plan to support delivery of the crime recording strategy. We have identified the same weaknesses in our 2020 audit.</p> <p>In this audit we identified an insufficiency in training regarding SCRS in C3 core ACR training, in detective training, in training for specialist units, follow up training for probationer officers and refresher training for all officers. We did see evidence of effective input to CAM training by the crime registrars, but overall a piecemeal approach has been taken to training. In terms of communications to support understanding and awareness, there was evidence of regular force memos being issued, updated intranet content and SCRS bulletins being circulated. However these were clearly having limited impact as many of those we spoke to had little or no knowledge of them.</p> <p>HMICS remains concerned that we have seen the same repeated issues with SCRS compliance. There is a need for a training plan supported by an effective ongoing communications strategy. We are particularly concerned that:</p> <ul style="list-style-type: none"> There is a lack of training available to newly appointed key personnel, i.e. the national crime registrar, regional crime registrars, crime managers and crime management staff There is insufficient ongoing training and awareness raising of SCRS among all officers and staff to support a 'right first time' culture There is an over-reliance on scrutiny, particularly at local/CMU level to ensure SCRS compliance There are restrictions on the capacity of frontline supervisors to provide effective mentoring and support to probationer officers. <p>HMICS is aware that a recent review of probationer training will introduce a new distance learning package which will include crime recording and will be available on mobile devices. This will be part of the new Modern Apprenticeship approach for the probationer intake in December 2020 and will be assessed later in the programme following operational deployment.</p> | <p>Medium</p> | <p>5.1 Complete a post deployment review of the new distance learning package of the December 2020 probationer intake to identify any follow up training/mentoring opportunities and any wider organisational learning.</p> <p>Links with recommendations 5.2,5.3.</p> | <p>Ensures that probationer programmes are fit for purpose and that learning is captured to inform new opportunities.</p> | <p>Review Probationer Training; engaging and consulting with local policing and national divisions to explore opportunities for the effective delivery of Crime Management input to probationer training</p> <p>Develop probationer training input that reflects best practice from benchmarking and ensures training is delivered at the right time in the right place to maximise learning.</p> <p>Develop communications plan to promote learning from probationer training across divisions.</p> | 30/09/2021 | | ACC Major Crime,Public Protection and Local Crime. |
| | | | <p>5.2 Conduct a review of the training needs of all the following officer/staff clusters involved in crime recording decisions:- (i) Crime Management Staff-National crime registrar, regional crime registrars, divisional crime managers and crime management staff; (ii) Specialist Divisions-C3, SCD; (iii) Probationers; (iv) Frontline Officers and Staff.</p> <p>Links with recommendations 5.3.</p> | <p>Development of structured and coordinated approach to the delivery of a range of training across Police Scotland.</p> | <p>Review the range of training in place and the uptake of training, engaging and consulting with local policing, national divisions and Leadership and Talent to identify best practice and explore opportunities for improved and effective training within the Modern Apprenticeship programme. Design a questionnaire to capture the effectiveness of training and secure analytical support to gather and analyse the findings, using the results to inform future training provision.</p> <p>Develop communications plan to promote the delivery of training, including case studies.</p> | 31/03/2022 | | ACC Major Crime,Public Protection and Local Crime. |
| | | | <p>5.3 Develop a strategy and training plan in conjunction with P&D to address those needs to include bespoke induction, ongoing programme of training and development, including refresher training for each of the above groups, including how officers and staff will be kept up to date with changes in legislation and crime recording practice, including the rollout of the National Crime System.</p> <p>Links with recommendations 4.1,5.4.</p> | <p>Ensure that strategy and plan reflect changes in legislation and practice.</p> | <p>Conduct a training needs analysis, engaging and consulting with local policing, national divisions and Leadership and Talent to explore opportunities for a comprehensive approach to the identification, delivery and evaluation of training which compliments SWP developments.</p> <p>Develop a strategy and delivery plan with P&D which takes account the training backlog from other competing organisational priorities such as COVID,COP 26.Ensure that any training requirements compliment the rollout of the national crime system until this becomes business as usual activity -</p> <p>Develop communications plan to raise awareness of the training strategy and the range of training opportunities available.</p> | 31/12/2022 | | ACC Major Crime,Public Protection and Local Crime. |
| | | | <p>5.4 Establish a tactical forum to provide a continuous improvement and organisational learning framework to facilitate and disseminate across Divisions the promotion and sharing of best practice in crime recording practices.</p> <p>Links with recommendations 3.1,5.5.</p> | <p>Enhances the role of the Crime Managers Forum in relation to the identification and dissemination of best practice.</p> | <p>Review the Terms of Reference for the Crime Managers forum, engaging and consulting with Local policing, national divisions ,Crime Managers ,Crime Registrars and P&D to explore opportunities for reflective learning and cascading of organisational learning.</p> <p>Develop a process map which captures and disseminates organisational learning and continuous improvement which compliments and is aligned to Organisational Learning corporate developments.</p> <p>Further consult with local/national policing to determine the preferred communication methods, developing a communications plan which supports user preferred communication methods.</p> | 30/09/2021 | | ACC Major Crime,Public Protection and Local Crime. |
| | | | <p>5.5 Develop a communications plan, including the use of Intranet to support the Training Strategy and Training Plan, identifying how the impact of crime recording understanding/ awareness will be measured.</p> <p>Links with recommendations 3.1,5.1,5.3.</p> | <p>Provides a structured approach and response to training requirements.</p> | <p>Review the effectiveness of communication channels in place, engaging and consulting with local policing, national divisions to identify best practice and explore opportunities for improved and effective communication.</p> <p>Design a questionnaire to capture the effectiveness of communications and secure analytical support to gather and analyse the findings, using the results to inform future communication plans.</p> <p>Develop communications plan taking account preferred communication methods.</p> | 31/12/2022 | | ACC Major Crime,Public Protection and Local Crime. |

Improvement Plan Template



| Recommendation | Risk/Outcome/Background | Risk Exposure | Action to be taken | Impact | Key considerations (How this will be achieved) | Target date | Updates | SRO/Operational Lead | | |
|--|---|---------------|--|--|---|---|--|--|--|--|
| <p>Recommendation 6 It is recommended that the Police Scotland COS Programme review its approach to business change as part of the implementation of the new single national crime management system, taking the opportunity to standardise and streamline business, audit and quality assurance processes.</p> | <p>At the time of our audit, there remained a number of legacy crime recording systems in operation across the 13 local policing division (5 different applications):</p> <p>These systems vary in levels of functionality and account for much of the local variation in incident management and crime recording processes, which remains a significant barrier to consistency of practice and improved levels of compliance. National units are required to use.</p> <p>Access to full STORM functionality is tightly controlled, and linked to successful completion of mandatory training courses. Most CMUs and frontline officers access the system through the Web STORM interface which has more limited functionality. HMICS seeks improvement to establish a standard that members of each CMU should have the required training to allow full access to STORM and increased functionality to extend their audit capability.</p> | <p>Medium</p> | <p>6.1 Develop a Crime Data Input Quality Assurance Framework (a matrix of who is checking the quality of each crime input data field). Links with recommendations 1.3,2.1,2.2,3.1,4.1.</p> | <p>Consistent approach and standardised approaches to data input quality checks.</p> | <p>Review Quality Assurance matrix, engaging and consulting with Local policing and national divisions to explore opportunities for the effective delivery of level 1 assurance activities. Develop quality assurance processes and update audit methodology document reflects national system checks. Develop communications plan to promote learning from the rollout of the national crime system.</p> | 30/09/2022 | <p>July 2021 The pilot in D Division is to commence on xx Terms of Reference agreed for the Crime Registrars to conduct a Health Check comprising an audit of crime records recorded by Tayside Division. The target date for all deliverables to be ready at the conclusion of D Div. Pilot but will be revised based on learning not completed until the end of the pilot. Implementation nationally will take place as part of the national roll-out thereafter, to complete nationally Summer '22.</p> | ACC Criminal Justice Services Division | | |
| | <p>In our analysis of the use of certain tags and qualifiers/markers on STORM (relating to cybercrime and Resolution Teams) we identified a significant lack of usage. However it emerged that a technical fault was allowing these to be effectively wiped from records if opened after formal closure or the 'no qualifiers apply' marker was used. The issue was identified through the CI quality assurance process and not through SCRS compliance checks, and has since been partially rectified. HMICS seeks improvement in SCRS compliance audit processes to ensure validation of the appropriate use of tags and markers on both incidents and crimes is in place going forward.</p> | | <p>6.2 Develop process maps/flow chart documentation of the future Crime (and Case) Management Process, including the positioning of the Quality Intervention activities. Links with recommendations 1.3,2.1,2.2,3.1,4.1,6.2.</p> | | | <p>Standardisation of crime management processes across Police Scotland.</p> | <p>Review existing crime recording and crime management systems, engaging and consulting with Local policing, national divisions, Crime Managers and Crime Registrars to identify good practice and local processes. Develop process maps for key processes, ensuring that SCRS Manual and Audit Methodology are updated to reflect key process checks, roles and responsibilities. Develop communications plan to raise awareness of the national crime system.</p> | 30/09/2022 | | ACC Criminal Justice Services Division |
| | <p>The overall business case for investment in a new ICT Strategy was approved by the SPA in September 2018. This was a strategic business case setting out a programme for prioritised investment of around £400m. The total expenditure required was not secured and a more practical incremental approach to implementation has been taken. The Core Operational Solutions (COS) Programme is a core element of the business case and the overall transformation programme. It has already implemented some new national systems including CRASH (Road Traffic Collisions) and MISPER (Missing Persons) which have been relatively well received.</p> | | <p>6.3 Develop a Crime Management Guidance document, which alongside the 'Crime Module User Guide' will articulate the Crime Management process and define associated standards (this will be a living document thereafter). Links with recommendations 2.1,2.2,4.1,6.2.</p> | | | <p>Development of national guidance materials for the national crime system.</p> | <p>Review existing guidance materials; engaging and consulting with Local policing, national divisions, Crime Managers and Crime Registrars to identify areas of strength/weakness in practice and local guidance materials. Develop guidance materials that provide confidence in the application of the national system and improve consistency across all divisions; ensuring that SCRS Manual and Audit Methodology complement the national guidance. Develop communications plan to promote learning from the rollout of the national system. Link with recommendation 6.4</p> | 30/09/2022 | | ACC Criminal Justice Services Division |
| | <p>The full Core Operational Systems (COS) business case was approved in November 2018 and its scope focused on the replacement of the following legacy systems with a single national COS information Management (IM) Platform, comprising relevant functional modules:</p> <ul style="list-style-type: none"> ■ Road Traffic Collisions (Complete) ■ Missing Persons (Complete) ■ Productions (Complete) ■ Direct Measures – October '20 ■ Warrants – February '21 ■ Crime – May '21 ■ Case – May '21 ■ Intelligence and VPD (Phase 3 options). | | <p>6.4 Develop Training packages for respective users based on the above and incorporating learning points from Crime Audits. Links with recommendations 2.2,2.4,1,6.2.</p> | | | <p>Development of standardised training packages for the national crime system.</p> | <p>Review existing training materials; engaging and consulting with Local policing, national divisions, Crime Managers and Crime Registrars to identify local training materials and systems training for CMU to allow full access to STORM and increased functionality to extend their audit capability. Develop training materials that provide confidence in the application of the national system and improve consistency across all divisions; ensuring that SCRS Manual and Audit Methodology complement the national guidance and become business as usual training packages developed Develop communications plan to raise awareness of training materials.</p> | 30/09/2022 | | ACC Criminal Justice Services Division |
| | <p>HMICS has previously commented on the need to implement a national crime recording system. 'Until such time as national incident and crime recording systems are available, we do not believe that incident and crime recording is being managed as effectively and efficiently as possible. Without national incident and crime systems, Police Scotland is unable to streamline its processes and the resources dedicated to crime recording as well as scrutiny and audit'. HMICS remains of the view that a national system is essential to improved SCRS compliance levels.</p> <p>HMICS found that initial programme engagement with crime registrars had been limited causing some concerns regarding the lack of cognisance of SCRS compliance, audit functionality, management reporting capability and the need for effective quality assurance of direct input from officers. In our interview we ascertained that engagement is much improved through regular meetings since June 2020. The Detective Superintendent (Crime and Incident Management portfolio) has met with the programme lead and facilitated an input to all crime managers and registrars on the new system and will now lead the engagement with programme to further evolve and influence the new crime system.</p> <p>HMICS identified during our audit work that the intention for implementation was to ensure that all existing CMU processes were able to be adopted in the new system. Efforts to deliver standardised processes and the associated business change were to come after implementation. This was not universally understood by many of the stakeholders we spoke to, who clearly had an expectation that this benefit would be delivered immediately. HMICS understands the operational imperative to implement a single system and that this will automatically bring some benefits, however there is a significant risk that without full ownership and resourcing of the business change effort, that this ultimately may not be delivered.</p> <p>It was too early in the process of system implementation for HMICS to fully evaluate proposals for training and roll out of the system. However HMICS would seek to ensure that a comprehensive business change and training programme must be in place to ensure consistency of approach and effective benefits realisation moving forward.</p> | | <p>6.5 Develop a 'Data Citizenship' initiative interwoven into the training highlighting to users the importance of getting data quality right first time, the support the system provides and some key pointers, supported with Data Citizenship video. Links with recommendations 2.1,2.2.</p> | | | <p>Raise cultural awareness of 'right first time' approach.</p> | <p>Review existing training materials, engaging and consulting with Local policing, national divisions, Crime Managers and Crime Registrars to identify materials which promote 'data citizenship' principles. Refresh training materials, ensuring that 'data citizenship' principles are embedded and promote right first time data input and checks; ensuring that SCRS Manual and Audit Methodology complement the national guidance and become business as usual training packages developed. Develop communications plan to raise awareness of 'data citizenship' principles and corporate expectations.</p> | 30/09/2022 | | ACC Criminal Justice Services Division |