



Meeting	Audit, Risk and Assurance Committee
Date	6 February 2025
Location	Online
Title of Paper	SPA Audit and Improvement Recommendations Update
Presented By	John McNellis, Head of Finance, Audit and Risk
Recommendation to Members	For consultation
Appendix Attached	Appendix A – SPA Corporate Strategy Progress Appendix B - SPA audit and inspection recommendations

PURPOSE

To provide the Audit, Risk and Assurance Committee (ARAC) with an update on:

- progress against the SPA Corporate Strategy for 2024/25;
- open recommendations from all SPA corporate audit and inspection activity.

The paper is presented in line with the corporate governance framework of the Scottish Police Authority (SPA) and Audit, Risk and Assurance Committee (ARAC) terms of reference and is submitted for consultation.

1. BACKGROUND

- 1.1 The SPA Corporate Strategy 2023-26 and supporting Implementation Plan was approved by the Board in March 2023. The 2024-25 Delivery Plan underpins the Strategy with 15 activities and 48 actions tracked to support performance reporting.
- 1.2 Progress against completion of the corporate strategy is reported to ARAC on a quarterly basis.
- 1.3 Progress against audit and inspection recommendations are routinely reported to ARAC, these are tracked through an action tracking software tool called 4Action.
- 1.4 In addition, other committees may also consider specific updates on progress where relevant to their terms of reference.

2. FURTHER DETAIL ON THE REPORT TOPIC

Corporate strategy progress (Appendix A)

- 2.1 A total of 241 milestones have been identified throughout 2024/25 that enable tracking towards delivery of the 15 activities and 48 actions.
- 2.2 In Q3 2024/25, 35 corporate strategy milestones were due to be achieved; 27 of these milestones were achieved (77%). Re-profiled work and a forward look are summarised in Appendix A.

Audit & inspections recommendations progress (Appendix B)

- 2.3 Below is a summary of changes since the last report to ARAC:-
 - Two HMICS recommendations have been closed
 - One recommendation from the Assurance Review of Police Scotland Strategic Workforce Planning; and
 - One recommendation from the Assurance review of Police Scotland demand analysis and management.
- 2.4 Since the last report to ARAC HMICS published the results of the Thematic inspection of road policing in Scotland in which there was one joint recommendation for SPA Corporate.

2.5 Internal Audit also published their Risk Management Internal Audit report capturing 9 recommendations. One of these recommendations has been successfully closed.

2.6 In summary since last ARAC reporting in total 10 new audit recommendations have been identified with 3 recommendations closing. We currently have 23 open recommendations.

3. FINANCIAL IMPLICATIONS

3.1 There are no specific financial implications from this report, however, the implementation of some actions are likely to require financial resources.

4. PERSONNEL IMPLICATIONS

2.10 There are no specific personnel implications associated with this paper.

5. LEGAL IMPLICATIONS

5.1 There are no specific legal implications associated with this paper.

6. REPUTATIONAL IMPLICATIONS

6.1 There are no reputational implications associated with this paper, however there are potential reputational implications associated with the pace and effectiveness with which the recommendations are addressed.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this paper.

8. COMMUNITY IMPACT

8.1 There are no community impact implications associated with this paper.

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications associated with this paper.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications associated with this paper.

RECOMMENDATIONS

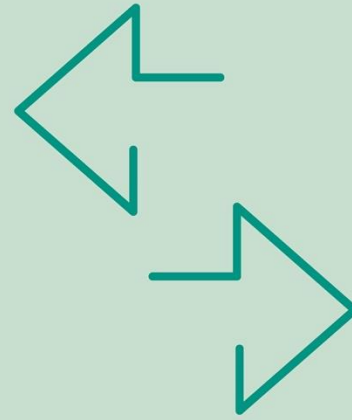
Members are requested to note the updates provided.

Appendix A

SPA Corporate Strategy

2023-2026

Progress summary Q3 2024-25



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SPA Corporate Strategy – progress summary

Background

The [Corporate Strategy for 2023-26](#) sets out the role and responsibilities of the Scottish Police Authority, the outcomes we seek to achieve, and high-level activities designed to achieve them.

An Annual Delivery Plan underpins the strategy, with activity tracked to support performance reporting. Specific milestones and measures are developed and monitored by the corporate team.

The Delivery Plan for 2024-25 reflects key priorities for the Authority as well as critical areas of business.

This update reflects delivery during the quarter three reporting period. The underlying detail is monitored by the Chief Executive and Extended Leadership Team (ELT).

The actions also include areas for development aligned to the 2024 HMICS inspection of the Authority.

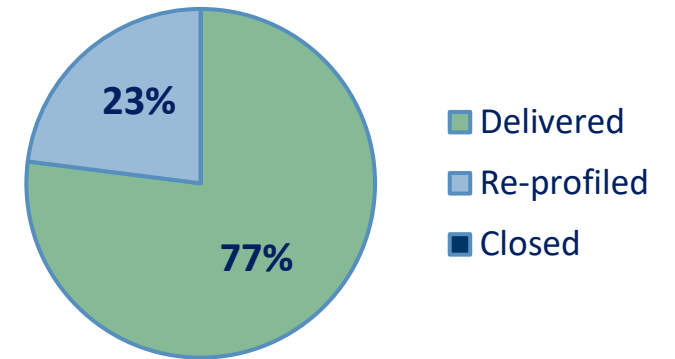
Outcomes and activity

Outcome	Activities	Actions
1. Communities	4	16
2. Collaboration	3	7
3. Resourcing	2	5
4. Workforce	3	12
5. Learning	3	8

The Corporate Strategy sets out the outcomes we seek to achieve under the five high-level headings above.

The 2024-25 Delivery Plan underpins the Strategy with **15 activities and 48 actions** tracked to support performance reporting.

Delivery in Q3 (actual vs planned)



- 77 per cent of quarter three milestones were delivered in quarter as planned.
- Highlights, re-profiled work and a forward look are summarised by outcome on pages 3-4.
- Re-profiled work refers to activities and milestones which have been revised in year – such as updating the expected delivery date or expected output of the activity.

SPA Corporate Strategy – progress summary

Outcome 1 - Communities

Highlights

Comprehensive [review of Corporate Governance Framework](#) delivered ahead of schedule and approved by the Board.

Re-profiled work

Review and update of public briefings on Children in Custody and Children and Young People's Contact with Police – re-profiled to Q4 24-25.

Deliver a regular e-bulletin highlighting the work of the authority for stakeholders and the public – re-profiled to 2025-26 due to External Relations resourcing pressures.

Develop policy on social media use for Authority staff - re-profiled to 2025-26 due to External Relations resourcing pressures.

Forward look

Refresh the Public Confidence briefing to take account of updated public polling, deep-dive analysis, focus group findings, new SCJS, and learning from the Community Confidence Action Research Project – re-profiled to 2025-26 awaiting publication of the SCJS findings.

Ensure copyright permission for image use; co-ordinate checks for application and annual review of Style Guide; Accessibility and Plain English Guidance – re-profiled to 2025-26 due to External Relations resourcing pressures.

Outcome 2 - Collaboration

Highlight

Focus Groups were undertaken to gain qualitative insights into why confidence in policing is lower among some demographic subgroups, and why confidence in the police has fallen among people who were previously confident. [Findings](#) were reported to the Policing Performance Committee in September 2024.

Re-profiled work

Development of engagement strategy - re-profiled to Q4 24-25 due to External Relations resourcing pressures.

Forward look

No issues identified.

Outcome 3 - Resourcing

Highlight

Continued refinement of the oversight of change portfolio. Resources Committee now receive a new and enhanced Change Portfolio Report, and Change Requests are now presented to the Committee as well as End Project Reports. Further refinements will be made as part of continuous improvement activity in 2025-26.

Re-profiled work

Nothing to note.

Forward look

Implement 4Risk – re-profiled to 2025-26 due to Police Scotland re-tender for the risk management system. SPA will review implementing when a new contract and system is in place.

SPA Corporate Strategy – progress summary

Outcome 4 - Workforce

Highlight

Lead on staff pay negotiations 24-25. Negotiations have now concluded, and an offer accepted.

Re-profiled work

Nothing to note

Forward look

Progress review of operation of Diversity Staff Associations to maximise effectiveness and impact – re-profiled to 25-26 as additional issues identified.

Identify critical roles where single person dependencies and develop succession plans (including but not limited to critical roles) – re-profiled to 2025-26 due to resourcing pressures.

Outcome 5 - Learning

Highlight

Scheduled and led committee induction, in conjunction with Committee Chairs, for new Board and Committee members.

Re-profiled work

Work with Police Scotland's Graphics team to update the Authority's corporate branding in line with accessibility requirements; update branding guidelines and associated templates – re-profiled to Q4 24-25 when roll out is anticipated.

Forward look

Deliver Information Management roadshows across Forensic Services – re-profiled to conclude in 2025-26 due to resourcing and re-prioritisation.

Review of SPA complaints policy & procedure – may need to be re-profiled to 2025-26 due to resourcing pressures.

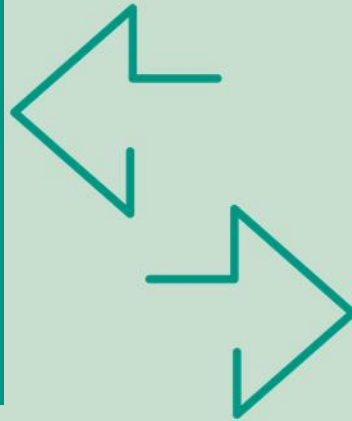
Summary

- **23 per cent** of planned work was re-profiled, reflecting revised timescales/output for these areas of work.
 - Of this work, **14 per cent** is expected to be delivered in-year. The Annual Delivery Plan and underlying team plans have been updated to reflect re-profiled work and revised timescales. This will be monitored through team plans / reporting to ELT.
- **9 per cent** has been carried over to 2025-26 and will be considered as part of service planning work underway for 2025-26.
- **11 per cent** of work due in quarter 4 completed ahead of schedule during quarter 3.
- **No** quarter three milestones were closed, i.e. no longer required, superseded or not business critical.
- **Two** milestones were added following a Best Value deep dive into performance. Both are planned to complete in-year.

Appendix B

SPA audit and inspection recommendations update

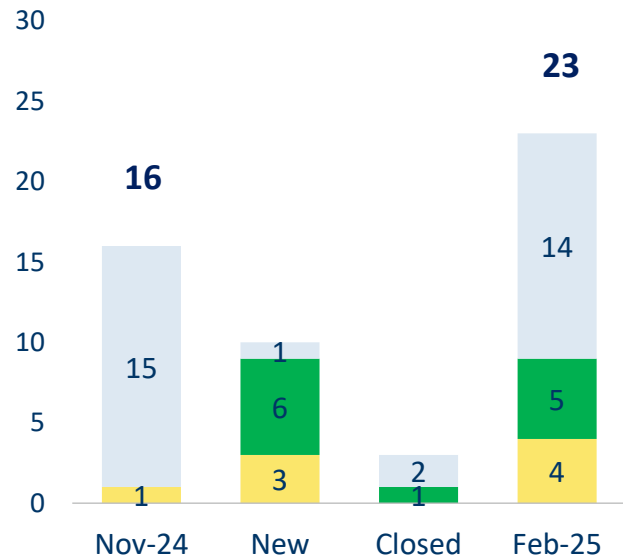
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SPA audit and inspection dashboard

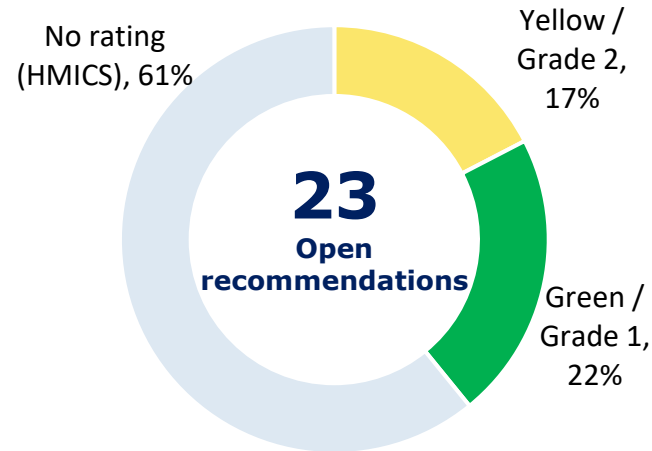
Progress update (no of recommendations)



- Red / Grade 4
- Amber / Grade 3
- Yellow / Grade 2
- Green / Grade 1
- No rating

- 3 recommendations have been closed.
- The next page provides further detail of the SPA's tracking of actions against their agreed completion date.

RAG analysis



Note: the recommendation without a rating is from HMICS. HMICS do not rate their recommendations.

- The biggest proportion of recommendations are actions are from HMICS.
- There is one open ICO recommendations graded as a yellow, reasonable level of assurance.
- There are 5 open Internal Audit recommendations graded as green, limited risk exposure.
- There are 3 open Internal Audit recommendations graded yellow, moderate risk exposure.

Identified theme



- All audit and inspection recommendations are recorded on 4Action.
- This allows SPA to review and identify themes across reports and inspection bodies which may help our analysis and continuous improvement.
- Governance accounts for the largest proportion of improvement actions (35%). Risk Management accounts for 31% of the open recommendations following the internal audit of the SPA's Risk Management arrangements. Current open recommendations have primarily arisen from HMICS reports.

Further detail on progress

Movement since previous ARAC report

	Nov 24	New	Complete	Feb 25
Internal Audit	-	9	-1	8
Audit Scotland	0	-	-	0
HMICS	15	1	-2	14
ICO	1	-	-	1
Total	16	10	-3	23

Actions completed and outstanding

	Actions completed (since Nov24)	Actions outstanding (Feb 24)	Actions outstanding:	
			On target	Overdue
Internal Audit	1	8	8	-
Audit Scotland	-	-	-	-
HMICS	2	14	14	-
ICO	-	1	1	-
Total	2	23	23	-

New actions

- There has been one new recommendation added since last reporting arising from the HMICS Thematic inspection of road policing in Scotland, Nov 2024
- 9 Recommendations relating to the internal audit of risk management have also been added.

Closed actions

- Two HMICS recommendations have been closed since last reporting
 - One recommendations from the Assurance Review of Police Scotland Strategic Workforce Planning, and
 - One recommendation from the Assurance review of Police Scotland demand analysis and management
- One recommendation from the Risk Management Internal Audit has been closed.