

Meeting	SPA Audit Risk and Assurance Committee
Date	5 May 2021
Location	By video-conference
Title of Paper	SPA audit and improvement recommendations update
Presented By	John McNellis, Head of Finance, Audit & Risk
Recommendation to Members	For consultation
Appendix Attached	No

PURPOSE

To provide the Audit Risk and Assurance Committee (ARAC) with an update on current open recommendations from all SPA audit and improvement 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 SPA audit and improvement recommendations were previously reported to the ARAC on 28 January 2021.

Reporting to other committees

Committee	Detail	Date / frequency
Forensic services committee	Update on implementation of the improvements set out in HMICS Thematic Inspection of the SPA Forensic Service	Quarterly ongoing
Forensic services committee	Management response to internal audit report on Forensics case management	April 2021
Complaints & conduct committee	Update on actions related to preliminary Dame Elish Angiolini report. Approval given to a high level plan of implementation actions and oversight arrangements in respect of the final report.	March 2021

2. FURTHER DETAIL ON THE REPORT TOPIC

2.1 This report provides an update on progress of:

- i. delivery of the SPA’s business plan (2020/21); and
- ii. recommendations made by various audit and improvement bodies.

Part i) SPA business plan progress

2.2 A final summary of progress against SPA business plan objectives for 2020/21 is shown below. The SPA is currently progressing its 2021/22 business plan. The two activities not completed are included as objectives in the draft business plan for 2021/22.

SPA business plan – strategic outcomes	Number of activities / actions	Current status (May 2021)			
		Complete	On track for delivery in-year (2020/21)	Not complete in-year	Delayed
1. Communities & partners	4	4	-	-	-
2. Public interest & confidence	5	3	-	2	-
3. Partner collaboration	4	4	-	-	-
4. Resourcing requirements	6	6	-	-	-
5. Workforce	6	6	-	-	-
6. Decision making, scrutiny & reporting	5	5	-	-	-
Total	30	28	0	2	0
	100%	93%	0%	7%	0%

2.3 Business plan activities not completed during the financial year:

Activity	Update
2.3 Implement interim Angiolini Review recommendations and review SPA's statutory duty on publication of the full Review, carrying forward any Review recommendations to 2021-22 if required.	A strategy and plan for implementation of the interim and full review will be undertaken in 2021/22.
2.4 Deliver a SPA public engagement strategy and implementation plan, including a review of the SPA's digital, social media and other public engagement mechanisms.	The plan has been delayed but is continuing to be developed during 2021/22.

Part ii) SPA audit and inspection recommendations

2.4 Below is a summary of SPA's outstanding Audit and Inspection recommendations:-

Body/ report	Open actions		Comments
	Prior update	Current	
External audit (Audit Scotland)	4	1	<ul style="list-style-type: none"> ▪ Three recommendations closed. ▪ One open recommendation relates to review of committee agendas and papers. Work is ongoing with progress achieved through the revised corporate governance framework and improvements to ARAC / RC papers.
Internal audit (Azets)	9	7	<ul style="list-style-type: none"> ▪ Two recommendations from the Data Protection Audit have been completed. ▪ Six recommendations from the Data Protection Audit remain open and one recommendation remains open relating to oversight of service back from Police Scotland to SPA Corporate. ▪ A full progress update from internal audit has also been provided at agenda item 2a.
HMICS	6	7	<ul style="list-style-type: none"> ▪ Six open recommendations that the SPA are addressing relating to the Thematic Inspection of SPA published September 2019. A detailed updated was provided at the January ARAC. ▪ One new joint recommendation with Police Scotland from the Crime Audit; to ensure internal and external crime recording audits are publicly reported, including a statement of compliance in their joint Annual Report and Accounts. Engagement currently ongoing with Police Scotland on how the recommendation will be addressed jointly.
National Records of Scotland	3	2	<ul style="list-style-type: none"> ▪ Both outstanding actions are in progress / partially complete. ▪ Two outstanding actions relate to: <ul style="list-style-type: none"> a) updating policies - records management policy still to be updated; and b) data sharing agreement with Police Scotland to be agreed. This action has been outstanding since 2013 and the SPA are actively engaged with this matter. The latest draft agreement was sent to PSoS in January 2021 and PSoS have advised the will respond by the end of April 2021.

Body/ report	Open actions		Comments
	Prior update	Current	
ICO (information commission)			A full update on ICO recommendations will be provided to the ARAC at agenda item 2e.

3. FINANCIAL IMPLICATIONS

3.1 There are no financial implications associated with this paper.

4. PERSONNEL IMPLICATIONS

4.1 There are no personnel implications associated with this paper.

5. LEGAL IMPLICATIONS

5.1 There are no legal implications associated with this paper.

6. REPUTATIONAL IMPLICATIONS

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

7. SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this paper.

8. COMMUNITY IMPACT

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

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications associated with this paper.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications associated with this paper.

RECOMMENDATIONS

Members are requested to note the update on progress of SPA business plan and audit / improvement recommendations.