

Meeting	Policing Performance Committee
Date	8 June 2021
Location	Video-conference
Title of Paper	SPA Corporate 2020/21 year-end performance
Presented By	Vanessa Ewing, SPA Head of Strategic Business Management
Recommendation to Members	For Consultation
Appendix Attached	Yes – Appendix A

PURPOSE

This paper provides information on SPA Corporate performance for the period 2020-21 for consideration by the Committee, with agreement on inclusion of key information within the Performance Section of the SPA Annual Report and Accounts 2020-21.

1. BACKGROUND

- 1.1 Section 39 of the Police and Fire Reform (Scotland) Act 2012 requires that the Authority should prepare an Annual Report containing an assessment of Authority's and Police Scotland's performance in working towards the main objectives in the Strategic Police Plan and, in the case of Police Scotland, implementing the arrangements contained within the Annual Police Plan.
- 1.2 As set out in legislation, the assessment of evidence from Police Scotland, and the Authority's Corporate and Forensic Services is a main component of the Annual Report, informing the content and structure of the document. The Annual Report provides an opportunity for the Authority to articulate in public how the police service as a whole is performing in Scotland and where areas of improvement have been identified.
- 1.3 As initiated in the 2019-20 assessment, the same approach for 2020-21 has been adopted, i.e. to produce a single assessment of performance, and embed this within the Performance section of the SPA Annual Report and Accounts 2020-21, dispensing with the production of a separate SPA Annual Review of Policing document.
- 1.4 The SPA Corporate performance document is designed to contribute to this overall assessment, presenting a balanced and evidence-based assessment of the performance of the Authority for the previous year.

2. FURTHER DETAIL ON THE REPORT TOPIC

2.1 Preparation of SPA's Corporate performance submission takes into account (where appropriate) published guidance by HM Treasury Financial Reporting Manual¹ (FReM Annex 5)) on producing performance assessments as part of an annual report and accounts document.

2.2 The SPA Corporate Plan 2020-23 and the Annual Business Plan 20-21 provide focus and direction in order for an assessment of performance to be undertaken.

¹https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/853231/2019-20_Government_Financial_Reporting_Manual.pdf

2.3 The SPA Corporate Plan 2020-23 was approved by the Board in early 2020². It set out six strategic outcomes to be delivered in support of the Authority's vision of policing in the public interest, namely;

- 1.** Communities and partners have an informed understanding of crime and safety issues and the responsibilities and effectiveness of the police and forensic services in addressing them.
- 2.** The public are confident in policing with issues of public interest being addressed transparently, and the voices of communities taken into account in decision-making.
- 3.** Effective collaboration with partners improves services and outcomes for individuals and communities.
- 4.** Resourcing requirements are based on evidence of demand, the needs of communities and securing Best Value.
- 5.** A valued and engaged workforce that represents the communities it serves, and has the confidence and skills to deliver excellent services and adapt to changing demands.
- 6.** Decision making, scrutiny and reporting is based on robust evidence and analysis of current and emerging policing issues.

2.4 The SPA Annual Business Plan 2020-21³ was approved in May 2020 and sets out a suite of key objectives to be delivered in support of Year One of the SPA Corporate Plan. Summary evidence of progress against these objectives made by the SPA Corporate team during 2020-21 is contained at Annex One.

In addition, a short summary of improvement progress, including actions to address recommendations from HMICS' Thematic Inspection of the Scottish Police Authority can be found at Annex Two. This latest evidence was previously reported to the SPA Audit, Risk and Assurance Committee in May 2021. Collectively, this evidence will inform the final SPA Corporate performance assessment for inclusion in the Annual Report and Accounts 2020-21.

² <https://www.spa.police.uk/strategy-performance/spa-corporate-plan/>

³ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/6Z3JB6LZ/spabusinessplan202021.pdf>

NEXT STEPS

2.5 Taking into account the Committee view of the performance evidence identified above, Officers from the Authority will finalise the performance assessment section of the Annual Report and Accounts within specified timelines, drawing on the main points within Police Scotland, Forensic Services and SPA Corporate evidence, and provide this to the Authority's Interim Chief Executive Officer (Accountable Officer) for approval and inclusion in the complete SPA Annual Report and Accounts document.

3. FINANCIAL IMPLICATIONS

3.1 There are no financial implications in this report.

4. PERSONNEL IMPLICATIONS

4.1 There are no personnel implications associated with this paper.

5. LEGAL IMPLICATIONS

5.1 The proposals set out in the paper are consistent with what is stated in the Police and Fire Reform (Scotland) Act 2012 at Section 39 regarding the Authority's duty to produce an annual report assessing performance by Police Scotland and the Authority in working towards achieving the Strategic Police Plan objectives and, additionally in the case of Police Scotland, implementing the arrangements in the Chief Constable's Annual Police Plan.

6. REPUTATIONAL IMPLICATIONS

6.1 There are reputational implications associated with this paper.

It is important that the Authority has effective arrangements in place to monitor, measure and assess Police Scotland's performance (and its own), in order to maintain confidence in the policing of Scotland and the oversight and scrutiny of policing.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this paper.

8. COMMUNITY IMPACT

8.1 There are no community 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:

Consider and endorse the inclusion of key elements of SPA Corporate performance and improvement evidence contained within this report, noting that it will fulfil the Authority's responsibilities under Section 39 of the Police and Fire Reform (Scotland) Act 2012 regarding the production of an Annual Report which includes an assessment of performance for the previous financial year by both the Authority and Police Scotland.

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APPENDIX A: SPA CORPORATE PERFORMANCE 2020-21

EXECUTIVE SUMMARY

Strengthening Support for Policing in the Public Interest

2020-21 was a year of unique and significant challenge for the policing system as we collectively battled the impact of the global pandemic. The challenges the Authority has faced are those which most other organisations have also faced and our annual business plan, linked to our three-year outcomes focused Corporate Plan¹, has helped to provide focus and certainty to our actions, providing a stable platform for Authority members and staff to build and deliver upon.

Our Corporate Plan aligns to the key tenets of the refreshed Strategic Police Plan (SPP) for the future of policing in Scotland, laid before the Scottish Parliament in April 2020 following a period of public consultation². The review of the SPP was a collaborative process between the SPA and Police Scotland. It was informed by the Scottish Government's Strategic Police Priorities published in December 2019 and outlines the key strategic challenges and opportunities facing policing and the wider public sector and reflects change since 2016.

Key updates to the SPP included a focus on keeping people safe in both the physical and digital world, with further development of the policing response to cyber threats and cyber enabled crime. The plan also prioritises the wellbeing, safety and protection of our people and has a renewed emphasis on partnership and pro-active prevention, including a focus on joint service design to tackle complex public safety, and wellbeing challenges.

SPA Business Plan Delivery

SPA's business plan achievements, contributing to our six strategic outcomes contained in the Corporate Plan, have been numerous and a testament to the resilience and fortitude demonstrated by the Board and our corporate team, all working remotely.

Highlights from delivery of the plan include:

- Development of an outcome focused performance measurement framework for policing, working alongside Police Scotland

¹ <https://www.spa.police.uk/about-us/corporate-plan/>

² <https://www.spa.police.uk/news/2020/strategic-plan-for-policing-2020/>

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- Putting in place an oversight and scrutiny mechanism to ensure that the impact of the pandemic on policing is monitored, assessed and publicly communicated by the Authority
- Implementation of a new organisational structure for the SPA Corporate team, including a recruitment programme to increase capacity and capability
- Implementing interim recommendations from Dame Elish Angiolini's Independent Review on Complaints and reviewing SPA's statutory duty on publication of the full Review
- Setting a balanced budget for the first time since the inception of the national police force
- Development and implementation of an approach that enables the SPA to oversee change and facilitates regular assessment from Police Scotland to the SPA Board of the use of resources and evidence of benefits of transformational change across policing
- Development of effective mechanisms for the SPA to engage with staff associations and trade unions, as key stakeholders and in representing the views of the wider workforce
- Implementation of a new approach to horizon and environmental scanning to support the SPA advice and assurance function.

Detailed evidence on the delivery of all SPA business plan objectives can be found at Annex One to this document.

SPA Audit and Improvement Progress

During 2020-21 progress was reported publicly every quarter to the SPA Audit, Risk and Assurance Committee (ARAC). A summary of improvement progress, including actions to address recommendations from HMICS' Thematic Inspection of the Scottish Police Authority can be found at Annex Two to this document.

Leadership and Governance

There were changes at senior leadership level with the appointment of a new SPA Chair, Martyn Evans, in February 2021, facilitated by a national recruitment campaign by the Scottish Government Public Appointments team to replace the outgoing Interim Chair, David Crichton. In March 2021 the appointment of Lynn Brown as permanent Chief Executive Officer was approved by the Board after a robust and open recruitment and selection process launched in December 2020. At the end of March 2021 the Cabinet Secretary for Justice announced the appointment of six new Board members who took up their new roles on 1 April.

In a solely virtual environment, the SPA Corporate team recruited and implemented an organisational structure which now properly reflects the

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role and responsibilities that it has. Staff are now working with a much greater degree of confidence and innovation than was the case in the past, and new staff have joined, bringing additional skills and capacity.

The Authority has continued to operate transparently, increasingly so, as we have adjusted to the constraints imposed by the pandemic – our public Board and Committee meetings are livestreamed on our website for example. We are working with a degree of stability and consistency which has not been apparent in the past and this progress has been acknowledged by both Audit Scotland and HMICS, as well as by feedback from many of our other partners.

Our governance systems continued to improve and our financial controls and management systems are robust and comparable with those across the public sector. This was recognised by the Auditor General in an independent report³ published in December 2020 which highlighted continued improvement at the Authority in relation to financial planning and management, organisational governance, capacity, and stability in its leadership. The report also noted that the SPA was not yet operating within a financially sustainable budget.

In January 2021 Interim Chair, David Crichton responded⁴ to the Scottish Government's draft budget announcement by restating the SPA's consistent position i.e. that the financial sustainability of policing depended upon addressing a persistent structural deficit. He confirmed that the Scottish Government's announcement, promising an additional £60 million in revenue funding, represented a strong vote of confidence in the Authority and Police Scotland and particularly recognised the outstanding performance of the police service in protecting the country's safety and wellbeing during the pandemic. As a result, in March 2021 the SPA was able to set, for the first time, a balanced budget of £1.3 billion with no operating deficit⁵.

Dame Elish Angiolini's Independent Review⁶ highlighted the need for clarity, simplification, independence and better joined up working between agencies in relation to the handling of complaints against the police. Recommendations implemented by policing from her Interim Review have already led to significant change and improvements during 2020-21 and with the publication of the Final Report, the Authority will

³ <https://www.spa.police.uk/news/2020/annual-report-and-accounts-published-for-2019-20/>

⁴ <https://www.spa.police.uk/news/spa-responds-to-scottish-government-2021-22-budget-announcement/>

⁵ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/1PKLC5R2/rep-b-20210319-item-6-appendix-a-scottish-police-authority-budget-2021-22.pdf>

⁶ <https://www.gov.scot/publications/independent-review-complaints-handling-investigations-misconduct-issues-relation-policing/>

continue to support and contribute to this process of change during 2021-22.

The report also raised a number of wider issues for Police Scotland, the Authority and Scottish Government to consider, in respect of equality and diversity within policing. The Authority and the wider policing system is mindful of the need to ensure that the policing workforce is reflective of the communities it serves and that training, development, deployment, promotion and complaint practices support that aim. In February 2021, the Authority considered in detail Police Scotland's approach to workforce inclusion, equality and diversity⁷. The Authority supports Police Scotland's commitment and actions, whilst recognising that more work needs to be done in this area. Work by the Authority and Police Scotland to develop and publish new joint Equality Outcomes supports this commitment.⁸

In an increasingly technology-driven society, the Authority considers that it is essential that Police Scotland, following robust consultation and engagement with citizens, communities and stakeholders, takes full advantage of the opportunities this technology offers to improve the safety and wellbeing of individuals and communities in Scotland. The Authority expects any deployment of new technology within policing now, or in the future, to comply with values encompassing human rights, ethics, data privacy, and equalities, thus protecting all citizens and improving safety and wellbeing.

In its role to hold the Chief Constable to account for the policing of Scotland, the Authority considers decisions on trialling, evaluating and wider implementation of new technologies, as set out with regard to the values in the Strategic Police Plan i.e. fairness, integrity, respect and human rights. The Authority submitted written evidence⁹ ahead of the Justice Sub-Committee's session on 18 January 2021 considering Police Scotland's use of remote piloted aircraft systems (RPAS) i.e. drones, and body worn video cameras (BWV). The evidence described the oversight journey by SPA over both technologies, with emphasis on the importance of evaluation and regulatory compliance in relation to the use of RPAS, and encouragement of the use of ethics panels and seeking input from advisory bodies on the use of BWV.

Oversight and Scrutiny during the Pandemic

⁷ <https://www.spa.police.uk/news/key-issues-discussed-at-full-authority-meeting/>

⁸ <https://www.spa.police.uk/news/joint-equality-outcomes-2021-2023-published/>

⁹ <https://www.spa.police.uk/news/spa-gives-evidence-to-justice-sub-committee-on-drones-and-body-worn-video/>

The Authority sought to identify the challenges and risks policing would face during the emergency and has made significant efforts to adopt a comprehensive approach to its oversight of policing during the pandemic. We provided appropriate levels of oversight whilst also supporting Police Scotland's proportionate and common sense approach to policing the pandemic, upholding the regulations while protecting the principle of policing by consent.

The Authority published the details of our approach to governance and scrutiny during the pandemic on our website¹⁰ and has increased the frequency of communication to those we work with most closely, including Parliamentary Committees, Scottish Government, HMICS, COSLA, local authorities, custody visitors and of course Police Scotland.

The Authority's oversight has been enhanced during 20-21 by the insight provided through regular reports from the Independent Advisory Group (IAG) reviewing Police Scotland's use of new temporary police powers related to coronavirus. The Group, chaired by John Scott QC, reported directly to the Authority, as the governance and oversight body for Police Scotland, adding an additional layer of independent assurance to our work during this time.

The IAG submitted detailed reports throughout the year to public sessions of the Authority's meetings and hosted a dedicated IAG Webinar where key findings were discussed in more depth by interested parties in a public forum. While the group is independent of the Authority, its secretariat is provided by the SPA and information about the IAG, its Terms of Reference, membership, meeting notes and public reports are all readily accessible from a section on the SPA's website dedicated to the work of the Independent Advisory Group reviewing Police Scotland's use of new temporary police powers in relation to coronavirus.

The Authority's established system of governance has continued to function on its planned cycle, with each of our scrutiny committees adding specific consideration of the Covid-19 response to their agendas. The full Board continued to meet as normal. The Authority also has responsibility for the delivery of Forensic Services and for the operation of the Independent Custody Visiting Service (ICVS). Both services have had to adjust rapidly and substantially to Covid-19, and the Authority has continued to monitor their resources, planning and operation. Details of the required amendments to the operation of ICVS were published on our website¹¹.

¹⁰ [SPA oversight of Covid-19 policing](#)

¹¹ <https://www.spa.police.uk/independent-custody-visiting/icvs-during-covid-19/>

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An important aspect of our work during 20-21 has been to test public attitudes to policing of the emergency. The Authority's view is that Police Scotland has made a fundamental contribution in controlling the spread of the COVID-19 virus. That in turn depends upon continuing acceptance by the public of the unprecedented restrictions on their freedom of movement and activity – maintenance of the core principle of policing by consent.

Part of the Authority's scrutiny role has been to understand trends in public acceptance of the policing approach during this time and we have done this by commissioning a series of our own, independent, polls of public attitudes to the additional and changing powers granted to the police service and how they are being exercised.

These polling results¹² have consistently demonstrated that public confidence in policing in Scotland is equivalent to, and at times higher, than pre pandemic as measured in the last Scottish Crime and Justice Survey (2018/2019).

In summary, the Authority experienced, as did many other organisations, a challenging and uncertain time during 2020-21. Despite this, we delivered a range of planned objectives to contribute to our Corporate Plan, working smarter to overcome the limitations and constraints of widespread remote working, as necessitated by lockdown, working harder in our ongoing support for policing in the public interest.

¹² <https://www.spa.police.uk/news/2020/independent-polling-shows-public-confidence-in-policing-remains-high/>

ANNEX ONE: SPA Business Plan Delivery 20-21

Strategic Outcome One: Communities and partners have an informed understanding of crime and safety issues and the responsibilities and effectiveness of the police and forensic services in addressing them.

Objective: *Work collaboratively with Police Scotland to agree a revised performance framework by the end of June 2020 which provides evidence to enable the Chief Constable to account to the Authority for the performance of policing, including progress towards the outcomes of the Strategic Police Plan 2020-23 and the delivery of the Annual Police Plan 2020-21; and agree a plan to support continuous improvement of the framework.*

Evidence: This objective was delivered on time, with collaborative work with Police Scotland culminating in a revised framework and ongoing development plan approved by the SPA Board in June 2020¹³. First quarter's reporting for 20-21 was reported to Policing Performance Committee in August 2020.¹⁴

Objective: *Put in place a robust mechanism by the end of June 2020 to ensure that the impact on operational policing performance of exceptional issues (e.g. COVID-19, COP 26) is monitored, assessed and publicly communicated by the Authority.*

Evidence: This objective was delivered with SPA setting out its overall strategic approach to the oversight of policing of COVID-19 on its website early in April 2020, detailing strategic outcomes and key priorities for SPA's oversight during this period.¹⁵ Formal monitoring was undertaken, including establishment of an Exceptional Circumstances Committee, and assessment through governance meetings covering issues such as workforce health and safety. Independent polling was commissioned to assess public attitudes to the policing of lockdown.

The Board has regularly reported publicly and communicated to key external stakeholders on its work over the lockdown period and its assessment of the service's response to the impact of the pandemic. The SPA Corporate team contributed ongoing briefing, knowledge capture, secretariat and membership to the Independent Advisory Group¹⁶, chaired by John Scott QC. In June 2020 the Scottish Parliament's Justice Sub-Committee on Policing met to consider policing during the

¹³ <https://www.spa.police.uk/spa-media/pdxbb12p/rep-b-20200618-item-6b-revised-policing-performance-framework.pdf>

¹⁴ <https://www.spa.police.uk/spa-media/3ocn2o0j/item-2-1-q1-performance-graphics-version.pdf>

¹⁵ <spa-covid-19-strategy-on-a-page.pdf>

¹⁶ <https://www.spa.police.uk/news/2020/human-rights-lawyer-to-assess-use-of-new-emergency-police-powers/>

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coronavirus pandemic, with the Authority providing evidence to the sub-committee of its oversight and scrutiny of policing of COVID-19¹⁷.

The SPA COP26 Oversight Group¹⁸ was established in February 2020 to seek assurances around: recovering full costs for Scottish policing, so there is no detriment to the policing budget; that the impact on day to day policing for communities is mitigated; and that staff and officer health, safety and wellbeing are fully considered.

During 20-21 the oversight group provided updates on progress to Authority meetings. In February 2021 the Authority provided an update¹⁹ on preparations for the event to the Justice Sub-Committee on Policing. The update covered arrangements for SPA's continued oversight including support from the Independent Advisory Group, HMICS and the Metropolitan Police Service, financial resources, local policing and mutual aid. The Chief Constable and Deputy Chief Constable have reported regularly to the Authority on the development of Police Scotland's contingency plans for Brexit.²⁰ The Authority has considered carefully the resource implications of various scenarios.

Objective: *Assess SPA, PS and FS performance information by the end of June 2020 to inform content to be included in the 19-20 Annual Report and Accounts.*

Evidence: This objective was delivered on time, with summary performance information from SPA Corporate, Forensic Services and Police Scotland, assessed by SPA and presented to the Policing Performance Committee in May 2020 and endorsed by the SPA Board in June 2021²¹, informing the final submission to Audit Scotland in line with the Annual Report and Accounts (ARA) reporting timetable.

For 2019/20 the SPA, in agreement with Police Scotland senior leaders, chose to make publically available the Chief Constable's assessment which was considered in public session at the SPA Policing Performance Committee and eliminate

¹⁷ <https://www.spa.police.uk/news/2020/parliamentary-session-on-policing-covid-19/>

¹⁸ <https://www.spa.police.uk/strategy-performance/oversight-of-policing-cop26/>

¹⁹ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/Z1SBTMT9/let-20210211-co-103-2020-spa-response-to-jscop-re-cop26-and-euros-docx.pdf>

²⁰ <https://www.spa.police.uk/strategy-performance/brexit-briefings/>

²¹ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/FVLGET6K/rep-b-20200623-item-8-ceo-board-report-june-2020-v03final.pdf>

the previous duplication in performance reporting, by producing a comprehensive annual review of policing performance within the Annual Report and Accounts. This revised approach was supported by Scottish Government and agreed to meet the requirements of the Act.

In February 2021, the Scottish Parliament's Public Audit and Post-Legislative Scrutiny Committee considered the Auditor General's Section 22 report on the 2019-20 ARA where he acknowledged greater stability in the leadership of the Authority and improvement in the Authority's own governance arrangements and organisational capacity²².

Objective: *Conduct analysis of the Scottish Crime and Justice Survey by the end of September 2020 to determine how the results can be taken forward in relation to performance improvement.*

Evidence: Two papers²³ from SPA officers summarising key findings and variations from the most recent Scottish Crime and Justice Survey (SCJS) were discussed at the Policing Performance Committee in May 2020. The survey showed less people in Scotland experiencing crime, as well as some inequality concerns around a small number of people experiencing a disproportionate amount of crime, which requires further exploration. This picture concurs with the Authority's own analysis over the period.

Our analysis of the SCJS survey was considered as part of the work of the Authority through its own commissioned surveys²⁴ and Police Scotland's Your Police surveying and reporting approach. Public confidence assessed through SPA, Police Scotland and Scottish Government survey findings has been reported to the SPA Board and IAG during the response to the COVID-19 Pandemic. Police Scotland has established a Public Confidence Governance Board, providing a forum for coordinating public confidence assessment and how this is taken forward within the performance framework.

²² <https://www.spa.police.uk/news/spa-at-public-audit-post-legislative-scrutiny-committee/>

²³ <https://www.spa.police.uk/spa-media/ugpdpeiu/rep-c-20200521-item-9-1-1-spa-analysis-of-data.pdf>

²⁴ <https://www.spa.police.uk/news/2020/survey-of-public-views-on-policing-of-covid-19-published/>

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Strategic Outcome 2: The public are confident in policing with issues of public interest being addressed transparently, and the voices of communities taken into account in decision-making.
Objective: <i>By the end of September 2020, lead and influence thinking on the development of a more robust approach to measuring and improving public confidence in policing, including in exceptional circumstances, that impact on policing and forensic service delivery providing a strong focus on human rights, ethics and equalities, and ensuring these considerations are mainstreamed.</i>
Evidence: A paper was submitted to the August Policing Performance Committee recommending that a multi-partner forum takes place to discuss recent developments in this space. ²⁵ Ongoing consideration will be given to the establishment of working or oversight groups into specific operational issues in accordance with the SPA Excellence Framework and Change Oversight Approach and the ability of the Authority to commission bespoke academic research or public opinion survey work.
Objective: <i>Develop and implement the SPA 2020 Organisational Design programme by the end of December 2020.</i>
Evidence: The new SPA Corporate organisational structure was launched and implemented from November 2020 after functional design and development began in late 2019. Relevant staff consultation conducted at pace during 2020 enabled existing staff to move into their new roles. A programme of staff briefings, training and support was carried out to ensure a smooth transition. Virtual recruitment and induction models were developed in order to deal with COVID restrictions. Recruitment to vacant posts enabled new starts to begin in post from November 2020, continuing to the end of March 2021.
Objective: <i>Implement interim Angiolini Review recommendations and review SPA's statutory duty on publication of full Review, carrying forward any Review recommendations to 2021-22 if required.</i>
Evidence: SPA published its response to the Final Report in November 2020 ²⁶ , welcoming its focus on the whole complaints system rather than its individual components. A report ²⁷ was also provided to the January 2021 Authority meeting, providing an update on progress towards implementation of recommendations from the Preliminary Report, and

²⁵ <https://www.spa.police.uk/spa-media/gtph0nik/item-9-public-confidence-in-policing-v0.pdf>

²⁶ <https://www.spa.police.uk/news/spa-response-to-dame-elish-angiolini-police-complaints-review/>

²⁷ <https://www.spa.police.uk/spa-media/d5go3fdp/rep-b-20210115-item-9-spa-response-to-independent-review-of-complaints-handling.pdf>

highlighting those from the Final Report directly applicable to the SPA and outlining the means by which they are to be implemented. This objective was carried forward to 2021-22, to enable these recommendations to be implemented.

Objective: *Deliver a SPA public engagement strategy and implementation plan by the end of March 2021, including a review of the SPA's digital, social media and other public engagement mechanisms.*

Evidence: This objective was not concluded by 31 March 2021 due to resource constraints, but is currently on track for delivery by the end of June 2021 with delivery of an organisational engagement plan. Work began in autumn 2020 to review and refresh the SPA's digital, social media and online engagement mechanisms. An external agency reviewed and provided proposals to refresh the Authority's corporate identity, strengthening SPA's presence and complying with relevant public body duties.

SPA Board Members, senior managers and key stakeholders have been engaged in shaping these proposals, which have now been agreed for implementation. Procurement is underway to secure a provider to review and improve the content and accessibility of SPA website and digital presence with implementation anticipated by autumn 2021. An initial procurement exercise was unsuccessful and the process will be re-run during May 2021, with some adaptations informed by supplier feedback.

Objective: *By the end of March 2021, monitor and manage the short and longer term impact of COVID-19 on the Independent Custody Visiting Scheme and publish the ICVS Annual Review including an assessment on Human Rights and OPCAT²⁸ compliance.*

Evidence: During the Covid-19 pandemic the Independent Custody Visiting Scheme has continued to monitor and provide oversight of police custody through the use of telephone monitoring. The team worked collaboratively with Police Scotland to ensure that independent visiting of custody centres continued in line with legislation. The "Lifesize" software application, which allows for virtual visits, has been successfully piloted in custody centres during the pandemic.

Further roll out of the application is being explored which would enable the SPA to address a recommendation of Dame Elish Angiolini's Police Complaints Review which places an emphasis on night-time visits which could be carried out remotely and will also support additional remote visits to COP26 related custody suites. Work got underway to plan and

²⁸ United Nations Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT)

prepare for the resumption of face-to-face visits as soon as possible, including securing appropriate PPE to ensure the safety of all custody visitors.

The ICVS 2019-20 Annual Review²⁹ included an assessment on human rights and OPCAT compliance, and provided an update on several areas of focus for the Scheme during the year, namely engagement with Police Scotland, children and vulnerable adults and detainee dignity.

Strategic Outcome 3: Effective collaboration with partners improves services and outcomes for individuals and communities.

Objective: *During 2019-20, seek assurance through regular, planned engagement with Police Scotland and local authorities that local police plans appropriately reflect the needs of communities.*

Evidence: This objective was impacted by the pandemic with the Authority's programme of local visits suspended due to COVID 19. During the first 4/5 months the pandemic also affected SPA's engagement with COSLA, SOLACE and local authorities and as a consequence, there was more limited local authority engagement on the policing performance section of the Annual Report and Accounts for 2020-21, to take account of the initial impact and pressures on local partners.

Local police plans were reviewed to align with the strategic priorities set out in the Joint Strategy for Policing and to reflect any changing local priorities and although timelines were impacted by the pandemic response, progress was reviewed and reported to the Policing Performance Committee in August 2020³⁰.

The Authority Interim Chair, Policing Performance Committee Chair, Interim Chief Executive and Executive team officers participated in the COSLA Police Scrutiny Conveners' Forum in September 2020, together with Police Scotland, COSLA and local elected members. The SPA also convened a joint partner engagement discussion around local scrutiny of policing, held by video conference on 20 November 2020³¹. Following engagement with COSLA and local scrutiny conveners' March 2021, a further programme is in discussion with Police Scotland and COSLA, on potential future enhancements to the Local police planning processes.

²⁹<file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/6Z3JB6LZ/doc20201027annualreviewunmarkedfinal.pdf>

³⁰ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/FVLGET6K/item-2-5-covid-learning.pdf>

³¹ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/6Z3JB6LZ/item-8-engagement-update-and-next-steps.pdf>

Objective: *Work collaboratively with strategic partners in recognition of the expanded public health role by Police Scotland as a result of COVID-19 and take into account by the end of September 2020, the advice and findings of the Independent Advisory Group in order to monitor and assess consent for policing service delivery*

Evidence: This has proved a crosscutting objective to deliver, linking to maintaining public confidence and testing the concept of policing by consent. To enable the SPA to monitor levels of public confidence and assess levels of consent for policing delivery, the IAG provided interim reports on its advice and findings to the SPA Board in May³², June³³, August³⁴ and September³⁵.

IAG members also attended a public event³⁶ with the SPA Board on 30 July 2020 to enable an additional opportunity to discuss their work with Board members. The event was chaired by Dr Liz Aston of the Scottish Institute for Policing Research (SIPR). Each interim report sought a range of evidence to allow the IAG to assess human rights compliance by Police Scotland in its exercise of emergency powers and to report its findings to the SPA Board. This evidence has included data and other evidence from first-hand personal accounts and testimony both from the public and within policing, general views and impressions, and public surveys.

Findings from these interim reports to the SPA Board highlighted issues of inequality and provided evidence that various aspects of the pandemic have exacerbated pre-existing inequalities and created additional hurdles for adherence to aspects of lockdown. As a result, the SPA plans, in partnership, to examine the effect of deprivation on confidence in policing during 2021-22.

These early outputs and learning from the IAG have been taken into account by the SPA and incorporated into the design of future oversight working and assurance groups. They have also shaped the approach being taken by the COP26 Oversight Group and Contact Assessment Model Oversight Group.

³² <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/1PKLC5R2/rep-b-20200518-item-5-iag-report-to-spa-board.pdf>

³³ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/Z1SBTMT9/rep-b-20200629-item-5-iag-report.pdf>

³⁴ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/Z1SBTMT9/rep-b-20200818-item-11-iag-report.pdf>

³⁵ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/1PKLC5R2/rep-b-20200928-item-10-iag-report.pdf>

³⁶ <https://www.spa.police.uk/news/independent-advisory-group-webinar/>

Objective: *Develop existing collaboration by the end of 20-21 with British Transport Police through the work of the Scottish Railways Policing Committee.*

Evidence: This objective was met due to SPA Board Members and officers working in partnership with BTP and Police Scotland to contribute to the Committee's work during the year in implementing an evaluation framework³⁷. The framework supports ongoing monitoring and evaluation against the relevant design principles of the Committee, i.e. Safe and effective management and operational delivery of railway policing in Scotland.

Ongoing collaboration updates are now assessed using this framework, with a focus on sharing of operational good practice, joint planning & management engagement and BTP attendance at Police Scotland Strategic Tasking and Coordination meetings.

Objective: *Through oversight of strategy implementation during 2021-22, support policing to engage in collaborative and innovative service design which reduces harm and related demand, including the delivery of relevant aspects of the Scottish Government's Mental Health Strategy.*

Evidence: This objective was met with SPA oversight of the delivery of the Strategic Police Plan (SPP) and the Annual Police Plan (APP), with work underway to review the year-end progress of the APP as a core element of the 2021-21 SPA Annual Report & Accounts.

Following engagement with Authority members, and feedback from the Policing Performance Committee, the 2021-22 APP was considered by SPA Board in March 2021 in advance of submission to Scottish Parliament. Members were provided with briefings from SPA staff to inform and support this process.

SPA are engaged in Police Scotland activity to understand demand related to mental health, as reported through the Authority during the year. This also included involvement in the Police Scotland Mental Health Governance Group. Additionally, SPA staff are working collaboratively with Police Scotland to engage and work with partners on a range of current system wide issues such as mental health and in support of members' oversight of the naloxone trial.

³⁷<https://btpa.police.uk/livesite/wp-content/uploads/2019/10/Item-7-Appx-Evaluation-report-card.pdf>

There is a growing focus on collaboration through activities such as the joint research & evidence forum webinars, planned roundtable events and joint sessions – involving SIPR, COSLA and other key partners. In addition the SPA have been core to the activity of the Independent Advisory Group on COVID and collaborative activity stemming from this.

Strategic Outcome 4: Resourcing requirements are based on evidence of demand, the needs of communities and securing Best Value.

Objective: *Work with Police Scotland to establish an evidence-based and sustainable budget for 2021-22 and beyond that delivers best value, making a robust case to Scottish Government for funding.*

Evidence: This objective was met with work during the year to progress and conclude budget setting for 2021-22 and beyond. Key meetings were conducted with the Authority and the Cabinet Secretaries for Finance and Justice to agree a path towards a position of financial sustainability. The Authority agreed a structural funding uplift that allowed the SPA Board to approve a balanced revenue budget in March 2021³⁸.

Objective: *Monitor SPA, Forensic Services and Police Scotland budget and expenditure on a monthly basis during 2020-21 and provide oversight and scrutiny of the use of reform funding, so that there is evidence and assurance that it has been used as intended.*

Evidence: This objective was met with continued regular financial reporting including use of reform funding, to the Resources Committee³⁹ and subsequently to the SPA Board. SPA officials also continued to provide scrutiny and challenge of reform expenditure prior to submission to the Scottish Government.

³⁸ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/1PKLC5R2/rep-b-20210324-item-6-scottish-police-authority-budget-2021-22.pdf>

³⁹ <https://www.spa.police.uk/spa-media/yq2j12gb/item-2-2-q1-financial-monitoring.pdf>; <https://www.spa.police.uk/spa-media/czyfcd4q/item-4-1-q2-financial-monitoring-report.pdf>;
<https://www.spa.police.uk/spa-media/fquiercj/item-2-1-q3-finance.pdf>
<https://www.spa.police.uk/spa-media/0lfbmx1j/item-2-1-financial-monitoring-p10.pdf>

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Objective: *During 2020-21 conduct oversight and evaluation of the planning and resourcing of policing required for one-off, costly operations such as COP26 and COVID-19 response.*

Evidence: This objective has been met, with reporting and oversight of COVID-19 response expenditure now incorporated into business-as-usual finance reports provided to Resources Committee and SPA Board. Oversight of COP26 is conducted by the SPA's COP26 oversight group and in addition the budget for the event has been subject to SPA officials' review. The proposed budget was provided in private session during November 2020 to the Resources Committee and SPA Board prior to approval by the Cabinet Office.

Objective: *During 2020-21 review business cases presented to the SPA, enabling constructive scrutiny to support the achievement of best value.*

Evidence: This objective, supporting achievement of best value, was met throughout the year with SPA officials providing analysis, briefing and advice on the following Full Business Cases considered in private by the Resources Committee and recommended to the Authority for approval: Target Operating Model; Master Data Management; Force Wide Analytics Platform; and GDPR – Structured and Unstructured Data; Age of Criminal Responsibility Act; and Estates Project Feasibilities/Specialist Design Work 2021-22 and 2022-23.

A Reform Business Case was also considered and recommended to the Authority for approval on Voluntary Redundancy/Voluntary Early Retirement for 2020-21. Authority officials provided advice, based on their analysis and attendance at the PS Change Board, to the Chief Executive Officer in her role as Accountable Officer (AO) under the scheme of delegation to consider a series of Business Justification Cases from Police Scotland.

The AO approved Business Justification Cases for: Police Scotland Senior Leadership Programme; Transformation of Corporate Services Support (TCSS) e-Recruitment; TCSS Electronic Document Records Management System (EDRMS). Work was also carried out at an officer level to support and review Police Scotland's development of business cases which are under development on: Digital Evidence Sharing Capability; Phased roll out of Body Worn Video; and Ongoing oversight and advice on the Home Office Full Business Case on the Emergency Services Mobile Communications Programme.

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Objective: *By the end of September 2020, develop a benefits baseline approach that will provide sufficient evidence and information from Police Scotland to enable SPA to oversee change robustly, and facilitates an assessment from Police Scotland of both use of resources and evidence of benefits of transformational change across policing, reporting publicly every six months.*

Evidence: The first of two six-monthly reports on transformational change was presented to the SPA Board in August 2020⁴⁰. Approval was received for the benefits baseline approach outlined in the report. This was followed by a further report in February 2021, which detailed the coordinated activity associated with the oversight of the content, progress, pace and impact of transformational change to support the continuous improvement of the policing of Scotland. These reports, which focus on the SPA oversight of change, ensure a continued focus on the delivery of benefits through Police Scotland transformational change.

Objective: *By the end of September 2020, establish and agree SPA roles and responsibilities in respect of Best Value and conduct a gap analysis to identify action areas, including those relating to equality, diversity and human rights considerations taken into account in financial and other decision-making responsibilities, to inform an SPA-wide Best Value assessment*

Evidence: This objective was met, with delivery involving a workshop in July 2020 to identify key areas of focus and a comparison of BV methodology and external guidance. A proposal on the SPA Way forward on best value was presented in private session to the Audit Risk and Assurance Committee in September 2020 by the Interim Chief Executive Officer.

⁴⁰ <https://www.spa.police.uk/spa-media/5nxffnfs/rep-b-20200819-item-6a-spa-oversight-of-change-in-policing.pdf>

Strategic Outcome 5: A valued and engaged workforce that represents the communities it serves, and has the confidence and skills to deliver excellent services and adapt to changing demands.
Objective: <i>By the end of September 2020 clarify the role of the SPA regarding workforce governance and other statutory responsibilities/legal employer liabilities within a revised SPA Governance & Accountability Framework Document and SPA Corporate Governance Framework, and develop and implement an SPA Workforce Governance Framework which sets measurable standards against fulfilment of this role.</i>
Evidence: This objective was met through development of terms of reference for the new SPA People Committee which was incorporated into the revised SPA Corporate Governance Framework, approved at the SPA Board in November 2020 ⁴¹ . Conflicting priorities during the year meant that original timescales slipped on the development of an SPA Workforce Governance Framework and additional proposals in respect of fulfilment of 'legal employer of civilian staff' role. However revised timescales ensured that this work was ready to be considered by the SPA People Committee, meeting for the first time in May 2021.
Objective: <i>By March 2021, seek assurance around the development and effective implementation of the 2020-21 Police Scotland People Strategy Implementation Plan, ensuring clear reporting against planned timescales for completion of agreed deliverables, and demonstrating evidence of impact of completed actions against strategic outcomes</i>
Evidence: This objective was met with mid-year review scrutiny of the implementation plan undertaken and reported to the SPA Resources Committee in December 2020 ⁴² . The review concluded that the plan's new reporting format more clearly demonstrates progress, highlighting actions that were off track and offering explanation. Police Scotland advised that they were on track to deliver the majority of commitments.
The Committee emphasised the importance of ensuring that there was sufficient budget during the planning stage given that a number of actions were not progressed on resource grounds. Development of arrangements to enable impact measurement remains work in progress. SPA officers continued to build opportunities to engage directly with Police Scotland to supplement the Authority role in respect of scrutiny and oversight, and to influence continuous improvement.

⁴¹ <file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/6Z3JB6LZ/rep-b-20201118-item-12-strengthening-our-governance-and-accountability.pdf>

⁴² <https://www.spa.police.uk/spamedia/jxhbmvt/item-1-3-draft-minute-of-resources-committee-18-december-2020-public-version-v0-2.pdf>

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The SPA People Committee will consider a year-end report on 2020-21 Delivery Plan in May 2021. An overarching People Strategy implementation evaluation report will be presented thereafter, alongside a refreshed Strategy and accompanying 2021-22 Delivery Plan.

Objective: *By the end of September 2020 ensure the development of effective mechanisms for the SPA to engage with staff associations and trade unions, recognising their role as key organisational stakeholders and more specifically in representing the views of the wider workforce.*

Evidence: This objective was met as a result of extensive engagement with staff associations, unions, Police Scotland, the SPA Board and SPA senior managers, with direction of travel endorsed by SPA Board Members at a Board Seminar in October 2020. A key element included the need for Committee and Board papers to be clearer on the position of staff associations and unions on proposals. A key first step was taken, influencing Police Scotland to improve their internal governance processes, i.e. ensuring relevant reporting templates contain the same information that can then be used when preparing papers for the SPA Board. The new SPA People Committee terms of reference allow for staff associations and trade unions to be invited to committee meetings acting in *ex officio* capacity.

Supplementary mechanisms to support the People committee approach will test this stakeholder engagement approach when the new committee sits during 21-22. Key to this will be the use of the People Committee to test the extent to which staff associations can or should participate in private discussions. A specific forum has been agreed to be progressed between Scottish Chief Police Officers Staff Association (SCPOSA) and the SPA in recognition of the 'employment' role of SPA for Chief Officers, with an implementation during 2021-22.

Objective: *By the end of December 2020 influence and seek assurance on the development of Police Scotland's evidence-based approach to workforce planning, informed by demand and underpinned by best value.*

Evidence: This objective was met through SPA officer input via Police Scotland's Strategic Workforce Plan (SWP) Project Board, Oversight Board and through Member briefing to Committee and Board. During Q3, Members participated in a SWP-specific SPA/PS workshop, with a November progress update to the Resources Committee and a December presentation⁴³ of the final draft and discussion thereafter by the Board in January 2021⁴⁴.

⁴³ <https://www.spa.police.uk/spa-media/4nvjaazz/rep-b-20210113-item-12-committee-and-oversight-reports.pdf>

⁴⁴ <https://www.spa.police.uk/spa-media/kqclyk00/rep-b-20210126-item-2-1-board-minute-22-january-2021-public-minute.pdf>

Committee noted the progress made and confirmed that they were supportive of continued focused work on development of the SWP. They advised that the plan did not currently meet expectations set out previously and consistently by the Authority, or deliver the standards laid down by Audit Scotland, which would merit the consideration of the current draft as a final product. During 2021-22, SPA officers will continue to monitor implementation of the SWP through engagement with Police Scotland, who will formally report progress via the People Committee.

Objective: *By the end of December 2020 ensure timely and effective advance employer-side planning in order to facilitate early agreement of reasonable and affordable workforce pay and reward settlements for 2021-22.*

Evidence: In overall terms this objective was complete in the sense that a proactive approach was taken to engagement with the SPA Board prior to the Government Spending Review submission. This ensured a commitment that the budget settlement would include the costs of applying PSPP. The impact of COVID-19 on budget, timing etc. and has resulted in a delay in reaching an agreement however the fundamental aspect of this objective has been delivered i.e. to ensure that the government spending review submission recognised the need for the budget to cover costs linked to future pay increases. In 2021-22 engagement will take place with PS to build on the partnership approach to pay negotiation

Objective: *By the end of September 2020, oversee the management of a robust recruitment and selection process in respect of Police Scotland Chief Officer vacancies.*

Evidence: This objective was met in May 2020 with the conclusion of an SPA-led recruitment exercise for Assistant Chief Constable⁴⁵. There was no further recruitment activity planned or carried out during the year. Lessons learned during this exercise informed a review of the senior officer recruitment process during 2020-21.

Strategic Outcome 6: Decision making, scrutiny and reporting is based on robust evidence and analysis of current and emerging policing issues.

Objective: *By the end of September 2020 implement a consistent new approach to SPA business coordination across all Board and Committee communications, briefings, evidence and research to contribute to development of a robust evidence-base to support the Authority's decision-making role in relation to its statutory responsibilities and continuous improvement including external recommendations.*

⁴⁵ <https://www.spa.police.uk/news/2020/new-accs-appointed-to-police-scotland-leadership-team/>

Evidence: Final delivery of this objective was dependent on implementation of the SPA Organisational Design Programme commencing November 2020. Slight delays in recruitment for incoming new roles meant that the completion date was moved to the end of March 2021 when recruitment for specialist corporate management posts was finalised.

SPA's Business Coordination approach has continued to evolve and mature and now sits within a suite of new corporate meetings, supporting senior managers and leaders and SPA's corporate performance approach that includes coordination of the range of public body duty delivery.

Objective: *By the end of March 2021 scrutinise and support the development of Police Scotland's evidence base on demand, seeking assurance that it provides robust information to assess and analyse demand on police services, support innovation and the future development of services and evidence of the impact of service redesign in reducing harm and related demand.*

Evidence: This objective was met through SPA oversight throughout the year of the work of Police Scotland's Demand and Productivity Unit. SPA officers also considered HMICS' Crime Audit⁴⁶, examining emerging findings with respect to the reporting and recording of crime and non-crime, incident-based demand on Police Scotland. SPA Resources and Policing Performance Committees continued to focus on how demand data and evidence inform operational policy approaches. Work was carried out on communicating the benefits realised through investment in change with a focus on productivity impacts and meeting previously unmet demand.

SPA officers also worked collaboratively with HMICS on the design and scoping of an audit and assurance review of Police Scotland's Demand and Productivity Unit and Analysis and Performance Management. During 2021-22 SPA will contribute support to the development of demand data and how this is impacted by the gains through the change and transformation portfolio in Police Scotland and how in turn this informs the ongoing development of the strategic workforce plan and long term financial strategy.

Objective: *By end of December 2020, in collaboration with Police Scotland, develop an approach to horizon and environmental scanning to identify relevant information and enable strategic assessment that will support the SPA advice and assurance function, taking into account wider societal changes.*

⁴⁶ <https://www.hmics.scot/publications/crime-audit-2020>

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Evidence: This objective was met through the implementation of the SPA Organisational Design Programme in November 2020 and established a Strategy and Research function within the Authority. Recruitment was also concluded for a series of posts within this function, growing capacity and capability. A Superintendent from Police Scotland has also been seconded to the Authority to act in a co-ordination, engagement and liaison capacity, to further strengthen horizon scanning and anticipatory capability within the Authority.

Objective: *By the end of September 2020, develop a high-level mandate for the SPA and Police Scotland Joint Research Forum that will enable the forum to improve and extend its influence and reach across policing and academia.*

Evidence: This objective was met as a result of the Joint Research Forum, an SPA and Police Scotland initiative, continuing to enhance both its standing and expansion of areas of interest. A series of events took place throughout the year - see objective delivery below. The Forum's work to date was summarised for SIPR's published Annual Report and Accounts⁴⁷, which helped raise awareness of its purpose and reach.

Objective: *During 2020-21 deliver a suite of seminars and events including: SPA/PS Benchmarking Seminar; Joint Research Forums; Knowledge Exchange events.*

Evidence: The Joint Research and Evidence Forum hosted a series of webinars on governance and oversight of Artificial Intelligence and Machine Learning in Policing in December 2020. A follow-up webinar on the same subject but from a governance and oversight perspective in conjunction with Police Scotland's Chief Data Officer was delivered in February 2021⁴⁸.

Authority staff also participated on panels at SIPR's International Policing Conference in December 2020 on future policing, and Authority staff continue to participate actively across a number of SIPR networks. Planning work got underway on the development of a range of webinars and seminars during 21-22, focused on key interest areas including the use of new and emerging technology, a debate on the policing of protests and a review of the policing of the pandemic.

⁴⁷ http://www.sipr.ac.uk/assets/files/Scottish%20Institute%20for%20Policing%20Research%20-%20Annual%20Report%202019_20.pdf

⁴⁸ <https://www.spa.police.uk/strategy-performance/joint-evidence-and-research-roundtable/artificial-intelligence-in-policing-governance-and-oversight/>

ANNEX TWO – SPA AUDIT AND IMPROVEMENT PROGRESS 20-21

Most recent progress made by SPA Corporate and open recommendations still remaining were reported to ARAC in May 2021⁴⁹.

External Audit (Audit Scotland)

Audit Scotland published an interim audit report on SPA in July 2020.⁵⁰ This work included testing key controls within the financial systems in Police Scotland, to gain assurance over the processes and systems used in preparing the financial statements. Latest progress reported to ARAC in May 2021 identified that three recommendations from previous Audit Scotland reports had been closed. The last recommendation remaining open relates to review of committee agendas and papers identified by Audit Scotland in their 2019/20 report. Work is ongoing to discharge this recommendation with progress achieved through the revised corporate governance framework and improvements to ARAC/Resource Committee papers.

Internal Audit (Azets)

In relation to specific SPA Corporate internal audits, three 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.

HMICS Thematic Inspection of the Scottish Police Authority

HMICS conducted an inspection of the SPA and published their findings in September 2019.⁵¹ Its aim was to assess the effectiveness and efficiency of the SPA in terms of fulfilling its core role and scrutinise how it was meeting its statutory obligations. Fourteen recommendations were made, with progress made by SPA during 20-21 reported to the ARAC on 15 September 2020 and a detailed updated provided at the January 2021 ARAC⁵². An enhanced report format was developed during this time, with recommendations split into four categories, i.e. SPA are addressing; requires contribution from out

⁴⁹ <https://www.spa.police.uk/spa-media/gqvicarr/rep-c-20210423-item-2d-spa-audit-and-improvement-tracker.pdf>

⁵⁰ file:///C:/Users/1350719.SPNET/AppData/Local/Microsoft/Windows/INetCache/IE/Z1SBTMT9/rep-c-20200706-item-5-as-19-20_spa_management-report-final.pdf

⁵¹ <https://www.hmics.scot/publications/thematic-inspection-scottish-police-authority#:~:text=A%20thematic%20inspection%20by%20HM%20Inspectorate%20of%20Constabulary,Police%20Scotland%20are%20made%20in%20the%20inspection%20report.>

⁵² <https://www.spa.police.uk/meetings/audit-risk-and-assurance-committee/28-january-2021/>

with SPA; owned by Scottish Government; and discharged. Three recommendations have SPA been addressed by SPA Corporate with HMICS confirming they are discharged. There has been meaningful engagement between SPA staff and HMICS in respect to open recommendations and this has helped understanding of expectations/challenges, contributing to a quicker and more efficient discharge of recommendations.

The latest progress reported to ARAC in May 2021 identified six open recommendations that the SPA are still addressing and one new joint recommendation with Police Scotland from the Crime Audit published March 2021; to ensure internal and external crime recording audits are publicly reported, including a statement of compliance in their joint Annual Report and Accounts. Engagement is currently ongoing with Police Scotland on how this recommendation will be addressed jointly.

National Records of Scotland

There was one outstanding action from this review; 1) data sharing agreement with Police Scotland to be agreed. This action has now been partially completed with the 'Law Enforcement' data sharing agreement being approved. The GDPR version will now be proposed.

SPA Information Management

In 2018 the SPA invited the Information Commissioner (ICO) to carry out a consensual audit to assess compliance with the newly implemented data protection legislation with a focus on three broad areas: information security, data sharing and training. The audit was finalised in December 2018 and ICO found a "reasonable level of assurance that processes and procedures are in place and are delivering data protection compliance".⁵³ The audit identified "some scope for improvement in existing arrangements to reduce the risk of non-compliance with data protection legislation". In January 2021 ARAC were provided with a specific report giving further detail on the progress of ICO recommendations.

At the most recent update on work undertaken in this area provided to ARAC in May 2021 it was reported that the SPA has discharged 80% of recommendations (comprised 65% completed and 15% to be closed). A revised implementation plan with completion dates for the remaining recommendations has been produced. A number of the outstanding recommendations are reliant on the delivery of actions or work by Police Scotland which the SPA is continuing to progress.

⁵³ <https://ico.org.uk/media/action-weve-taken/audits-and-advisory-visits/2614386/scottish-police-authority-follow-up-audit-executive-summary-v10.pdf>

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