

Meeting	Audit, Risk and Assurance Committee
Date	15 July 2021
Location	By video-conference
Title of Paper	HMICS Recommendations – SPA Update
Presented By	John McNellis, Head of Finance Audit and Risk
Recommendation to Members	For consultation

PURPOSE

To provide the Audit, Risk and Assurance Committee (ARAC) with:-

- I. an update on progress against HMICS recommendations allocated to SPA; and
- II. an update on current SPA oversight of HMICS recommendations allocated to Police Scotland.

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 Progress against the recommendations from the HMICS Thematic Inspection of SPA was previously reported to the ARAC on 21 January 2021.
- 1.2 Regular updates on HMICS recommendations are reported to the ARAC as part of the SPA audit and improvements monitoring report.
- 1.3 This paper is split into two distinct parts:
 - Part A provides information about HMICS reports and recommendations that SPA Corporate has direct responsibility for; and
 - Part B provides detail of the oversight arrangements SPA has for recommendations allotted to PS.

2. FURTHER DETAIL ON THE REPORT TOPIC

2.1 Part A - Progress against HMICS recommendations allocated to SPA

2.1.1 SPA Corporate is currently tracking recommendations against five HMICS publications; three of which have been recently published in June 2021. These are summarised below.

Further detail at para.	HMICS report	Date Published	Number of SPA Rec's	Number currently open	Themes		
					Governance	Performance	People
2.2	Thematic Inspection of SPA*	26 Sep 19	6	6	4	1	1
2.3	Crime Audit 2020	10 Mar 21	1	1 <i>(partially addressed)</i>	-	1	-
2.4	Thematic Inspection of Hate Crime	03 Jun 21	2	2	2	-	-
2.5	Assurance Review - Policing of the 26th Conference of the Parties (COP26)	24 Jun 21	2	2	2	-	-
2.6	Assurance review of Police Scotland demand analysis and management	29 Jun 21	2	2	2	-	-
	Total		13	13	10	2	1
					77%	15%	8%

* as previously reported, represents those wholly owned by SPA.

2.1.2 All SPA corporate audit recommendations are internally managed in a single tracking document. Each recommendation has been categorised into themes, to support analysis and ultimately better inform continuous improvement.

2.1.3 For the HMICS recommendations there are two distinct themes; governance and performance. In addition, there is one recommendation categorised as people.

2.1.4 Further detail is provided about each specific report below.

2.2 Thematic Inspection of SPA

- 2.2.1 A detailed update on progress against recommendations was reported to the ARAC in January 2021.
- 2.2.2 Since this update SPA have submitted evidence to HMICS relating to two recommendations (HMICS ref 4 and 12), including the recently signed MOU on engagement and communication relating to new and emerging strategy, policy or practice in areas of significant public interest.
- 2.2.3 SPA believe the evidence submitted should be sufficient to consider these recommendations closed, however, this has yet to be reviewed by HMICS who will determine whether the recommendations can be fully discharged.
- 2.2.4 A comprehensive review of all other open recommendations from the thematic inspection of SPA is being carried out with new owners allocated to reflect the roles and remits within the new SPA structure. Updates will be reported to future ARAC meetings.

2.3 Crime Audit 2020

- 2.3.1 This audit includes a single recommendation for SPA to jointly address with Police Scotland. Engagement with Police Scotland has been ongoing to develop a collaborative action plan to address this recommendation. The details of the plan are to be finalised and submitted to HMICS. It will outline the enhanced reporting to ARAC and inclusion of an update on crime recording in the Annual Report and Accounts.
- 2.3.2 Part of the recommendation is to ensure that a statement of compliance is published in the Annual Report and Accounts from 2020/21 onwards which has already been completed.

2.4 Thematic Inspection of Hate Crime

- 2.4.1 This report includes two recommendations for SPA, both of which relate to SPA's scrutiny over PS's response to hate crime. One of the recommendations has a focus on using good practice examples from elsewhere to more effectively scrutinise PS's response to hate crime.
- 2.4.2 Work is ongoing to develop an action plan to address these recommendations which have been allocated to SPA's Head of Strategy and Performance.

2.5 COP26 Assurance Review

- 2.5.1 This review includes two joint recommendations, for SPA and PS to address.
- 2.5.2 The first relates to the consideration of the dual reporting of risk to the COP26 oversight group and ARAC.
- 2.5.3 The second is to:
 - “...put in place measures to monitor progress against the areas for development outlined in this assurance review ensuring regular reporting of progress at SPA meetings.”
- 2.5.4 Although formalised as one recommendation the report highlighted a number of areas for development, one of which specifically referred to SPA.
- 2.5.5 For the purposes of reporting progress both the recommendation and the area for improvement will be tracked.
- 2.5.6 HMICS suggested that it would be appropriate for the COP26 Oversight Group to monitor progress against the areas for development which is being considered.

2.6 Assurance review of Police Scotland demand analysis and management

- 2.6.1 There are two, joint recommendations arising from this review – further development of long range forecasting to support better planning and decision making as well as focussing scrutiny process around demand analysis and management.
- 2.6.2 Having been published on 29 June 2021 the recommendations will allocated to an appropriate owner within SPA Corporate, tracked with progress reported to future ARAC’s.

2.7 Part B: SPA oversight of HMICS recommendations allocated to PS

- 2.7.1 Reporting of HMICS publications has been conducted primarily through progress reporting to ARAC. In addition, SPA Committees relevant to the subject matter of the publication may select to consider the content of the HMICS publication.
- 2.7.2 Summarised below are details of HMICS reports published (January 2020 to date) including which SPA Committees had a specific consideration of reports in addition to the regular ARAC reporting.

Report	Date published	Considered by SPA Committee?
Strategic review of Police Scotland's response to online child sexual abuse	26 February 2020	Yes – Policing Performance Committee (PPC) on: 28 May 2020 and 26 August 2020.
Thematic Inspection of Police Scotland Training and Development - Phase 1	15 September 2020	Yes – Succession Planning and Appointments Committee (29 Jan 2021).
Joint inspection of emergency criminal justice provisions	30 September 2020	No – no recommendations were made for PS or SPA. Report was internally considered by PS and SPA.
Crime Audit 2020	10 March 2021	Yes – ARAC on 15 July 2021.
Assurance Validation of Police Scotland Transformation Benefits 2019/2020	22 April 2021	<i>Proposed consideration by Resources Committee in September 2021 including invites from the Chairs of ARAC and People Committee.</i>
Assurance review of Police Scotland demand analysis and management	29 June 2021	
Thematic Inspection of Hate Crime	03 June 2021	<i>Recently published reports – governance route for each report is being considered in line with the new procedure.</i>
An Assurance Review - Policing of the 26th Conference of the Parties (COP26)	24 June 2021	

2.8 SPA oversight of HMICS report & recommendations for 2021/22

- 2.8.1 A revised process for the SPA considering HMICS recommendations has been outlined at agenda item 3(a). This will ensure that recommendations are considered when appropriate and by the right committee.
- 2.8.2 Recommendations will continue to be tracked and reported to ARAC as part of the SPA and Police Scotland audit and improvement trackers.

3. FINANCIAL IMPLICATIONS

3.1 There are no financial implications associated with this paper.

4. PERSONNEL IMPLICATIONS

4.1 There are no personnel implications associated with this paper.

5. LEGAL IMPLICATIONS

5.1 There are no legal implications associated with this paper.

6. REPUTATIONAL IMPLICATIONS

6.1 There are potential reputational implications associated with the pace and effectiveness with which the recommendations are addressed.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this paper.

8. COMMUNITY IMPACT

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

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications associated with this paper.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications associated with this paper.

RECOMMENDATIONS

Members are requested to note the update on progress of SPA HMICS recommendations and SPA oversight.