



HM INSPECTORATE OF CONSTABULARY IN SCOTLAND

Corporate Strategy 2017-20

November 2017

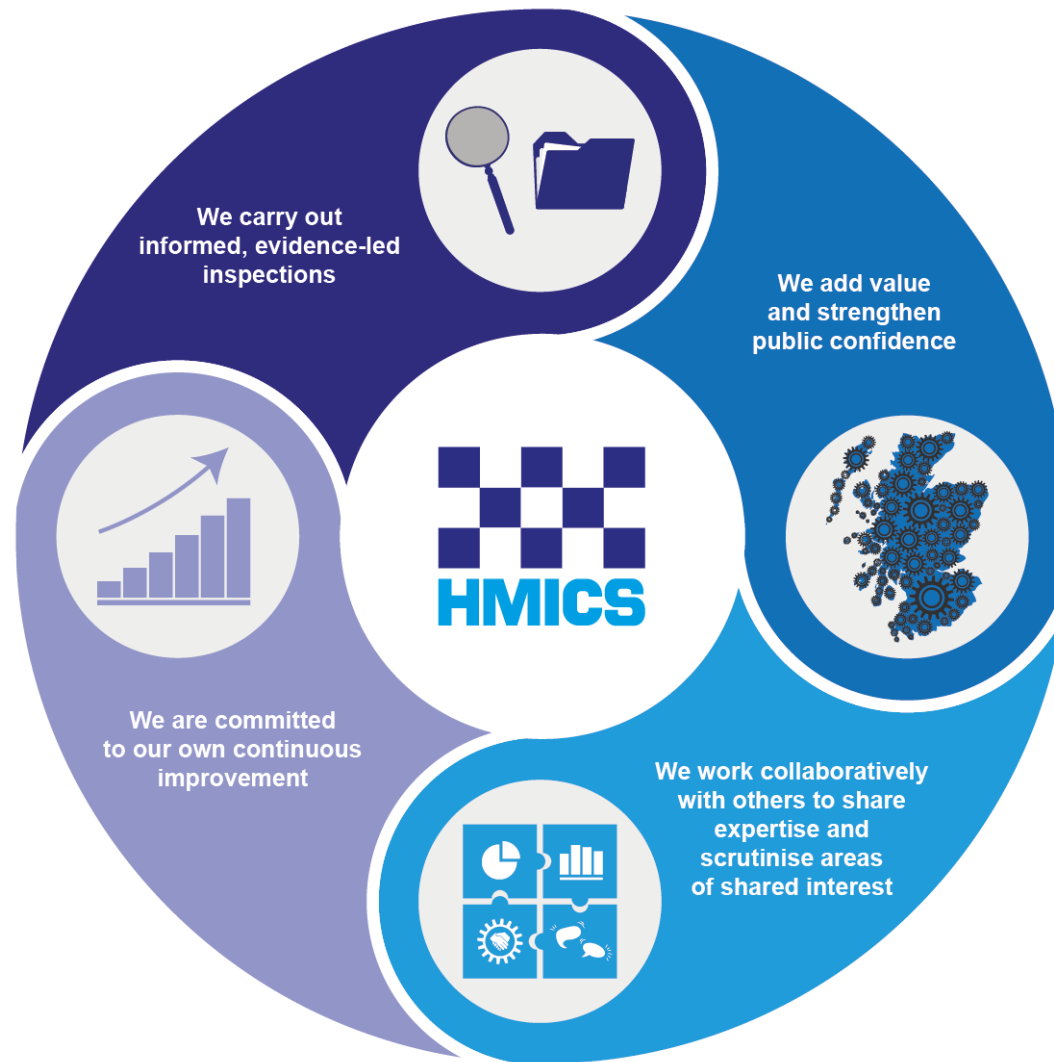
Improving Policing Across Scotland





Our objectives for 2017-20

Over the next three years, HM Inspectorate of Constabulary in Scotland (HMICS) will be focusing on the following four key objectives:





We will carry out informed, evidence-led inspections

What we will do:

We will carry out scrutiny work that is based on evidence, is risk-based, proportionate and focuses on improving policing in Scotland.

How we will do it:

- We will work closely with the Scottish Institute of Policing Research (SIPR) and commission **high quality, independent research** where appropriate to ensure our inspections are informed and evidence based.
- We will carry out thorough and robust **environmental scanning** to identify emerging risks and issues that may need to be considered for scrutiny to support the delivery of a high quality policing service across Scotland.
- We will **look beyond the boundaries of Scotland** to identify scrutiny approaches and good practice that could be adopted in Scotland.
- We will continue to **seek the views of service users** to inform our inspections and carry out an **annual consultation process** with our stakeholders to identify the issues of greatest concern to them in relation to the bodies we scrutinise.
- We will continuously **review our approach to scrutiny** to ensure it is valid and fits best with the policing landscape in Scotland.
- We will **work dynamically** to respond quickly and appropriately to the risks we identify through the evidence we gather.



We add value and strengthen public confidence

What we will do:

We will add value through the work we do, highlighting good practice and making recommendations to drive improvement in policing for the communities of Scotland.

How we will do it:

- We will **focus our inspection activity on those areas which will add the greatest value** and we will take measures to support and **follow up on our recommendations** to improve policing in Scotland.
- We will work in a way that is proportionate and reflects the policing landscape in Scotland, aligning our activities to the **Police Scotland Policing 2026 strategy and latest Strategic Assessment**.
- As a member of the UK's **National Preventive Mechanism**, we will conduct unannounced inspections of police custody centres across Scotland to monitor the treatment of and conditions for detainees.
- We will promote and encourage Police Scotland to critically evaluate their own performance and capability through **self-assessment** to support continuous improvement and best value.
- We will develop a **performance and impact framework** to better assess our own impact and contribution towards supporting Police Scotland and the SPA to deliver services that are high quality, continually improving, effective and responsive to local needs.
- We will always **work in a way that is consistent to our values** and inspect using the principles of our inspection framework to ensure openness and transparency in all that we do.
- We will **intensively debrief** our scrutiny activities, seeking feedback from those we scrutinise, our partners and others, and use this to enhance our processes and approach.

We will work collaboratively with others to share expertise and scrutinise areas of shared interest



What we do:

We will continue to work with other inspectorates and public bodies across the public sector in Scotland to share our expertise and jointly examine areas where Police Scotland works in partnership and contributes to shared outcomes.

How we will do it:

- We will work collaboratively with other scrutiny bodies to **minimise our scrutiny footprint** with those we inspect, to reduce the burden of inspection and avoid unnecessary duplication.
- We will continue to develop close working relationships with **HM Inspectorate of Constabulary and Fire & Rescue Services** (in England and Wales) to identify areas of threat and risk and to scrutinise themes that cut across the United Kingdom. We will inspect, where necessary, other UK policing agencies who operate in Scotland.
- We will work with other members of the UK's **National Preventive Mechanism** to share information and good practice and to ensure our approach to detention monitoring is consistent with international standards.
- We will work in partnership with other scrutiny bodies, including the **Care Inspectorate, Audit Scotland and Health Improvement Scotland**, to deliver joint scrutiny that adds value and provides assurance about services delivered in partnership across Scotland.
- We will **provide support to joint inspections** by working with Police Scotland to identify officers with current experience of operational policing and specialised skills and knowledge to work on secondment with HMICS and other Scottish inspectorates to augment joint inspection teams.
- We will **regularly engage** with other public bodies, universities and others with an interest in policing in Scotland to identify opportunities for collaborative working and to increase the effectiveness of HMICS.
- We will regularly review and refresh our **Memorandums of Understanding** with Audit Scotland and the Police Investigations and Review Commissioner to set out our respective powers and responsibilities and propose a framework for collaborative working.



We are committed to our own continuous improvement

What we do:

We will continue to invest in our own continuous improvement to ensure we operate as a professional and highly effective organisation.

How we will do it:

- We will demonstrate continuous improvement and operate accordingly. We will review our internal operations each year and **produce an annual Improvement Plan** to enable us to develop our internal capability and capacity.
- We will **regularly review our internal policies and processes** to identify opportunities for improvement to ensure we are operating effectively and efficiently.
- We will improve our visibility by **enhancing our online presence** through our website and the use of social media.
- We will review our **inspection framework and manual** to ensure we are taking a consistent and professional approach to our work and to support inspected bodies, stakeholders and the public to know what to expect from our inspections.
- We will achieve value for money and **fulfil our purpose within our allocated budget** by operating effectively and efficiently and use a flexible staffing model in a way that it is consistent with our values.
- We will invest in a **highly skilled workforce** and support training and learning opportunities for our staff to ensure they have the right skills and knowledge to do their jobs.
- Our staff have will **clear job descriptions, appraisals and performance reviews** and will be recognised for their individual contributions to our collective work.

Foreword



As an inspectorate independent of Government and of the Police Service of Scotland (Police Scotland), HM Inspectorate of Constabulary in Scotland (HMICS) has an important role to play in improving policing across Scotland.

Our Corporate Strategy for 2017-20 sets out how we will continue to build on our 160 years of history as a credible, competent and collaborative inspectorate that adds value and strengthens public confidence by carrying out our statutory purpose to inquire into the state, efficiency and effectiveness of both Police Scotland and the Scottish Police Authority (SPA).

Four years on from the creation of a single police service in Scotland the policing landscape in Scotland continues to evolve. As Police Scotland now focuses on delivering the programme of work set out in the Policing 2026 strategy, it is even more important that we continue to deliver high quality, continually improving and effective scrutiny to support Police Scotland and the SPA to deliver a service that fits with the current and future demands of Scotland's communities.

Our approach to inspection will be supported by a refreshed Scrutiny Framework, which will provide structure to our activities to ensure our work is valid and credible and that our recommendations drive improvement. We will work with others to ensure our Framework reflects best practice and has the potential to develop into a wider self-assessment tool which can be used by Police Scotland and the SPA.

Our annual Scrutiny Plans over the next three years will place a particular focus on the scrutiny of governance arrangements in Police Scotland and the SPA, to provide the assurance that they are operating in a way that the public would expect. We will

continue to carry out thematic inspections to scrutinise cross-cutting issues to identify and report on good practice and emerging issues. The findings from these inspections will also provide evidence to inform future scrutiny activity.

We will also continue to build relationships with our partners and other scrutiny bodies, by working collaboratively to achieve shared objectives and to share learning. As well as continuing joint inspection activity into Children's Services, we will undertake a new programme of joint inspections of Adult Support and Protection Services in a number of partnership areas across Scotland with the Care Inspectorate and Healthcare Improvement Scotland. This will be the first time any of the Scottish scrutiny bodies have scrutinised these services.

In accordance with our values, we will work in an independent, accountable, proportionate and transparent way when carrying out scrutiny activity and when working with others. We will ensure our inspections are informed and evidence led by building stronger links with the Scottish Institute of Policing Research to develop a Scottish Policing Research Assessment and by benchmarking with England and Wales and internationally.

We will publish annual Scrutiny Plans outlining our priorities and scrutiny activities at the beginning of each fiscal year. Our plans will be developed through consultation with our stakeholders and informed by an objective assessment of policing performance and risk. We will keep our plans under continuous review and maintain an up to date copy on our website.

HMICS will demonstrate our own continuous improvement over the next three years. We will maintain an Improvement Plan to review our internal processes to enable us to operate efficiently and effectively to carry out our purpose within our allocated budget.

Derek Penman QPM
HM Chief Inspector of Constabulary in Scotland



Our purpose

Improving Policing across Scotland

Our statutory purpose is to inquire into the state, efficiency and effectiveness of both the Police Scotland and the SPA.

Who we are

Our team

HMICS comprises 13 members of staff. HM Chief Inspector of Constabulary in Scotland (HMCIC) is appointed by Royal Warrant and is independent of government and policing bodies. He is responsible for the strategic leadership of HMICS and accountable for our activities.

HMCIC is supported by an Assistant Inspector of Constabulary (AIC), who is responsible for the day to day operation of HMICS. The four HMICS Lead Inspectors are responsible for the planning, management and delivery of inspections and other scrutiny work, with input and support from HMICS support staff.

HMICS uses a cadre of 'Associate Inspectors' to augment HMICS inspection teams. Associates come from a range of backgrounds and have a variety of professional experience and skills that supplements the core team and provides additional capacity to carry out scrutiny activity.

What we do

HM Inspectorate of Constabulary in Scotland (HMICS) is established under the Police and Fire Reform (Scotland) Act 2012¹ and has wide ranging powers to look into the 'state, effectiveness and efficiency' of both Police Scotland and the Scottish Police Authority. We have a statutory duty to inquire into the arrangements made by the Chief Constable and the SPA to meet their obligations in terms of best value and continuous improvement. If necessary, we can be directed by Scottish Ministers to look into anything relating to the SPA or Police Scotland as they consider appropriate. We also have an established role in providing professional advice and guidance on policing in Scotland.

Our powers allow us to do anything we consider necessary or expedient for the purposes of, or in connection with, the carrying out of our functions.² The SPA and the Chief Constable must provide us with such assistance and co-operation as we may require to carry out our functions and must comply with any reasonable request that we make. When we publish a report, the SPA and the Chief Constable must consider what we have found and take such measures, if any, as they think fit.³ Where we make recommendations, we will follow them up and report publicly on progress.

HMICS also has a role in inspecting other UK policing agencies that operate in Scotland, working with HM Inspectorate of Constabulary and Fire & Rescue Services (England and Wales) under relevant UK legislation.

¹ <http://www.legislation.gov.uk/asp/2012/8/contents/enacted>

² <http://www.legislation.gov.uk/asp/2012/8/section/76>

³ <http://www.legislation.gov.uk/asp/2012/8/section/77>

Our values

As a values-led organisation, we will conduct our activities in a way that is:

Independent

We will always act independently and publish impartial and objective reports. Our professional advice will be informed and unbiased. HM Chief Inspector of Constabulary in Scotland is appointed under Royal Warrant and is independent of Scottish Government, Police Scotland and the SPA.

Accountable

We will be accountable for what we do and will justify our actions and reports by evidence. We will publish our statutory reports to the Scottish Parliament and submit ourselves to whatever scrutiny is appropriate to our function.

Proportionate

We will ensure our scrutiny is proportionate and that we only inspect what is necessary to achieve our statutory purpose. We will minimise the burden on those we inspect and focus our activities through informed risk assessment to ensure what we do is effective and efficient.

Transparent

We will be open in what we do and give reasons for our decisions. We will publish our reports and restrict information only when the wider public interest clearly demands it.

User Focused

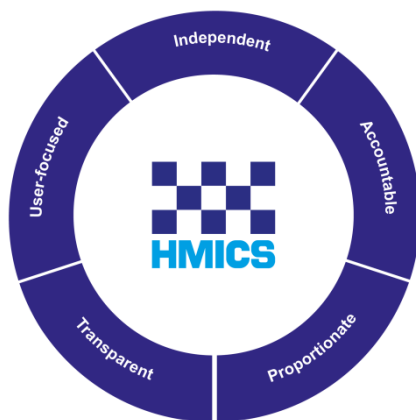
We will align our scrutiny to the needs of service users and co-operate with other scrutiny authorities. We will meet our responsibilities under the Public Services Reform (Scotland) Act 2010, by continuously improving our user focus in the design and operation of our functions. We will promote equality and respect for diversity in everything we do. Within all our inspections and reviews, we will give consideration to inequality and, where identified, make recommendations to improve experiences for service users and in support of the public sector equality duties.





Our framework

Our initial Inspection Framework was informed by the Public Sector Improvement Framework (PSIF) model, an approach used in many public sector settings. The Inspection Framework is now being further developed using the EFQM Excellence Model with an increasing focus on service users, the management of change and the delivery of outcomes. The model was adapted to provide a scrutiny framework suitable for the inspection of elements of policing or the SPA. It forms the basis of any inspection activity and is also sufficiently flexible to be adapted so that the key themes and sub-elements reflect the purpose of the inspection to be undertaken. The framework supports HMICS when conducting inspections by providing a structure within which we can ensure a consistent and professional approach to our work.



Outcomes

We will focus on the overall performance of the organisation or part of the service and seek to examine successes in delivering demonstrable, high quality and improved outcomes for service users, communities and the public in general.

Leadership and governance

We will examine how well Police Scotland and the SPA are led, as well as the governance, accountability and scrutiny arrangements that have been put in place to ensure the service is delivering its overall vision of keeping people safe and meeting national, regional and local priorities.

Planning and processes

We will examine the effectiveness of strategy and planning processes in ensuring services are inclusive and focused on user needs. We will also examine the work of the organisation or service in relation to key functions, in particular the delivery and development of the services it provides, both by itself and in partnership with others, and how these are measured.

People

We will look at the people within the organisation – their motivation, satisfaction and contribution to the development of the organisation or service area. We will assess how employees are managed, developed and empowered, and consider communication processes and whether people feel rewarded and recognised for their efforts.

Resources

A key element of resourcing is the consideration of best value. We will consider whether the organisations or service area manage resources in the most efficient, effective and sustainable way, including financial and information resources and assets. We will assess whether this supports key activities and outcomes. We will also consider collaborative working, looking at whether shared resources are used as efficiently as possible to deliver shared outcomes.



Partnerships

We will assess how well partners work together to support the delivery of outcomes as well as the approach to managing partnerships. Key elements include developing an agreed vision and objectives and aligning information, assets and resources in partnership to achieve shared outcomes. We will consider how well partners jointly plan and co-operate in delivering integrated working and whether the partnership ethos has developed a positive culture of involvement and working together.

Our approach to scrutiny

Reports

We will publish an annual Scrutiny Plan outlining our priorities and scrutiny activities for the fiscal year ahead.⁴ The plan will be developed through consultation with our stakeholders and informed by an objective assessment of policing performance and risk. We will keep the plan under continuous review and will make it accessible to those who are likely to have an interest in it, maintaining an up to date copy on our website.

Our scrutiny activity will follow an approach which takes account of the Crerar review,⁵ Christie report⁶ and supports production of the National Scrutiny Plan by Audit Scotland on behalf of the Accounts Commission.⁷

⁴ <https://www.hmics.scot/publications/annual-reports>

⁵ <http://www.gov.scot/Resource/Doc/198627/0053093.pdf>

⁶ <http://www.gov.scot/Resource/Doc/352649/0118638.pdf>

⁷ <http://www.audit-scotland.gov.uk/report/national-scrutiny-plan-for-local-government-201718>

Local Policing+

The three objectives for police reform were (i) to protect and improve local services, (ii) to create more equal access to specialist support and national capacity, and (iii) to strengthen the connection between police services and communities.⁸

As a consequence, HMICS developed a new approach to scrutiny and introduced a rolling programme of divisional policing inspections entitled Local Policing+. This provides a consistent means of assessing the quality of local policing across Scotland and enables us to report publicly on how well Police Scotland is delivering against local priorities and keeping people safe. We focus on the effectiveness of local scrutiny and engagement as well as the contribution policing makes to the wellbeing of communities.

This includes an assessment of Partnership, Prevention, Performance and People in support of the wider Scottish Public Service Reform characteristics. We will capture innovation and good practice and, where relevant, we will make recommendations to drive policing improvement.

Through our local inspections, we review the effectiveness and efficiency of both national and regional structures, and the provision of specialist policing across Scotland. Our Local Policing+ programme allows sufficient flexibility to respond to new and emerging issues that arise and would benefit from our scrutiny. These issues are identified through our stakeholder engagement and our scrutiny risk assessment. We publish full reports for each of our local policing inspections.

⁸ [Police and Fire Reform \(Scotland\) Bill Policy Memorandum, Paragraph 3](#)



Thematic Reviews

We will continue to use Thematic Reviews to scrutinise cross-cutting issues that benefit from a more holistic review or where we choose to inspect major functions that fall outwith the scope of Local Policing+. We will publish full reports for each of our Thematic Reviews, capturing innovation and good practice and, where relevant, making recommendations that drive improvement. Moving forward, our Thematic Reviews may provide opportunities to work with others to consider new issues or emerging threats and provide evidence for future policy development.

Professional Advice Notes

On occasion HMICS will issue Professional Advice Notes (PANs) to Police Scotland, the SPA and Scottish Government. These more formal forms of advice are produced by HMICS as part of our established role in providing professional advice and guidance on policing in Scotland and will be provided directly to the Chair of the SPA, the Chief Constable and Scottish Government Police Division for their consideration. HMICS expects that a PAN will be given due consideration and be considered in the context that inspection may follow.

Audit and Assurance Reviews

Our Audit and Assurance Reviews will allow for more detailed scrutiny in areas where we believe there is a specific need to audit critical systems to ensure accurate and ethical recording or provide some external assurance over key processes in high risk areas. These reviews will also provide opportunities for HMICS to undertake short assignments to provide independent assurance over specific aspects of policing.

We will publish concise reports for each of our Audit and Assurance Reviews, highlighting our findings and any recommendations. These reviews will also inform our wider assessment of how well

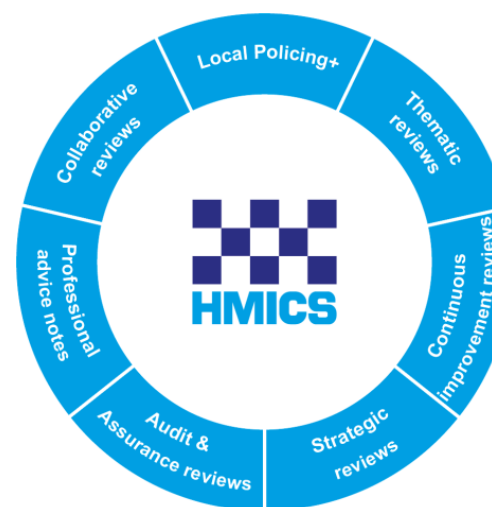
Police Scotland and the SPA have met their obligations to secure best value and continuous improvement, which we will publish in our Annual Report.

Strategic Overviews

We will conduct these reviews in key areas where we believe the provision of a strategic overview of specific areas to give a high-level assessment of services in terms of their current delivery against national policies and standards will add value. A Strategic Overview will highlight strategic issues for consideration by key stakeholders, and is intended to inform future scrutiny of this area.

Collaborative Reviews

We will continue to work with other scrutiny bodies and undertake joint inspection activity in areas where Police Scotland or the SPA work in partnership and contribute to shared outcomes with others.





National Preventive Mechanism

HMICS is a member of the United Kingdom's National Preventive Mechanism,⁹ a group of organisations designated under the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT) to monitor places of detention and report on the treatment of and conditions for detainees. OPCAT recognises that detainees are particularly vulnerable and aims to prevent ill-treatment through establishing a system of regular visits or inspections to all places of detention. OPCAT requires that States designate a 'National Preventive Mechanism' (NPM) to carry out such visits to places of detention, to monitor treatment of and conditions for detainees, and to make recommendations for the prevention of ill-treatment.

The UK NPM is made up of 21 bodies who monitor places of detention across Scotland, England, Wales and Northern Ireland. This includes police custody, prisons, court custody, immigration and military detention, secure children's homes, and places where people are detained under mental health legislation. The NPM members have the power to enter places of detention and speak to detainees and staff in private. As a member of the NPM, HMICS carries out regular inspections of police custody in Scotland using the HMICS Custody Inspection Framework. This framework focuses on the treatment of and conditions for detainees and includes a range of indicators setting out what we expect to find during our custody inspections.



Follow Up and Update Reports

We will undertake follow up inspection work and produce update reports on previous inspection areas where recommendations are outstanding and we believe that further work will highlight where both progress has been made and where improvement is still required. This will complement our regular recommendations follow up procedure.

⁹ <https://www.nationalpreventivemechanism.org.uk/>

How we will maximise our impact and measure our performance

Our Corporate Strategy sets out our purpose, values, approach and key objectives for the next three years to build on 160 years of history as a credible, competent and collaborative inspectorate that adds value and strengthens public confidence in Scottish policing. By setting out our key objectives for the next three years it will help us to keep on track with what we want to achieve and how we are going to achieve it. We will review this strategy annually to ensure our objectives are supporting us to fulfil our purpose of improving policing across Scotland.

We aim to maximise the impact our work in terms of:

- Providing assurance regarding the governance and delivery of policing services.
- Providing quality advice and support.
- Increasing public confidence and trust in policing.
- Assessing the effective use of public resources in policing.
- Improving policing more generally.

We will build impact assessment into all of our work, from scrutiny risk assessment and planning, through delivery and reporting, to recommendations follow-up and repeat inspection. At all stages of our planning and inspection processes we will consider the positive outcomes we want to deliver

We will provide details of our impact in our annual report and report on a number of success measures:

- The reports we deliver in support of our Scrutiny Plan and within our budget.
- The specific assurances we provide to the public, the Scottish Parliament, Scottish Ministers and the SPA over those aspects of policing we inspect.
- The direct support we provide to the SPA and Police Scotland to build on our recommendations and result in the necessary improvement.
- The successful and timely discharge of our recommendations.
- The feedback from Scottish Government, SPA and Police Scotland and other key stakeholders that our inspection process and its results add value and drive improvement.
- The progress against this Strategy and our Improvement Plan.

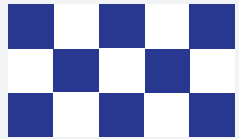


Version control

This document forms part of the HMICS corporate governance framework and is subject to version control and approval by HMCIC and/or AIC.

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HMICS HM INSPECTORATE OF
CONSTABULARY IN SCOTLAND

HM Inspectorate of Constabulary in Scotland
1st Floor, St Andrew's House
Regent Road
Edinburgh EH1 3DG

Tel: 0131 244 5614

Email: hmic@gov.scot

Web: www.hmics.scot

About Her Majesty's Inspectorate of Constabulary in Scotland

HMICS operates independently of Police Scotland, the Scottish Police Authority and the Scottish Government. Under the Police and Fire Reform (Scotland) Act 2012, our role is to review the state, effectiveness and efficiency of Police Scotland and the Scottish Police Authority. We support improvement in policing by carrying out inspections, making recommendations and highlighting effective practice.