

Corporate Plan 2021 - 2024

February 2022



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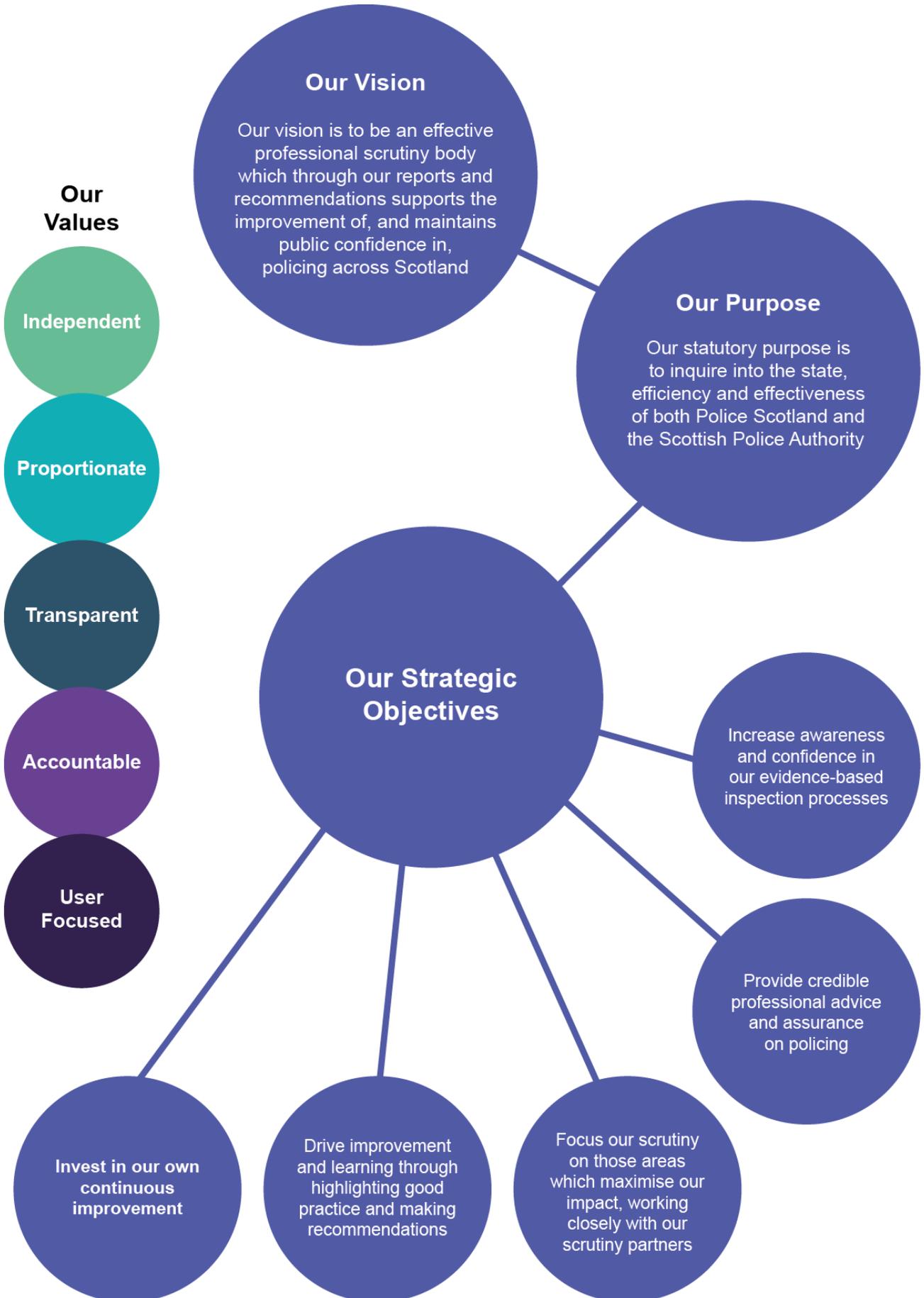
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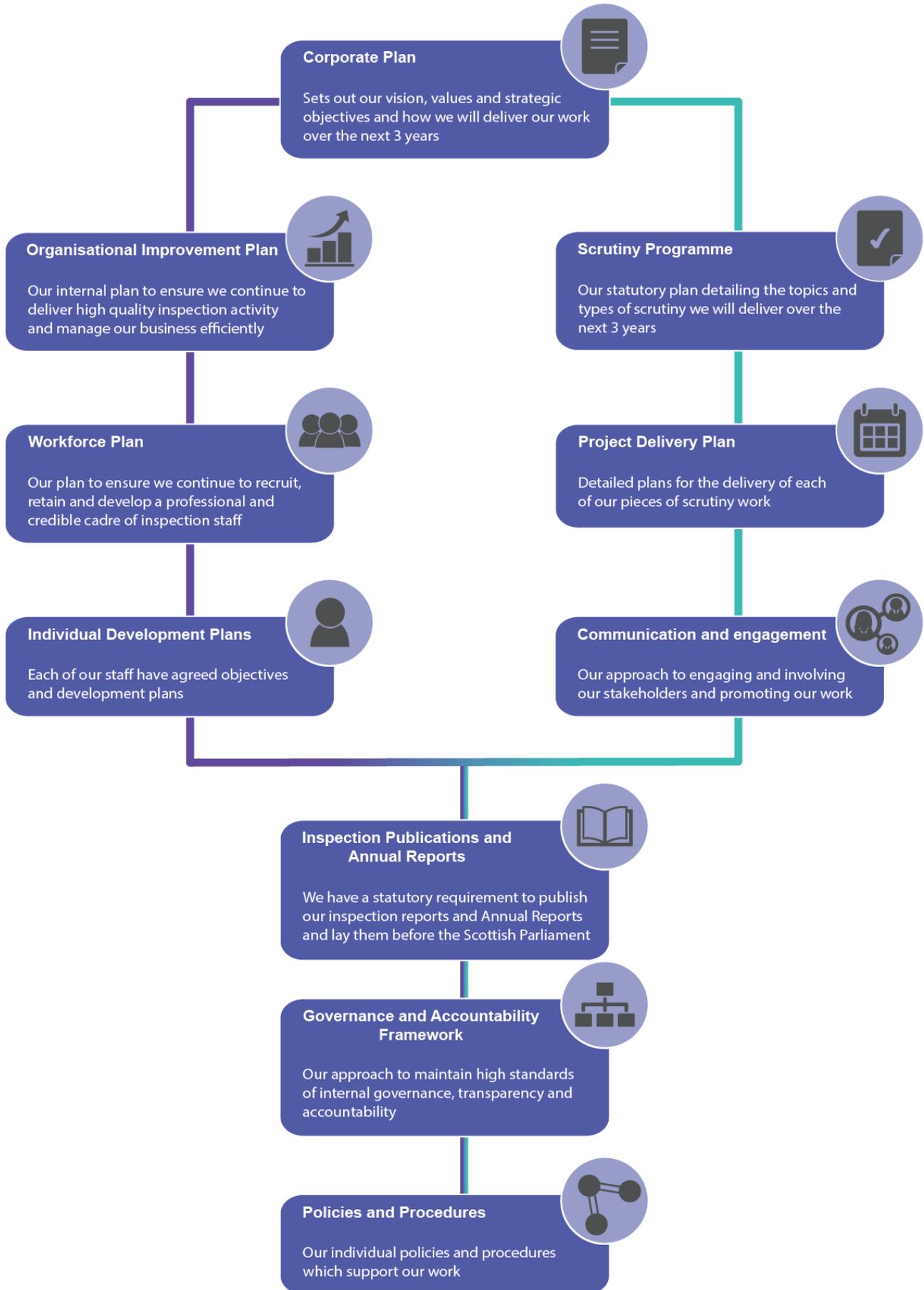


Our plan on a page





Our planning framework





Foreword

Welcome to our new corporate plan for the next three years. HMICS, in existence for over 160 years, has always moved with the times, and since 2013 has been required to adapt to a new relationship with policing – a single force and a new single police governance authority. Police Scotland and the Scottish Police Authority, now in existence for over eight years, have matured their approaches to governance and service delivery significantly since their establishment. HMICS similarly has had to respond to the ever-changing environment and challenges which they face. I believe this plan will equip us to move forward together and ensure we have a fit-for-purpose professional scrutiny function which develops its approach in line with the evolution of policing service delivery.

Although there will be a new Chief Inspector of Constabulary, who will ultimately deliver this plan from April 2022, we have consulted and benchmarked widely and have ensured that our approach mirrors best practice and the latest developments in scrutiny methodologies. This will ensure that HMICS continues to develop and improve as an organisation which in turn supports the wider improvement of policing.

Our scrutiny programme, which I have a statutory duty to consult on and publish, will be published separately to this plan, and for the first time will span the matching three year planning horizon. The programme will show how we have considered wider societal change, cross-cutting public sector developments, justice system and policing specific issues in our decision-making. HMICS will however monitor the programme on a continuous basis and conduct regular annual reviews to ensure we reflect the latest developments and risks in policing.

Our scrutiny planning process complements our corporate planning and we aim to become increasingly transparent over how we select and scope our work. As a small scrutiny body we must carefully choose where our work will have the optimum impact and provide the independent external scrutiny that the public deserves. We have also reflected in our plans and our new inspection framework a number of areas intended to further strengthen our approach. These areas include an increased focus on service users' views, experiences and their engagement in influencing services as well as those of officers, staff and other key stakeholders. Areas such as human rights, equality, diversity, inclusion and mental wellbeing have also been reflected in our development process.

This plan focuses on widening the impact and credibility of our reports, further strengthening confidence in our evidence base and advice, working with other scrutiny bodies to examine cross-cutting outcomes and driving improvement through targeted recommendations. We will continue to underpin this activity with improvements to internal governance and an increased focus on the wellbeing and development of our staff, whose mix of skills and experience are the cornerstone of our success.

Gill Imery QPM
HM Chief Inspector of Constabulary in Scotland



Delivering our strategic objectives

We have set out five strategic objectives detailing how we plan to fulfil our purpose and work towards our vision over the next three years.

In order to deliver our objectives and achieve the associated outcomes, we have set out tangible measurable actions which will be delivered across the lifetime of this plan.

To increase awareness and confidence in our evidence-based inspection processes, we will:

-  Have a transparent and clearly understood inspection framework, supported by clear evidential standards against which we will assess, that is regularly reviewed and accredited
-  Provide independent, objective and rounded assessments, which are transparent about how we reach our findings, providing an evidential basis and rationale for professional judgements.
-  Have effective models in place for each type of scrutiny intervention, which focus on service users and those involved directly in service provision.
-  Undertake regular stakeholder analysis and develop a communications and engagement strategy to support engagement and encourage professional dialogue, stimulate understanding and learning and further promote our work.
-  Improve our web accessibility and continue to develop our online presence through our website and the use of social media.

To provide credible professional advice and assurance on policing, we will:

-  Provide effective advice and guidance to support continuous improvement including constructive evidence-based feedback from our work.
-  Demonstrate a sound understanding of the policing environment, strategic assessment and outcomes, policy priorities and risks, where appropriate learning from our scrutiny partners regarding both policing and wider public sector risks and issues.
-  Retain an appropriate blend of skills and experience to maintain our currency and validity, providing high quality professional advice on all aspects of policing.
-  Report clearly, concisely and authoritatively, adapting our reporting to the needs of our stakeholders, offering insights that add value.
-  Undertake regular assurance reviews on aspects of operational delivery which have the ability to influence policy and legislation.
-  Produce an Annual Report setting out HMCIC's view of the state of policing, details of our work and views on how policing needs to develop for the future.



To focus our scrutiny on those areas which maximise our impact, working closely with our scrutiny partners, we will:

-  Carry out thorough and robust environmental scanning and consultation 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.
-  Work collaboratively with other scrutiny bodies to jointly assess risk and plan and deliver scrutiny that adds value, reduces the burden of inspection, and provides assurance about services delivered in partnership across Scotland.
-  Regularly review and refresh our Memorandums of Understanding with our scrutiny partners to set out our respective powers and responsibilities and our framework for collaborative working.
-  Continue to develop close working relationships with the other UK police inspectorates to identify areas of threat and risk and to scrutinise themes that cut across policing.
-  As a member of the UK's National Preventive Mechanism, conduct unannounced inspections of police custody centres across Scotland to monitor the treatment of, and conditions for, detainees.

To drive improvement and learning through highlighting good practice and making recommendations which are delivered and discharged, we will:

-  Publish information on delivery/action plans and progress and discharge of recommendations.
-  Promote and support strong internal assurance and innovation mechanisms in the bodies we scrutinise to develop organisational learning.
-  Encourage the SPA and Police Scotland to critically evaluate their own performance and capability through self-assessment to support continuous improvement and best value.

To continue to invest in our own continuous improvement to ensure we operate as a professional and highly efficient and effective organisation, we will:

-  Pursue ISO9001 accreditation, ensuring effective documented standards and quality assurance are in place to further strengthen the consistency of our scrutiny approach.
-  Implement an organisational improvement plan to ensure we have optimal governance, policies and processes in place making the best use of our resources.
-  Implement a workforce plan to ensure the highest professional and ethical standards are in place with a skilled cadre of staff which maintains its capacity and capability.
-  Develop a performance and impact framework to better assess our own impact and contribution towards improving policing.

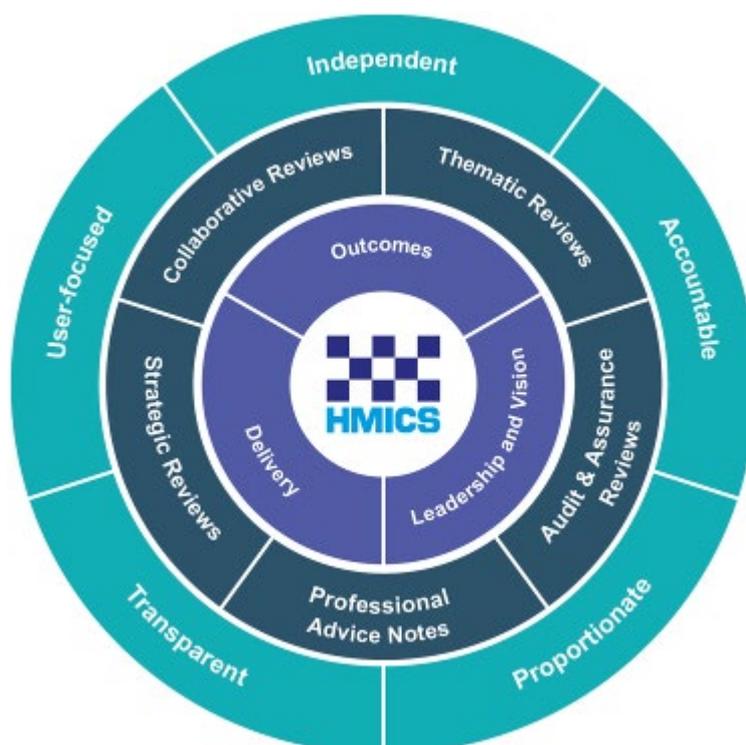


Our role and approach

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.

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. 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.

Our Inspection Framework has been developed using the EFQM² Excellence Model with an increasing focus on the management of change. The model has been adapted to provide a high level scrutiny framework suitable for the scrutiny of elements of policing or its governance. It forms the basis of all of our scrutiny activity and is sufficiently flexible to be adapted so that bespoke key lines of enquiry can be developed to reflect the purpose of the work to be undertaken. The framework supports HMICS by providing a structure within which we can ensure a consistent and professional approach to our work.



¹ Chapter 11, Police and Fire Reform (Scotland) Act 2012

² www.efqm.org



OUTCOMES

This theme focuses on the overall performance of the organisation or service in relation to its purpose, vision, strategy and perceptions of its stakeholders (both current and past). We look at success in delivering demonstrable, high-quality and improved outcomes for service users, communities and the public in general. Evidence for this could be obtained from a number of sources, including public surveys, focus groups, research, press or social media, external recognition or compliments/complaints.

We also look at how an organisation or service area's strategic priorities, aims and objectives have been achieved, including those that are locally or nationally determined. Evidence of demonstrable outcomes includes trends over time, target measures and other aggregated data which provide an indication of success in maintaining or improving the quality of the service provided, both overall and when benchmarked with similar services or organisations. These results should be effectively utilised by the organisation to monitor, understand and improve its overall performance and to forecast the impact this performance will have on both the perceptions of its stakeholders as well as its future strategic ambitions.



DELIVERY

This theme now encompasses much of our previous framework themes of planning and process, resources, people and partnerships. This theme considers how the organisation identifies and uses specific types and categories within each of its key stakeholder groups and uses its understanding of needs and expectations to achieve continued engagement, building sustainable relationships. It assesses the levels of involvement of stakeholders in deploying strategy and delivery and examines the contributions they make. It looks at whether these relationships are based on transparency, accountability, ethical behaviour and trust. Key stakeholders will include service users, officers and staff, governance bodies, partners and suppliers, business and wider society.

One of the key stakeholder groups considered in detail within the theme is that of **People** (previous framework theme) and how the organisation attracts, engages, develops and retains both officers and staff. Fundamental to this will be the process of workforce planning and its alignment to purpose, vision and strategy. HMICS has a particular interest in the welfare and wellbeing of officers and staff and will use the Mental Health at Work (MHAW) Commitment for the emergency services³ as a basis for assessing specific progress in relevant areas of inspection. The theme also considers the wider group of **Partners** (previous framework theme) and how relationships are built and maintained to ensure support for creating sustainable value. The concept of wider social wellbeing and the contribution made by the organisation is also included.

The theme now encompasses the concept of **creating sustainable value**. The organisation's clearly defined Purpose, enriched by the Strategy, defines for whom the organisation should be Creating Sustainable Value. In most cases, customers, segmented appropriately, are the target group for Creating Sustainable Value. The definition of and approach to 'customers' as service users is particularly important in a policing context and the theme will explore this in more detail.

The four steps of value creation are set out in the EFQM model as:

- Design the Value and How it is Created
- Communicate and Sell the Value
- Deliver the Value
- Define and implement the Overall Experience

³ The Royal Foundation of the Duke and Duchess of Cambridge – Blue Light Together – 25 November 2021



The step by step questions to consider when assessing Creating Sustainable Value are:

- How well have services been designed and implemented?
- How well are service users supported to engage with the services? How well is this communicated and targeted?
- How well aligned is the service to overall organisational/functional purpose/vision?
- How well does the service meet standards and expectations?
- Can the service measure its effectiveness at each stage of delivery?
- Does the service have the resources, competences and level of empowerment (trust and delegation) to deliver effectively?
- Does the service use feedback to learn and improve?

Sustainable value also includes expectations of environmental sustainability and associated strategy and delivery.

The theme examines driving performance and transformation, the first with a focus on successfully managing delivery of current business operations, and the second managing the constant internal and external change to the organisation that need to be addressed in parallel if it is to remain successful. In combining the assessment of these aspects, the theme maintains a focus on the necessity for the organisation to deliver for today while preparing for the future. Major elements considered in enabling performance and transformation are innovation and technology, the ever-increasing importance of data, information and knowledge, risk management and the focussed use of critical assets and resources.



LEADERSHIP AND VISION

This theme examines the purpose of the organisation, why its work is important and considers how it creates and delivers sustained value for its stakeholders. It assesses organisational vision and what it is attempting to achieve in the long-term, through the choices it has made for current and future courses of action. It also considers the fundamental purpose of the organisation in the context of its strategy and how it plans to achieve its strategic priorities and move closer to its vision.

This theme also looks at how well the organisation identifies and understands its stakeholders needs, understands the wider context within which it operates, its own capabilities, major challenges and opportunities. As with our previous framework, there is a strong focus on implementing effective governance and performance arrangements to support delivery of the purpose, vision and strategy.

This theme examines how well the service or organisation is led. It also considers organisational culture and values and how well leaders steer and nurture these. We will consider how leaders create the conditions for realising change, enable creativity and innovation, and ensure that the organisation unites behind, and engages in its purpose, vision and strategy.





Our approach to scrutiny

HMICS takes a flexible approach to inspection, audit and assurance and deploys a number of standard scrutiny interventions. Our approach is regularly reviewed to reflect feedback from our stakeholders and the needs of policing. Most recently our methodologies have been strengthened to reflect an increasing need to consider service user and staff views, examining services closer to the point of delivery, considering the human rights, equality, diversity and inclusion aspects of service delivery as well as the cultural dynamics of a sector handling almost constant change.

Reports

We will publish a 3 year Scrutiny Programme outlining our priorities and scrutiny activities for the fiscal years ahead. 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 maintain an up to date copy on our website.

Audit and Assurance Reviews

Our Audit and Assurance Reviews 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 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.

Thematic Inspections

We will continue to use Thematic Inspections to scrutinise crosscutting issues that benefit from a more holistic review or where we choose to inspect major operational or corporate areas. We will publish full reports for each of our Thematic Inspections, capturing innovation and effective practice and, where relevant, make recommendations that drive improvement.

Strategic Overviews

We will conduct these reviews in key areas where we believe the provision of a strategic overview of specific issues to give a high level assessment of services in terms of their current delivery against national policies and standards will provide helpful insights and information for the public. 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 as part of both established cyclical programmes (Children and Adults), and specific planned joint work where policing contributes to shared outcomes across the public sector in Scotland.



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 or assurance activity may follow.

Follow Up and Update Reports

We will undertake follow up work where we believe that further work will highlight progress or where improvement is still required. We will also produce update reports on previous inspection and assurance areas where we consider that recommendations have remained outstanding. This will complement our regular recommendations follow up processes.

National Preventive Mechanism

HMICS is a member of the United Kingdom's National Preventive Mechanism (NPM), which is a group of organisations designated under the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT).

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 NPM to carry out such visits or inspections 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. We work closely with the Independent Custody Visiting Scheme (ICVS) in Scotland, who visit all police custody locations on a regular basis. A Memorandum of Understanding covers the processes in place for sharing information.



Monitoring delivery and impact

Our Corporate Plan sets out our purpose, values, approach and key objectives for the next three years to build on over 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 strategic 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 plan regularly to ensure our objectives are supporting us to fulfil our purpose of improving policing across Scotland and report on progress in our Annual Report.

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

- Provide a reliable source of independent scrutiny and professional advice on which to base improvement planning in policing
- Improved public confidence and improved service provision in policing and its governance system
- Improved efficiency, quality and consistency of our work.

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 Plan and our Organisational Improvement Plan.



Our resources

Staff

Our team at 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. HMCIC is responsible for the strategic leadership of HMICS and accountable for our activities.

HMCIC is supported by an Assistant Inspector of Constabulary (AIC), usually a seconded Chief Superintendent, who is responsible for leading the delivery of the HMICS core objectives, managing daily operations and ensuring inspections are proportionate and evidence based. This also includes working with scrutiny partners on joint scrutiny programmes and identifying opportunities to work collaboratively with key stakeholders.

Our HMICS Lead Inspectors (4 permanent and 1 seconded Superintendent) are responsible for the planning, management and delivery of inspections and other scrutiny work, with input and support from the wider HMICS team.

Two Support Inspectors, usually seconded police Inspectors, work closely with Lead Inspectors and the Inspection Support Team to assist the delivery of the scrutiny programme.

Our Improvement and Scrutiny Programme Co-ordinator (ISPC) is responsible for the management of the Inspection Support Team, delivery of all inspectorate business including our own improvement and workforce plan, and identifying opportunities to work collaboratively with stakeholders and other scrutiny bodies.

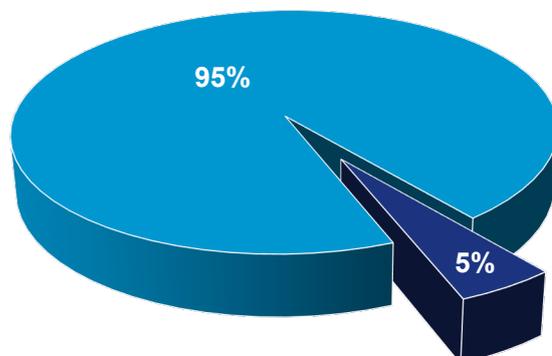
Our Inspection Support Team comprises an Inspection Support and Design Manager who works closely with our Lead Inspectors and the Improvement and Scrutiny Programme Co-ordinator in the delivery of our inspection programme; an Office Manager who is responsible for the day to day running of the office, and management of the Inspection Support Assistant. The Inspection Support Assistant provides administrative assistance to the team in respect of daily office activity and the delivery of inspections activity.

HMICS also 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 supplement the core team and provide additional capacity to carry out scrutiny activity.



Budget

Our budgets are awarded annually by the Scottish Government. The bulk of our budget is reserved for staff costs while outlays for fieldwork, travel and accommodation and general expenditure are met from our non-staff costs budget. The chart below shows the division between budget lines for staff and non-staff costs.



■ Non staff costs ■ Staff costs

A breakdown of our expenditure is included in HM Chief Inspector's Annual Reports, the last 3 of which are included in the Appendix to this Plan.

Facilities and equipment

HMICS has no estate of its own and is located within St. Andrews House in Edinburgh. Our staff, dispersed across Scotland, are currently working a hybrid pattern, splitting time between home and office, to take account of current guidelines in respect of social distancing.

HMICS uses corporate services provided by the Scottish Government, including access to ICT infrastructure and systems, human resource services and facilities management. HMICS therefore adopts many of the relevant corporate policies and procedures from Scottish Government, requiring a limited number of our own in-house policies. Our records management plan and document retention policy are customised to meet the business requirements of HMICS while continuing to reflect Scottish Government best practice.



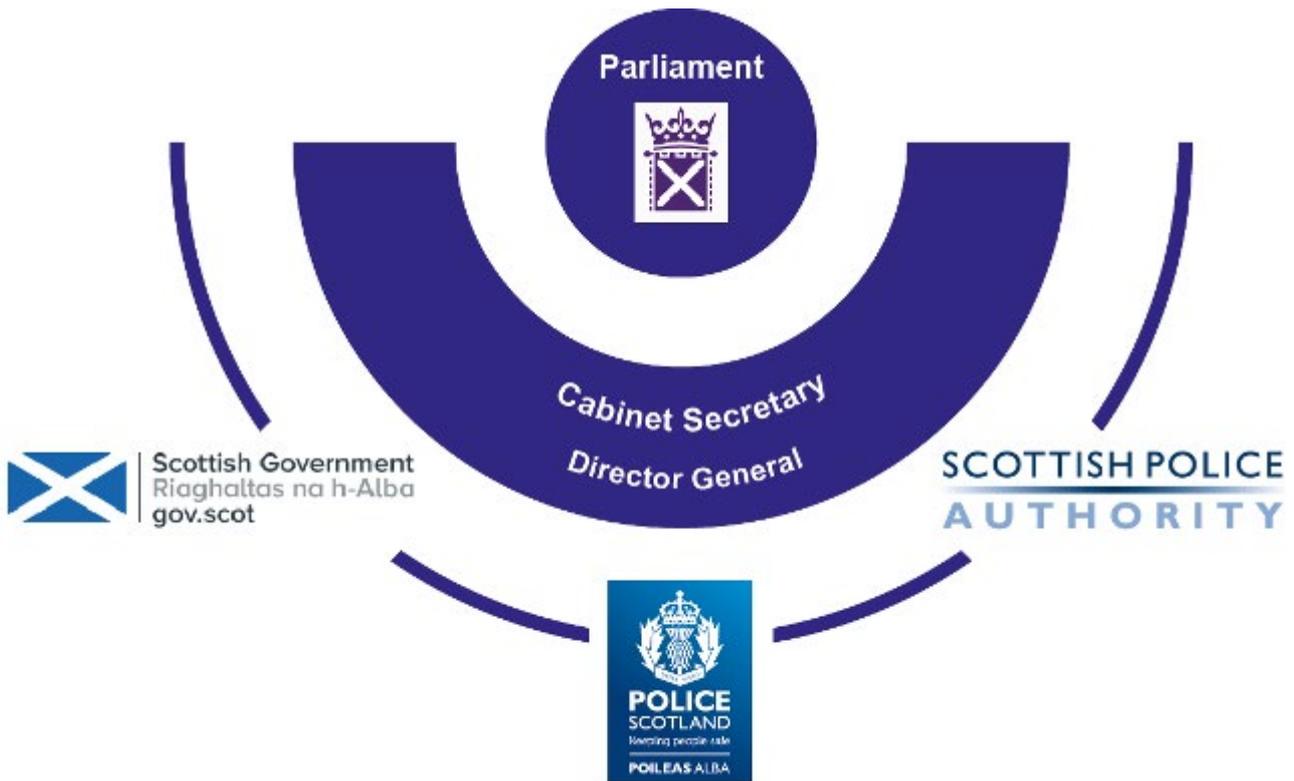
Governance

We expect high standards of governance from the bodies we inspect and therefore demand that we will exhibit those same high standards.

HMICS is a small independent body, classed as an 'other' Non-Departmental Public Body type organisation, and as such we follow the guidance for such bodies and have an established accountability framework with the Scottish Government.

As a body with limited resources, the majority of our corporate services are provided by Scottish Government and accordingly we are subject to their audit and assurance processes, with regular financial scrutiny. HM Chief Inspector is the Accountable Officer for HMICS.

As an independent body, led by an HM Chief Inspector, who is responsible for the exercise of all functions of HMICS, we have no Board, Committees or other oversight body. HM Chief Inspector is answerable to the Scottish Parliament for the exercise of his/her duties and also has regular meetings with the Cabinet Secretary for Justice and Veterans the Director General for Justice and Education.





Appendix – Our achievements 2017-2021

Our processes begin each year with scrutiny planning. At the planning stage, we consult with our stakeholders; among others, members of the public, police officers and local authorities, to identify areas of policing they wish included in our scrutiny plan for the coming year(s). All proposals are collated and considered for inclusion and we thereafter publish our Scrutiny Plan on our website www.HMICS.scot. In previous years, we have published the Plan annually however, this year we will publish a Plan covering proposed scrutiny activity over the next 3 years.

The Plans will be subject to review at regular intervals enabling us to make change(s) or deal with ad hoc or directed work. The reviewed Plans will thereafter be published on our website.

Our Plans for each of the scrutiny years from 2018-2021 can be found below.



Scrutiny Plan 2018-19



Scrutiny Plan 2019-20



Scrutiny Plan 2020-21

Our Scrutiny Reports

Our completed reports make recommendations for improvements based upon the key findings of the inspection teams and are published on our website. Our team works closely with those we inspect to agree improvement/action plans and the evidence needed to discharge the recommendations. This process is monitored and overseen by the [Scottish Police Authority Audit, Risk and Assurance Committee](#) which will, in the future, report on progress toward discharge of recommendations. Decisions to discharge recommendations however, remain with HM Chief Inspector of Constabulary in Scotland who will decide when sufficient evidence, and the impact of that evidence, has been received to consider closing recommendations.



The reports produced by our Inspectors for the years 2018 – 2021 can be found below.

2018



2019



2020



2021





Annual Reports

We have a statutory requirement to publish an Annual Report which summarises all of our inspection activity for the previous year, including those conducted jointly with other scrutiny bodies, highlighting areas for specific comment. It also reports Facts and Figures in respect of our staffing model and expenditure for the year as well as notification of awards and commendations conferred on police officers and staff.

Our Annual Reports for the years 2018-2021 can be found below.



Annual Report 2018-19



Annual Report 2019-20



Annual Report 2020-21



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.