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HM INSPECTORATE OF CONSTABULARY IN SCOTLAND

# **Thematic Review of Police Scotland's approach to the development and operational delivery of the Annual Police Plan (2018-19)**

June 2018

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# HM Inspectorate of Constabulary in Scotland

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HM Inspectorate for Constabulary in Scotland (HMICS) is established under the Police and Fire Reform (Scotland) Act 2012 and has wide ranging powers to look into the 'state, effectiveness and efficiency' of both the Police Service of Scotland (Police Scotland) and the Scottish Police Authority (SPA).<sup>1</sup>

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 enable us to carry out our functions.
- When we publish a report, the SPA and the Chief Constable must also consider what we have found and take such measures, if any, as they think fit.
- Where our report identifies that the SPA or Police Scotland is not efficient or effective (or best value not secured), or will, unless remedial measures are taken, cease to be efficient or effective, Scottish Ministers may direct the SPA to take such measures as may be required. The SPA must comply with any direction given.
- Where we make recommendations, we will follow them up and report publicly on progress.
- We will identify good practice that can be applied across Scotland.
- We work with other inspectorates and agencies across the public sector and co-ordinate our activities to reduce the burden of inspection and avoid unnecessary duplication.
- We aim to add value and strengthen public confidence in Scottish policing and will do this through independent scrutiny and objective, evidence-led reporting about what we find.

Our approach is to support Police Scotland and the SPA to deliver services that are high quality, continually improving, effective and responsive to local needs.<sup>2</sup>

**This thematic review will be undertaken by HMICS under section 74(2)(a) of the Police and Fire Reform (Scotland) Act 2012 and will be laid before the Scottish Parliament under section 79(3) of the Act.**

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<sup>1</sup> Chapter 11, Police and Fire Reform (Scotland) Act 2012.

<sup>2</sup> HMICS, [Corporate Strategy 2017-20](#) (2017).

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## Introduction

1. In our Scrutiny Plan 2018-19,<sup>3</sup> HMICS set out our intention to undertake a thematic review of Police Scotland's approach to establishing its annual policing priorities, the operational delivery of the annual police plan and its alignment to the strategic police plan; *'Policing 2026 - Serving a Changing Scotland.'*<sup>4</sup>
2. Section 35 of the Police and Fire Reform (Scotland) Act 2012 (the Act) states that the Chief Constable must prepare an annual police plan which sets out the proposed arrangements for the policing of Scotland for each yearly period beginning on 1 April.
3. The Police Scotland annual police plan for 2018-19<sup>5</sup> sets out the policing priorities for the year ahead (see table 1) and the approach taken, in partnership, to deliver them.

Table 1 Police Scotland's national policing priorities for 2018-19

violence, disorder and antisocial behaviour
serious organised crime
counter terrorism and domestic extremism
protecting people at risk of harm
road safety and road crime
acquisitive crime

## Aim

4. The aim of this thematic review is to examine:
  - i. how effective the arrangements are for establishing the national policing priorities as outlined in the annual police plan 2018-19
  - ii. how effective the arrangements are, nationally and locally, for the operational delivery of the annual police plan 2018-19, including comment on the contribution the plan has towards improving the safety and wellbeing of people, places and communities in Scotland
  - iii. how effective the alignment of the annual police plan is with the strategic police plan; *'Policing 2026 - Serving a Changing Scotland.'*
5. This thematic review will be undertaken by HMICS in terms of the section 74(2)(a) of the Police and Fire Reform (Scotland) Act 2012 and will be laid before the Scottish Parliament in terms of section 79(3) of the Act.

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<sup>3</sup> HMICS Annual Scrutiny Plan <https://www.hmics.scot/sites/default/files/publications/HMICS20180418PUB.pdf>

<sup>4</sup> Policing 2026 is a collaborative and strategic programme of work established in 2016 by the Scottish Police Authority and Police Scotland to establish a strategy for policing in Scotland.

<sup>5</sup> Police Scotland, Annual Police Plan 2018-19.

## Background

6. The purpose of Police Scotland is to improve the safety and wellbeing of people, places and communities in Scotland and the Police and Fire Reform (Scotland) Act 2012 outlines the process for development of the strategic police priorities.
7. Sections 33-35 of the Act sets out the relationships in the strategic priority setting process and requires Scottish Ministers to determine strategic police priorities for the Scottish Police Authority (SPA) which then inform the SPAs duty under section 34 of the Act to prepare a strategic police plan.
8. Section 17 (4) of the Act sets out that the Chief Constable must seek to ensure that the policing of Scotland is done in accordance with the strategic police priorities, the strategic police plan, and the relevant annual police plan. When preparing such an annual police plan, the Chief Constable must set out the proposed arrangements for the policing of Scotland during that year. Since April 2013 Police Scotland has produced annual police plans which have been published and laid before the Scottish Parliament.<sup>6</sup>
9. The annual police plan for 2018-19 outlines the national policing priorities (table 1) and provides a commitment to each priority including a range of activities aligned to the strategic areas of focus in the strategic police plan, 'Policing 2026 - Serving a Changing Scotland' (table 2).

Table 2 Strategic focus outlined in Policing 2026

**Protection** - based on threat, risk and harm

**Prevention** - tackling crime, inequality and enduring problems facing communities

**Communities** - focus on localism, diversity and the virtual world

**Knowledge** - informing the development of better services

**Innovation** - dynamic, adaptable and sustainable

10. Each policing priority and commitments will be subject of a performance measurement process and the SPA has a statutory duty to prepare an annual report after the end of each reporting year.<sup>7</sup> This report known as the 'Annual Review of Policing', must include an assessment of performance in implementing the arrangements in the annual police plan.

## Scope

11. Section 47 of the Act provides the statutory basis for the preparation of local policing plans and specifies how plans must be developed in conjunction with the relevant local authority. Local policing plans are aligned with partnership local outcome improvement plans and are subject to local scrutiny and governance.
12. There are 13 local policing divisions across Scotland, each led by a local police commander of chief superintendent rank, who has a defined statutory role to ensure that local policing in each area is responsive, accountable and tailored to meet local needs. Police Scotland has local planning arrangements that align with the 32 local authorities in Scotland. As part of the scope of this thematic review, we will examine how effective the arrangements are, nationally and locally, for the operational delivery of the annual police plan and the alignment of the national policing priorities with local policing plans.

<sup>6</sup> In 2014, responsibility for production of the annual police plan migrated from the Analysis and Performance Unit (APU) to the Strategic Planning and Development (SPD) function.

<sup>7</sup> Section 39 of the Act.

## Methodology

13. We will use the HMICS Inspection Framework<sup>8</sup> in conducting our review. This provides a structure that is risk-based, proportionate and focused on improving policing in Scotland. Our findings and any recommendations for improvement will be founded on evidence and organised around six themes:
  - Outcomes
  - Leadership and governance
  - Planning and process
  - People
  - Resources
  - Partnerships
14. The specific elements we will examine against each of these themes is highlighted in the Inspection Framework at Appendix 1. We will deliver our review over four stages with distinct themes, some of which will be undertaken concurrently.

### Stage One - Initial scoping, design and planning (June 2018)

15. This stage involves the development of our inspection framework and the design of review tools and scrutiny processes for the collection and assessment of evidence by the review team. Police Scotland will be asked to provide a single point of contact for the thematic review to support the process and to facilitate appropriate access to people and information.
16. To examine every aspect of strategic planning and priority setting including operational delivery across all local policing divisions and national specialist divisions<sup>9</sup> would require significant time and resource. To ensure that our approach is risk based, proportionate and to minimise the overall burden of the scrutiny activity this initial stage will include desktop research, relevant academic research and an analysis of Police Scotland's strategies, policies, plans, operating procedures and guidance documentation that support operational delivery. This approach will refine the scope of our review, identify key lines of enquiry including areas of potential good practice, risk and concern.
17. Our key lines of enquiry will also be informed by the submission of a Position Statement undertaken in advance of our fieldwork by Police Scotland.

### Stage Two - Fieldwork (estimated July - August 2018)

18. This stage will incorporate the fieldwork element of our inspection and will include a review of:
  - development process and planned approach to operational delivery of the plan
  - national and local strategic threat assessments used to inform policing priorities
  - analytical products used in support of operational delivery
  - performance and management information used to evaluate progress towards delivery of the national priorities
  - internal governance arrangements including tasking and development meetings.

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<sup>8</sup> HMICS - <https://www.hmics.scot/publications/hmics-inspection-framework>

<sup>9</sup> National Divisions comprise: Specialist Crime Division; Contact, Command and Control Division; Criminal Justice Services Division; Operational Support Division and Corporate Support Services.



19. During our fieldwork we shall conduct interviews and focus groups with a range of police officers, police staff, elected officials and partners. In accordance with our duty of user focus, we will actively engage with a range of stakeholders and gather their views throughout the review process. Key stakeholders include:

- Police Scotland
- Scottish Police Authority
- Scottish Government
- Staff Associations and unions
- Local Authorities
- Other law enforcement and criminal justice partners.

**Stage Three - Review and analysis of evidence** *(estimated August 2018)*

20. During this stage, HMICS will review and assess the information and evidence collected during our fieldwork stage. Where appropriate, we will identify areas for further examination and analysis, which may require additional fieldwork activity and a change to our reporting timescales.

**Stage Four - Reporting, quality assurance and publication** *(estimated Autumn 2018)*

21. Following conclusion of our fieldwork and analysis, we will prepare a report in line with HMICS reporting guidelines. The report will outline our methodology and approach, our findings and any recommendations for improvement. Where we identify good practice, this will also be highlighted in our report. Quality assurance will be provided through internal review and factual accuracy checking by relevant stakeholders who have contributed to the evidence base of our report.

22. Our report will be laid before the Scottish Parliament under section 79(3) of the Police and Fire Reform (Scotland) Act 2012. Copies of the report will be provided to the Scottish Police Authority, the Chief Constable and the Cabinet Secretary for Justice. Our report will also be made publicly available on the HMICS website.

23. For further information about this thematic review, please contact Tina Yule, Lead Inspector, HMICS ([Christina.Yule@gov.scot](mailto:Christina.Yule@gov.scot)).

**Gill Imery QPM**

HM Chief Inspector of Constabulary in Scotland  
June 2018

## Appendix 1 – HMICS Framework - Thematic review of Police Scotland’s approach to the Annual Police Plan 2018-19

Outcomes	Leadership and Governance	Planning and process	People	Resources	Partnerships
<b>1.1</b> Adherence to and compliance with statutory functions <sup>10</sup> and the national intelligence model principles. <sup>11</sup>	<b>2.1</b> Strategic leadership, planning and direction.	<b>3.1</b> Strategic assessments (national and local) to identify the longer-term issues in an area, as well as the scope of, and projections for growth in criminality.	<b>4.1</b> <i>People Assets</i> A professional people structure with trained and suitably skilled staff to carry out key roles and functions.	<b>5.1</b> <i>Knowledge Assets</i> Access to legislation, policy, codes of practice, standard operating procedures and Authorised Professional Practice.	<b>6.1</b> Partnership and stakeholder engagement.
<b>1.2</b> Interface between the annual police plan priorities and local policing priorities.	<b>2.2</b> Scrutiny and oversight of delivery of the annual police plan.	<b>3.2</b> Tactical assessments used to identify the shorter-term issues in an area.	<b>4.2</b> Staff, motivation, wellbeing, satisfaction and contribution.	<b>5.2</b> <i>System Assets</i> Information systems and data management processes to support knowledge-based policing.	<b>6.2</b> Collaborative and coordinated working.
<b>1.3</b> Alignment between the annual police plan priorities and the strategic plan.	<b>2.3</b> Management ownership of the key intelligence products (3.1 – 3.4).	<b>3.3</b> Subject profiles used to provide specific information to initiate an operation or support an ongoing operation against an individual or networked group of individuals.		<b>5.3</b> Effective communication with officers and staff through briefing and debriefing arrangements.	<b>6.3</b> Community engagement to identify and address policing priorities.
<b>1.4</b> Monitoring and review of performance against commitments outlined in the annual police plan.	<b>2.4</b> Prioritised, auditable and defensible resourcing decisions.	<b>3.4</b> Problem profiles used to identify established and emerging crime or incident series.		<b>5.4.</b> Organisational structures and processes to support delivery of the annual police plan.	<b>6.4</b> Information exchange protocols.
<b>1.5</b> Organisational learning and development.		<b>3.5</b> Research development and analysis of threat, risk and harm.		<b>5.5</b> Analytical capacity, capability, structures, techniques and products to support delivery of the annual police plan.	
		<b>3.6</b> Strategic and tactical tasking co-ordination arrangements.		<b>5.6</b> Role of specialist divisions and departments to support delivery of the annual police plan.	
				<b>5.7</b> Financial planning to support delivery of the annual police plan.	

<sup>10</sup> Police and Fire Reform (Scotland) Act 2012. Community Empowerment (Scotland) Act 2015.

<sup>11</sup> The National Intelligence Model is described at: *Code of Practice: National Intelligence Model*, Home Office, National Centre for Policing Excellence and Centrex, 2005, <http://library.college.police.uk/docs/npia/NIM-Code-of-Practice.pdf>; and *National Intelligence Model – Framework Overview Version 1.0*, College of Policing, March 2013, [www.acpo.police.uk/documents/crime/2013/201307-cba-nim-framework-v1.pdf](http://www.acpo.police.uk/documents/crime/2013/201307-cba-nim-framework-v1.pdf)



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### **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.

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