

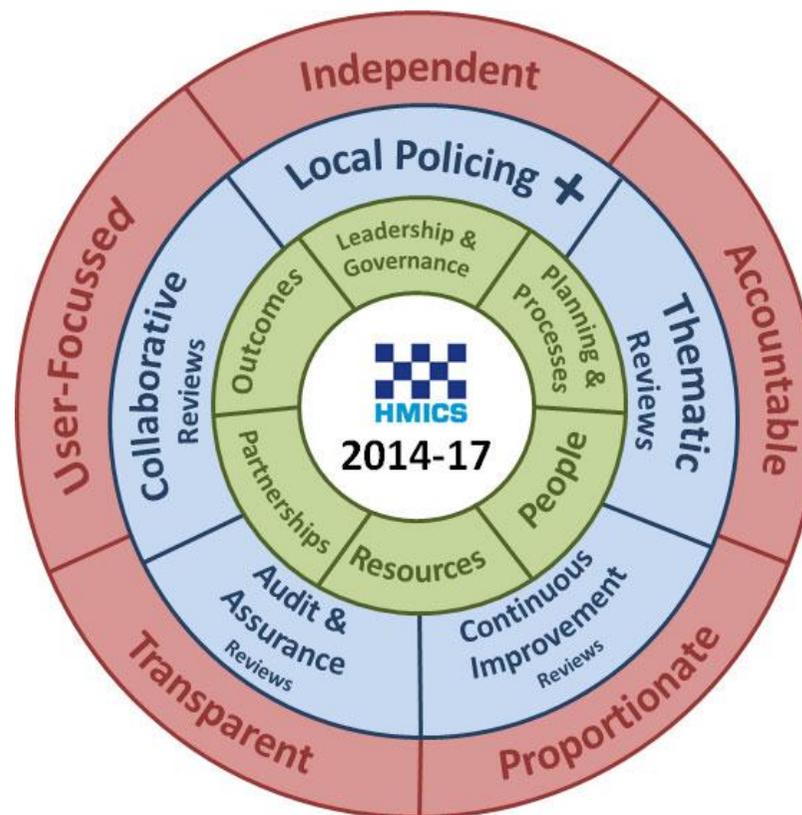


HM Inspectorate of Constabulary  
in Scotland

# ANNUAL SCRUTINY PLAN 2014-15

## Improving Policing across Scotland

This Plan is published in terms of Section 75 of the  
*Police and Fire Reform (Scotland) Act 2012*



## INTRODUCTION

Our *Annual Scrutiny Plan for 2014-15* sets out how HM Inspectorate of Constabulary in Scotland (HMICS) will meet its statutory purpose to inquire into the state, efficiency and effectiveness of both the Police Service of Scotland, ("Police Scotland") and the Scottish Police Authority.

This Plan is published in terms of Section 75 of the *Police and Fire Reform (Scotland) Act 2012* and sets out our priorities for inquiries over the next twelve months. It demonstrates how we will carry these out in a way that is proportionate, accountable and transparent.

We will keep this Plan under review and may from time to time revise it. In preparing our plan, we have consulted with a range of persons interested in policing and we will consult further prior to making any revisions. We will publish this Plan and any revised plan on our website and will make it directly accessible to those we consider are likely to have an interest in it.

Unprecedented changes in policing and the creation of a single Scottish police service in April 2013 has led HMICS to fundamentally review how we do our business. Our *Corporate Strategy 2014-17*, shows how we will meet our obligations in this new policing landscape and improve policing across Scotland.

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

We will have a strong emphasis on local policing through our new *Local Policing+* programme. This provides a consistent means of assessing the quality of local policing, local scrutiny and engagement across Scotland. It will allow us to report publicly on how Police Scotland and the Authority are delivering against local priorities and keeping people safe.

We will continue to use *Thematic Reviews* to examine cross-cutting issues or provide opportunities to work with others to examine new issues and provide evidence for future policy development. Our Plan also includes

*Collaborative Reviews* and shows how we will inspect jointly with other inspectorates in areas where Police Scotland or the Authority work in partnership with other agencies and contribute to shared outcomes.

We will introduce a new programme of *Continuous Improvement Reviews*, working closely with both Police Scotland and the Authority to report on how effectively they meet their obligations to deliver best value and continuous improvement. This will focus on key themes of leadership and governance and examine the delivery of the Police Scotland Corporate Strategy. In addition to this we will carry out *Audit and Assurance Reviews* to scrutinise in more detail, areas where there is a need to ensure accurate and ethical recording or provide targeted assurance over key processes in high risk areas. This will include detailed scrutiny of the recording of Stop and Search procedures and ethical crime recording.

Our approach to scrutiny is supported by the introduction of a new Scrutiny Framework. This provides structure to our activities and the means to transparently, consistently and objectively assess policing in Scotland. We will work with others to ensure our Framework reflects best practice and has the potential to develop into a wider self-assessment tool.

HMICS will publish reports in respect of our individual scrutiny activities and will publish our *Annual Report* in June of each year. This will summarise our activity and we will take the opportunity in our Annual Report to comment on the overall state, efficiency and effectiveness of policing in Scotland and on the performance of Police Scotland and the Authority. Our scrutiny reports and Annual Report will be laid before the Scottish Parliament.

**Derek Penman**

HM Inspector of Constabulary in Scotland



## OUR PURPOSE

HM Inspectorate of 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 Police Scotland and the Scottish Police Authority, including Forensic Services<sup>iii</sup>. We also have a statutory duty to ensure that the Chief Constable and the Authority meet their obligations in terms of best value and continuous improvement<sup>iv</sup>. If necessary, we can be directed by Scottish Ministers to look into anything relating to the Authority or Police Scotland as they consider appropriate<sup>v</sup>. We also have an established role 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<sup>vi</sup>. The Authority and the Chief Constable must provide us with such assistance and co-operation as we may require to carry out our functions<sup>vii</sup> and must comply with any reasonable request that we make. When we publish a report, the Authority and the Chief Constable must consider what we have found and take such measures, if any, as they think fit.<sup>viii</sup> Where we make recommendations, we will follow them up and report publicly on progress.

We work with other inspectorates and agencies across the public sector to share specific expertise or jointly examine areas where Police Scotland works in partnership with other agencies and contributes to shared outcomes. We 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 through independent scrutiny and objective evidence-led reporting about what we find. Where relevant, we will make recommendations to Police Scotland and the Authority to improve policing. We will also identify good practice that can be rolled out across Scotland.

## OUR VALUES

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

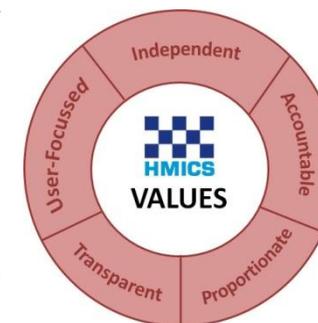
**Independent** - We will always act independently and publish impartial and objective reports. Our professional advice will be informed and unbiased. HM Inspector of Constabulary in Scotland is appointed under Royal Warrant and is independent of Scottish Government, Police Scotland and the Scottish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

**Accountable** - We will be accountable for what we do and will justify our actions and reports by evidence. We will publish our statutory reports<sup>ix</sup> 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 Focussed** - 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 APPROACH TO SCRUTINY

Our annual **Scrutiny Plan** outlines our priorities and scrutiny activities for the 2014-15 fiscal year. This Plan has been developed through consultation with our stakeholders and is informed by an objective assessment of policing performance and risk.

We will keep the Plan under continual review and make such changes as we determine necessary to respond to risk and discharge our statutory purpose.

HMICS will not undertake any planned scrutiny activity of Police Scotland during July and August 2014. This will avoid any unnecessary scrutiny burden during the period of the Glasgow Commonwealth Games 2014.

Our scrutiny activities follow a new approach, which takes account of the Crerar<sup>x</sup> review, Christie<sup>xi</sup> report and supports production of the National Scrutiny Plan<sup>xii</sup>.



## Local Policing+

The three objectives for Police Reform<sup>xiii</sup> 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*. As a consequence, HMICS has developed a new approach to scrutiny and will introduce a rolling programme of Divisional policing inspections entitled *Local Policing+*.

This will provide a consistent means of assessing the quality of local policing across Scotland and enable us to report publicly on how Police Scotland is delivering against local priorities and keeping people safe. We will be interested in the effectiveness of local scrutiny and engagement as well as the contribution policing makes to the well-being of communities. This will include an assessment of Partnership, Prevention, Performance and People in support of the wider Scottish Public Service Reform<sup>xiv</sup> characteristics. We will capture innovation and good practice and where relevant, we will make recommendations that drive improvement.

Through our local inspections, we will review the effectiveness and efficiency of both national and regional structures and the provision of specialist policing across Scotland. Our *Local Policing+* programme will allow sufficient flexibility to respond to new and emerging issues that arise and would benefit from our scrutiny. These issues will be identified through stakeholder engagement and our scrutiny risk assessment in advance of each inspection. In addition to publishing full reports for each of our local policing inspections, we will also publish short summary reports to inform local communities of how well their local police Division is performing.

We will conduct a *Local Policing+* Pilot inspection in Fife Division during May and June 2014. This will allow us to test our methodology and refine scrutiny processes before embarking upon our formal *Local Policing+* Programme in October 2014. Each formal *Local Policing+* inspection will take approximately 3 months and include time for research, stakeholder engagement, fieldwork, objective assessment and reporting. We will take a risk-based approach to the selection and timing of those Divisions to be inspected and will announce our selection three months in advance of our



proposed scrutiny activity. We will undertake two formal *Local Policing+* inspections during 2014-15.

## Thematic Reviews

We will 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 reports for each of our *Thematic Reviews*. We will capture innovation and good practice and, where relevant, we will make recommendations that aim to drive improvement.

We will publish reports for the following Thematic Reviews that have been ongoing during 2014:

- **CONTEST Prepare** – (*Publication Date May 2014*) – The aim of the CONTEST Strategy is to reduce the risk to the UK and its interests overseas from terrorism<sup>xv</sup>. In recognition of the new single Police Service and proximity to the Commonwealth Games 2014, a reassessment of CONTEST Prepare has been undertaken by HMICS. The review considers how well Police Scotland is prepared to respond to and recover from a terrorist attack. It will also include a reassessment of all outstanding recommendations from previous HMICS inspections of CONTEST.
- **Roads Policing** – (*Publication Date June 2014*) – This review will assess the state, effectiveness and efficiency of road policing arrangements in Scotland. HMICS has never previously conducted an inspection of road policing in Scotland and it is almost 16 years since the last major inspection of road policing in the UK<sup>xvi</sup>. This review provides a timely opportunity to examine Police Scotland and objectively assess how well the new national structures and functions needed to deliver road policing have been implemented. We will consider what impact this major change has had in terms of maintaining performance and delivering outcomes for communities.

- **Custody & Care of Prisoners** – (*Publication Date July 2014*) – This review fulfils HMICS obligation in terms of the Optional Protocol to the Convention against Torture / National Preventative Mechanisms (OPCAT/NPM)<sup>xvii</sup> and follows on from three previous inspections. The review examines the strategy, leadership and governance of the new single national custody division as well as outcomes for detainees in terms of their treatment and conditions, individual rights and healthcare provision. The review includes unannounced inspection of a sample of custody facilities across Scotland.

In addition to this, we will undertake a comprehensive Thematic Review of:

- **Forensic Services** – (*January to March 2015*) - This review will scrutinise how the Scottish Police Authority is meeting its statutory obligations under *Section 31 of the Police and Fire Reform (Scotland) Act 2012* by providing forensic services to the Police Service, the Police Investigations and Review Commissioner and the Lord Advocate and Procurators Fiscal. HMICS will engage with the agencies who receive forensic services.

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.

## Continuous Improvement Reviews

We will introduce a new programme of *Continuous Improvement Reviews*, working closely with both Police Scotland and the Authority to report on how they are meeting their obligations to secure best value and continuous improvement<sup>xviii</sup>. We will focus on:

- **Leadership & Governance** – (*April to September 2014*) – This will involve HMICS working with both members and officers of the Scottish Police Authority to assess leadership and governance. We will independently assess how Police Scotland and the Authority are delivering against the *Strategic Police Priorities*<sup>xix</sup> set



by Scottish Ministers, the *Strategic Police Plan*<sup>xx</sup> and *Annual Policing Plan*<sup>xxi</sup>.

- **Police Scotland Corporate Strategy** – (July 2014 to March 2015)  
- We will monitor delivery by Police Scotland and the Authority against the *Police Scotland Corporate Strategy*<sup>xxii</sup> and associated delivery plans. We will assess and comment on the effectiveness of governance in key areas of Finance, People, Technology and Organisational Support.

In undertaking these reviews, we will engage with Audit Scotland to ensure we can discharge our respective statutory functions and reduce the scrutiny burden on Police Scotland and the Authority.

We will publish summary reports for each of our Continuous Improvement Reviews highlighting the activity that was undertaken and our commentary. These Reviews will inform our wider assessment of how well Police Scotland and the Authority have met their obligations to secure best value and continuous improvement. We will also publish a summary of our findings in our Annual Report.

## 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.

Our planned Audit and Assurance Reviews are:

- **HMICS Legacy Recommendations** – (June 2014) – Prior to 31 April 2013, HMICS inspected a number of legacy police organisations and had made a series of recommendations to drive improvement. Some recommendations remain outstanding and have been carried forward by Police Scotland. This review will

examine all outstanding legacy recommendations within the context of a single police force and consolidate these into a suite of refreshed recommendations which are both relevant and specific to Police Scotland. This will ensure that improvement identified from legacy HMICS inspections will be captured and taken forward.

- **Stop & Search** – (June to October 2014) - This inspection will follow on from the Scottish Police Authority scrutiny of stop and search. It will focus on the end to end process for recording stop and search and the associated procedures to govern, monitor and audit stop and search. We will also investigate the impact of the performance framework and targets in relation to stop and search.
- **Crime Recording** – (October to December 2014) – HMICS will test the accuracy of incident and crime recording in Scotland. The results will provide the public and key stakeholders with greater information on which to base their assessment of the validity of crime statistics. It may also highlight areas for improvement and/or increased internal audit and scrutiny.

We will publish concise reports for each of our Audit & Assurance Reviews, highlighting our findings and any recommendations. These Reviews will also inform our wider assessment of how well Police Scotland and the Authority have met their obligations to secure best value and continuous improvement, which we will publish in our Annual Report.

## Collaborative Reviews

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

Our planned Collaborative Reviews include:

- **Community Planning** – (Full Year Programme) – HMICS contributes to the on-going national programme of Community



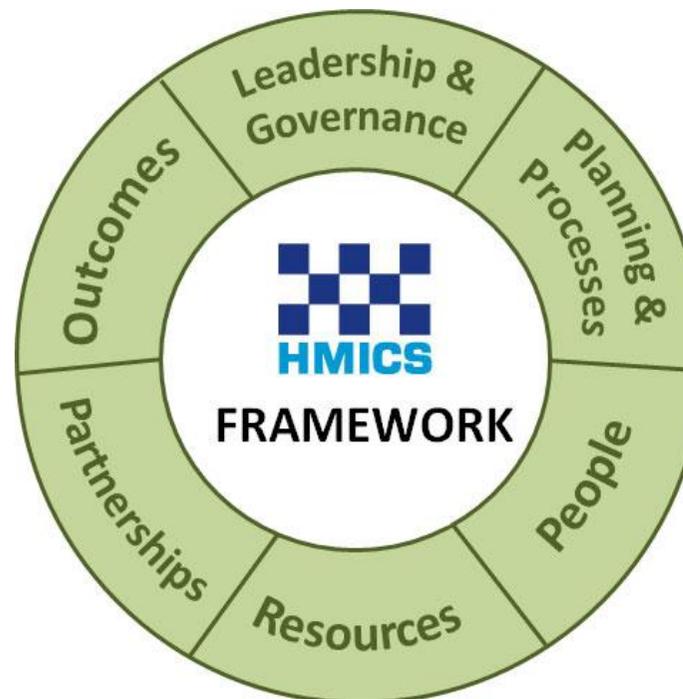
Planning audits led by Audit Scotland. The latter has recently published its initial CPP audits in Aberdeen City, Scottish Borders and North Ayrshire. HMICS is liaising with Audit Scotland on the second tranche of CPP audits in: Glasgow City, Moray, Falkirk, West Lothian and Orkney. The findings of these audits will be published by Audit Scotland over the coming year.

- **Childrens' Services** – (*Full Year Programme*) – Under section 115 of the *Public Services Reform (Scotland) Act 2010*, the Care Inspectorate lead joint inspections of services for children and young people across Scotland. The inspections look at the difference services are making to the lives of children, young people and families. They take account of the full range of work within a community planning partnership area including services provided by health visitors, school nurses, teachers, doctors, social workers and police officers. HMICS participate in these joint inspections and second two staff on a full-time basis. Reports are published by the Care Inspectorate.
- **Adult Services** – (*Provisional Dates October 2014 to March 2015*) – The Care Inspectorate and Healthcare Improvement Scotland are developing a model for the joint inspection of care and health for adults beginning with older people. HMICS is working with the Care Inspectorate Strategic Adult Services to develop the model for inspection ensuring that added value is provided by HMICS in terms of policing.
- **Multi Agency Public Protection Arrangements (MAPPA)** – (*Provisional Dates January to March 2015*) – The Care Inspectorate on behalf of the MAPPA Programme Board are preparing draft terms of reference for MAPPA inspection. HMICS is leading a Working Group to design the inspection methodology and our Scrutiny Plan will be updated once the inspection programme is finalised.

Our HMICS Scrutiny Plan for 2014-15 is summarised on Page 9.

## OUR FRAMEWORK

Our approach to inspection is supported by the introduction of a new Scrutiny Framework, which provides structure to our activities and the means to transparently, consistently and objectively assess policing in Scotland.



Our Framework has been developed using the principles outlined in the Public Sector Improvement Framework self-evaluation model used in many public sector settings. It has been adapted to provide a scrutiny framework model to assist specifically in the inspection of elements of policing or the Authority. It will form the basis of any inspection but provides sufficient flexibility to be adapted so that the key themes and sub-elements reflect the purpose of the inspection to be undertaken. The



framework will support us 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. We will also consider fulfilment of statutory duties.

### **Leadership and Governance**

We will assess the leadership of Police Scotland and the Authority and the governance, accountability and scrutiny arrangements that have been put in place to ensure that the service is delivering its overall vision of keeping people safe and meeting national, regional and local priorities.

### **Planning and Process**

We will examine the effectiveness of strategy and planning processes in ensuring services are inclusive and focussed on user needs. As well as strategies, plans and policies, we will also examine the work of the organisation or service in relation to its key functions, in particular the delivery and development of the services it provides, by itself or 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**

We will consider whether the organisations or service area manage resources in the most efficient, effective and sustainable way, including corporate, 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. A key element of resourcing is the consideration of best value.

### **Partnerships**

We will look at 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.

We will work with others to ensure our Framework reflects best practice and has the potential to develop into a wider self-assessment tool.

## **ASSESSING OUR IMPACT**

We will develop approaches to better assess the impact of our work and measure how we have contributed towards positive outcomes for communities across Scotland. We will seek to demonstrate how our annual scrutiny activities have improved the state, effectiveness and efficiency of both Police Scotland and the Authority and how we have supported them to deliver services that are high quality, continually improving, effective and responsive to local needs.

## **OUR REPORTS**

We will publish a number of reports each year, which will be laid before Parliament in accordance with our statutory obligations. We will provide the bodies we scrutinise with copies of our reports and publish them on our website. Where we are directed by Scottish Ministers, we will report to them and they will present these reports to the Scottish Parliament.

We will typically produce reports from our individual scrutiny activities through Local Policing+, Thematic Reviews, Continuous Improvement Reviews and Audit and Assurance Reviews. These will be published throughout the year in accordance with our Scrutiny Plan. The publication



of any reports from Collaborative Inspections will ordinarily be undertaken by the lead inspection body responsible.

We will produce an Annual Report at the end of the fiscal year and provide information summarising our activities. This will include an assessment of our impact and how our activities contributed towards positive outcomes. We will also comment on the overall state, effectiveness and efficiency of policing in Scotland and on the performance of Police Scotland and the Authority. We will aim to publish our annual report in June of each year.

### **OUR COMPLAINTS PROCESS**

Our complaints handling procedure reflects our values and commitment to deliver a transparent inspectorate. It seeks to resolve complainer dissatisfaction as quickly as possible and to conduct thorough, impartial and fair investigations of complaints. Our Complaints Handling Procedure is published on our website.

*Our complaints handling procedure does not extend to individual complaints about any police body, which should instead be addressed to the Police Investigations and Review Commissioner.<sup>xxiii</sup>*



# HMICS Scrutiny Plan 2014-15

This Plan is published in terms of Section 75 of the *Police and Fire Reform (Scotland) Act 2012* and sets out our priorities for inquiries to be carried out for the next twelve months. We will keep our Plan under review and may from time to time revise it. We will publish our Plan and any revised plan on our website and will make it accessible to those we consider are likely to have an interest in it.

	Apr	May	Jun	Jul*	Aug*	Sep	Oct	Nov	Dec	Jan	Feb	Mar
<b>Local Policing +</b>												
Local Policing+ Pilot												
Local Policing+ Review 1												
Local Policing+ Review 2												
<b>Thematic Reviews</b>												
CONTEST Prepare												
Roads Policing												
Custody & Care of Prisoners												
Forensic Services												
<b>Continuous Improvement Reviews</b>												
SPA Leadership & Governance												
Police Scotland Corporate Strategy												
<b>Audit &amp; Assurance Reviews</b>												
HMICS Legacy Recommendations												
Stop & Search												
Crime Recording												
<b>Collaborative Reviews</b>												
Community Planning (Led by Audit Scotland)												
Childrens' Services (Led by Care Inspectorate)												
Adult Services (Led by Care Inspectorate)												
MAPPA (Led by Care Inspectorate)												

## Notes

\*HMICS will not undertake any planned operational scrutiny of Police Scotland during July and August 2014 to avoid unnecessary burden during Glasgow Commonwealth Games 2014.



## Document References

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- i [www.hmics.org](http://www.hmics.org)
- ii <http://www.scotland.gov.uk/About/Performance/scotPerforms/outcome/pubServ>
- iii Police and Fire Reform (Scotland) Act 2012, Section 74(2)(a)
- iv Police and Fire Reform (Scotland) Act 2012, Section 74(2)(b)
- v Police and Fire Reform (Scotland) Act 2012, Section 74(1)
- vi Police and Fire Reform (Scotland) Act 2012, Section 76(1)
- vii Police and Fire Reform (Scotland) Act 2012, Section 77
- viii Police and Fire Reform (Scotland) Act 2012, Section 80
- ix Police and Fire Reform (Scotland) Act 2012, Section 79
- x <http://www.scotland.gov.uk/Resource/Doc/198627/0053093.pdf>
- xi <http://www.scotland.gov.uk/Resource/Doc/352649/0118638.pdf>
- xii <http://www.audit-scotland.gov.uk/work/scrutiny/schedule.php>
- xiii Police and Fire Reform Scotland Bill Policy Memorandum, Paragraph 3.
- xiv Police and Fire Reform (Scotland) Act 2012, Section 74(2)(b)
- xv <https://www.gov.uk/government/publications/counter-terrorism-strategy-contest>
- xvi HMIC Thematic inspection of Roads Policing and Traffic 1998
- xvii <http://www.justice.gov.uk/about/hmi-prisons/preventive-mechanism>
- xviii Police and Fire Reform (Scotland) Act 2012, Section 37(1)&(2)
- xix <http://www.scotland.gov.uk/Topics/Justice/policies/police-fire-rescue/police-scotland/StrategicPolicePriorities>
- xx <http://www.spa.police.uk/assets/128635/strategic-police-plan-web>
- xxi <http://www.scotland.police.uk/about-us/police-scotland/strategic-planning/>
- xxii <http://www.scotland.police.uk/about-us/police-scotland/strategic-planning/>
- xxiii <http://pirc.scotland.gov.uk/>

