



HM INSPECTORATE OF CONSTABULARY IN SCOTLAND

Annual scrutiny plan 2018-19

April 2018

Improving Policing Across Scotland



Introduction

Our Annual Scrutiny Plan for 2018-19 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 SPA. It is published in terms of Section 75 of the Police and Fire Reform (Scotland) Act 2012 and sets out our scrutiny priorities from April 2018 until March 2019.

We keep this plan under review and changes can be made over the course of the year. We have consulted with a wide range of people interested in policing to arrive at this plan, and will consult further prior to making any revisions. We will publish this plan and any revised version on our website and make it directly accessible to those we consider likely to have an interest in it.¹

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.²

We remain committed to assessing the quality of local policing as experienced by communities across the country, with an emphasis on the impact of the Community Empowerment (Scotland) Act 2015. Our programme of *Local Policing+* continues this year, which will be informed by self-assessment. We will continue to report publicly on how Police Scotland and the SPA are delivering against local priorities. *Thematic Reviews* will be used to focus on specific areas of policing. This will include a detailed examination of the process to produce and deliver the Annual Police Plan, and an assessment of the strategic direction of custody.

Our plan includes *Audit and Assurance Reviews*, which scrutinise areas where there is a need to provide targeted assurance over key processes in high risk areas. Working with other scrutiny bodies features throughout the plan, specifically in our *Collaborative Reviews*, which include participating in the joint inspection programme led by the Care Inspectorate to inspect services for children and young people.

The work to follow up on previous reviews into key areas of business is also shown on our plan and includes an examination of progress in counter corruption and the provision of forensic medical services.

Our approach to scrutiny is supported by our Inspection Framework. This provides structure to our activities and the means to assess policing in Scotland in a transparent, consistent and objective manner. Our newly refreshed framework has been independently reviewed and endorsed by Quality Scotland, the National Partner Organisation of the EFQM.

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.

Our scrutiny reports and annual report will be published and laid before the Scottish Parliament and I will take the opportunity in my annual report to comment on the overall state, efficiency and effectiveness of policing in Scotland and on the performance of Police Scotland and the Scottish Police Authority.

Gillian Imery QPM

HM Chief Inspector of Constabulary in Scotland

¹ Police and Fire Reform (Scotland) Act 2012, Section 75(4).

² Scottish Government, [National Outcomes](#).

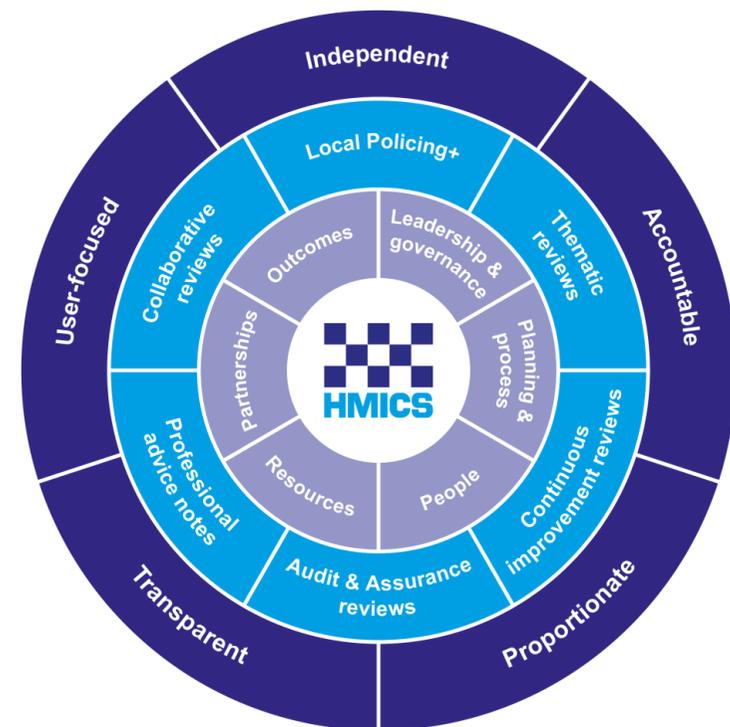
Our purpose

HM Inspectorate of Constabulary in Scotland (HMICS) has been in existence since the 19th century. Our role was reaffirmed by the Police and Fire Reform (Scotland) Act 2012 and we have wide ranging powers to look into the 'state, effectiveness and efficiency' of both Police Scotland and the SPA.³ We have a statutory duty to inquire into how the Chief Constable and the SPA meet their obligations in terms of best value and continuous improvement.⁴ If necessary, we can be directed by Scottish Ministers to look into anything relating to the SPA or Police Scotland as they consider appropriate.⁵ 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.⁶ The SPA and the Chief Constable must provide us with such assistance and co-operation as we may require to carry out our functions⁷ 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.⁸ 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 SPA to improve policing. We will also identify good practice that can be rolled out across Scotland.



³ Police and Fire Reform (Scotland) Act 2012, Section 74(2)(a).

⁴ Police and Fire Reform (Scotland) Act 2012, Section 74(2)(b).

⁵ Police and Fire Reform (Scotland) Act 2012, Section 74(1).

⁶ Police and Fire Reform (Scotland) Act 2012, Section 76(1).

⁷ Police and Fire Reform (Scotland) Act 2012, Section 77.

⁸ Police and Fire Reform (Scotland) Act 2012, Section 80.

Our values

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

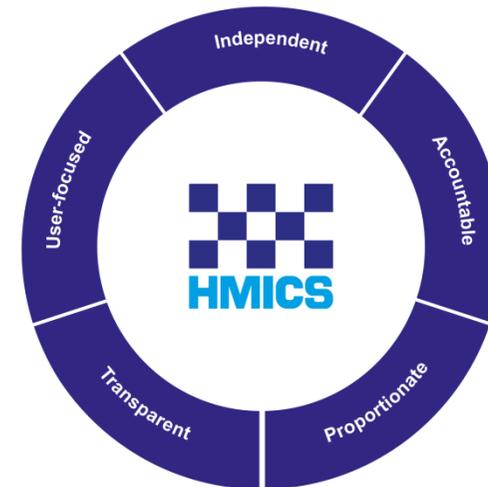
Independent – We will always act independently and publish impartial and objective reports. Our professional advice will be informed and unbiased. HM Chief Inspector of Constabulary in Scotland is appointed under Royal Warrant and is independent of the Scottish Government, Police Scotland and the SPA.

Accountable – We will be accountable for what we do and will justify our actions and reports by evidence. We will publish our statutory reports⁹ 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.



⁹ Police and Fire Reform (Scotland) Act 2012, Section 79.



Our approach to scrutiny

Our annual **Scrutiny Plan** outlines our priorities and scrutiny activities for the 2018-19 fiscal year. The plan was developed through consultation with our stakeholders and is informed by strategic engagement with the Police Scotland Executive Team.

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

Our scrutiny activities take account of the Crerar review,¹⁰ Christie report¹¹ and support production of the National Scrutiny Plan.¹²



Our framework

Our approach to inspection is supported by our newly refreshed 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 European Foundation for Quality Management (EFQM) excellence model¹³ 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 SPA. 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.

¹⁰ Professor Lorne Crerar, *The Crerar Review* (2007).

¹¹ *Commission on the future delivery of public services* (2011).

¹² Audit Scotland, *National Scrutiny Plan*.

¹³ <http://www.efqm.org/the-efqm-excellence-model>



Outcomes

We will focus on the overall performance of the organisation or service area and 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 SPA 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 focused 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. We will work with others to ensure our Framework reflects best practice and has the potential to develop into a wider self-assessment tool.



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.

Local Policing+

The three objectives for police reform are to (i) protect and improve local services; (ii) create more equal access to specialist support and national capacity; and (iii) strengthen the connection between police services and communities. In response to this, HMICS introduced a rolling programme of divisional policing inspections entitled *Local Policing+*.

This programme provides a consistent means of assessing the quality of local policing across Scotland and enables us to report publicly on how Police Scotland is delivering against local priorities. We are interested in the effectiveness of local scrutiny and engagement as well as the contribution policing makes to the wellbeing of communities. 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 allows 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. Where our + element represents a substantial area of policing, we will report separately from our divisional inspections.

In Autumn/Winter 2018-19, we will inspect Greater Glasgow Division, covering the local authority areas of Glasgow City, East Dunbartonshire and East Renfrewshire. Greater Glasgow is the largest division in Scotland in terms of resident population and officer numbers. The + element of this inspection will be chosen closer to the date of inspection, in consultation with the division and others, and taking into account intelligence about policing and areas of risk.

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 capture innovation and good practice, and where relevant we will make recommendations that drive improvement. Our planned reviews for 2018-19 are:

- **Scottish Police Authority Phase 2 (Ongoing 2018-19)** – HMICS published Phase 1 of this review in June 2017 and since then we have undertaken a range of activities including observation of all meetings of the Board and Committees and evaluation of agendas, reports and updates. This work identified a number of key improvement areas which have been shared with the SPA. Given the appointment of a new Chair and an Interim Chief Officer, and identification of new members of the Board, we will monitor progress on improvement under the new management arrangements before considering publication of a further review.
- **Annual Police Plan and operational delivery (April to August 2018)** – HMICS will undertake a thematic inspection of Police Scotland's approach to establishing its annual policing priorities, the operational delivery of the annual police plan and its alignment to Policing 2026.



- **Information management and governance** (*January to March 2019*) – HMICS has identified a number of risks surrounding information management and governance in our inspection work over the past three years. Whilst we audit crime recording and are assured of compliance with relevant standards, many other systems do not have the same level of governance applied. The recent Information Commissioner’s report on Police Scotland highlighted similar areas of concern. HMICS will focus on the operational impact of information management and governance of key ICT systems. We will therefore select one or two key systems for consideration during our inspection.
- **Cyber – Baseline Assessment** (*Ongoing 2018-19*) – This will build on the key findings and recommendations from the scrutiny of cyber policing in England and Wales and assess their relevance for Scotland. We will focus on how Police Scotland is responding to the needs of victims of cybercrime and consider the extent to which the digital technology aspects of crime and policing may require new approaches, resourcing and future investment. We will include comparative research within England, Wales and Northern Ireland as well as other jurisdictions. Our report will be forward looking, seeking to capture key issues and is intended to inform future policy development.
- **Custody thematic** (*October 2018 to January 2019*) – Following our thematic inspection of police custody arrangements in 2014, and five subsequent inspection reports on custody centres in specific divisions or locations, a number of custody-related recommendations remain outstanding. In 2018-19, HMICS will follow up on these recommendations and assess the strategic direction for the future delivery of police custody.

Audit and assurance review

Our *Audit and Assurance Reviews* allow for more detailed scrutiny where there is a specific need to audit critical systems, ensure accurate and ethical recording or provide independent assurance in high risk areas. Our planned reviews for 2018-19 are:

- **Custody inspections (NPM)** (*May to June 2018*) – HMICS carries out regular inspections of police custody centres in accordance with our role as a member of the UK’s National Preventive Mechanism, a group of scrutiny bodies designated by the government to deliver independent monitoring of places of detention under the United Nations Optional Protocol to the Convention against Torture (OPCAT). In recent years, our custody inspections have been primarily aligned to our Local Policing+ programme, with additional visits based on an assessment of risk. In 2018-19, we propose to conduct a series of inspections of custody centres across Scotland which will meet our obligations under OPCAT and provide information to support our planned thematic review of Police Scotland’s custody arrangements. We will also continue to work with Healthcare Improvement Scotland to develop a joint programme of police custody inspections.
- **ACR/Local Policing Interface** (*July to August 2018*) – Area control rooms (ACRs) are responsible for the command and control of incidents reported to the police. They dispatch officers based in local policing divisions to attend incidents. This review will consider the relationship between ACRs and local policing divisions, with a particular focus on non-dynamic or lower priority incidents closed by the ACR and passed to local divisions to manage.

- **Policing 2026** (*ongoing 2018-19*) – HMICS will continue to monitor progress on the delivery and operational impact of the Policing 2026 transformation portfolio. This will include regular engagement with key stakeholders and evaluation of public and internal governance.

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. Our planned reviews for 2018-19 are:

- **Children's Services** (*April to September 2018*) – Under section 115 of the Public Services Reform (Scotland) Act 2010, the Care Inspectorate lead the programme for joint inspections of services for children and young people in Scotland. The joint approach to examine how well Community Planning Partnerships were improving outcomes for all children across 32 local authorities concluded in December 2017.

As part of the Child Protection Improvement Programme, the Care Inspectorate was asked to chair a group of scrutiny partners to develop a revised inspection model. HMICS has been an active member of the High Level Advisory Group, which produced the proposal that has now been approved by Ministers. The new programme will focus on the experiences and outcomes for children in need of protection and those subject to corporate parenting. HMICS is currently contributing to the work of the Quality Group, which is designing the methodology to support the inspection programme, due to commence in May 2018.

HMICS will continue to participate in the joint inspection programme with colleagues from the Care Inspectorate, Healthcare Improvement Scotland, and Education Scotland.

- **Counter-Terrorism** (*Ongoing 2018-19*) – Given the interoperability requirements of counter terrorism operations across the United Kingdom, HMICS and HMICFRS (England and Wales) recognised the value of joint inspections and a programme of joint Counter-Terrorism inspection designed to provide assurance to the Counter-Terrorism Network will be carried out throughout 2018-19.

Follow up reviews

- **Counter Corruption** (*April 2018*) – HMICS will undertake an independent analysis of the progress made by Police Scotland in respect of the 39 recommendations documented in the HMICS Assurance Review of Police Scotland's Counter Corruption Unit (June 2016).¹⁴ A progress report on our findings will be published in 2018.
- **Call Handling** (*April to June 2018*) – At the request of the Cabinet Secretary for Justice, we have continued our scrutiny of police call handling to assess the progress by Police Scotland and the SPA against the recommendations from our call handling report published in November 2015.¹⁵ After our Update Report in January 2017 this process has continued with unannounced visits to call handling centres across Scotland and an ongoing assessment of both the governance and assurance arrangements in place to support the national change programme which is due to complete in April 2018. We will publish a final update report in Spring 2018.

¹⁴ HMICS, [Police Scotland - Counter Corruption Unit Assurance Review](#) (2016).

¹⁵ HMICS, [Police Scotland - Call Handling Final Report](#) (2015).

- **Strategic Overview of Provision of Forensic Medical Services to Victims of Sexual Crime** (*April to May 2018*) – In March 2017, we published a review of the provision of forensic medical services to victims of sexual crime, and made 10 recommendations for improvement. In April 2017, a joint Ministerial Taskforce for the Improvement of Services for Adults and Children who have experienced rape and sexual assault was established, chaired by the Chief Medical Officer. A national workplan has been produced, and new standards were published by Healthcare Improvement Scotland in December 2017.

HMICS is a member of the Taskforce, and is monitoring progress on the areas identified in our strategic overview report. Police Scotland has provided updates on its response to the recommendations, and HMICS will be engaging with other key stakeholders to ascertain the progress made one year on from the publication of our report.

National Preventive Mechanism (NPM)

HMICS is a member of the United Kingdom's National Preventive Mechanism, 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 the 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.



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, Audit and Assurance Reviews and Follow Up 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 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 SPA. We will aim to publish our annual report by the end of the calendar year.

Assessing our impact

An inspection does not end with the publication of a report. It is important that we ensure that our work adds value and assists in driving improvement. We proactively monitor the recommendations made and assess the extent to which they have been implemented. Monitoring progress in this way also helps us to assess whether a follow-up inspection is required to address any residual risk.

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.¹⁶

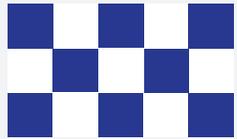
Our complaints handling procedure does not extend to individual complaints about any police body, which should instead be addressed to the Police Investigations and Review Commissioner.¹⁷

¹⁶ <https://www.hmics.scot/complaints-handling-process>

¹⁷ <http://pirc.scotland.gov.uk/>

Our scrutiny plan 2018-19

HMICS SCRUTINY PLAN 2018 - 19												
	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19
Local Policing +												
Greater Glasgow Division							Fieldwork					
Thematic Review												
SPA Phase 2												
Annual Police Plan and operational delivery			Fieldwork									
Information management & governance											Fieldwork	
Cyber Policing												
Strategic Direction of Custody								Fieldwork				
Audit and Assurance Reviews												
Custody ongoing (inc. NPM)		Custody Visits									Greater Glasgow Division Custody Centres	
ACR/Local Policing Interface				Fieldwork								
Policing 2026												
Collaborative Reviews												
Children Services												
Counter terrorism (CT4)												
Follow Up Inspections												
Counter Corruption Unit												
Call Handling												
Provision of Forensic Medical Services to Victims of Sexual Crime												
Recommendation Reviews												
Quarterly recommendations review												



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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.