



---

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)**

December 2018

---

© Crown copyright 2018

Produced and Published by Her Majesty's Inspectorate of Constabulary in Scotland

ISBN: 978-1-910165-45-4

Laid before the Scottish Parliament by Her Majesty's Inspector of Constabulary in  
Scotland under section 79(3) of the Police and Fire Reform (Scotland) Act 2012

HMICS/2018/07

[www.hmics.scot](http://www.hmics.scot)

---



# HM Inspectorate of Constabulary in Scotland

---

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 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 review was undertaken by HMICS in terms of Section 74(2)(a) of the Police and Fire Reform (Scotland) Act 2012 and is laid before the Scottish Parliament in terms of Section 79(3) of the Act.**

---

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

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



# Contents

---

	<b>Page</b>
Our inspection	3
Key findings	4
Recommendations	6
Context	8
Establishing priorities	12
Delivery of priorities	21
Alignment of plans	35
Appendix 1 – Legislative requirements	40
Appendix 2 – Police Scotland Control Strategy 2017-20	43
Appendix 3 – Glossary	44

## Our inspection

---

The aim of this thematic inspection was 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 current strategic police plan, '*Policing 2026 – Serving a Changing Scotland*.'<sup>3</sup>

We have used the HMICS Inspection Framework<sup>4</sup> in conducting our inspection. This provides a structure that is risk-based and proportionate, ensures a consistent and objective approach to our work, and is focused on improving policing in Scotland.

The scope and methodology for the inspection are set out in our Terms of Reference<sup>5</sup> which were published on 8 August 2018. This report is structured around our three aims for the inspection to facilitate understanding of the planning and delivery processes related to policing in Scotland.

HMICS notes that the Scottish Police Authority and Police Scotland have already implemented a new strategic planning framework, and recognise the need to further develop their analytical approach and performance management framework. HMICS has therefore considered the pace and proposed direction of their development process to date as part of this inspection.

We have found that the main elements of the strategic assessment, priority setting, planning and delivery are in place and deliver effective policing on day to day basis. However there remains a lack of clarity and consistency of approach across the country.

The findings of this report present the service with an opportunity to establish a clear Scottish policing model to provide a national framework for intelligence gathering, analysis, planning and performance, with flexibility to meet varying local contexts.

To achieve this will require an immediate review of analytical capacity and capability, and we recommend that intelligence analysts are aligned to specialist crime division and performance analysts remain part of the strategy function.

We have also make specific comment on the extent to which equity of access to specialist resources has been achieved. Inconsistent recording of resource allocation and limited transparency or assurance around the impact or effectiveness of deployment of specialist and national support, means that Police Scotland is unable to demonstrate the value of the work being delivered to communities across the country.

HMICS would like to thank all those who participated in and facilitated our inspection. The inspection was led by Tina Yule, lead inspector, supported by other members of the HMICS team including associate inspectors.

### **Gillian Imery QPM**

Her Majesty's Chief Inspector of Constabulary  
December 2018

---

<sup>3</sup> Police Scotland, [Policing 2026 - Serving a Changing Scotland](#), June 2017.

<sup>4</sup> HMICS, [Inspection Framework](#), May 2018.

<sup>5</sup> HMICS, [Thematic Review of Police Scotland's approach to the development and operational delivery of the Annual Police Plan \(2018-19\) – Terms of Reference](#), June 2018.



# Key findings

---

## Establishing priorities

- Police Scotland has met its duty set out in the Act to produce an annual police plan each year since 2013, with five plans having been produced with varying formats. The 2018-19 plan is viewed as an improvement on previous iterations.
- Force strategic assessments have continued to develop over the last five years, but remain structured around the same priority categories and are focused on a traditional crime-based approach.
- The current force strategic assessment relies heavily on the 'Your View Counts Survey' which has low response rates and cannot be construed as fully representative of the wider public views.
- The force strategic assessment does not provide any outcome-based results analysis of how the service tackled the priorities in the previous year and whether any lessons could be learned for the future.
- The current annual timetable for production of the force strategic assessment limits the impact it can have on prioritisation and planning.
- The Scottish Multi-agency Strategic Threat Assessment is viewed very positively by stakeholders, but is mainly focussed on serious organised crime and could be extended further into other key partnership areas including Community Safety and Public Protection.
- Force priorities in Scotland have been mostly consistent for nearly 15 years, reflecting the consistent structure of the strategic assessments and consultation. The priorities are very broad reflecting much of what policing does rather than honing these to specific areas of risk.
- The process of moving from strategic assessment to agreeing priorities for the annual police plan is unclear with HMICS unable to identify a clear process for full consideration of the strategic assessment prior to annual plan development, nor any specific engagement with the SPA to discuss priorities.
- Of the commitments set out in the annual police plan 2018-19, which vary widely in terms of strategic, tactical and operational scope and scale, many cannot be delivered in a single year, are not outcome focussed or easily measurable, have unclear deliverables, timeframes and resource requirements.
- There is relatively consistent duplication of the six force priorities into local policing plan priorities with national priorities having a potentially disproportionate influence over local plans where a more narrowed focus influenced by local community consultation and engagement should be evidenced.

## Delivering priorities

- Police Scotland develops a significant number of subject and problem profiles that demonstrate the breadth and volume of work undertaken both nationally and locally. Profiles were of good quality, highlighting intelligence gaps and making recommendations for the collection of intelligence, prevention and enforcement opportunities.
- The National Intelligence Managers' Group is a solid platform for sharing information, intelligence, best practice and learning points. However the Detective Chief Superintendent, Intelligence Support, has no mandate to deliver change across Divisional Intelligence Units.
- A number of national intelligence threat desks have been established to support key priority areas to identify threat, risk and highlight intelligence gaps and recommendations to mitigate against the emerging threats. This approach is a positive development in the effective management and exploitation of intelligence.
- Police Scotland does not hold dedicated quarterly Strategic Tasking and Co-ordinating Group meetings but relies on an item on the agenda of Senior Leadership Board to consider the SPA performance report. HMICS is clear this does not meet the requirements of a ST&CG meeting.
- The force tactical Tasking and Delivery Board has limited oversight over the impact or effectiveness of deployment of specialist or national support resources to local policing divisions and cannot assess if more equal access to specialist support and national capacity has been created in terms of one of the original aims of police reform.<sup>6</sup>
- The deployment of specialist resources through local tasking and co-ordinating processes lack consistency and clarity. Information regarding deployments is recorded differently by national divisions and although planned resources are recorded, dynamic allocation of resources was less clear with issues in collating information from command and control systems to provide an accurate picture of demand and response.
- The format, content and quality of local policing tactical assessments varies significantly with no force direction or oversight.
- Local policing performance reporting to local authority scrutiny committees varies significantly in content, detail and quality.
- There has been a failure to recognise the impact of the progressive diminution of the capability and capacity of the Analysis and Performance Unit.

## Alignment of plans

- A lack of clear definition of outcomes and associated measures across many areas of policing delivery makes assessment of delivery and results challenging, particularly where outcomes are shared with partners.
- There is no explicit alignment between the annual police plan and the six objectives outlined in the *Serving a Changing Scotland* strategic police plan. This lack of alignment is contributing to challenges in development of a supporting performance framework.
- There has been a significant lack of progress in developing the revised national performance framework which is a major leadership and governance shortcoming for both the SPA and Police Scotland.

---

<sup>6</sup> [Police and Fire Reform \(Scotland\) Bill – Policy Memorandum](#), January 2012.



# Recommendations

---

## **Recommendation 1**

Police Scotland should review its approach to strategic assessment, balancing its use of performance information, intelligence and broader information sources, reflecting all functions of Police Scotland, and the wider demand which it faces, to ensure it is used to effectively support priority setting and planning.

## **Recommendation 2**

Police Scotland and the Scottish Police Authority should develop a clear process for governance and engagement around strategic assessment and consideration of priorities as part of their statutory responsibilities in the planning process.

## **Recommendation 3**

Police Scotland should introduce an approach that ensures there is a Strategic Intelligence Requirement aligned to all of the national policing priorities outlined in the annual police plan and have processes in place that measure the qualitative aspect of intelligence submitted against each national policing priority.

## **Recommendation 4**

Police Scotland should establish a dedicated strategic tasking and co-ordinating forum to meet at least six monthly to review the strategic assessment and consider organisational, operational and workforce planning and priorities.

## **Recommendation 5**

Police Scotland should review the approach of both the force Tasking and Delivery Board and the Multi-Agency Tasking and Delivery Board to ensure they are meeting the required level of tasking and co-ordination.

## **Recommendation 6**

Police Scotland should develop transparent and consistent reporting of the deployment of specialist or national support resources from Specialist Crime Division and Operational Support Division.

## **Recommendation 7**

Police Scotland should set out a Scottish policing model which provides the level of consistency and assurance required for a national force but maintains the level of empowerment of divisional commanders to localise their approaches.

## **Recommendation 8**

Police Scotland should undertake an immediate review of its approach and delivery structure for analytical support with intelligence analysis aligned to specialist crime division and performance analysis aligned to the strategy function.

## **Recommendation 9**

Police Scotland and the Scottish Police Authority should review the objectives set out in the Serving a *Changing Scotland* strategic police plan and consider bringing forward the review of the strategic police plan.



**Recommendation 10**

Police Scotland should move to a three year delivery plan cycle to directly underpin the SPA's strategic police plan complemented by the publication of an annual control strategy style plan.

**Recommendation 11**

The Scottish Police Authority should clearly set out its expectations of public performance reporting for Police Scotland and assure itself that suitable internal governance, planning and performance arrangements are in place to support its delivery.

**Recommendation 12**

Police Scotland and the Scottish Police Authority should review their approach to the development of a new performance framework and consider the development of clearly defined outcomes with associated qualitative and quantitative performance measures.



## Context

---

1. There are a number of levels of strategic planning and priority setting which relate to policing which should influence the development of policing objectives, plans and operational priorities in Scotland.
2. The Scottish Government justice strategy, *Justice in Scotland: Vision and Priorities*,<sup>7</sup> was published on 11 July 2017 and sets out a number of outcomes relevant to policing:
  - We live in safe, cohesive and resilient communities
  - Prevention and early intervention improve wellbeing and life chances
  - Our system and interventions are proportionate, fair and effective
  - We deliver person-centred, modern and affordable public services.
3. The National Performance Framework<sup>8</sup> (NPF) was first launched in 2007 to measure our national wellbeing beyond GDP<sup>9</sup> and supported an outcomes-based approach to service delivery. A revised version of the NPF was launched in 2018 and includes the outcome 'We live in communities that are inclusive, empowered, resilient and safe'. This outcome is measured through a number of performance indicators including some related directly to policing.
4. The Police and Fire Reform (Scotland) Act 2012 (the Act) created a single police service on 1 April 2013. The Scottish Government set out three policy aims for the reform process:
  - To protect and improve local services despite financial cuts, by stopping duplication of support services eight times over and not cutting front line services
  - To create more equal access to specialist support and national capacity – like murder investigation teams, firearms teams or flood rescue – where and when they are needed
  - To strengthen the connection between services and communities, by creating a new formal relationship with each of the 32 local authorities, involving many more local councillors and better integrating with community planning partnerships.
5. Figure 1 below shows how the Act sets out a clear system of planning and priority setting for policing. The annual police plan is a key element of that approach. Appendix 1 provides further detail on the legislative requirements set out in the Act.

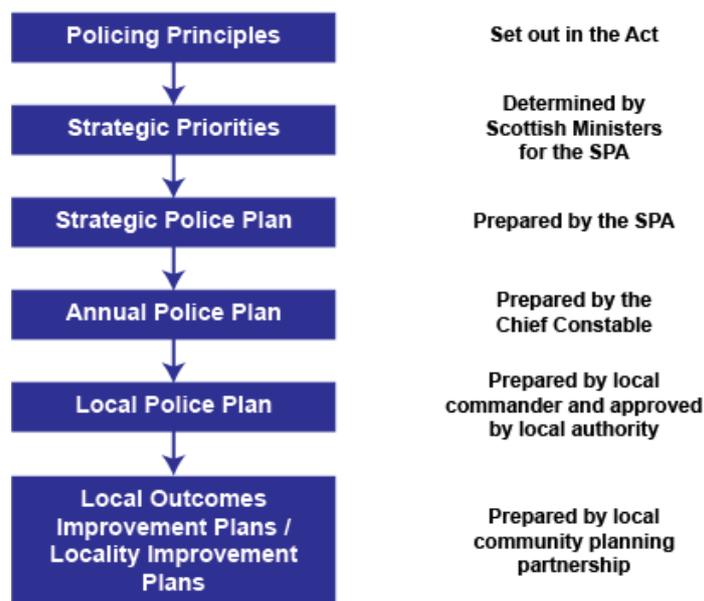
---

<sup>7</sup> Scottish Government, [Justice in Scotland: vision and priorities](#), 11 July 2017.

<sup>8</sup> Scottish Government, [Scotland's National Performance Framework](#).

<sup>9</sup> Gross Domestic Product (GDP) – monetary measure used to assess economic performance of a country or region.

Figure 1 – Hierarchy of police priorities and planning



6. The Act sets out policing principles which state that the main purpose of policing is to improve the safety and wellbeing of persons, localities and communities in Scotland. The police service, working in collaboration with others where appropriate, should seek to achieve that main purpose by policing in a way which is accessible to, and engaged with, local communities, and promotes measures to prevent crime, harm and disorder.
7. Scottish Ministers are required to determine strategic policing priorities for the Scottish Police Authority (SPA) which then informs the SPA's preparation of a strategic police plan. The current iteration of these priorities was published in October 2016.<sup>10</sup> However in anticipation of a planned review of the strategic police plan, the Scottish Government has committed to work with partners to revisit the strategic policing priorities in 2019. The review plans to increase focus on collaborative working to ensure the most vulnerable in society receive the support they need.<sup>11</sup>
8. The Act requires that the SPA prepares a strategic police plan, involving the Chief Constable, which sets out the main objectives for the Authority and for the policing of Scotland. The plan must explain the reasons for selecting objectives, describe what will be done in order to achieve these objectives, and where practicable, identify outcomes to be used to measure achievement of the objectives. The '*Policing 2026 – Serving a Changing Scotland*'<sup>12</sup> strategy replaced the previous strategic police plan in June 2017. Extensive consultation<sup>13</sup> was undertaken to inform the strategy and a supporting three-year transformation implementation plan<sup>14</sup> was also developed to support delivery. The SPA is required to review the strategic police plan at least once every three years and must, in particular, do so where the strategic policing priorities have been significantly revised.
9. 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. The Police Scotland annual police plan for 2018-19 sets out the operational policing priorities for the year ahead (see Table 1) and the approach taken, in partnership, to deliver them.

<sup>10</sup> Scottish Government, [Strategic Police Priorities](#), October 2016.

<sup>11</sup> Scottish Government, [Programme for Government 2018-2019](#) (page 108).

<sup>12</sup> Police Scotland, [Policing 2026 - Serving a Changing Scotland](#), June 2017.

<sup>13</sup> Police Scotland, [Police Scotland – 2026 Consultation](#) (Updated June 2017).

<sup>14</sup> SPA, [Board Meeting – 2 May 2018 - Serving a changing Scotland](#) – Item 6.3 - 3 year implementation plan.



Table 1 – Police Scotland national operational policing priorities for 2018-19

Priority
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

10. The annual police plan for 2018-19 outlines the national operational policing priorities (see Table 1) and also sets out commitments underpinning each priority which include a range of activities aligned to the ‘areas of focus’ set out in the current strategic police plan (see Table 2). The annual police plan also includes sub-priorities as referenced in the control strategy<sup>15</sup> (see Appendix 2), enabling a more detailed focus on the key issues to be tackled.

Table 2 – Areas of focus

<b>Protection</b>	based on threat, risk and harm
<b>Prevention</b>	tackling crime, inequality and enduring problems facing communities
<b>Communities</b>	focus on localism, diversity and the virtual world
<b>Knowledge</b>	informing the development of better services
<b>Innovation</b>	dynamic, adaptable and sustainable

11. 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<sup>16</sup> to ensure that local policing in each area is responsive, accountable and tailored to meet local needs. Local policing plans must be developed in conjunction with the relevant local authority and should be aligned with partnership local outcomes improvement plans (LOIPs) and locality improvement plans (LIPs). Police Scotland has local planning arrangements in place that align with all 32 local authorities in Scotland which are subject to local scrutiny and governance.<sup>17</sup>
12. This hierarchy of planning and priority setting requires alignment between each of the levels, where plans, priorities and objectives should clearly link to those in the level above to demonstrate a ‘line of sight’ from officers and staff at the front line of policing to those principles set out in the Act and the outcomes in the Justice Strategy and National Performance Framework. This allows all staff to understand the contribution they are making to high level objectives and outcomes, and should facilitate a clear approach to performance management at each level ensuring that delivery of priorities can be demonstrated.

<sup>15</sup> Control strategy – list of priorities with mitigating actions for each set out under prevention, intelligence, enforcement, and optionally, reassurance. This provides a focus for action and prioritisation.

<sup>16</sup> Legislation, [Police and Fire Reform \(Scotland\) Act 2012 – Section 47 Local Police Plans](#).

<sup>17</sup> Legislation, [Community Empowerment \(Scotland\) Act 2015 – Sections 6 and 10](#).

## Professional practice

13. HMICS has considered the current planning, prioritisation and delivery approach taken in Police Scotland against good practice elsewhere in UK policing<sup>18</sup> and in legacy Scottish forces. We have also considered traditional strategic and business planning approaches in order to assess how organisational planning aligns with operational planning. This has identified a number of generic steps which should be undertaken as part of any policing model of planning and delivery (see Table 3).

Table 3 – Police planning and delivery steps

Step	Process Description
Strategic analysis	Identification of the current to long term issues, internally and externally, facing the force or division, identifying options for prioritisation.
Priority and objective setting	Engagement and governance process to agree objectives and priorities.
Planning	Developing and agreeing plans within a defined cycle.
Tactical analysis	Assessment using statistical and performance information with supporting risk, response and results analysis focused at a tactical level.
Tasking and co-ordinating	Takes place at force and divisional level, and at strategic and tactical levels. Decision making mechanism based on a full understanding of the problems faced enabling prioritisation of resource deployment.
Assessing delivery	Outcomes and impact assessed through a comprehensive performance management, evidence-based research and evaluation approach.

14. The National Intelligence Model<sup>19</sup> (NIM) is a business process which encompasses those listed in Table 3. The intention behind NIM is to provide focus to operational policing and to achieve a greater impact from the resources applied to any problem. It is dependent on a clear framework of analysis of information and intelligence allowing a problem solving approach to law enforcement and crime prevention techniques. The expected outcomes are improved community safety, reduced crime and the control of criminality and disorder leading to greater public reassurance and confidence.
15. NIM was in place in most legacy Scottish forces for around 10 years prior to Police Scotland and remains a requirement for forces in England and Wales through a mandatory code of practice.<sup>20</sup> Adherence to NIM is not a statutory requirement in Scotland and its terminology has largely fallen out of use in Police Scotland. However new recruits to Police Scotland are still taught the fundamentals of NIM as part of their basic training.
16. HMICS has considered the relevant elements of NIM and acknowledges that these processes have continued to evolve and develop over time in Police Scotland, with some steps merging or being of less relevance in their previous form. We are clear however that the basic tenets of such an approach remain valid and constitute professional practice in policing delivery.

<sup>18</sup> College of Policing, [Authorised Professional Practice \(APP\) - Intelligence Management](#).

<sup>19</sup> Guidance on the National Intelligence Model 2006 – ACPOS-NCPE.

<sup>20</sup> Home Office, [Code of Practice - National Intelligence Model](#).



## Establishing priorities

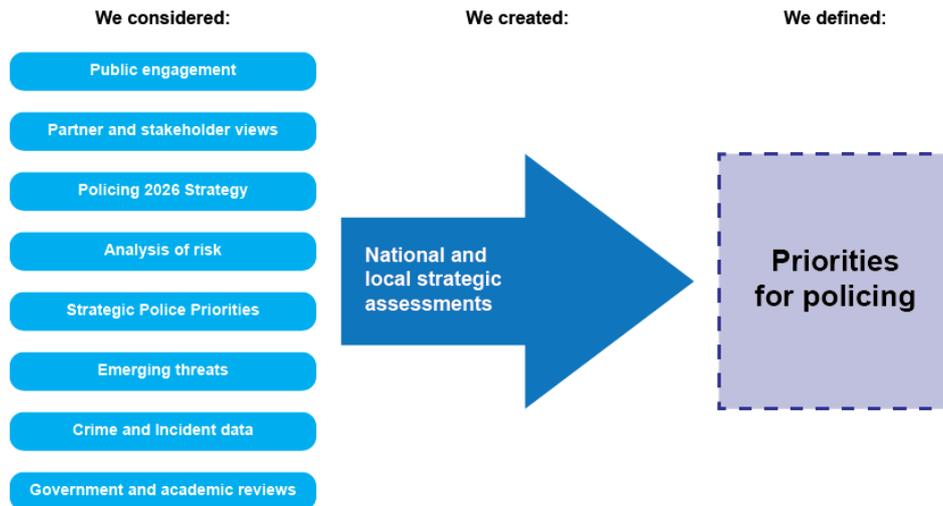
---

17. In this first section of our inspection report, we consider how effective the arrangements are for establishing the national operational policing priorities as currently outlined in the annual police plan 2018-19. The processes involved include strategic analysis, priority setting and planning at force and divisional levels.
18. Strategic analysis or assessment should provide an evidence-based overview of the current and medium to long term issues affecting a force, division or department. It should make recommendations for prevention, intelligence, enforcement and reassurance priorities for the problems identified within it. Strategic assessments should inform policing plans and community safety strategies.
19. HMICS considers there are a number of essential requirements for a meaningful strategic assessment which adds ongoing value to policing delivery. These include:
  - considers current, medium and longer term issues
  - uses a wide range of information and intelligence sources, analysing relevant data, reflecting all the demand on and functions of the force, division or department
  - considers trends based on historic information and balances this with identifying emergent trends and threats
  - includes a comprehensive horizon scanning and predictive environmental analysis considering impact and potential responses
  - examines and assesses whether current plans are effectively tackling the issues
  - makes recommendations and informs the priority setting and planning process
  - where performance information is used, explores the reasons for changes
  - is compiled in collaboration with all policing functions and relevant partners
  - is informative and relevant to all managers in the force.

### **Current approach – strategic assessment**

20. The responsibility for the strategic planning and performance frameworks in Police Scotland lies with the Assistant Chief Constable (ACC) Strategy and Innovation who reports to the Deputy Chief Constable (DCC) Professionalism.
21. The Head of Strategy, Insight and Innovation, reporting to the ACC, has responsibility for the strategic planning framework and the development of the annual police plan. The Head of Analysis and Performance, who also reports to the ACC, leads on the development of the performance framework and the provision of analytical, statistical and research services.
22. Police Scotland sets out in its annual police plan how it establishes its priorities (see Figure 2). This process involves engagement with the people and communities of Scotland as well as analysis of risks and emerging threats. These inform the production of local and national strategic assessments with a strong evidence base and public voice which in turn identifies policing priorities for the coming year.

Figure 2 – Police Scotland priority setting



23. Prior to the creation of the force strategic assessment, a comprehensive terms of reference is produced by the Analysis and Performance Unit (APU) for its development which sets out the approach to gathering information, its analysis and format of the assessment itself. This is an important step in the process and provides the opportunity for senior officers to influence the style, structure and content of the assessment.
24. HMICS found that there had been no significant changes made to the terms of reference for developing the assessment at senior officer level, with the ongoing structure and approach routinely being endorsed.
25. Currently, the Police Scotland force strategic assessment is a three year 2017-20 document, which has since been updated for 2018-19. Both assessments are structured around the existing six priorities. HMICS recognises that the assessment process requires a significant investment of resources and has continued to develop over the five years of Police Scotland with the most recent iterations having included recommendations around technology, information and data, processes and organisational structure as well as accessible infographic representation of information.
26. Police Scotland states in the annual police plan that operational priorities are shaped by listening to what people and communities have to say and places a strong focus on public feedback. One of the primary sources of this information is the 'Your View Counts Survey'.<sup>21</sup> In previous years a number of approaches to such surveys have been taken including face-to-face, online and hard copy distribution to key groups. The results of the survey are published on the Police Scotland website<sup>22</sup> and consultation is ongoing for 2018-19. Respondents can select from a pre-populated list (mainly based on current priorities) at both national and local level with an option to enter other priorities not on the list should they wish.
27. HMICS analysed current and previous force strategic assessments to assess their effectiveness in supporting the priority setting process. We found they have been structured around the same priority categories since 2013 and are focused on a traditional crime-based approach (see paragraph 41).

<sup>21</sup> Police Scotland, [Your View Counts Survey](#).

<sup>22</sup> Police Scotland, [Your View Counts Survey – 2017-18 results](#).



28. Results from the 'Your View Counts Survey' are systematically used throughout the assessment, however, our analysis found that the response rates for these surveys are very low and cannot be construed as fully representative of the wider public. HMICS also found that the level and nature of input from internal staff is not explained in any detail and that limited information on consultation with partners is reflected in the assessment. HMICS recognises that undertaking statistically relevant research and consultation on this scale is a significant resource commitment and cannot be undertaken on an annual basis. However, reliance on what appears to be a limited evidence base requires to be addressed.
29. We found that the assessment references future demand and emerging trends that may have an impact on police resources, but there is insufficient detail on whether national and local divisions have the capacity and equipment (e.g. fleet, assets, technology) to tackle the national priorities and meet future demand.
30. Our analysis also found that the strategic assessments do not provide any outcome-based results analysis of how the service tackled the priorities in the previous year and whether any lessons could be learned for the future. Similarly the horizon scanning element of the assessment is limited and lacks a more predictive approach which examines potential impacts and mitigation approaches.
31. As the lead function for developing strategic assessments, the timetable for production is set out by the APU in the terms of reference. This process has traditionally run from September to February, allowing local policing divisions to develop their local strategic assessments, in line with local authority planning timescales, which then contribute to the whole-force assessment. As the assessment process is also running in tandem with the annual police plan development process, the impact which the force assessment has on the plan is limited.
32. HMICS recognises the requirement to have an up-to-date strategic assessment. However, the current timetable restricts the force's ability to effectively use the assessment as the basis for any prioritisation or planning. Ideally the assessment should identify risks, potential priorities, information and intelligence gaps and make operational recommendations. The force should then use this assessment to agree priorities and write the plan. HMICS has therefore found that the current strategic assessment process has limited influence over the choice of priorities and ultimately the annual police plan.
33. Overall, HMICS found that the force assessment process is resource intensive but does not add the value expected to prioritisation and planning. Most of those interviewed felt the assessment was too backward looking (using mainly performance and trend data) and lacked forward focus. It was also felt that there was a lack of effective use of intelligence and too strong a focus on crime, ignoring some of Police Scotland's national support functions e.g. corporate services, custody, operational support, C3 (contact, command and control), and the increasing non-crime elements of policing demand. It was also suggested that an increased focus on victims and witnesses would be beneficial. These views reflect our own analysis.
34. As well as the force strategic assessment, a Scottish Multi-agency Strategic Threat Assessment (SMASTA) is produced annually on behalf of the partners<sup>23</sup> based at the Scottish Crime Campus (SCC) at Gartcosh. The assessment predominantly focuses on serious and organised crime and contributes directly to the UK-wide assessment and to the Police Scotland force strategic assessment. Its production is led by the APU supported by the Specialist Crime Division (SCD) Intelligence Support function.

---

<sup>23</sup> Border Force, FBI, HMRC, Department for Work and Pensions, National Crime Agency, Immigration Enforcement, Crown Office and Procurator Fiscal Service, Security Industry Authority, Revenue Scotland, British Transport Police, Scottish Prison Service, Scottish Environmental Protection Agency and Trading Standards Scotland.

35. The SMASTA includes analysis of current threats in relation to human trafficking, child sexual abuse, violence, criminal use of firearms, drugs, financial crime, cybercrime, organised immigration crime, organised acquisitive crime, illicit trade, organised environmental crime, terrorism and domestic extremism. A number of cross-cutting threat enablers are also analysed including border vulnerability, transport, UK and overseas connections, specialists and business, prisons and lifetime management, foreign national offenders and corruption.
36. HMICS found that the SMASTA is viewed very positively by stakeholders and is strongly intelligence based with a good balance between historical trend information and horizon scanning. HMICS notes that the assessment is however mainly focused on serious organised crime and could be extended further into other key partnership areas including community safety and public protection.
37. Overall, HMICS has found that there is considerable scope to improve and further develop the strategic assessment process in Police Scotland. This has also been highlighted as part of the current work of the Demand, Productivity and Performance workstream of Police Scotland's transformation programme. The opportunity to use new and evolving analytical tools and techniques has already been recognised and will feature strongly in implementation of a renewed approach to analysis and performance management.

### **Recommendation 1**

Police Scotland should review its approach to strategic assessment, balancing its use of performance information, intelligence and broader information sources, reflecting all functions of Police Scotland, and the wider demand which it faces, to ensure it is used to effectively support priority setting and planning.

### **Current approach – setting priorities and annual police plan**

38. HMICS found that the process of moving from strategic assessment to agreeing priorities for the annual police plan is unclear. HMICS could not identify a clear process for full consideration of the strategic assessment prior to annual plan development, nor any specific engagement with the SPA to discuss priorities. The SPA has a key role in setting the strategic policing plan and should therefore be able to seek assurance that proposed priorities align with their objectives.
39. HMICS considers that it is an essential precursor to the production of both the strategic police plan and annual police plan to have both the SPA and Police Scotland effectively engaged in a dialogue around priorities as part of the planning process.
40. HMICS does not consider that it is acceptable to automatically transfer identified potential priorities from a strategic assessment into the annual police plan without due consideration at a strategic tasking and co-ordinating group. Such a group should have ownership of the strategic assessment, review it on a regular basis and assess the effectiveness of service delivery against the identified priorities (see paragraph 100).
41. HMICS has identified that force priorities in Scotland have been mostly consistent for nearly 15 years. This reflects the consistent structure of the strategic assessments and consultation focused around a relatively similar set of priorities. These priorities were viewed by most as reflecting the broad activities of 'what policing does', rather than honing these to specific areas of risk. However, many were also content that the priorities provide a broad spectrum which could be narrowed in focus or 'localised' at a tactical level. HMICS also found that these broad priority areas were often referred to as medium to longer term strategic objectives or outcomes.

42. There were varying views on whether these priorities should have remained unchanged for so long and whether the strategic assessment, priority setting process and control strategy (see Appendix 2) were actually adding any value in this respect. HMICS considers that the time is opportune to re-consider the approach to strategic assessment (see recommendation 1), better define roles, governance and engagement around the associated priority setting process to ensure it reflects statutory responsibilities.

### Recommendation 2

Police Scotland and the Scottish Police Authority should develop a clear process for governance and engagement around strategic assessment and consideration of priorities as part of their statutory responsibilities in the planning process.

43. Police Scotland has a statutory duty to produce an annual police plan on which it should invite comments from the SPA. This commitment has been met each year since 2013, with five plans having been produced with varying formats.
44. In October 2017, a paper with proposals for development of the 2018-19 annual police plan was approved at the Force Tasking and Delivery Board. The paper noted that the national strategic assessment, and associated control strategy, would provide key information to set annual police plan priorities and inform the development of the plan. The approach included a workshop and engagement with business areas to establish planned operational activities for the 12 months from April 2018.
45. The report detailed that the draft annual police plan was to be circulated to the Force Executive and presented at the Force Tasking and Delivery Board and Senior Leadership Board (SLB) before being presented at an SPA Board meeting. External consultation on the draft annual police plan was to be via online/electronic techniques, over a period of approximately six weeks in early 2018. The report also noted that engagement with the SPA had indicated that the annual police plan should include sufficient detail on planned activities to enable them to hold Police Scotland to account and drive quarterly performance reporting.
46. The SPA considered the 2018-19 annual police plan at full public Board meetings in February and March 2018. There was limited public scrutiny of the priorities and commitments in the plan at this stage with comments from the SPA focused around how:
- benefits would be measured and tracked
  - linkages and mapping would be made between the plan, the *Serving a Changing Scotland* strategic police plan and the transformation programme
  - evidence of 'what success would look like' would be reported.
47. In the past, the SPA has expressed concerns regarding the lack of time given for their full consideration of the annual police plan and a lack of transparency as to how their comments were reflected in the final plan. Latterly, the SPA has appeared to have had more involvement in and awareness of the timetable for producing the plan and has therefore been able to provide comments within a relatively tight timescale.
48. HMICS found that the annual police plan 2018-19 is viewed as an improvement on previous iterations of the plan by the majority of those we interviewed. Although a number of weaknesses were identified with the current plan, the leadership of Strategy and Innovation was seen as an effective route for its development.



49. HMICS found evidence that the SLB considered both the process for developing the annual police plan and agreed drafts of the document prior to and after consultation. However, it was not clear that the SLB considered the strategic assessment in detail or reviewed proposed priorities and recommendations prior to their transposition into the annual police plan. Nonetheless, senior officers told us they view the annual police plan as the key operational plan for the force.
50. The annual police plan 2018-19 sets out six priorities (see Table 1), derived from the force strategic assessment, five areas of focus set out in the *Serving a Changing Scotland* strategic police plan (see Table 2), and details 25 main and 131 supporting commitments. The commitments, many of which cannot be delivered in a single year, are in the main not outcome-focused or easily measurable. Similarly, it is unclear what deliverables and timeframes are associated with each commitment.
51. The commitments set out in the plan vary widely in terms of strategic, tactical and operational scope and scale, and resource requirements, which are mostly unspecified. HMICS also identified that it was unclear where many of the commitments were sourced e.g. from a supporting strategy or plan, threat assessment or tactical option set. Many of those interviewed were unaware of relevant commitments or at the time of our inspection were not monitoring their delivery until the annual review of progress was undertaken. For those who were monitoring their progress, reporting was primarily narrative or case study based and not measured to demonstrate impact. However HMICS did find examples of regular progress reporting in key priority areas e.g. protecting people at risk of harm.
52. HMICS found that central support divisions and departments were aware of the annual police plan and any relevant commitments. Corporate support functions were less aligned to the annual police plan and operational priorities with more focus on the Corporate Support Business Plan 2018-19 and the *Serving a Changing Scotland* strategic police plan. The business plan clearly states that corporate support services focus on enabling operational resources to tackle operational priorities within the annual police plan.
53. Local policing divisions and SCD officers and staff demonstrated a general awareness of processes around the development of the annual police plan and its content at senior management level. However, it was clear that there was less visibility of the plan beyond this level, with a stronger focus on local or specific divisional priorities. In some divisions, we found a higher level of awareness of the annual police plan where application of the Personal Development Conversations (PDC) approach was stronger. Line managers were emphasising the linkages between the *Serving a Changing Scotland* strategic police plan, the annual police plan and individual objectives for front line officers. However, this awareness varied considerably, dependent on the level of PDC implementation in local divisions.
54. As the key operational plan for Police Scotland, HMICS considers that it should have visibility at all levels of the organisation, with all staff clear on the contribution they are making to operational priorities as well as strategic objectives. For the majority of staff, we found the annual police plan is of limited relevance.
55. The annual production of the annual police plan is viewed as onerous by most of those we interviewed, requiring significant investment in time corporately and by departments and divisions. Many felt they provided a great deal of information and intelligence to the process, but received little or no feedback and were given very limited time to comment on drafts of the plan. The repetitive nature of the process with often similar results was felt not to be meaningful with many seeking a review of the cycle of planning. These concerns with the cycle of assessment and planning reflect our findings regarding issues with the current timetable (see paragraph 31).



56. Despite the clear commitment by Police Scotland to move toward a more outcome-focused approach, HMICS found that there is no clear articulation of outcomes or impact in the annual police plan. Performance measures included at the end of the plan remain under-developed therefore limiting the ability to produce meaningful performance reporting which would allow senior officers and the SPA Board to fully assess the impact of the plan (see paragraph 170).
57. Whilst the current annual police plan has some of the attributes of a control strategy (see paragraph 42), it does not set out a clear intelligence requirement (gaps in intelligence which need to be filled) and similarly does not set out specific resourcing priorities or allocation. These attributes are not evidenced in the *Serving a Changing Scotland* strategic police plan, three-year financial plan<sup>24</sup> or three-year implementation plan,<sup>25</sup> leaving a clear gap in force-level planning for delivery.

### **Current approach – local policing plans**

58. As noted at paragraph 11, the Act requires 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 LOIPs and LIPs and are subject to local scrutiny and governance.
59. HMICS found an inconsistent picture of the level of policing detail held within LOIPs and LIPs, accepting that they reflect a broad range of partnership outcomes and will contain a higher level of detail than expected in a local police plan, and will also vary according to the 32 different approaches taken by local authorities to their production. HMICS considers that local police plans are still required to effectively reflect the full extent of policing activity to address identified local priorities.
60. Most divisions have moved to a three-year planning cycle for local police plans to align with local authority three-year planning cycles for LOIPs. However, the majority are still producing an annual strategic assessment. This is essential if these assessments are to support the building of a force-wide strategic assessment. However, HMICS found that at least one local policing division has stopped producing a strategic assessment. This is primarily due to the resource intensive and repetitive nature of the process, the same priorities emerging at each iteration and constraints on the local analyst resource to support the process.
61. HMICS could not identify a clear policy or model in place which specifies the requirement on divisions to produce a strategic assessment in a particular format or frequency. It was therefore unclear as to whether a division no longer producing an assessment was acceptable or not.
62. Of those local policing divisions HMICS examined, the style of the strategic assessments tended to follow that of the force strategic assessment. However, we found that the content of local strategic assessments varied and the quality of data often relied on the capacity and capability of the local analyst resource and how the data is recorded locally. Some divisions questioned the value of the local strategic assessment particularly highlighting a lack of predictive analysis and an emphasis on backward-looking performance data.
63. We also found that, historically, APU management undertook quality assurance on local strategic assessments at the end of every year. This process had not taken place in the last two years due to capacity restrictions. Consequently, divisions lack clarity as to format and content, and whether a local strategic assessment needs to be produced and refreshed. This raises some concerns about the quality of the force strategic assessment which is reliant on source information from these local strategic assessments.

---

<sup>24</sup> SPA, [Board Meeting – 2 May 2018 - Item 6.2 - Three Year Financial Plan and Ten Year Financial Strategy](#).

<sup>25</sup> SPA, [Board Meeting – 2 May 2018 - Item 6.3 - Serving a changing Scotland – 3 year implementation plan](#).



64. Local policing divisions told us they would prefer to move to a three-year strategic assessment cycle. This could be supported by an annual process to identify any changes, providing an improved opportunity for feedback and quality assurance with the corporate centre of the organisation.
65. HMICS found that there is relatively consistent duplication of the six force priorities into local policing plan priorities. HMICS considers this concerning, as it would appear that the structure of strategic assessment and national priorities are having a disproportionate influence over local plans where we would have expected a more narrowed focus influenced by local community consultation and engagement.
66. Our mapping of all local policing plan priorities did demonstrate a number of interesting variations in approach where one or more divisions had:
  - included some broader outcome-based priorities e.g. increase public confidence
  - separated out priorities e.g. violence and anti-social behaviour
  - specifically identified substance abuse and domestic violence
  - used 'public safety' or 'national safety' to cover counter terrorism and domestic extremism
  - identified public protection, serious organised crime, counter terrorism and domestic extremism as underpinning or cross-cutting themes rather than priorities
  - increased their focus on protecting the vulnerable
  - put victims at the heart of what they do
  - narrowed focus e.g. rather than acquisitive crime as a priority, identified housebreaking as the specific local priority.
67. Whilst this does demonstrate an element of empowerment to localise plans, HMICS had expected to see a greater narrowing of focus at local level. However HMICS did find that the narrative in local plans and focus at tactical level was more reflective of such an approach and was working well across all local policing divisions.
68. HMICS found strong evidence of partnership and public consultation and engagement across all local policing divisions demonstrating a continuing focus on collaborative working and reflecting the public voice. This information was effectively reflected in those divisions with strategic assessments and used to develop tactical planning, although there was still a reliance on 'Your View Counts' survey information. Most divisions had appointed lead officers for each local priority at either superintendent or area commander (chief inspector) level.
69. HMICS considers that a local approach to engagement, planning and prioritisation is essential and that there is clear evidence that such approaches are valued and effective. However it is also clear that there is a lack of consistency and quality assurance in the approaches which are being taken which impact on the organisation's ability to fully assess whether they are having a national impact on their priorities.

## Current approach – other divisional plans

70. There is no statutory requirement for OSD, SCD or other central divisions and departments to produce delivery plans. Similarly, the previous strategic planning framework did not include a requirement for such plans, although Police Scotland has recognised this as a gap and are implementing a new framework which will see plans in place as of 1 April 2019. HMICS did identify some existing strategies and plans in place across these divisions and departments with numerous boards, forums and meetings in place to support delivery. There was however a lack of explicit control strategies in a number of areas.
71. Within this complex landscape HMICS could not identify any clear hierarchy of planning or governance across the organisation to ensure alignment and evaluate cross-cutting impact on priorities. Most of those interviewed felt that clarity and simplification of governance, planning and meeting structures was required.
72. Within OSD, HMICS identified a number of strategies and plans supported by strategic assessments including public order and roads safety and crime. There was evidence of these being updated to reflect priorities and being supported by local divisional plans and a number of governance forums. Each divisional Roads Policing Unit produces an annual tactical plan.
73. All functions within SCD contributed directly to the production of the SMASTA but did not produce individual strategic assessments. However, a number of strategic threat assessments and national profiles exist which support SCD tactical and operational planning. A firearms strategic threat assessment and a cyber strategic threat assessment have been developed, both of which contribute to wider UK assessments.<sup>26</sup> Similarly, the UK-wide CONTEST Strategy<sup>27</sup> and the Serious Organised Crime Strategy<sup>28</sup> also provide frameworks for delivery at a national level.
74. In particular, HMICS notes that the cyber strategic threat assessment provides excellent information in relation to emerging trends. It gives a local, national and international perspective of the threats, risks and issues with recommendations on tactics along with a clearly articulated intelligence requirement to fill any gaps which may exist.
75. Awareness of the annual police plan was high amongst senior officers within SCD with ownership of a significant number of plan commitments in the areas of serious organised crime, counter terrorism and domestic extremism, protecting people at risk of harm, violence, disorder and antisocial behaviour and acquisitive crime. However, it was noted that many of these commitments are delivered through local policing divisions with SCD providing direction and specialist resources to support local operations.
76. HMICS also found that portfolio ownership was unclear in some areas with the portfolios for violence and acquisitive crime both held by ACCs in local policing, whilst the policy and SCD delivery responsibility sits with the ACC (Crime and Protection). This leads to a lack of clarity over ownership and responsibility for outcomes. A review of portfolios is currently ongoing within Police Scotland which HMICS considers should address these issues.
77. Overall, HMICS found that Police Scotland has not clearly set out its expectations in terms of divisional strategic assessment, individual threat assessment and planning for all divisions and departments. HMICS considers that it should be possible to set out a clear policing model which provides a level of consistency and assurance but maintains the level of empowerment of divisional commanders to localise their approaches.

---

<sup>26</sup> National Crime Agency (NCA), [Strategic Assessment of Serious and Organised Crime](#), 2018.

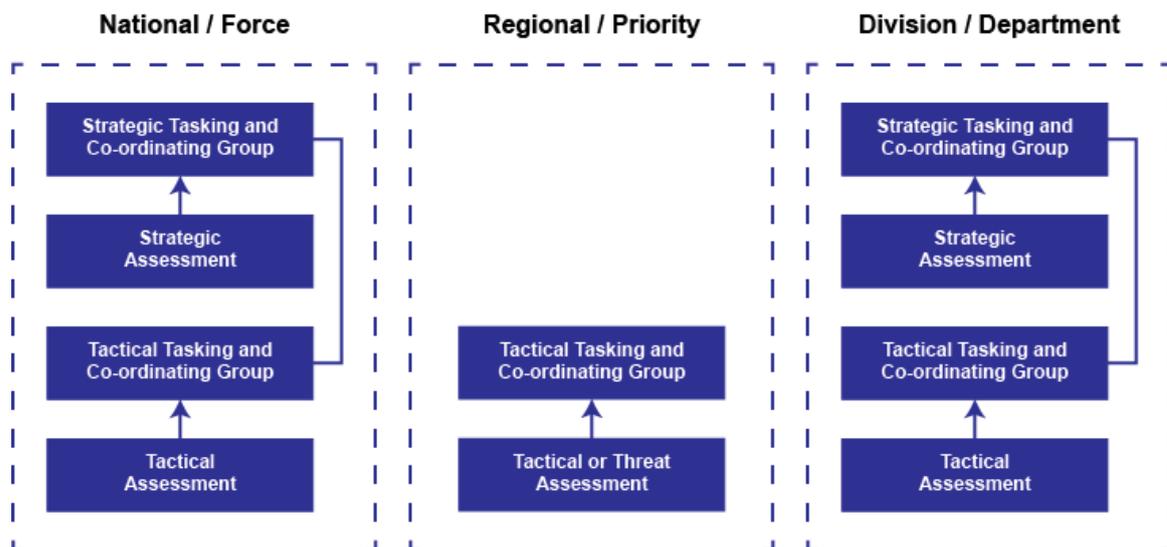
<sup>27</sup> HM Government CONTEST, [UK Strategy for Countering Terrorism](#), June 2018.

<sup>28</sup> HM Government, [Serious Organised Crime Strategy](#), October 2013.

## Delivery of priorities

79. In this second section of our inspection report we consider how effective the arrangements are, nationally and locally, for the operational delivery of the annual police plan 2018-19 priorities, including comment on the contribution the plan makes towards improving the safety and wellbeing of people, places and communities in Scotland. The processes involved include tactical analysis, tasking and co-ordinating (including resource allocation) and assessing delivery.
80. The strategic and tactical tasking and co-ordinating process is a pivotal part of policing delivery. The process provides managers with a decision making mechanism based on a full understanding of the problems faced. This enables managers to prioritise the deployment of resources at their disposal to best effect. Typically these processes will take place at force and divisional levels, but can be deployed in principle at any level where it is deemed appropriate.
81. Key to this approach are the roles of the strategic tasking and co-ordinating group and tactical tasking and co-ordinating group which provide the governance over strategic and tactical assessments, resource allocation, management of the intelligence requirement and commission intelligence products. Figure 3 sets out the different levels at which these processes should take place.

Figure 3 – Strategic and tactical tasking and co-ordination levels



### Intelligence products and management

82. The management of police information and intelligence is governed by a range of legislation and guidance, including the Data Protection Act 2018, the Human Rights Act 1998, the Regulation of Investigatory Powers Act 2000, the Regulation of Investigatory Powers (Scotland) Act 2000 and Authorised Professional Practice provided by the College of Policing.<sup>29</sup>
83. All police information must be treated as a corporate resource and intelligence should be seen as an integral function informing and supporting the development and delivery of local and national policing priorities including those outlined in the annual police plan.

<sup>29</sup> College of Policing, [Authorised Professional Practice on Intelligence Management and the Management of Police Information](#).

84. Typically, intelligence products are produced in response to an intelligence requirement identified by a tasking and delivery group. Intelligence requirements are generated from both strategic and tactical assessments and an intelligence collection plan will be developed and analytical techniques deployed to create the required product.
85. There are four intelligence products that are common to the successful delivery of a knowledge-based approach to policing. These products are defined as part of the NIM and are listed in table 4 below.

Table 4 – The four intelligence products<sup>30</sup>

Strategic assessment	This gives an overview of the current and long-term policing issues and should be used to draw and make recommendations for prevention, intelligence, enforcement and reassurance priorities, and future policing strategy. The strategic assessment is an integral part of the business planning process and is produced to drive the business of the strategic tasking and delivery group, assist the development of a control strategy and define the strategic intelligence requirements.
Tactical assessment	The tactical assessment drives the business of the tactical tasking and delivery group. The assessment identifies the short-term issues in a local police division, area or force-wide in accordance with the control strategy. The tactical assessment is a review of recent performance and actions set at previous tactical tasking and delivery group meetings. It also identifies emerging patterns and trends and will amend the intelligence requirement where necessary.
Subject profiles	These are usually commissioned by the tactical tasking and delivery group to provide a detailed report of a suspect(s) or victim(s). Each profile has an assigned owner and is added to and updated until the subject is apprehended or protected. Subject profiles may also be commissioned by a senior investigating officer to assist investigations during a major or serious crime inquiry, or by an intelligence manager to aid research.
Problem profiles	These are usually commissioned by the tactical tasking and delivery group to provide a greater understanding of established and emerging crime or incident series, priority locations or other identified high-risk issues. It also recommends opportunities for tactical resolution in line with the control strategy priorities or high-risk issues. Problem profiles may also be commissioned by an intelligence manager to aid research.

86. The national policing priorities outlined in the annual police plan are informed by the force strategic assessment that is in turn informed by divisional strategic assessments and the SMASTA. HMICS has commented on the quality of these strategic assessments in the first section of this report.

<sup>30</sup> College of Policing, [Authorised Professional Practice on Intelligence Management – section 3 Intelligence products](#).

87. We found that Police Scotland develops a significant number of subject and problem profiles that demonstrate the breadth and volume of work undertaken both nationally and locally. The content of subject and problem profiles will vary according to the nature and significance of the subject or problem. HMICS has reviewed a sample of problem profiles (see Table 5) and found each problem profile reviewed to be of good quality, highlighting the intelligence gaps and making recommendations for the collection of intelligence, prevention and enforcement opportunities.

Table 5 – Problem profiles reviewed

<b>Problem Profile - Theme</b>
Cybercrime
Drugs
County lines
Human trafficking
Non-indigenous serious organised crime groups
Online child sexual abuse
Fraud

88. HMICS has found that the majority of products are analyst-led and ensure an accurate picture of each subject/problem and use a wide range of information from across Police Scotland’s national and local ICT systems, including the Scottish Intelligence Database (SID). HMICS identified a number of challenges in compiling this information: specifically the current network infrastructure that restricts access by analysts to all databases and information.
89. Each of the 13 local police divisions has a Divisional Intelligence Unit (DIU) led by a Divisional Intelligence Manager (DIM). The divisional intelligence manager is responsible for the creation of the products and will ensure that analysts and intelligence officers work together to develop them. The DIU will typically produce most of the local intelligence products and quality assure all divisional SID entries.
90. In our 2015 *Inspection of the Management of Intelligence in Ayrshire Division and the National Intelligence Bureau*,<sup>31</sup> we reported that the Detective Chief Superintendent, Intelligence Support, SCD has no mandate to deliver change across the DIUs. HMICS commented at that time should the existing governance arrangements be retained, it is difficult to assess how the service will be able to deliver a sustained and corporate approach to the management of intelligence. HMICS has found this still to be the case.
91. During our current inspection, we established that the corporate approach to intelligence is delivered through the National Intelligence Managers Group (NIMG – previously known as the Divisional Intelligence Managers Meeting) chaired by a senior police officer from the National Intelligence Bureau (NIB), Intelligence Support, SCD with representation from all 13 DIUs. The NIMG meets regularly to ensure that all DIMs are aware of current threats and risks. We found that the NIMG is a solid platform where information and intelligence, best practice and learning points are shared across divisions.
92. Another key development since our report in 2015 is the appointment of an Assistant Chief Constable with executive portfolio responsibility for Specialist Crime and Intelligence. This divides the wide SCD portfolio between two ACCs. Although the SCD portfolio was originally managed by two ACCs, a single ACC managed the division, with the exception of Public Protection, for over 18 months prior to the new appointment. HMICS found there to be inherent tensions between the two areas. As previously noted a review of portfolios is currently ongoing within Police Scotland which HMICS considers should address these issues.

<sup>31</sup> HMICS, [Local Policing+ Inspection of the Management of Intelligence in Ayrshire Division and the National Intelligence Bureau](#), 27 March 2015.



93. In our 2015 report, we suggested that Police Scotland should use an intelligence requirement aligned to national policing priorities to fill gaps in knowledge, corroborate existing information and identify emerging threats. We found that there is a Strategic Intelligence Requirement for each threat identified by the SMASTA which generates intelligence collection plans and activity.
94. We found that Police Scotland recognised that further work is required to improve the creation of realistic intelligence collection plans across the wider range of policing priorities including protecting people at risk of harm. Intelligence Support has established national threat desks to support firearms and human trafficking priority areas.
95. The purpose of the threat desk and themed analysis is to identify threat, risk and highlight intelligence gaps and recommendations to mitigate against the emerging threats. HMICS regards this approach as a positive development in the effective management and exploitation of intelligence.
96. Linking outcomes to intelligence activities remains challenging and while SID can produce performance information in terms of quantitative data (the numbers) without context in terms of assessment and evaluation such data provides very little in the way of management information that supports how well the intelligence process is working.
97. We believe that further activity is required to strengthen Police Scotland's overall approach to the effective and efficient management of intelligence and it should introduce an approach that measures the qualitative aspect of intelligence submissions against policing priorities. The benefits of such an approach include:
  - a platform for feedback (both individual and organisational) on the added value of the intelligence submitted
  - an assessment of the strategic and operational knowledge gaps
  - an assessment as to the effectiveness of the flows of intelligence from national operations to support local policing priorities and local community-based intelligence to support national policing priorities.

### **Recommendation 3**

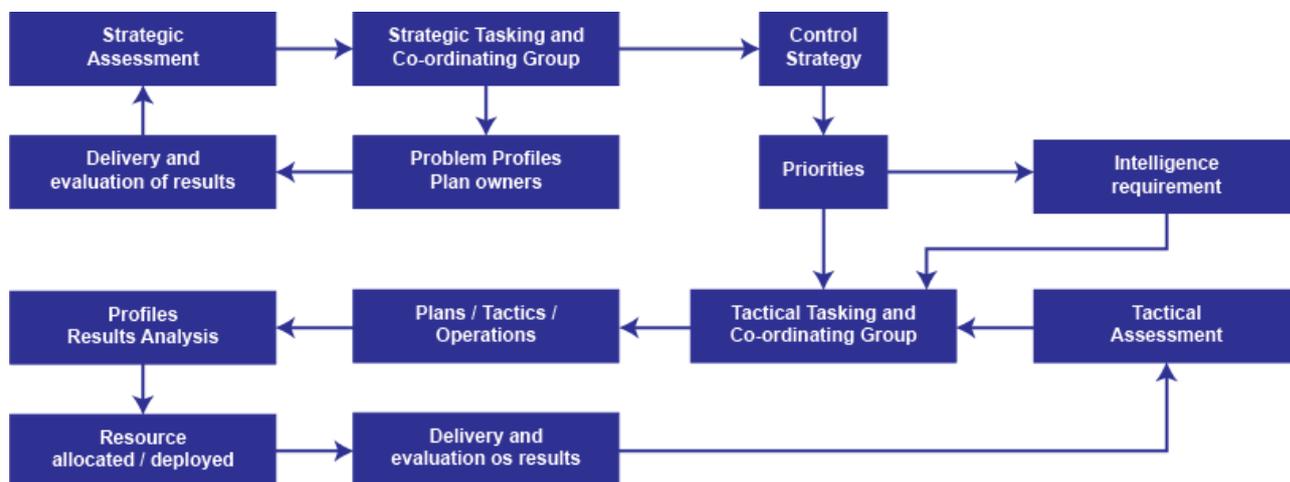
Police Scotland should introduce an approach that ensures there is a Strategic Intelligence Requirement aligned to all of the national policing priorities outlined in the annual police plan and have processes in place that measure the qualitative aspect of intelligence submitted against each national policing priority.

98. The effective management of intelligence remains an area of interest to HMICS and during our next local policing inspection of Greater Glasgow Division (November 2018) we will explore the management of intelligence in terms of delivery of local and national policing.

## Strategic tasking and co-ordination

99. As set out at paragraph 80, the tasking and co-ordinating processes which provide the governance over strategic and tactical assessments, resource allocation, management of the intelligence requirement and commission intelligence products provide the infrastructure upon which policing delivery is based. Figure 4 provides an overview of these processes and the key intelligence products used.

Figure 4 – Strategic and tactical tasking and co-ordination processes



100. The purpose of a strategic tasking and co-ordinating group (ST&CG) is to:

- consider the strategic assessment
- set or amend the control strategy where necessary
- sanction the intelligence requirement
- set the prioritisation of resources
- sit every six months, with an optional quarterly interim/exception review.

101. The ST&CG should be chaired by the Chief Constable, or divisional commander at local level, and consist of senior managers from the force or division including those from the analysis function, intelligence management and other policing central and support functions. Although partner agencies, including boards/authorities may not be directly involved, consideration of engaging these stakeholders in a review of the strategic assessment and priorities at least annually should be given (see Recommendation 2).

102. Whilst Police Scotland had initially held quarterly ST&CG meetings which were focused on performance review, this practice has changed to the inclusion of a quarterly item on the SLB meeting agenda to consider the SPA performance report. Most interviewees were uncertain as to whether this process actually meets the requirements of a ST&CG meeting. HMICS is clear that it does not.

103. The ST&CG role in maintaining focus on the force strategic assessment is essential in order to assess the effectiveness of policing delivery and ensure that priorities are correctly identified and followed. HMICS has found that without this forum, there has been a lack of attention given to the development and review of strategic assessments and the setting of priorities.

### Recommendation 4

Police Scotland should establish a dedicated strategic tasking and co-ordinating forum to meet at least six monthly to review the strategic assessment and consider organisational, operational and workforce planning and priorities.

104. HMICS found that not all local policing divisions were holding regular ST&CG meetings. However, some had retained quarterly meetings and were routinely reviewing their strategic assessments. Again, many were unclear as to what the current force policy or expectation was in terms of holding these meetings, with local commanders typically designing governance which best fits their own approach.
105. HMICS did not find evidence of ST&CG meetings within SCD. Although a number of management and themed groups were regularly considering overall progress and strategic threat assessments, there was no cross-cutting strategic review of the impact of SCD tactics on their priorities.

### Tactical tasking and co-ordination

106. The tactical assessment and supporting process should identify problems in line with the control strategy. It will:
- review progress on agreed plans and interventions
  - monitor levels of incidents and crimes and performance under each control strategy priority
  - identify any emerging trends
  - commission problem and target profiles
  - authorise and prioritise operational activity
  - make resource decisions
  - review the intelligence requirement and amend where necessary.
107. The Tactical Tasking and Co-ordinating Group (TT&CG) has several functions. It should:
- use the tactical assessment and the control strategy to prioritise intervention activity
  - check that previously agreed plans and interventions are still on course to meet objectives and ensure that focus is maintained
  - facilitate a briefing and debriefing process to ensure that the workforce is aware of intervention priorities, performance and planned responses.
108. A force-level tactical Tasking and Delivery Board meets monthly chaired by the DCC (Crime and Operational Support). A tactical assessment document is considered at each meeting which is produced by the APU. The document covers the six main priorities as well as a number of specific risk areas:
- |   |  |
|---|--|
| ■ Executive summary                                   | ■ <b>Protecting people at risk of harm</b><br>- domestic abuse |
| ■ New and emerging threats                            | ■ <b>Protecting people at risk of harm</b><br>– sexual crime   |
| ■ Tasking bids  | ■ <b>Road safety and road crime</b>                            |
| ■ <b>Violence, disorder and anti-social behaviour</b> | ■ <b>Acquisitive crime</b>                                     |
| ■ Stop and search                                     | ■ Public confidence – complaints and allegations               |
| ■ Missing persons                                     | ■ Public confidence – user satisfaction survey                 |
| ■ Hate crime  | ■ Analytical products summary                                  |
| ■ Cyber crime   |  |
| ■ <b>Serious organised crime</b>                      |  |
| ■ <b>Counter terrorism and domestic extremism</b>     |  |



109. The assessment provides statistical and performance information with supporting analysis and also includes a risk, response and results analysis for each section. The summary provided of all analytical products produced by the APU in-year is extensive, and demonstrates the breadth and volume of work undertaken both nationally and locally. The list provides the opportunity to review intelligence and analytical products produced across all divisions to facilitate intelligence sharing and organisational learning.
110. The Tasking and Delivery Board currently receives updates from each portfolio holder to discuss progress and highlight any new or changing threats. The board also considers updates on key intelligence products, corporate communications, performance and APU tasking. A significant part of the agenda is devoted to considering the current resourcing position and reviewing resourcing bids.
111. A report in April 2018 by internal auditors<sup>32</sup> had identified that whilst the then force Resource Governance Board (RGB) was operating in accordance with its terms of reference, it had failed to be effective due to decision-making restrictions. The RGB was responsible for allocating police resources to meet resource bids that had been authorised by the force Tasking and Delivery Board. Internal auditors found that the process of approving resource bids prior to resource allocations being assessed to determine if bids were feasible was ineffective and could result in inadequate resources being available to meet authorised bids. Police Scotland therefore combined the two groups.
112. Most resourcing requests submitted to the force Tasking and Delivery Board are relatively high level relating in the main to major operations or events and the establishment of new capability e.g. additional funding from partners, new legislative requirements etc. HMICS found only limited evidence of resource shifts to reflect changing priorities, threats or evaluation of impact and outcomes at this level.
113. HMICS also found that the Tasking and Delivery Board has limited oversight over the impact or effectiveness of deployment of specialist or national support resources to local policing divisions. Therefore, it cannot assess if more equal access to specialist support and national capacity has been created in terms of one of the original aims of police reform.<sup>33</sup>
114. HMICS acknowledges that the Tasking and Delivery Board has developed significantly from the previous performance-focused approach. However, evidence from a number of sources indicates that the tasking and co-ordinating process at the Tasking and Delivery Board, although continuing to develop, is not yet fulfilling its full role and has yet to effectively link to the associated resourcing process. The lack of maturity of the workforce planning process also currently constrains the effectiveness of the resource allocation process at force level.
115. A Multi-Agency Tasking and Delivery Board meets bi-monthly at the Scottish Crime Campus and is chaired by the ACC (Specialist Crime and Intelligence). Partners based at the campus attend the meeting and contribute to the tactical assessment and through briefings and presentations. As noted above, the SMASTA provides the strategic threat assessment basis for this group and focuses primarily on serious organised crime.
116. The tactical assessment considered by the group is a high quality and detailed document, produced by the APU with Intelligence Support input, and contains contributions from all partners. The assessment does include themes that encompass the work of partners which are wider than the six annual police plan priorities. HMICS found clear evidence of planned cross-agency operations which were having a direct impact on shared priorities. Resource requests were also considered at the meeting, but these only reflected bids from Police Scotland.

---

<sup>32</sup> SPA, [Audit Committee 18 April 2018 – Item 5.8 Internal Audit Report – Police Scotland Governance Structure](#).

<sup>33</sup> [Police and Fire Reform \(Scotland\) Bill – Policy Memorandum](#), January 2012.

117. HMICS observed the group and noted that discussions were open and the chair encouraged contributions from all agencies, however Police Scotland made up 50% of the attendees. HMICS could only identify direct tasking of Police Scotland resources, whilst partners are encouraged to support and contribute and asked to consider resource requests within their own organisations.
118. HMICS considers that this limits the effectiveness of the group which is not fully meeting its terms of reference as a tasking and co-ordination forum. HMICS views that the maturity of partnership arrangements should facilitate more dynamic resource allocation with representatives able to accept tasks and commit resources at the meeting. HMICS established that partners were increasingly keen to be more directly tasked in this way.

### **Recommendation 5**

Police Scotland should review the approach of both the force Tasking and Delivery Board and the Multi-Agency Tasking and Delivery Board to ensure they are meeting the required level of tasking and co-ordination.

119. HMICS found that local policing divisions were using tactical assessments in similar tasking and co-ordinating cycles (daily, weekly, monthly, bi-monthly or quarterly) across the country. However, the format, content and quality of these tactical assessments varied significantly. One division used a nine-page document another used a 65-page document with major variation in content and detail, however both appeared to be satisfied with their approach.
120. HMICS has found that divisions have developed their own local approaches to tactical assessment with no force direction or oversight. We also found that local approaches depended on the divisional commanders preferences as well as local analytical capability and capacity. HMICS is concerned that this significant level of inconsistency in tactical tasking and co-ordination has emerged over the past few years and that the quality and consistency of decision-making may be affected.
121. Despite this variation in approach, HMICS found that the local policing divisional meeting structures we observed ensure there is strong oversight of ongoing and emerging issues. HMICS identified there was no divergence from stated priorities and no evidence of ad hoc activity outwith those priorities. We also observed a number of multi-agency local partnership meetings and verified that effective tasking was taking place.

### **Access to specialist resources**

122. HMICS reviewed information related to the deployment of specialist resources through local tasking and co-ordinating processes and found that these lack consistency and clarity.
123. The various SCD divisions record information regarding deployments differently and the level of detail also varies. Some documents give a numerical overview of specialist resources deployed in the different regions of Scotland whilst others provide much more detailed information on the number of resource bids received from local divisions, including a breakdown of the number of bids supported and rejected.
124. In OSD, there were clear processes in place for requesting specialist resources for pre-planned operations and events. Tasking request forms are submitted and prioritised on the basis of threat, risk and harm. A national tasking calendar available on the force intranet lists all confirmed resource commitments. If requests are not supported, the reasons are sent back to the requesting division and details are recorded and reviewed. HMICS found however that dynamic allocation of resources was less clear with issues in collating information from command and control systems to provide an accurate picture of demand and response. This leaves a gap in the overall picture of specialist resource allocation from the division.

- 
125. HMICS found that there were processes in place, including template forms for completion, to request specialist resources. Although these processes are still in use, many of those we interviewed were unsure if arrangements were still current or had changed and indicated that most requests would be made by telephone and often relied on existing personal relationships.
  126. In order to provide greater transparency and assurance to the SPA and local scrutiny committees, Police Scotland should consider developing a consistent public reporting approach and regularly publish a divisional breakdown of the number and type of bids received, rejected or supported across all its divisions and reasons for instances where bids from local divisions could not be supported. HMICS considers that it is essential that Police Scotland continues to assess whether these resources are deployed to best effect across the country, reflecting existing as well as predicted demand.
  127. HMICS considers that transparency of the deployment of specialist or national support resources would also provide additional assurance to senior managers, the SPA Board and local scrutiny committees and more accurately demonstrate the very significant work undertaken by both SCD and OSD on a local basis.

### **Recommendation 6**

Police Scotland should develop transparent and consistent reporting of the deployment of specialist or national support resources from Specialist Crime Division and Operational Support Division.

### **Other divisions – tasking and co-ordination**

128. HMICS found evidence of daily tasking processes within OSD and regular thematic tasking and co-ordination through Monitoring Groups for Firearms, Public Order and Road Collisions and the national Road Safety Governance Board. A Road Safety Tactical Options Working Group brings together partners to develop and agree tactical options and approaches in response to identified priorities locally and nationally.
129. HMICS found evidence of daily and weekly management tasking processes within SCD at divisional and sub-divisional levels. Similarly elements of tasking were also evident at a number of management forums and themed groupings. However HMICS identified that many of the groups were primarily used as intelligence sharing and update meetings or were combined with general governance topics with a limited tasking element. This limits the ability of SCD to demonstrate clear and transparent decision-making on prioritisation and resource allocation.
130. In terms of assessing the results of activity as part of the tasking and co-ordinating process, we found evidence of progress reporting against both annual police plan commitments and live operations. However the majority of this reporting was narrative and case study based as opposed to results or outcome related.
131. As with the strategic tasking and co-ordination process, HMICS found there was no cross-cutting SCD tasking and co-ordination group or process evident at the time of our inspection. HMICS found that this position is exacerbated by the complexity of the governance landscape and partnership arrangements for operational delivery within SCD.
132. HMICS is aware that in the first few years after police reform there was a structured SCD tasking and co-ordination process. However this process appears to have been replaced with the Multi-Agency Tasking and Delivery Board which does not fully meet the requirements of a dedicated policing tasking and co-ordination forum.



133. Police Scotland has already recognised these issues and new SCD tasking and co-ordinating arrangements were due to be put in place in October 2018 which should improve transparency of decision making and resource allocation. SCD has also established a Strategic Support and Co-ordination Unit which should support the new arrangements. HMICS notes that further review of portfolio responsibilities, structures and supporting arrangements may also be required in order to ensure the effectiveness of the new approach. HMICS will continue to monitor implementation of the new arrangements.

### **Assessing delivery results**

134. Assessing the effectiveness of tactics, interventions and responses deployed by the force is an essential element of tasking and co-ordination. This results analysis allows managers to assess whether what they are doing is truly having an impact on the risks, threats and issues identified in strategic and tactical assessments. The effective use of performance information and formal evaluation in this process is vital.

135. HMICS recognises the challenges of assessing impact and measuring outcomes in the context of wider partnership working, however we are clear that Police Scotland must be accountable for the resources it commits and must demonstrate its contribution to these wider outcomes.

136. In order to assess the contribution the annual police plan has towards improving the safety and wellbeing of people, places and communities in Scotland, HMICS has assessed alignment of divisional priorities and plans and the corresponding evaluation of delivery results at tasking and co-ordination forums as well as the internal and external reporting of progress in performance reports.

137. As previously noted, HMICS has observed there is 'top-down' alignment from national priorities to those in local policing, and whilst there are gaps in the planning landscape in other divisions and departments, tactical and threat assessments demonstrate alignment elsewhere. HMICS has however found there to be a lack of clear definition of outcomes and associated measures across many areas of policing delivery. This makes assessment challenging, particularly where outcomes are shared with partners. However, we identified that the use of case study and statistical evidence as well as other performance measures were being used extensively to assess policing delivery.

138. As previously noted, the initial focus of Police Scotland on a performance based approach to delivery is well documented. Similarly the move away from a focus on performance operationally over the past two years has seen a more flexible but less focused approach being taken. HMICS has found that this has left the organisation with an inconsistent approach to strategic assessment, tasking and co-ordination and performance management, with many of those managers we interviewed unclear as to what is now expected of them.

139. HMICS has found that local policing performance reporting to local authority scrutiny committees now varies significantly in content, detail and quality. HMICS is aware that Police Scotland had previously set out basic templates for reporting with consistent content which could then be added to in order to reflect local scrutiny requirements. We have found that this consistency has been lost in the pursuit of 'localism' with no central quality assurance around the information presented to local scrutiny committees.

140. HMICS considers that it is essential there is clear direction provided in regard to local performance reporting to demonstrate contribution to national priorities. This should not interfere with the ability of local commanders to further develop their reporting to meet specific local needs.

141. Similarly information on the deployment of national resources into local divisions should also be available (see Recommendation 6) in local reporting as specialist resources will usually be deployed geographically in local areas. Transparency of this information would allow local elected members and the public a more holistic view of the police resources deployed in their area.
142. Overall, HMICS has found that, as with divisional strategic assessment, individual threat assessment and planning (see paragraph 77), Police Scotland has not clearly set out its expectations in terms of tasking and co-ordination and performance reporting for all divisions and departments. We therefore considers that there is now an opportunity to establish a clear Scottish policing model which provides the level of consistency and assurance required by a national force but maintains the level of empowerment at divisional level to provide a truly localised service.

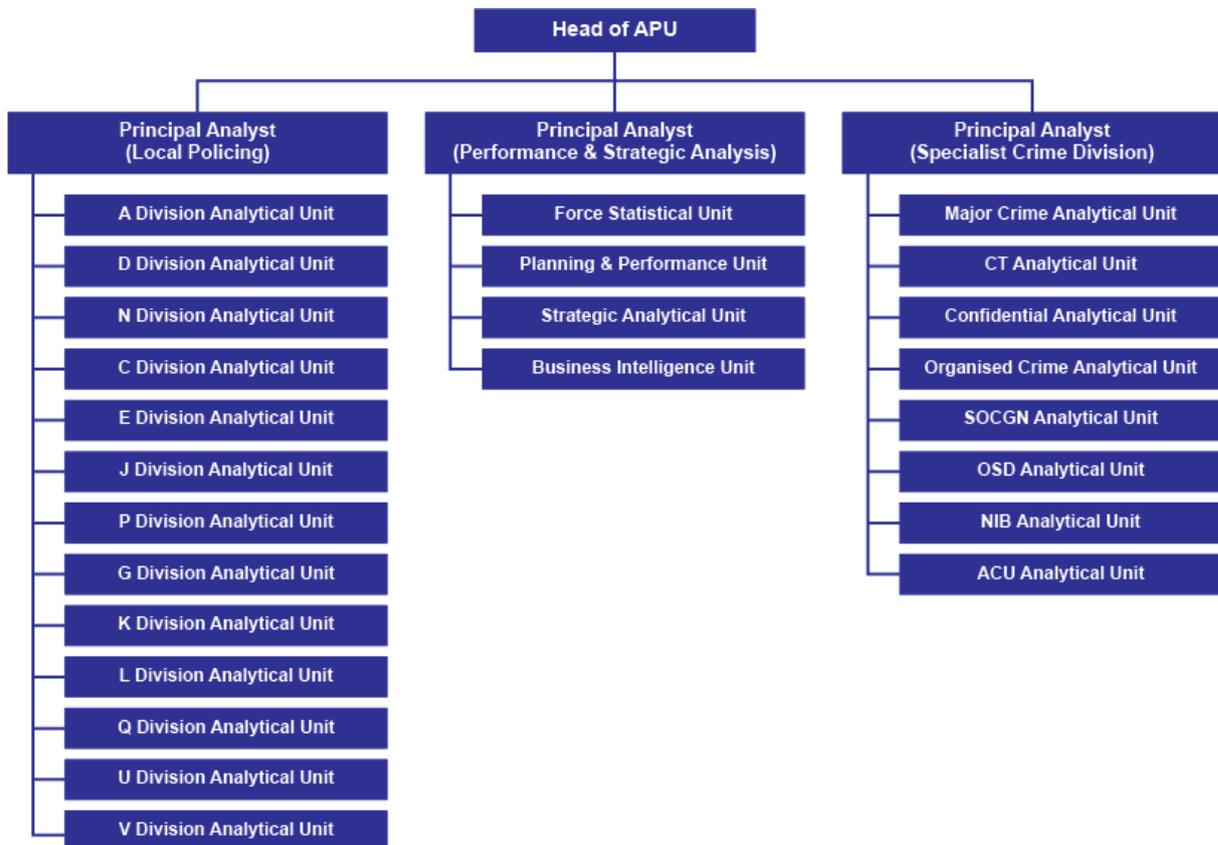
### Recommendation 7

Police Scotland should set out a Scottish policing model which provides the level of consistency and assurance required for a national force but maintains the level of empowerment of divisional commanders to localise their approaches

### Analysis resources

143. The Police Scotland Analysis and Performance Unit (APU) leads on the development of the force and divisional strategic assessments, produces an extensive range of analytical and intelligence products to support operational policing, and supports the performance management framework through the design and production of performance reporting.

Figure 5 – Analysis and Performance Unit structure



144. Figure 5 provides an outline structure for the APU. It should be noted that whilst analysts working in local policing divisions can be tasked by local commanders, they are line managed by the Principal Analyst (Local Policing) who can allocate other tasks and re-prioritise their work. Similarly in SCD, where there are dedicated analyst teams they can be tasked directly, however new or ad hoc requests are subject to prioritisation of available resources.
145. Throughout our inspection, analysis resources were consistently raised as an issue in various contexts in terms of meeting the needs of the business. These issues included:
- timetable, approach, content and style of the strategic assessment
  - attrition and inequality of staffing levels of the APU
  - inability to secure APU resource or delays in production
  - lack of transparency over allocation of APU resource
  - over reliance on statistical and performance information and products, potentially de-skilling intelligence analysts
  - quality of local analytical products and profiles dependent on capacity and capability locally
  - requirement for local analysts to feed information into the centre (to meet national requirements) detracting from local priorities mainly relating to ICT systems proliferation
  - limited progress in the development of the national performance framework
  - accuracy of products being affected by information availability in key areas
  - lack of intelligence input into analytical products.
146. HMICS found that staff numbers in the APU have decreased significantly since the creation of Police Scotland (currently 163 staff). Staffing levels were reduced by approximately 25-35% in the second year of the new force to achieve an allocated savings target. More recently, a high number of vacancies were not filled and subsequently removed from the core budget (approximately 40 staff). HMICS has also noted that the number of jointly funded partnership analyst posts has been adversely affected by the withdrawal of local authority funding. These issues have left gaps in provision across the country and inequitable distribution of experienced intelligence analysts. The SCD departmental risk register also recognises that the lack of APU resource is impacting on its intelligence capability.
147. The delay in delivering a single set of staff terms and conditions has also impacted on the APU as with other predominantly police staff functions across Police Scotland. Managers require to manage staff on varying terms and conditions which limits their ability to flexibly deploy resources and maintain resilience. Variation in gradings across legacy force areas impacts directly on morale and can affect collaborative working. HMICS also noted that planning and performance officer posts are graded higher than intelligence analyst posts.
148. HMICS also identified that there had been limited training or continuous professional development available for APU staff for more than two years. Whilst Police Scotland increased the APU training budget in 2017/18, training capability at the Scottish Police College (SPC) was removed due to savings requirements. The APU has therefore been unable to formally train new staff, provide core training for existing staff or invest in new tools and techniques to enhance analytical support. HMICS considers that in an area which is critical to supporting frontline policing delivery, this has been unacceptable. HMICS notes that Police Scotland has continued to provide a training budget and has recently reinstated the training capability and new courses are in development.

149. As noted at paragraphs 86 and 145, HMICS has identified that there are issues with data collection and compatibility across a diverse set of ICT application systems, issues with data quality and absence of collection mechanisms for key information. This directly impacts on the availability and quality of information which APU has at its disposal. HMICS views that comments made on the accuracy and quality of analytical and intelligence products was more likely to be affected by these issues than the capability and capacity of the APU.
150. The responsibility and line management of the APU has changed regularly throughout its five-year lifetime. Originally managed by the DCC (Local Policing), the function was transferred to the Director of Corporate Services, the Head of Organisational Development and a number of other senior police managers prior to being located currently with the ACC Strategy and Innovation. We have also noted that there is some duplication and overlap in the roles of the Head of Strategy, Insight and Innovation and Head of Analysis and Performance as they both have some responsibility for elements of the planning and performance framework. Similarly, the role of developing the annual police plan shifted from the APU to the organisational development function in 2015 and subsequently to the strategy and innovation function in 2017. Other responsibilities of the APU including improvement support, business analysis and research have also shifted to other departments over the past few years, reflecting issues with lack of capacity. These factors have continued to impact on the morale of the management and staff of the APU.
151. The ongoing imbalance between a focus on performance information and intelligence continues to be of concern to HMICS. In the HMICS Local Policing+ Inspection Programme Inspection of the Management of Intelligence in Ayrshire Division and the National Intelligence Bureau,<sup>34</sup> we suggested that Police Scotland should rebalance the intelligence analytical function alongside the analysis of performance data. In our current inspection, HMICS found that this remains an outstanding issue which must be addressed.
152. HMICS considers that this progressive diminution of the capability and capacity of the APU lies at the heart of the issues now being raised. Whilst none of these issues were caused by the APU, it is now placed in the untenable position of being unable to fully meet the needs and future aspirations of the organisation. HMICS considers that Police Scotland has failed to fully recognise and act on the impact of attrition, the changes in line management and responsibilities, and the move away from a performance-based delivery focus on the APU.
153. HMICS supports Police Scotland's aspirations to implement a revised approach to analytical support, using state of the art tools and techniques. However, we are clear that Police Scotland requires to make a clear statement as to what it wishes its analytical function to deliver (form should follow function) prior to designing any such approach. HMICS therefore recommends a number of design principles which should be used when considering a revised approach:
- inclusion of a chief professional analytical officer role (this would be a requirement should Police Scotland seek to become an official statistics producer or sign up to the voluntary application of the Code of Practice for Statistics<sup>35</sup> developed by the UK Statistics Authority)
  - clear structures and leadership, ensuring impartiality and independence in the analytical role
  - alignment of research commissioning and the conduct of research with the analytical function.

---

<sup>34</sup> HMICS, [Local Policing+ Inspection Programme Inspection of the Management of Intelligence in Ayrshire Division and the National Intelligence Bureau](#), 27 March 2015.

<sup>35</sup> UK statistics Authority, [Code of Practice for Statistics Edition 2.0](#), February 2018.



154. HMICS also considers that in order to redress the imbalance between intelligence analysis and performance analysis, that more direct alignment between intelligence analysts and SCD is required. Similarly, we consider that more direct alignment of performance analysts with the strategy function would bring greater cohesion to the strategic assessment and planning process in the force. This alignment would be best addressed through structural change.
155. When considering structural change, Police Scotland requires to consider analysis as a professional role which performs best within professional structures. This provides the peer support and professional development required to promote continuous improvement and ensure that analysis is focused on the most impactful tasks. HMICS is aware that a number of other public sector bodies have also reviewed their analytical functions which will have relevance for Police Scotland and should be considered as part of any evidence-based structural review process. HMICS is also supportive of Police Scotland signing up to the voluntary Code of Practice for Statistics or as a minimum putting plans in place to do so within a defined timescale.
156. HMICS has found that Police Scotland has allowed the provision of analytical support across the force to become inconsistent and of variable quality, having under-invested in both its capability and capacity. The previous emphasis and continued reliance on performance information has de-skilled the intelligence analyst function and alignment to SCD is essential moving forward to address this.

### **Recommendation 8**

Police Scotland should undertake an immediate review of its approach and delivery structure for analytical support with intelligence analysis aligned to specialist crime division and performance analysis aligned to the strategy function.

## Alignment of plans

157. In this third and final section of our inspection report we consider how effective the alignment of the annual police plan is with the current strategic police plan '*Policing 2026 – Serving a Changing Scotland*'.
158. Figure 1 sets out the hierarchy of priorities and planning within policing. This hierarchy requires alignment between each of the levels of planning, where plans, priorities and objectives should clearly link to those in the level above to demonstrate a 'line of sight' from officers and staff at the frontline to those principles set out in the Act. This allows all staff to understand the contribution they are making to high level objectives and outcomes, and should facilitate a clear approach to performance management at each level.
159. The current annual police plan lists the *Serving a Changing Scotland* objectives and sets out commitments against each of the identified priorities under the areas of focus from the strategy. Whilst this is intended to demonstrate alignment between the annual police plan and the *Serving a Changing Scotland* strategic police plan, HMICS found there is a high degree of confusion regarding this approach with many finding it challenging to map their commitments into these categories. HMICS could not identify explicit alignment between the annual police plan and the six objectives outlined in the *Serving a Changing Scotland* strategic police plan:

Table 6 – Objectives set out in *Serving a Changing Scotland*

Improving public contact, engagement and service
Strengthen effective partnerships
Enhance cyber and forensics capabilities
Empower, enable and develop our people
Invest in our use of information and technology
Transform corporate support services

160. The *Serving a Changing Scotland* objectives reflect the way that policing will be delivered and describe enabling approaches and programmes to achieving the vision set out in the strategy. They do not however reflect longer term outcome based aims in terms of how policing will make Scotland's communities safer. Some of those we interviewed were clear that this lack of alignment was responsible for the challenges now evident in the development of a supporting performance framework.
161. HMICS found there was broad recognition that the *Serving a Changing Scotland* objectives are primarily organisational and do not align particularly well to operational priorities and that there is a lack of clear outcomes articulated within the current planning structures. We are clear that having the *Serving a Changing Scotland* objectives has allowed the force to clearly communicate and engage around the process of transformation and change and structure its transformation programme. However, HMICS has found that it has hindered its ability to effectively make the links between the strategic police plan and day to day operational imperatives.
162. Whilst HMICS fully endorses the approach to develop a longer term vision for the service which has supported the development of a transformational approach, we have identified that there remains a lack of alignment in strategic planning between the *Serving a Changing Scotland* strategic police plan and the annual police plan.
163. We have therefore recommended that Police Scotland and the SPA review the objectives set out in the *Serving a Changing Scotland* strategic police plan and consider bringing forward the review of the strategic police plan in order to ensure there is appropriate alignment.

### Recommendation 9

Police Scotland and the Scottish Police Authority should review the objectives set out in the *Serving a Changing Scotland* strategic police plan and consider bringing forward the review of the strategic police plan.

164. HMICS recognises that Police Scotland has implemented a new strategic planning framework (June 2018) and plans to move to a three-year planning cycle commencing on 1 April 2019. The proposed three-year delivery plan will incorporate the annual police plan, the three-year implementation plan and elements of corporate planning to provide a more cohesive organisational planning approach, aligned to financial planning, which will also support an effective operational planning cycle with corporate, DCC and divisional level plans.
165. As with other UK forces, an annual plan will still be published, but in much shorter form (see paragraph 42) and focus on the operational control strategy providing the SPA and wider public with improved transparency and accountability for the delivery of policing in Scotland. HMICS views that this approach will address the majority of issues we have identified and facilitate further simplification of the strategic planning and performance frameworks.

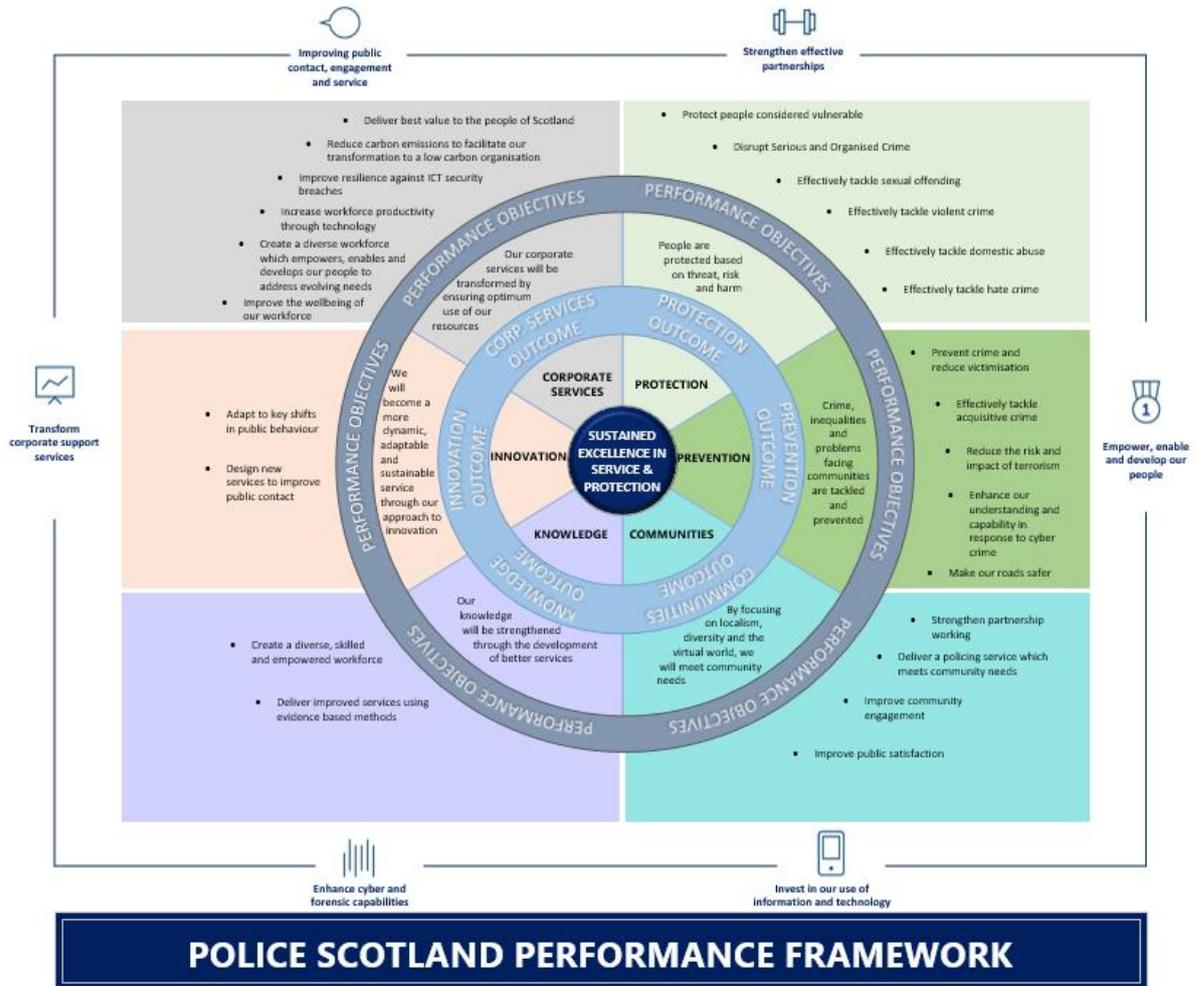
### Recommendation 10

Police Scotland should move to a three year delivery plan cycle to directly underpin the Scottish Police Authority's strategic police plan complemented by the publication of an annual control strategy style plan.

### Performance reporting

166. The SPA Board has been considering quarterly performance reports from Police Scotland since 2013. Until August 2018, the performance framework did not explicitly reflect delivery of the annual police plan but did provide information which could be used to assess progress in some areas. Much of the information provided on progress is of a narrative nature as opposed to quantitative and qualitative measures.
167. At the time of our inspection, Police Scotland had been developing a new performance framework for over a year as part of the Demand, Productivity and Performance workstream of the transformation programme. A draft framework had been widely circulated, with a set of key performance questions and 19 performance objectives. Five different levels of performance reporting had also been defined: force, functional, divisional, local authority and SPA.
168. A draft framework was considered and noted at the SPA Board meeting on 27 February 2018 (see Figure 6). SPA members raised a number of points for further consideration in the final version of the framework including demonstrating linkage to the annual police plan.

Figure 6 – Draft Police Scotland Performance Framework (February 2018)



169. HMICS identified at the time of our inspection that there had been a significant lack of progress in developing the revised national performance framework. This was recognised at the SPA Board meeting in August 2018.<sup>36</sup> SPA Board members noted a number of concerns regarding progress and the Chair stated there was a need to work jointly to further develop and report on the performance of policing in Scotland.

170. HMICS found that the current performance framework is not outcome-focused (see paragraph 161) and not well aligned to the annual police plan or *Serving a Changing Scotland* strategic police plan. There also remain gaps in information within the current (and proposed) performance framework, which result from issues with data collection and compatibility across a diverse set of ICT application systems, issues with data quality and absence of collection mechanisms for key information.

<sup>36</sup> SPA, [Board Meeting - 30 August 2018 – Item 11](#).

171. A report in July 2018 by internal auditors on Police Scotland performance management,<sup>37</sup> based on the Police Scotland plan to implement a new framework in quarter one of 2018-19, also identified a number of very high and high risk areas:
- Police Scotland is currently working to develop and implement a new Performance Management Framework. While a great deal of work has been completed to date, the lack of effective project management arrangements means that there is still a significant amount of work to be completed
  - In particular, more work is required to link identified Key Performance Indicators (KPIs) to objectives and to define, document and structure how the performance management processes will work in practice
  - In addition, the data requirements to inform the specification of the new IT systems required to deliver an effective and efficient performance management system have not yet been set
  - As a result, the existing timeline for implementation (quarter one of 2018-19) of the new performance framework is challenging and may not be achieved.
172. Audit Scotland has also noted in its most recent 2017-18 annual audit report<sup>38</sup> that the SPA and Police Scotland do not have a well-developed performance management framework in place. They also state that the new system which has been introduced in 2018-19 to strengthen performance reporting and its effectiveness must be prioritised to ensure that the SPA is able to properly hold Police Scotland to account.
173. Police Scotland has now recognised that a revised approach to the development of their performance framework is required and have created a new plan to define outcomes and deliver a new framework by quarter one 2019-20. Ongoing development and improvement in the format of public reporting will also be undertaken to ensure that transparent assessment of annual police plan delivery can be undertaken.
174. The SPA and Police Scotland have also recognised the importance of addressing their ICT infrastructure and systems landscape and recently agreed a Digital, Data & ICT Outline Business Case<sup>39</sup> at the Board meeting in September 2018. The business case states that the data technology proposed will significantly alter the way that analysts perform their roles by making data easier to access and more readily available.
175. The role of the SPA in clearly defining its expectations of performance reporting in terms of the new framework is key. It has a statutory responsibility to produce an annual report which includes an assessment of the performance by Police Scotland in the previous year. This must include an assessment of progress towards meeting the main objectives and outcomes set out in the strategic police plan, as well as an assessment of the implementation of the annual police plan.
176. HMICS has seen evidence of such guidance being provided by SPA officers to Police Scotland, to limited effect, reflecting the constraints noted above. This has directly impacted on the quality of annual reporting which the SPA is then able to produce. However it is also clear that SPA Board members could be more engaged in this process with support from both SPA and Police Scotland staff.

---

<sup>37</sup> SPA, [Audit Committee 24 July 2018 – Item 5.4 Internal Audit Report – Police Scotland Performance Management](#).

<sup>38</sup> SPA, Board Meeting – 24 October 2018 – Item 14 (in private) - Audit Scotland 2017/18 Annual Audit Report to Members and the Auditor General for Scotland.

<sup>39</sup> SPA, [Board Meeting – 27 September 2018 – Item 8](#).



177. Whilst it is not for the SPA to design or implement a performance framework within Police Scotland, it can more effectively support this work and assure itself that suitable internal governance, planning and performance arrangements and analytical capability and capacity are in place to support its delivery.

#### **Recommendation 11**

The Scottish Police Authority should clearly set out its expectations of public performance reporting for Police Scotland and assure itself that suitable internal governance, planning and performance arrangements are in place to support its delivery.

178. HMICS considers that the lack of progress to date on performance management is a major leadership and governance shortcoming for both the SPA and Police Scotland. This requires immediate remedial action in terms of the application of professional project management, data gap analysis and specialist performance skills. Whilst the revised implementation date of quarter one 2019-20 is viewed as a realistic timescale, particularly in terms of developing baselines for new performance measures, HMICS is of the view that the approach requires to be further accelerated.

#### **Recommendation 12**

Police Scotland and the Scottish Police Authority should review their approach to the development of a new performance framework and consider the development of clearly defined outcomes with associated qualitative and quantitative performance measures.

## Appendix 1 – Legislative requirements

The Police and Fire Reform (Scotland) Act 2012 sets out the statutory requirements for the SPA and Police Scotland in terms of priorities, planning and annual review.

### What the Act says about strategic policing priorities (section 33):

- The Scottish Ministers may determine strategic priorities for the Authority ('strategic policing priorities').
- Strategic policing priorities may relate to the policing of Scotland, or the carrying out of the Authority's functions.
- Before determining strategic policing priorities, the Scottish Ministers must consult the Authority, the chief constable, such persons as appear to them to be representative of local authorities, and such other persons as they consider appropriate.
- When determining strategic policing priorities, the Scottish Ministers must have regard to the policing principles.
- The Scottish Ministers must arrange for the strategic policing priorities to be published in such manner as they consider appropriate. The Scottish Ministers must lay a copy of the strategic policing priorities before the Scottish Parliament.

### What the Act says about a strategic police plan (section 34):

- The Authority must prepare a strategic police plan which **sets out the main objectives** for the Authority and for the policing of Scotland, explains the **reasons for selecting each main objective**, describes **what** the Authority considers **should be done** by it or by the Police Service **in order to achieve the main objectives**, where reasonably practicable, **identifies outcomes by reference to which the achievement of the main objectives may be measured**, and includes **any other information** connected with the Authority's functions, or policing, which the Authority considers appropriate.
- Before preparing a strategic police plan, the Authority must make arrangements for obtaining views on what the plan should contain from persons whom it considers likely to have an interest in policing.
- The Authority must involve the chief constable in the preparation of a strategic police plan and the chief constable must provide the Authority with such assistance as it may reasonably require in that regard.
- When preparing a strategic police plan, the Authority must send a copy of a draft plan to each local authority, HMICS and such other persons as the Authority considers likely to have an interest in the plan. They must invite the recipients to comment on the draft plan within such reasonable period as the Authority may specify, and have regard to any comments received within that period.
- The Authority must submit its strategic police plan to the Scottish Ministers, and use its best endeavours to secure their approval of the plan (with or without modifications). If the Scottish Ministers approve a strategic police plan submitted to them, the Authority must then publish the approved plan in such manner as the Authority considers appropriate (having regard to

the desirability of it being accessible to those whom the Authority considers likely to have an interest in it), and lay a copy of it before the Scottish Parliament.

- The Authority must review an approved strategic police plan at least once every three years (and must, in particular, do so where the strategic policing priorities have been significantly revised), and following such a review, must prepare a replacement strategic police plan, or notify the Scottish Ministers that, having undertaken a review, the Authority has concluded that there is no need to replace the existing strategic police plan.

#### What the Act says about annual police plans (section 35):

- The chief constable must prepare an annual police plan for each yearly period beginning on 1 April.
- An annual police plan is a plan which **sets out the proposed arrangements for the policing of Scotland** during the yearly period, describes **how those arrangements are expected to contribute towards the achievement of the main objectives** for the policing of Scotland set out in the strategic police plan (by reference, where appropriate, to outcomes identified in that plan), and includes **any other information** connected with policing which the chief constable considers appropriate.
- When preparing an annual police plan, the chief constable must send a copy of a draft plan to the Authority, invite the Authority to comment on the draft plan within such reasonable period as the chief constable may specify, and have regard to any comments received within that period.
- The chief constable must publish the annual police plan before the start of the yearly period to which it relates in such manner as the chief constable considers appropriate (having regard to the desirability of it being accessible to those whom the chief constable considers likely to have an interest in it), and lay a copy of it before the Scottish Parliament.

#### What the Act says about alignment of plans (section 36):

- In carrying out their respective functions in relation to the preparation of the strategic police plan and each annual police plan, the Authority and the chief constable must have regard to the policing principles, have regard to, and ensure that the strategic police plan and each annual police plan is not inconsistent with, the strategic policing priorities, and ensure that an annual police plan is not inconsistent with the most recently approved strategic police plan.

#### What the Act says about local police plans (section 47):

- As soon as is reasonably practicable after the first strategic police plan is approved under section 34, a local commander must prepare and submit a local police plan to the relevant local authority for approval.
- A local police plan is a plan which sets out the main priorities and objectives for the policing of the local authority's area, explains the reasons for selecting each of those priorities and objectives, sets out the proposed arrangements for the policing of the local authority's area (and how those arrangements are expected to achieve the main priorities and objectives), where reasonably practicable, identifies outcomes by reference to which the achievement of

those priorities and objectives may be measured, describes how those priorities, objectives and arrangements are expected to contribute to the delivery of any other relevant local outcomes which are identified by community planning, and includes any other information connected with the policing of the local authority's area which the local commander considers relevant.

- In preparing a local police plan, the local commander must have regard to the most recently approved strategic police plan, and consult the joint central committee of the Police Federation for Scotland, such persons as appear to the local commander to be representative of senior officers, such persons as appear to the local commander to be representative of superintendents (including chief superintendents), such persons as appear to the local commander to be representative of police staff, and such other persons as the local commander considers appropriate.
- If the local authority approves a local police plan submitted to it, the local commander must publish it in such form and manner as the Authority may specify.
- The local commander must review the local police plan if a new strategic police plan is approved, or the plan is not replaced under subsection (6) or modified under subsection (9) during the period of three years beginning with the date of publication of the plan.
- Following a review the local commander may prepare and submit a replacement plan to the local authority for approval.
- The local commander and the local authority may agree to modify an approved local police plan at any time.

#### **What the Act says about the annual report (section 39):**

- The Authority must prepare an annual report as soon as practicable after the end of each reporting year which sets out an assessment of the performance by the Authority and the Police Service during the reporting year in achieving, or in working towards achieving, the main objectives set out in the most recently approved strategic police plan (by reference, where appropriate, to outcomes identified in that plan), and an assessment of the performance by the Police Service during the reporting year in implementing the proposed arrangements set out in the annual police plan for the period to which the report relates.
- The chief constable must within three months of the end of a reporting year (end June), provide the Authority with a report setting out the chief constable's assessment of the Police Service's performance during that reporting year in the policing of Scotland, and provide the Authority with such other assistance as it may reasonably require in relation to the preparation of an annual report.
- The Authority must publish each of its annual reports in such manner as the Authority considers appropriate (having regard to the desirability of it being accessible to those whom the Authority considers likely to have an interest in it), provide a copy of each of its annual reports to the Scottish Ministers, and lay a copy of each of its annual reports before the Scottish Parliament.

## Appendix 2 – Police Scotland Control Strategy 2017-18

<b>PRIORITY</b>	<b>SUB-PRIORITY</b>
Violence, Disorder and Antisocial Behaviour	Domestic Abuse
	Hate Crime
	Serious Assault
Serious Organised Crime	Drugs
	Feuds, Firearms and Violence
	Cybercrime
Counter Terrorism and Domestic Extremism	International Terrorism
Protecting People at Risk	Child Sexual Abuse
	Child Sexual Exploitation
	Child Protection
	Missing Persons
	Sexual Assault
	Rape
	Managing Registered Sex Offenders
	Adults at Risk
Road Safety and Road Crime	Injury on Scotland's Roads
Acquisitive Crime	Doorstep Crime
	Fraud

Source: Police Scotland National Strategic Assessment 2017-20

## Appendix 3 – Glossary

---

ACC	Assistant Chief Constable
APP	Authorised Professional Practice
APU	Analysis and Performance Unit
CONTEST	Counter-terrorism Strategy
DCC	Deputy Chief Constable
HMICS	Her Majesty's Inspectorate of Constabulary in Scotland
ICT	Information and Communications Technology
LIP	Locality (Improvement) Plan
LOIP	Local Outcomes Improvement Plan
NCA	National Crime Agency
NIB	National Intelligence Bureau
NIMG	National Intelligence Managers Group
OSD	Operational Support Division
PDC	Personal Development Conversations
PESTELO	Political, Economic, Social, Technology, Environment, Legal and Organisational strategic environmental analysis
RGB	Resource Governance Board
SCC	Scottish Crime Campus at Gartcosh
SCD	Specialist Crime Division
SID	Scottish Intelligence Database
SLB	Senior Leadership Board of Police Scotland
SMASTA	Scottish Multi-Agency Strategic Threat Assessment
SPA	Scottish Police Authority
SPC	Scottish Police College
ST&CG	Strategic Tasking and Co-ordinating Group
T&CG	Tasking and Co-ordinating Group
TT&CG	Tactical Tasking and Co-ordinating Group



**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](mailto:hmic@gov.scot)

Web: [www.hmics.scot](http://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.

© Crown copyright 2018

ISBN: 978-1-910165-45-4