



The Scottish Parliament  
Pàrlamaid na h-Alba

Mary Fee MSP  
Convener  
Justice Sub-Committee on Policing

By e-mail only

**Public Audit and Post-legislative  
Scrutiny Committee**

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Dear Mary,

The Public Audit and Post-Legislative Scrutiny Committee has now concluded its consideration of the Auditor General's 2015/16 audit of the Scottish Police Authority, and the separate i6 audit.

We have taken extensive evidence on both audits and have sought to work with you so that our scrutiny of the SPA and Police Scotland is as joined-up as possible. All the Official Reports of our meetings are now available, along with links to the evidence provided<sup>1</sup>, so you will be able to readily identify those issues that we have already scrutinised in detail.

Given the audits' fundamental importance to your committee, we considered it would also be helpful to highlight some outstanding issues from our evidence-taking that may inform your forthcoming meeting with the SPA and Police Scotland. These are set out in the attached annexe.

Our scrutiny of the SPA audit focussed primarily on the SPA's governance, in order that you would be able to focus on the longer term, policy issues arising from the audit.

Given the strength of feeling amongst the Committee members about the evidence we heard, we have written to the Cabinet Secretary to express our concerns about

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<sup>1</sup> <http://www.parliament.scot/parliamentarybusiness/CurrentCommittees/103170.aspx>  
<http://www.parliament.scot/parliamentarybusiness/CurrentCommittees/103982.aspx>

governance and to request that appropriate action be taken. I attach a copy of this letter for your information; again, we trust that this will help to inform your own scrutiny work.

Regards,

**JACKIE BAILLIE MSP**

**Acting Convener to the Public Audit and Post-Legislative Scrutiny Committee**

We have set out immediately below some topics from the SPA audit that we did not have time to consider in depth or on which we consider further questioning may be useful. We then provide similar information on the i6 audit.

### **Outstanding issues from the SPA audit**

#### *Action plan*

The Committee previously criticised Mr Foley for not providing the [action plan](#) agreed by the SPA in response to the Auditor General's audit. The plan contains eleven actions, seven of which should have been completed by now, and all of which should be completed by the end of June.

**You may wish to question whether all the actions in the plan have been completed or are on track. In particular, has the new Chief Financial Officer now been appointed?**

#### *Staff training*

In oral evidence, David Page of Police Scotland told the Committee—

“In future, we will devolve budget responsibility to the deputy chief constables, the assistant chief constables and, ultimately, the chief superintendents—in effect, to the business unit level—to give them both accountability and responsibility.”<sup>2</sup>

A recent Herald [article](#) quoted Police Scotland as saying that training and support would be provided to those with responsibility for budgets.

**Given that the Auditor General has highlighted on-going and unacceptable weaknesses of financial leadership in both the Scottish Police Authority and Police Scotland, you may wish to question exactly how staff will be trained to have budgetary responsibility.**

#### *Scottish Institute for Policing Research*

In addition to the scrutiny of the SPA undertaken by our committees, the Auditor General and HMICS, the Scottish Government has commissioned a consortium led by the Scottish Institute for Policing Research to evaluate police (and fire) reform at a cost of £270,000 over four years. The Institute's first annual report was published last June and contained a short commentary on governance<sup>3</sup>.

**You may wish to ask for specific examples of how the Institute's findings have helped to improve policing.**

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<sup>2</sup> See column 33: [http://www.parliament.scot/S5\\_Public\\_Audit/OR2March.pdf](http://www.parliament.scot/S5_Public_Audit/OR2March.pdf)

<sup>3</sup> <http://www.gov.scot/Publications/2016/06/3002>

## Outstanding issues from the i6 audit

### *Legacy systems*

We have been told by the Scottish Police Authority that 125 legacy systems remain in place, and that the annual cost of maintaining these legacy systems is £1,075,991.96<sup>4</sup>. They have also stated that they have commenced a programme to update individual legacy to ensure their ongoing viability, but that these updates do not significantly enhance functionality or improve operational performance.

**You may wish to ask how the maintenance of legacy systems and development of new IT systems is managed to avoid the SPA relying on legacy systems longer than is desirable.**

### *Integration of new national applications with legacy systems*

The Scottish Police Authority have told us that newly deployed national applications provide information across legacy boundaries. They have also said that some of these new national applications have been integrated with legacy systems in order to re-use or reference information held across legacy systems. However, it is not clear whether those legacy systems not integrated with new national applications could cause difficulties, and the SPA have said that significant further work is still required to improve efficiency.<sup>5</sup>

**You may wish to explore which new national applications are not integrated with legacy systems, and whether this poses any issues.**

### *A single national IT system*

The SPA have stated that they believe a single, national IT system for policing is still viable, but that their contingency report in response to the non-delivery of i6 recommended incremental delivery. They have also said that new IT systems would be delivered in a phased manner.<sup>6</sup>

**You may wish to explore these future plans in more detail, particularly the timescales for new IT systems being in place that would offer the same benefits as i6.**

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<sup>4</sup> [http://www.parliament.scot/S5\\_Public\\_Audit/General%20Documents/2017\\_05\\_04\\_Letter\\_to\\_Jackie\\_Baillie\\_MS\\_P-i6.pdf](http://www.parliament.scot/S5_Public_Audit/General%20Documents/2017_05_04_Letter_to_Jackie_Baillie_MS_P-i6.pdf)

<sup>5</sup> [Ibid](#)

<sup>6</sup> [http://www.parliament.scot/S5\\_Public\\_Audit/2017\\_04\\_13\\_SPA-PAPLS\\_response.pdf](http://www.parliament.scot/S5_Public_Audit/2017_04_13_SPA-PAPLS_response.pdf)

## LETTER TO THE CABINET SECRETARY FOR JUSTICE

Dear Michael,

The Committee agrees with your recent statement to the Scottish Parliament that the Scottish Police Authority (SPA) must be open and transparent about the way in which it discharges its responsibilities, and learn lessons in relation to approaches it has taken in the past<sup>7</sup>.

We are therefore writing to set out our very serious concerns about the standards of governance at the SPA, following our recent evidence sessions<sup>8</sup>. In particular, we consider that the chair of the SPA board, Mr Andrew Flanagan, would appear to have behaved inappropriately on occasion and in a manner not in keeping with relevant Scottish Government guidance. We consider this to be unacceptable, particularly in relation to a public body that performs such a vital role.

Concerns about the standard of governance within the SPA are by no means new or limited to our committee. We therefore also support your recent initiative to bring forward the statutory inspection of the SPA, which will be carried out by Derek Penman, Her Majesty's Chief Inspector of Constabulary in Scotland<sup>9</sup>. In particular, it is entirely correct that you have highlighted the aspects of the inspection that relate to transparency and accountability, as this is exactly where the problems lie.

We note and welcome the views provided to us by current members of the SPA board that the organisation has made improvements and will continue to do so. Nevertheless, it is essential that the public and stakeholders be reassured that the SPA is performing to an appropriate standard. We therefore highlight a number of specific issues for you to address—

### **Collective responsibility**

We fully understand the importance of collective responsibility for the boards of public bodies. However, it is clear from the relevant Scottish Government guidance for members of such bodies (*'On Board'*<sup>10</sup>) that this principle applies *after* a board has agreed a decision.

We stress this point as it is relevant to the case of Moi Ali, a former SPA board member. We are not a tribunal passing formal judgment on Ms Ali's circumstances. However, we have not seen anything in the evidence presented to us to suggest that Ms Ali did anything to breach the principles of collective responsibility. Rather, it appears to us that Mr Flanagan treated Ms Ali in an inappropriate manner, to the degree that she felt obliged to resign from the board.

We would be extremely worried if any potential members of the SPA board (or of any public board) were to be dissuaded from applying because they felt they would not be able to offer appropriate criticism and challenge. We therefore expect the Scottish

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<sup>7</sup> <http://www.parliament.scot/parliamentarybusiness/report.aspx?r=10908&i=99773>

<sup>8</sup> <http://www.scottish.parliament.uk/parliamentarybusiness/CurrentCommittees/103170.aspx>

<sup>9</sup> [http://www.parliament.scot/S5\\_Public\\_Audit/2017\\_04\\_21\\_CSJ-JSC\\_re\\_HMICS\\_review.pdf](http://www.parliament.scot/S5_Public_Audit/2017_04_21_CSJ-JSC_re_HMICS_review.pdf)

<sup>10</sup> <http://www.gov.scot/Resource/0051/00514817.pdf>

Government and the SPA to take steps to ensure that the chair and all board members are fully aware of the practical implications of the On Board guidance.

## **Transparency**

It is neither our job nor our desire to micro-manage the board of the SPA. However, some of its decisions on basic operational matters have been inexplicable and we considered that there was a clear need to challenge Mr Flanagan in order to try to provide some reassurance to the public and key stakeholders.

### *Information provided to the board*

Mr Penman wrote to Mr Flanagan in December 2016 to comment on the recommendations contained in his governance review. Despite the fact that the letter was clearly intended to inform SPA board members ahead of an important meeting, it was not circulated by Mr Flanagan. We consider this decision to be unacceptable. The decision is even harder to understand as the letter also formally confirmed that Mr Penman intended to undertake a statutory inspection of the SPA, an announcement of supreme importance to members of the board. Mr Penman confirmed to us that he expected the letter would have been circulated to the board, and that some information contained in the letter had not previously been discussed with all board members.

We welcome the recognition by both Mr Flanagan and the Scottish Government's accountable officer, Mr Paul Johnston, that the letter should have been circulated. We consider that, in future, all board members must be provided with all information that is necessary for the effective undertaking of their duties.

### *Meeting in private*

We understand there will be times when public bodies have to discuss matters in private. This is particularly true of the SPA on those occasions where it considers highly-sensitive policing information. However, we believe the default position for such an important body is that its committees should meet in public, a position that appears to have widespread support. Indeed, one of the stated priorities in the SPA's own draft 10-year strategy recognises the importance of openness—

“Continuously improve public confidence in policing and inspire trust by being transparent, accountable and acting with integrity, fairness and respect.”<sup>11</sup>

It is hard to understand why this issue has proved to be so difficult for the SPA to reconcile, although we note that its next board meeting will consider Mr Flanagan's recommendation that would allow committee chairs “the discretion to hold all or part of future SPA committees in public”<sup>12</sup>. We are also assured that this issue will be addressed in Mr Penman's investigation<sup>13</sup>. Mr Penman suggested he was likely to recommend that committee meetings be held in public.

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<sup>11</sup> <http://www.spa.police.uk/assets/128635/293617/376046/386827>, page 57.

<sup>12</sup> [http://www.parliament.scot/S5\\_Public\\_Audit/2017\\_04\\_20\\_SPA-PAPLS\\_follow\\_up.pdf](http://www.parliament.scot/S5_Public_Audit/2017_04_20_SPA-PAPLS_follow_up.pdf)

<sup>13</sup>

<http://www.hmics.org/sites/default/files/publications/HMICS%20Thematic%20Inspection%20of%20the%20Scottish%20Police%20Authority%20->

In any event, it would be entirely unacceptable for the SPA ever to repeat the situation, as we discussed in oral evidence, where it held several private ‘members meetings’ to discuss governance then produced no public notes of those discussions. We consider that there is a clear need for a culture shift within the organisation so that there are far fewer private meetings and so that more effective procedures are established to ensure that information is recorded, stored and, where appropriate, made publicly available.

On a specific issue, we note the evidence provided by Mr Graham that one of the reasons he supported committees meeting in private is that information flows and relationships with senior police officers were not good enough. We expect action to be taken to remedy this situation.

#### *Publicising meetings*

The SPA has also struggled with the best means of publicising and circulating the papers for its future board meetings. For its latest meeting (on 22 March), papers were circulated to key stakeholders 48 hours in advance of the meeting on a strictly confidential and embargoed basis. Papers are made publicly available on the day of the meeting.

We cannot discern a clear justification as to why some people should receive preferential access to board papers, which may discuss issues of considerable public interest. The impression given by the SPA is that there are two classes of people: those who should receive privileged information and those who should not. We consider this to be an inappropriate distinction and consider that all papers should be made publicly available at the same time. Again, we have been reassured that this issue will be addressed in Mr Penman’s investigation; he suggested that he was likely to recommend that papers be circulated in advance.

Given some of the concerns we heard in oral evidence, we would welcome clarification from you on: the extent to which the Scottish Government has prior knowledge of SPA meetings and papers; the extent to which the Scottish Government seeks to comment on or otherwise influence papers and meetings; and whether there is a formal, shared agreement between the Scottish Government and the SPA on such matters.

#### *The role of the board*

In light of the comments we have set out above, we consider that SPA board members should be far more critical in how they question or challenge some of the decisions made by the chair of the board. And, as noted, we do not expect the case of Moi Ali in any way to lead to a diminution of this vital role. Non-executive board members are contracted for no more than five days a month and we question whether this is a realistic time commitment given the volume of work they have to undertake.

Despite recent appointments, the SPA board remains male-dominated. We consider that there is a clear need to improve diversity, in all ways, on the board, which may bring about some of the cultural change we expect to see delivered.

Given our comments above about Mr Flanagan, the chair of the board, we request further information on how his appraisal is carried out by the Scottish Government's relevant accountable officer particularly the specific matters on which his performance is assessed.

**Next steps**

It is important that the Scottish Parliament maintains effective scrutiny of the SPA during this difficult period and that we complement rather than duplicate Mr Penman's inspection. We have therefore highlighted our key concerns to the Justice Sub-Committee on Policing, which was set up by the Parliament specifically to monitor the Act that created the SPA. The sub-committee will take evidence from both the SPA and Police Scotland on 18 May.

For your information, copies of this letter have been provided to Mr Flanagan, Mr Penman, Mr John Foley, the chief executive of the SPA, Mr Johnston, Margaret Mitchell, convener of the Justice Committee, and Ms Mary Fee, convener of the Justice Sub-Committee.

Yours sincerely

**JACKIE BAILLIE MSP**  
**Acting Convener of the Public Audit and Post-legislative Scrutiny Committee**