

SCOTTISH RAILWAYS POLICING COMMITTEE AUDIT & INSPECTION ACTIVITY REPORT

25 May 2021

Introduction



This pack provides a summary of the regular external Audit & Inspection Activity that BTP is subject to. This includes:

- HMICS and HMICFRS
- Internal Audit by Government Internal Audit Agency (GIAA)

BTP is also subject to inspection by the following organisations on an ad hoc basis:

- Investigatory Powers Commissioner's Office (IPCO) Inspections
- Biometrics & Surveillance Commissioner – recently joined roles in England & Wales, separate Biometrics Commissioner in Scotland
- Information Commissioner's Office
- Health & Safety Executive

Compliance and risk activity is subject to scrutiny each month through BTP's Audit, Risk, Inspection & Compliance Board (ARIC), which is chaired by DCC and quarterly by the BTPA Audit & Risk Assurance Committee (ARAC).

Internal Audit – GIAA, 2021/22 Audit Plan



- The Audit Plan was agreed by ARAC on 11 March
- Indicative timings for audits are provided, but will be refined along with audit scope

| Engagement | Proposed Qtr of Delivery |
|---|---|
| Procurement | Q1 |
| Payroll & related processes | Q2 |
| Data Integrity | Q2 (to agree month & not to clash w/Origin upgrade) |
| Finance – period end process | Q2 (to agree month & to not clash w/external audit) |
| Strategic Workforce Planning & Management | Q3 |
| IT stability, resilience and continuity | Q3 (to agree month & to not clash w/ITHC) |
| Transformation programme close down | Q3/4 |
| Risk Management | Q4 |

Inspection Update – HMICFRS Inspections 2021-23



Inspection Plan 2021-23

- Inspection plan for 2021-23 agreed by ARAC in March, following review by COG.

| PEEL Inspection Area | Timescale |
|---|--|
| Victim Service Strand of Service user Assessment | Autumn 2021 - (planning likely to take place in August, with fieldwork in October) |
| Operational Assessment and Public Treatment Strand of Service user Assessment | Q4 2021-22 / 2022/23 |
| Organisational Assessment | 2022-23 |

- HMICFRS are refining this plan further in line with their available resources, including liaison with HMICS.
- In addition, BTP will take part in national thematic inspections, led by HMICFRS

Counter Terrorism (CT) 6 National Thematic Inspection

- BTP received notification that HMICFRS will be undertaking a CT National Thematic Inspection this year - BTP will be inspected w/c 1 November 2021
- High-level scope will consider how well prepared the police service respond to a terrorist CBRNE incident

Inspection Update – HMICFRS Activity & Improvement Plans



- BTP is currently tracking recommendations from the below inspections
- ARIC reviews progress against the recommendations each quarter

| Inspection | Report Published |
|---|------------------|
| Custody | January 2020 |
| Disruption | March 2020 |
| Counter Terrorism (CT) 4 – National Thematic Inspection | March 2020 |

- Whilst inspections conducted of BTP activity in England, Scotland, and Wales, there was some notable feedback on findings in Scotland for the Disruption Inspection:
 - Approach to dealing with Anti-Social Behaviour, joint working and problem solving was more successful in Scotland. This best practice has since been implemented across the rest of the force.

Protest Policing Inspection

- ACC O’Callaghan interviewed by HMICFRS as an interested party as part of their inspection on Protest Policing Inspection in late 2020.
- HMICFRS published report in April 2021, BTP currently reviewing report to identify any specific impact / activity to take forward

Audit & Inspection Activity – Crime Recording & Governance Health Checks



Crime Recording

BTP's Force Crime & Incident Registrar carries out two audits each year on crime recorded in Scotland:

Annual Scottish Crime Recording Rules (SCRS) Audit

- Audit completed in October 2020
- 22 out of 23 allegations correctly recorded on Niche (96%), slight increase from last audit (95%)
- 100% compliance in crimes recorded on Niche within 72 hours
- 100% compliance in crimes correctly classified

Regular audits of Scottish Out of Court Disposals

- Last audit completed in March 2021
- Reduction in compliance for Verbal Discretionary Warnings (100% last quarter to 75% this quarter NB low numbers affect % decrease disproportionately)
- 100% compliance in Fixed Penalty Notices
- 100% compliance in Recorded Police Warnings

Governance Health Checks

Governance health checks are carried out across all Divisions. There was a good level of compliance across D Division at the stations reviewed in 2020. Most were conducted remotely due to Covid-19. Physical visits re-commenced from 1 May 2021. In D Division, planned and unplanned health checks have been conducted on:

- Station Management
- Information Security and Management
- Archiving
- Property Store
- People
- Victim Journey Dashboard
- Covid-19 safety compliance