

<b>Meeting</b>	<b>Audit, Risk and Assurance Committee</b>
<b>Date</b>	<b>6 May 2020</b>
<b>Location</b>	<b>Teleconference</b>
<b>Title of Paper</b>	<b>Strategic Workforce Planning Internal Audit Report</b>
<b>Presented By</b>	<b>Gary Devlin, Partner, Scott-Moncrieff</b>
<b>Recommendation to Members</b>	<b>For Discussion</b>
<b>Appendix Attached</b>	<b>Strategic Workforce Planning Internal Audit Report</b>

**PURPOSE**

This paper presents our final report on the review of Strategic Workforce Planning.

The paper is presented for the Audit Committee to consider the report, findings and management responses.

The paper is submitted for discussion.

## 1. BACKGROUND

- 1.1 Workforce planning allows organisations to maximise the use of their resources to build capacity in a structured and planned way. People are the key future successes and improvements in service. By preparing a workforce plan, an organisation will be equipped to manage its resources to meet immediate service needs and effectively meet future changing priorities and demonstrate best value. The Police Scotland Budget for 2020/21 is based upon a workforce consisting of 17,234 officers and 5,269 FTE police staff, with salary costs accounting for £1,021m of the overall revenue budget of £1,189m.
- 1.2 Effective workforce planning ensures that organisations have a workforce of the right size, with the right skills and diversity, and that the workforce is organised in the right way within the allocated budget. The workforce plan should ultimately support the delivery of the organisation's strategic and operational objectives.
- 1.3 The Police Scotland workforce will have to evolve as new skills and capabilities are required to deliver the Strategic Project Plan. It is therefore imperative that a robust workforce plan is in place to manage this change.
- 1.4 Police Scotland has recently established a Strategic Workforce Planning (SWP) project with the objective of having an approved Workforce Strategy in place by November 2020.
- 1.5 In accordance with the 2019/20 Internal Audit Plan, we have assessed the design of the SWP project to ensure that a robust, but realistic project plan is in place, which is appropriately resourced, and which evidences an effective project management approach including agreement of SMART deliverables, identification of key risks and dependencies, and effective governance reporting arrangements which will deliver a fit for purpose SWP by November 2020.
- 1.6 Given the link between SWP and ongoing work in relation to Demand and Productivity, whilst separate Internal Audit Assignments exist for each, audit plans have been developed to ensure avoidance of gaps or duplication, whilst ensuring that there is assessment of the effectiveness of the project management approach in terms alignment of dependencies.

## **2. FURTHER DETAIL ON THE REPORT TOPIC**

- 2.1 We have gained assurance that Police Scotland's approach to the development of a strategic workforce plan has been well designed and adheres to good practice. However, we have identified that project management and governance arrangements are not robust or have only been recently formalised, meaning that we are unable to provide assurance that the project is proceeding according to the expected timetable and that risks to delivery are being appropriately managed.

## **3. FINANCIAL IMPLICATIONS**

- 3.1 The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee members should consider this section when considering the overall implications of our findings.

## **4. PERSONNEL IMPLICATIONS**

- 4.1 The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee members should consider this section when considering the overall implications of our findings.

## **5. LEGAL IMPLICATIONS**

- 5.1 The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee members should consider this section when considering the overall implications of our findings.

## **6. REPUTATIONAL IMPLICATIONS**

- 6.1 The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee members should consider this section when considering the overall implications of our findings.

## **7. SOCIAL IMPLICATIONS**

- 7.1 The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee

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## **8. COMMUNITY IMPACT**

- 8.1 The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee members should consider this section when considering the overall implications of our findings.

## **9. EQUALITIES IMPLICATIONS**

- 9.1 The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee members should consider this section when considering the overall implications of our findings.

## **10. ENVIRONMENT IMPLICATIONS**

- 10.1 There are no environmental implications associated with this report. The Internal Audit Report considers the impact our review findings may have on organisational risk registers. Committee members should consider this section when considering the overall implications of our findings.

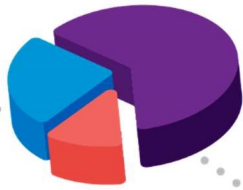
### **RECOMMENDATIONS**

Members are requested to discuss the report.



**Scott-Moncrieff**  
business advisers and accountants

With **Campbell Dallas**  
a Capital company



# Scottish Police Authority

## Internal Audit Report

## Strategic Workforce Planning

April 2020





# Scottish Police Authority

## Internal Audit Report 2019/20

### Strategic Workforce Planning

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<i>Audit Sponsor</i>	<i>Key Contacts</i>	<i>Audit team</i>
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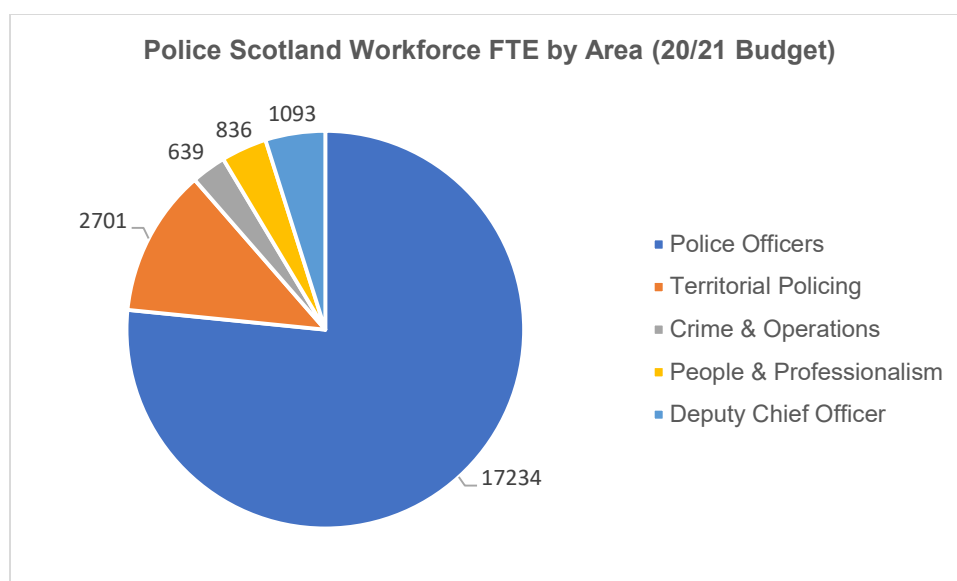
# Executive Summary

## Conclusion

*We have gained assurance that Police Scotland's approach to the development of a strategic workforce plan has been well designed and adheres to good practice. However, we have identified that project management and governance arrangements are not robust or have only been recently formalised, meaning that we are unable to provide assurance that the project is proceeding according to the expected timetable and that risks to delivery are being appropriately managed.*

## Background and scope

Strategic workforce planning allows organisations to maximise the use of their resources and build capacity in a structured and planned way. People are the key to future successes and improvements in service. By preparing a workforce plan, an organisation will be equipped to manage its resources to meet immediate service needs and effectively meet future changing priorities and demonstrate best value. The Police Scotland budget for 2020/21 is based upon a workforce consisting of 17,234 officers, and 5,269 FTE police staff, with salary costs accounting for £1,021m of the overall revenue budget of £1,189m.



Effective workforce planning ensures that organisations have a workforce of the right size, with the right skills and diversity, and that the workforce is organised in the right way within the allocated budget. The workforce plan should ultimately support the delivery of the organisation's strategic and operational objectives.

The Police Scotland workforce will have to evolve as new skills and capabilities are required to deliver the Strategic Police Plan. It is therefore imperative that a robust workforce plan is in place to manage this change.

Police Scotland has recently established a Strategic Workforce Planning (SWP) project with the objective of having an approved Workforce Strategy in place by November 2020.

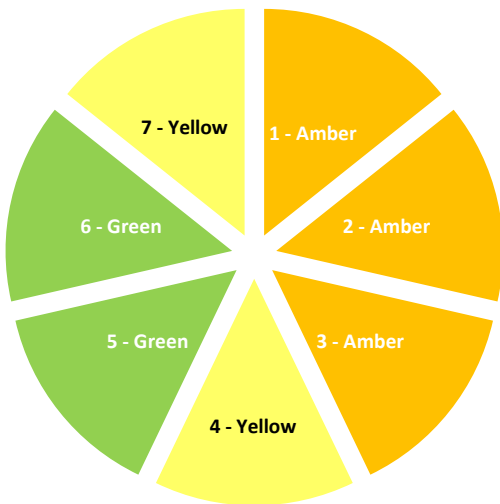
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In accordance with the 2019/20 Internal Audit Plan, we have assessed the design of the SWP project to ensure that a robust, but realistic project plan is in place, which is appropriately resourced, and which evidences an effective project management approach, including agreement of SMART deliverables, identification of key risks and dependencies, and effective governance reporting arrangements which will deliver a fit for purpose SWP by November 2020.

Given the link between Strategic Workforce Planning and ongoing work in relation to Demand and Productivity, whilst separate Internal Audit Assignments exist for each, audit plans have been developed to ensure avoidance of gaps or duplication, whilst still ensuring that there is assessment of the effectiveness of the project management approach in terms of alignment of dependencies.

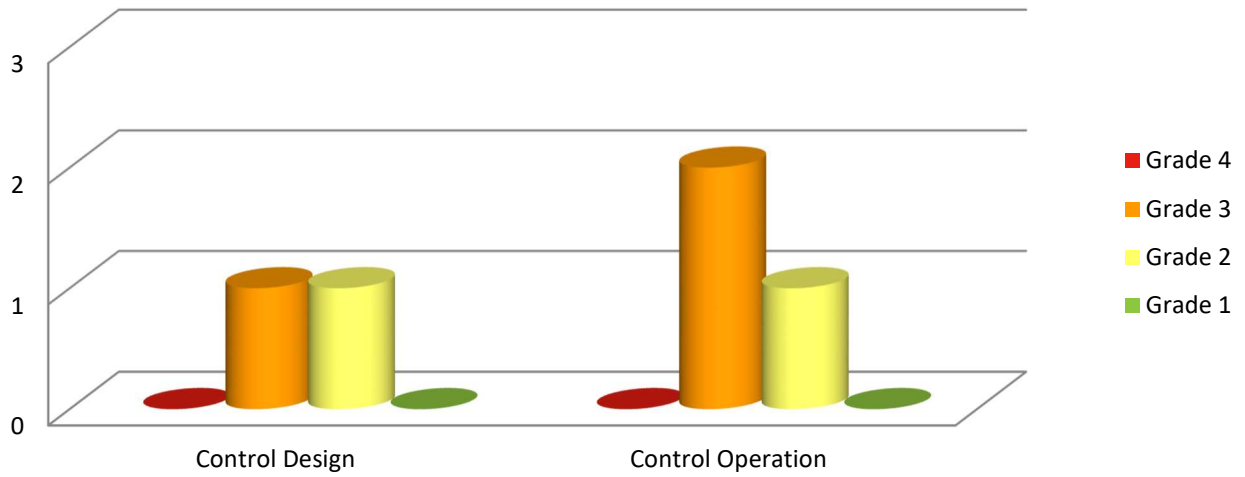
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## Control assessment



1. The SWP project has robust governance arrangements in place, with regular reporting to each governance forum on progress, issues arising and follow-up of any agreed remedial actions. This must include timely and effective formal reporting via the Authority Committee/Board structure and through appropriate engagement of SPA officers as part of Police Scotland internal governance arrangements
2. Sufficient sustainable and resilient capability and capacity exists within the SWP project team, with members having clearly defined roles, responsibilities and targets, with each role being appropriately defined and communicated
3. The objectives of the project have been clearly articulated and translated into a SMART project plan that allocates timescales, actions and responsible owners, including assurance around wider Executive ownership to support the SWP project team in their ability to effectively engage with the wider service through the planning process
4. The project is delivered under a defined project management methodology that includes proportionate risk management arrangements
5. The approach taken within the SWP project follows workforce planning best practice guidance and methodologies, including specifically 'Scotland's Public Sector Workforce - Good Practice Guide' (Audit Scotland, 2014) as per commitment within the People Strategy
6. There is appropriate alignment of the project plan to the Strategic Police Plan and wider interlinked extant sub strategies. The SWP project plan should also recognise the key linkages to the ongoing work of the Demand and Productivity Unit and implications of existing and approved transformation programmes. This should include assessment of the recently established Strategic Workforce Planning Steering Group in terms of its ability to effectively provide a junction box that 'starts' to draw together TOM, Organisational design, workforce planning, business benefits, efficiencies, demand analysis and therefore organisational change and resilience
7. The project plan provides assurance that the objectives set out within most recent report to SPA Resources Committee, are appropriately factored into the approach

## Improvement actions by type and priority



Five improvement actions have been identified from this review, two of which relate to the design of controls. See Appendix A for definitions of colour coding.

## Key findings

### Good practice

We have gained assurance that Police Scotland's procedures and controls reflect good practice in several areas:

- The work of developing a strategic workforce plan has been formally constituted as a project within relevant frameworks established across the organisation. Formal project management arrangements, reporting lines, and governance structures are well designed. SPA Officers are directly represented on the Project Board, through the inclusion of the SPA Head of HR Governance in its membership.
- The project team has selected an appropriate methodology for developing the strategic workforce plan, and the team includes relevant experience and capability.
- The selected methodology has been developed into an approach appropriate to the circumstances and structure of Police Scotland, with the preparation of workforce plans at a local level delegated to lead officers within the relevant functional areas. Project training and documentation reflects the need to develop plans in the context of local issues and pressures, and on the basis of demand data.

### Areas for improvement

We have identified several areas for improvement which, if addressed, would strengthen SPA's control framework and enhance the likelihood of delivery of the project within planned timescales. These include:

- Developing the project plan to a greater level of detail, such that all delegated tasks, responsibilities, and deadlines are clearly articulated. This provides greater assurance that project deliverables are progressing as required, and greater clarity as to responsibility for each deliverable.
- Introducing mitigations to manage the key person risk arising from the responsibilities and actions assigned to the Workforce Planning and Design Manager. As there is only one individual within the project team, or within Police Scotland more widely, with experience of the workforce planning methodology in use, a mitigation strategy would provide greater assurance that project work would continue in the event of staffing changes, resource pressures, or other disruption.
- Developing project governance documentation to more clearly articulate the form and frequency of reporting, and producing a communications plan. Specifying and agreeing the extent and nature of reporting and communications provides management and governance groups with greater assurance that their information needs are being met, and that all relevant stakeholders are appropriately involved.
- Defining the expected means by which the work of the project team will transition to a business-as-usual activity. This would allow for clearer guidance to be provided to functional areas with delegated responsibility for local workforce plans as to the requirements for reviewing and updating those plans.
- Producing and maintaining minutes of the meetings of the Project Board, enhancing transparency and providing assurance that developing issues are being identified and kept under review.

These are further discussed in the Management Action Plan below.

## Impact on risk register

The SPA's corporate risk register (dated December 2019) included the following risks relevant to this review:

- **Risk SR 016:** If Police Scotland does not have the required capacity and capability to support organisational change there is a risk that Policing 2026 will not be delivered to time, cost and quality, benefits will not be realised, and business change will not be embedded. (Risk score: 12; High).
- **Risk SR 004:** If there is a lack of investment in the data, time and resource to understand our demand, there is a risk that the organisation does not prioritise effectively, resulting in less effective operational delivery and an inability to distribute our budget effectively or prioritise our change programme to achieve the benefits. (Risk score: 16; High).
- **Risk SR 006:** if we do not engage, listen, learn and adapt our services to meet the needs and expectations of the public and communities, there is a risk that Police Scotland do not provide a service for our people and are not policing by consent. (Risk score: 12; High).
- **Risk SR 001:** Due to a high level of organisational change and conflicting demands, there is a risk we do not focus enough time and resource into engaging our people, resulting in disengaged workforce, compromise of staff wellbeing which will hinder the delivery of 2026. (Risk score: 20; Very High).
- **Risk SR 008:** If Police Scotland and the SPA do not invest time and resource in developing our current and future leaders, there is a risk that we will not have a capable, resilient and diverse leadership, resulting in lack of string accountability and a weekend ability to deliver and support effective policing. (Risk score: 20; Very High).
- **Risk ORR 109:** If we fail to deliver sufficient capacity creation there is a risk that we will be unable to achieve the required FTE officer post reductions by the end of 2019/20 (17,234 to 16,834) resulting in a failure to deliver 2026 resourcing commitments and financial savings. (Risk score: 20; Very High).

The absence of a coherent strategic workforce plan represents an ongoing risk to the delivery of a number of SPA and Police Scotland's strategic, operational, and transformation objectives. We have reviewed the arrangements in place to develop and deliver a strategic workforce plan, and have identified a number of areas where project management and governance arrangements are not robust, meaning that we cannot gain assurance that the means are in place to reduce the organisation's exposure to these risks.

The scoring of relevant risks appears appropriate given the restrictions on Police Scotland's ability to effectively manage its workforce requirements in the medium to long term in the absence of a strategic workforce plan.

## Acknowledgements

We would like to thank all staff consulted during this review for their assistance and co-operation.

# Management Action Plan

Control Objective 1: The SWP project has robust governance arrangements in place, with regular reporting to each governance forum on progress, issues arising and follow-up of any agreed remedial actions.



Amber

## 1.1 Project Governance Documentation

A Strategic Workforce Planning Potential Project Assessment (PPA) was produced in November 2018 and subsequently approved and managed under different ownership. It transitioned to the Director of People & Development in May 2019, and a Workforce Planning and Design Manager was appointed in September 2019.

A programme of work covering a period of 12 months was agreed by the Police Scotland Executive and reported at the SPA Board in November 2019. A Project Manager was then assigned in January 2020.

In lieu of formal project management arrangements, a Steering Group was established once the programme of work had been approved. This was chaired by the Director of People & Development and first met on 2 December 2019. This has now been replaced by the Project Board, the inaugural meeting of which was held on Tuesday 25th February 2020. At this meeting the Project Board Terms of Reference (ToR) and the project team Roles and Responsibilities (R&R) were presented. The Project Board ToR establishes reporting lines to the Portfolio Management Board and the Change Board. However, many of the project artefacts which pre date the establishment of the Project Board, and reference legacy reporting lines to the SRRG (Strategic Resources & Resilience Group) and the SPA Resources Committee.

In the both the Project Board ToR and the Project Team's R&R documents, there is no clear indication of who will provide project update reports, the frequency of the reports and the distribution of the updates. It was also confirmed by the Project Manager that the Communications Plan has not yet been produced.

The Project Board superseded the Project Steering Group in February 2020. We understand that reporting through the legacy reporting lines has now ceased, and that the reporting structure set out in the Project Board ToR will be adhered to going forward, however, we have not yet been able to observe these reporting arrangements operate due to their recent establishment.

### Risk

There is a risk that project team members and board members are unaware of project roles, responsibilities and deliverables resulting in inconsistent activities by project team members which could ultimately lead to delays to the delivery of the Strategic Work Force Project.

### Recommendation

The Project Board should develop a communications plan in line with good project management practice. This should define and document the form and frequency of the provision of reports through the reporting lines established in its terms of reference, and allocate responsibility for preparing these reports.

**Management Action****Grade 3  
(Operation)**

Management accepts this recommendation.

Responsibility for ensuring the efficacy of the reporting structure, and that it provides a common understanding of the status of the project to all appropriate governance groups in line with the Police Scotland Portfolio Management Framework, lies with the Project Manager of the team.

A Project Board is in place to provide a disciplined focus on the governance, monitoring and support of the project. The Board meets monthly and provides monthly Highlight Reports via the Portfolio Management Group (PMG) to the Change Board, aligning with the rest of the Portfolio. This provides information on progress against the plan, and a vehicle for the escalation of risks, issues and dependencies.

Weekly progress reports are also distributed to all Board members and attendees.

Furthermore monthly updates are currently provided to the Corporate Finance and People Board, while there are updates provided to the SPA Resources Committee and SPA Board as and when required. An Oversight Group will also be established, with the aim of providing the necessary assurance and oversight to the Authority and other senior stakeholders on the development of the final product.

In addition, due to the importance of this project to the organisation work has begun on developing a broader Communications and Engagement Plan in conjunction with the Corporate Communications team. This will ensure Police Scotland as a whole is appropriately engaged and allows the team the opportunity of determining the messaging and optimum times to engage with the full stakeholder community in a meaningful and informed way.

**Action owner: Director of People and Development**

**Due date: 30 June 2020**



## Control Objective 2: Sufficient sustainable and resilient capability and capacity exists within the SWP project team, with members having clearly defined roles, responsibilities and targets, with each role being appropriately defined and communicated


 Amber

### 2.1 Key Person Risk

The Project Board ToR and project team R&R documents were presented at the first Project Board on 25th February 2020 for approval. The project team consists of;

- SRO (Director of People & Development)
- Business Lead (Head of Strategic Workforce Planning)
- Workforce Planning & Design Manager
- Project Manager
- 2 x Strategic Workforce Planning Analysts

There are a number of critical actions included in the project plan which can realistically only be completed by, or with significant input from, the Workforce Planning and Design Manager under the present project structure. These include the scrutiny of local workforce plans, and their aggregation into a strategic plan. In the course of our work we have observed that a substantial proportion of the overall project workload rests with the Workforce Planning and Design Manager, presenting a risk of overburdening this role.

This risk is not fully reflected in the project risk register, and as a consequence, the documented mitigating actions are limited to adherence to the overall project timetable and milestones. We understand from discussion with the Project Team that this is an issue of which they are aware, and that workload and other matters are kept under close review, however we have not been able to obtain evidence of formally defined mitigating controls.

#### Risk

There is a risk that the mitigating actions set out in the project risk register to address potential resourcing issues are not adequate to address the specific key person risk inherent in the project structure and project plan. Failure to adequately mitigate this risk may result in delays to the delivery of the project.

#### Recommendation

Police Scotland should review the mitigating controls in place to address key person risk, and ensure that any existing mitigations are fully reflected in the project risk register. Potential mitigating actions may include:

- The development of a detailed process document which develops existing methodology documentation into detailed processes for the scrutiny and aggregation of local workforce plans;

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- Development of the project plan to a greater level of detail (see MAP 3.1), and in particular ensuring that actions delegated to operational staff across Divisions, and the responsibility and deadlines for delivering these, are fully articulated;
- Upskilling and knowledge sharing with other members of the project team;
- Reviewing and redistributing workload within the project team, and where SWP work overlaps with other areas of work; or
- Reviewing the overall level of resource allocated to the project team.

Implementing any of these actions, or a combination thereof, will provide greater resilience in the event of issues arising with the availability of key staff.

### Management Action

Grade 3  
(Design)

Management partially accepts this recommendation.

Police Scotland have hired a Workforce Planning and Design Manager to lead this work, and it is accepted this is a difficult skillset to acquire with a limited amount of subject matter expertise across the country. The intention as the project moves forward is to ensure the analysts on the team continue to develop, while it is also expected that as the process becomes embedded within Police Scotland – and local planners gain more experience in drafting plans – that the amount of organisational competence in this area will continue to grow.

The Project Manager will however look to improve the documentation set as part of the governance process, using the project plan to anticipate and mitigate resource crunches in current and upcoming stages.

In the longer term once the current plan is drafted and delivered there will be an opportunity to further review the size and structure of the current delivery model to ensure a suitably resourced and resilient function is put in place.

**Action owner: Director of People & Development**

**Due date: 30 April 2021**

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## Control Objective 3: The objectives of the project have been clearly articulated and translated into a SMART project plan that allocates timescales, actions and responsible owners

### 3.1 Project Plan

The Workforce Planning & Design Manager has produced an outline project schedule consisting of eleven stages ranging from Stage 1 – Risk Assessment to Stage 11 – Governance. Each stage has a target completion date and these stages and dates have been communicated regularly to the Workforce Planning Steering Group, and subsequently the Project Board, via Weekly Project Status Reports. There is limited further documented detail within the schedule regarding the activities within each stage, who is responsible for these activities, and the timescale for their delivery.

With the assignment of a Project Manager in January 2020, an initial project plan has been produced which shows some further detail in relation to the stages which are complete or in progress, but does not fully capture the work proposed or already underway. For example:

- At time of audit, the creation of local workforce plans has been delegated to senior staff in charge of Divisions or Functions (Functional Leads), supported by HR Business Partners. We understand from our discussions with the HR Business partners that in most areas, Functional Leads have further delegated the detailed work of preparing plans throughout their areas of responsibility. We have not been able to obtain evidence that the structure of delegation, or that responsibility for the completion of subsidiary tasks has been formally allocated and recorded. Though we understand that regular catch up meetings and conference calls between HR Business Partners and the Project team take place, the proceedings of these meetings are not recorded beyond any information that filters into updates provided to the Workforce Planning Steering Group or Project Board.
- In the project update reports that we reviewed, Stage 3 – Training is recorded as “Completed on time”, however further training activities are included within the objectives and deliverables of the plan. As the implementation plan for each stage does not detail the specific deliverables related to project activities, the project plan alone presents an apparent ambiguity as to whether Stage 3 is correctly marked as ‘Completed on time’ or whether completion of that stage is overdue with the identification of additional activity. We have confirmed through our discussions with the project team that all planned training activity was delivered within the Stage 3 timescales.

As the project plan does not break down delegated activities in detail, progress of the plan can only be meaningfully assessed at the completion of each major stage of the project. As such, we are not able to provide robust assurance that the project is currently proceeding as planned, or that potential issues which may lead to delays in delivery have been identified and addressed.

#### Risk

There is a risk that the absence of a detailed project plan which sets out the full scope of project activity, progress of the project cannot be effectively monitored. This may lead to failure to identify and take action to address risks to the timely delivery of the strategic workforce plan.

**Recommendation**

The project team should put in place arrangements that enable them to gain and provide assurance that the project is progressing satisfactorily, and that developing issues are being recognised and addressed. This could be addressed by developing the project plan to a greater level of detail to fully capture the actions and deliverables allocated to individuals outside the project team.

Where monitoring is taking place, through avenues such as regular meetings, forums, and catch ups, these should be documented at least to the extent of identifying planned actions, progress to date, an assessment of progress, and any actions identified and agreed to address developing issues.

**Management Action**

Grade 3  
(Operation)

Management accept this recommendation.

The audit took place while this plan was still being collated and it continues to mature in line with the PRINCE2 “Planning Horizon” concept, capturing detail of upcoming stages and the individuals allocated to each task. This will be used to track and manage progress moving forward.

**Action owner: Director of People & Development**

**Due date: 29 May 2020**

## Control Objective 4: The project is delivered under a defined project management methodology that includes proportionate risk management arrangements



Yellow

### 4.1 Project Meeting Minutes

Prior to the Project Board's inaugural meeting in February 2020, the Workforce Planning & Design Manager had been conducting Steering Group meetings on a regular basis. Whilst weekly Project Status Reports have been produced and distributed to the Steering Group and a decision and action log maintained, no minutes have been produced from either the previous project Steering Group meetings or from the Project Board meeting held in February 2020.

The documentation of minutes from the project meetings enhances transparency by providing visibility over significant events and a record of discussions that occurred around important project issues. Documenting decisions and actions only produces limited evidence that appropriate scrutiny and challenge has been applied in respect of progress and risk management, as these discussions only generate records in the event that an issue is identified.

#### Risk

The absence of documented discussion give rise to a risk that the project team is not perceived to be fully transparent, and cannot provide assurance that potential issues have been given due consideration unless these explicitly lead to documented actions.

#### Recommendation

As a matter of good practice, the Project Board should produce minutes of its discussions adequate to evidence that the group is applying appropriate scrutiny.

#### Management Action

Grade 2  
(Operation)

Management accepts the recommendation.

This area is also covered in the wider review into the Transformation Portfolio, and the project plans to mirror any changes in activity that may follow as actions arising from that separate Scott Moncrieff audit.

**Action owner: Director of People & Development**

**Due date: 30 September 2020**

## Control Objective 5: The approach taken within the SWP project follows workforce planning best practice guidance and methodologies

Green

### No weaknesses identified

We reviewed project initiation documentation, governance reporting, and material developed to implement Police Scotland's workforce planning approach to confirm that:

- An appropriate methodology for workforce planning had been identified;
- The methodology and its application were reflected in communications to governance groups, and reflected within the approval of the project as a whole; and
- Training and process documentation was consistent with the requirements of the methodology selected.

Audit Scotland Guidance recommends the adoption of the principles set out in the NHS Six Step Methodology for the development of Strategic Workforce Plans. The use of this methodology and an outline of its application is reflected in reporting provided to the Board in November 2019, and to the SPA Resources Committee in February 2020.

We have reviewed the training material delivered to functional areas responsible for developing local workforce plans, the supporting documents produced to guide the development and compilation of those plans, and the principal stages and milestones of the project plan. We have confirmed that the key requirements of the Six Step methodology are reflected in the approach adopted for Police Scotland.

## Control Objective 6: There is appropriate alignment of the project plan to the Strategic Police Plan and wider interlinked extant sub strategies

Green

### No weaknesses identified

There are a number of interlinked workstreams underway across Police Scotland. We have reviewed the governance structure in place with respect to the Strategic Workforce Planning project to determine the arrangements in place to coordinate across related workstreams. We have also reviewed the project plan to determine the extent to which it reflects interaction and alignment with areas implementing related workstreams. Though we can observe these structures appear to be in place, the fact that some elements have been recently established, and that some relate to future stages of the Strategic Workforce Planning project plan, means that we have not been able to observe their operation. We have raised issues relating to the level of detail within the project plan itself at MAP 3.1.

The project's alignment to Strategic priorities is explicitly set out in the approved Potential Project Assessment document which led to the establishment of the project team. The priorities of the Strategic Police Plan, and the need to demonstrate alignment, are reflected in the workforce planning methodology as articulated in training and process material prepared for areas compiling local workforce plans.

The recently established Project Board explicitly references alignment to the Police Scotland Target Operating Model within its Terms of Reference. The Strategic Workforce Planning project plan reflects, at a high level, links to the work of the Strategic Resources and Resilience Group (SRRG) through the development of a Prioritisation Framework to be agreed and approved by that Group, and through the involvement of the Demand and Productivity Unit both in providing baseline data to functional areas developing first draft local workforce plans, and in the process of aggregating local plans into a strategic plan.

The Strategic Workforce Planning Project Board and SRRG replace and supersede the Strategic Workforce Planning Steering Group. The SRRG terms of reference were in draft at time of audit, but define a remit which encompasses a number of related workstreams: Strategic Development, Force Design, Business Change, The Target Operating Model, Demand and Productivity, Resource Allocation, Capacity and Efficiencies (generation and reinvestment), and Strategic Workforce Planning. The membership of the SRRG includes a number of individuals also included in the Strategic Workforce Planning Project Board, in particular: the Director of People and Development as Chair, the Head of Strategic Workforce Planning, and Workforce Planning and Design Manager. This should provide adequate visibility across workstreams to ensure that common issues are identified and communicated.

## Control Objective 7: The project plan provides assurance that the key objectives are appropriately factored into the approach.


 Yellow

### 7.1 Transition to Business as Usual

The Director of People and Development presented a report to the SPA Resources Committee on 6 February 2020, which set out a number of objectives intended to be delivered by the Project. We have included a breakdown of those objectives, and the extent to which we are able to provide assurance that these are factored into the project plan at Appendix A.

Generally, we have been able to evidence either that these objectives have been factored into the approach adopted by the project team, or that management structures are in place or are being implemented to support their delivery. As there are a number of significant phases of the project still to be undertaken, we have not been able to observe or directly evidence the completion of these objectives.

However, we have observed that the project plan does not fully reflect the intention that the project should *“Establish a process to implement, monitor and refresh the SWP.”* The guidance and training material provided to functional areas tasked with preparing local workforce plans includes a requirement that these areas consider how the plan will be monitored, reviewed, and updated. There is not, however, any suggested approach to ensure consistency of update in terms of depth or timescale.

The project documentation does not, at present, articulate an expected model for the compilation of updated local workforce plans into a revised strategic plan, or the expected frequency with which this will occur.

#### Risk

There is a risk that the absence of a planned model for the compilation of updated local workforce plans, locally developed processes for the review and update of those plans will not align with each other or with the proposed timetable for the update of the strategic workforce plan. This may lead to additional complexity when updating the strategic plan, and potentially result in the development of a plan that does not reflect the most up to date information.

#### Recommendation

The Project team should define an expected process for reviewing and updating the strategic plan. This should be shared with those responsible for compiling local workforce plans with the guidance that any locally developed processes should align with that for updating the strategic plan as a whole.

We acknowledge that there will be lessons learned in the course of compiling the first iteration of the Strategic Workforce Plan that may lead to any planned process being revised. The project plan should be extended to include the review of the proposed process following the completion of the initial version of the strategic workforce plan.



**Management Action**Grade 2  
(Design)

Management accepts the recommendation.

The focus of the current project is to deliver the first Police Scotland Strategic Workforce Plan, covering a period of up to three years. It is accepted by the project team that there will be a need to provide organisational guidance on the planning framework at appropriate times. However this cannot be an overly prescriptive process – monitoring and reviewing timescales will depend on the size and scope of change activity identified in each plan, which should be as individualised as the needs of the service dictate.

Lessons learned during the process of writing the initial plan will be captured and taken into account in future iterations. At all times remaining compliant with the 6-Step Methodology will be of the highest importance.

**Action owner: Director of People & Development****Due date: 30 April 2021**

# Appendix A – Project Objectives

We have reviewed a number of specific project objectives reported to the SPA Resources Committee in February 2020, which are summarised below. We have commented on the extent to which we have been able to provide assurance that these objectives have been completed, or where not yet completed, whether we have been able to provide assurance that their delivery is appropriately factored into the project plan and overall approach.

## **Building a further understanding of demand, current workforce, and future workforce requirements at Divisional level**

This process of developing local workforce plans at the level of divisions and other functional areas was underway at time of audit, and as such we have not been able to review drafted plans, however we have been able to obtain good evidence that these issues have been considered in the project plan and supporting process documentation.

The process of developing the strategic workforce plan is underpinned by analysis and preparation of local workforce plans, at the divisional and functional level, consistent with the “Six Step” methodology adopted. We have reviewed the methodology documentation, training material, and process documentation provided to functional areas to support their development of local workforce plans.

The process requires that each functional area initially develop an outline of its demand profile, underpinned by demand data, and a future service model based on that analysis. The future service model must be informed by a prediction of future demand; population data; and organisational goals, targets, and strategic objectives. The future service model must then be developed into an analysis of the required workforce, which can be compared with current workforce data.

Subject to the issues noted at MAP 3.1, there is provision within the existing project plan to ensure that local plans are drafted, including scrutiny by the project team to ensure that the expected information has been taken into account.

## **Generate a timeline for workforce practise changes that takes into account Divisional issues to solve and readiness for change.**

The generation of action plans and a timeline for the implementation of changes has not yet taken place, however we have reviewed the project plan and confirmed that relevant actions and milestones have been included.

The guidance documentation issued to functional areas requires that, following development of a future service model and analysis of required workforce changes, an action plan is developed at the local level in the context of issues within the division or functional area.

## **Examine specific scenarios for Scenario Planning activity to inform future demand e.g. Population demographic and service demand, Unplanned and Planned events (e.g. COP 26), developing delivery direction demands such as TOM, DDICT Strategy.**

This objective is not a direct output of the Strategic Workforce Planning Project. However, the guidance and template documentation for the preparation of local workforce plans requires the development of a definition of the required workforce. The guidance made available is accompanied by a “pack” of demand data and supporting information, and specifically prompts those preparing plans to consider:

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- Demographic changes in the community population through to 2026; and
- Peaks, troughs, and other outliers in available demand data.

Planning for specific scenarios is not incorporated into the process for preparation of workforce plans. However, a relevant forum has been established for this to be accomplished in the SRRG, which incorporates links into other relevant workstreams. The capability to produce data with which to underpin scenario planning has been created in the formation of the Demand and Productivity Unit.

### **Establish a process to capture, prioritise and reinvest capacity gains.**

Police Scotland have developed and implemented a Benefits Management Strategy, which articulates the processes and responsibilities for identifying and measuring benefits arising from programmes and projects. We have reviewed the terms of reference and described reporting lines the newly created Project Board, and confirmed that they are consistent with the Benefits Management Strategy, subject to our comments at MAP 1.1.

The SRRG terms of reference sets out its purpose as a single point of responsibility for the review of capacity creation and bids for additional resource. This is to be accomplished with reference to a Prioritisation framework being developed alongside the draft local workforce plans.

The current stage of the project and the recent establishment of the Project Board means that we have not been able to observe the operation of these reporting lines or mechanisms.

### **Establish a process to implement, monitor and refresh the SWP.**

The requirement to maintain and review local workforce plans is reflected in the guidance provided to the areas responsible for drafting them. This prompts these areas to define an ongoing review process, however the guidance does not appear to recommend or require any coordinated approach to this process across functional areas or between functional areas and the Strategic Workforce Planning function.

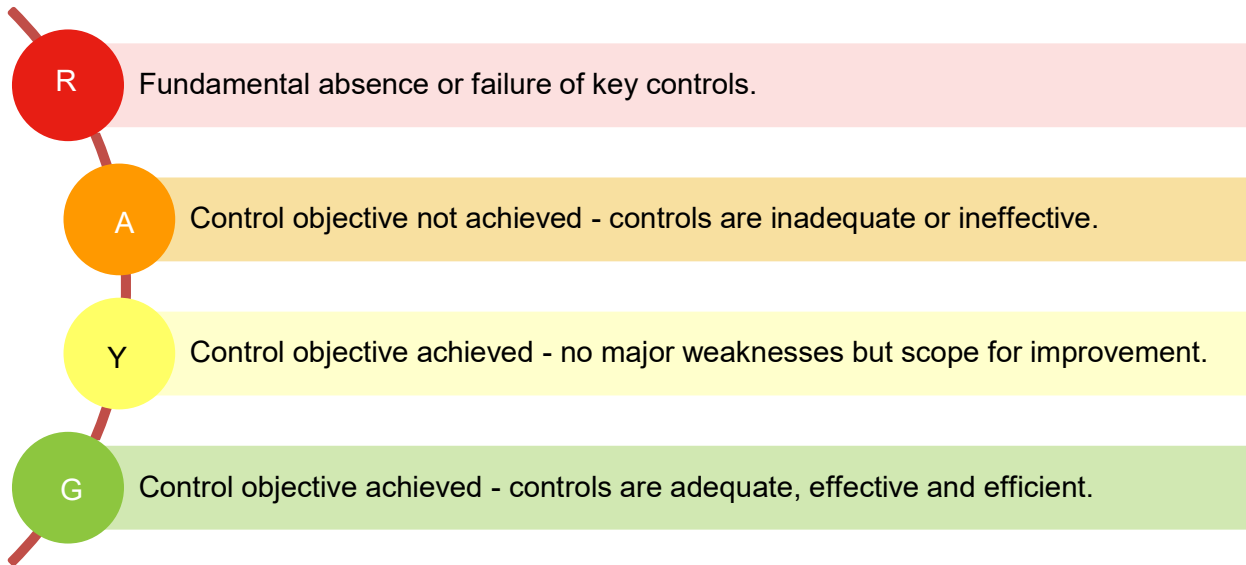
The project plan and related documentation does not set out an approach by which a process is to be developed to monitor the production of updated plans, or their integration into an updated strategic plan.

We have raised a finding and recommendation in this regard at MAP 7.1

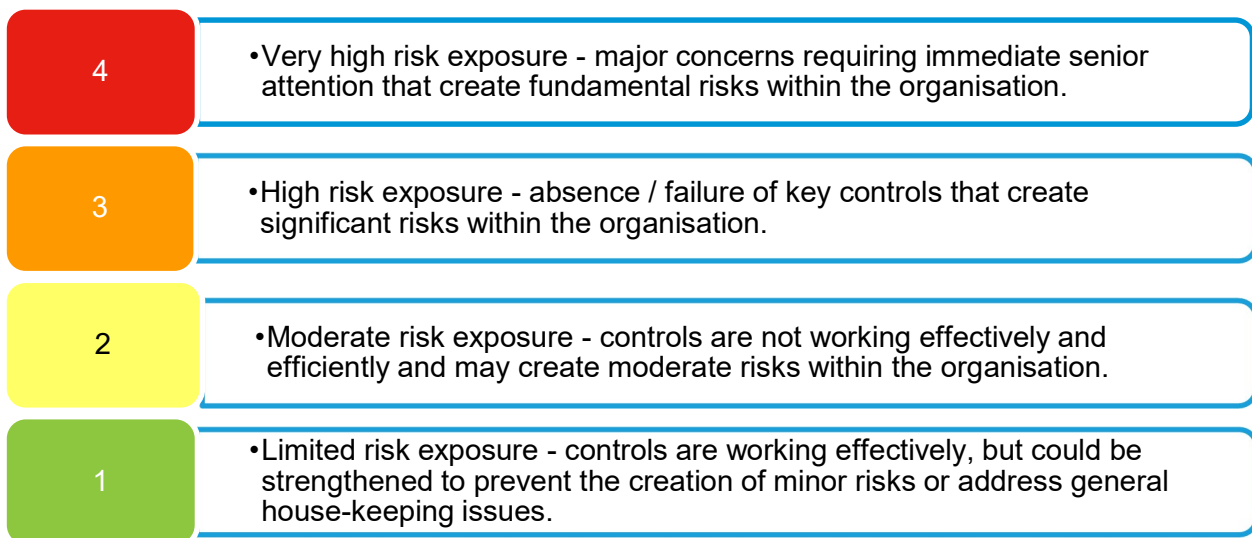
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# Appendix B – Definitions

## Control assessments



## Management action grades



## Appendix C – Action Summary

Action No.	Recommendation	Management Response	Grade	Action Owner	Due Date
1.1	The Project Board should develop a communications plan in line with good project management practice. This should define and document the form and frequency of the provision of reports through the reporting lines established in its terms of reference, and allocate responsibility for preparing these reports.	<p>Management accepts this recommendation.</p> <p>Responsibility for ensuring the efficacy of the reporting structure, and that it provides a common understanding of the status of the project to all appropriate governance groups in line with the Police Scotland Portfolio Management Framework, lies with the Project Manager of the team.</p> <p>A Project Board is in place to provide a disciplined focus on the governance, monitoring and support of the project. The Board meets monthly and provides monthly Highlight Reports via the Portfolio Management Group (PMG) to the Change Board, aligning with the rest of the Portfolio. This provides information on progress against the plan, and a vehicle for the escalation of risks, issues and dependencies.</p> <p>Weekly progress reports are also distributed to all Board members and attendees.</p> <p>Furthermore monthly updates are currently provided to the Corporate Finance and People Board, while there are updates provided to the SPA Resources Committee and SPA Board as and when required. An Oversight Group will also be established, with the aim of providing the necessary assurance and oversight to the Authority and other senior stakeholders on the</p>	3	Director of People and Development	30 June 2020

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Action No.	Recommendation	Management Response	Grade	Action Owner	Due Date
		<p>development of the final product.</p> <p>In addition, due to the importance of this project to the organisation work has begun on developing a broader Communications and Engagement Plan in conjunction with the Corporate Communications team. This will ensure Police Scotland as a whole is appropriately engaged and allows the team the opportunity of determining the messaging and optimum times to engage with the full stakeholder community in a meaningful and informed way.</p>			
2.1	<p>Police Scotland should review the mitigating controls in place to address key person risk, and ensure that any existing mitigations are fully reflected in the project risk register. Potential mitigating actions may include:</p> <ul style="list-style-type: none"> <li>The development of a detailed process document which develops existing methodology documentation into detailed processes for the scrutiny and aggregation of local workforce plans;</li> <li>Development of the project plan to a greater level of detail (see MAP 3.1), and in particular ensuring that actions delegated to operational staff across Divisions, and the responsibility and</li> </ul>	<p>Management partially accepts this recommendation.</p> <p>Police Scotland have hired a Workforce Planning and Design Manager to lead this work, and it is accepted this is a difficult skillset to acquire with a limited amount of subject matter expertise across the country. The intention as the project moves forward is to ensure the analysts on the team continue to develop, while it is also expected that as the process becomes embedded within Police Scotland – and local planners gain more experience in drafting plans – that the amount of organisational competence in this area will continue to grow.</p> <p>The Project Manager will however look to improve the documentation set as part of the governance process, using the project plan to anticipate and mitigate resource crunches in</p>	3	Director of People & Development	30 April 2020

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Action No.	Recommendation	Management Response	Grade	Action Owner	Due Date
	<p>deadlines for delivering these, are fully articulated;</p> <ul style="list-style-type: none"> <li>Upskilling and knowledge sharing with other members of the project team;</li> <li>Reviewing and redistributing workload within the project team, and where SWP work overlaps with other areas of work; or</li> <li>Reviewing the overall level of resource allocated to the project team.</li> </ul> <p>Implementing any of these actions, or a combination thereof, will provide greater resilience in the event of issues arising with the availability of key staff.</p>	<p>current and upcoming stages.</p> <p>In the longer term once the current plan is drafted and delivered there will be an opportunity to further review the size and structure of the current delivery model to ensure a suitably resourced and resilient function is put in place.</p>			
3.1	<p>The project team should put in place arrangements that enable them to gain and provide assurance that the project is progressing satisfactorily, and that developing issues are being recognised and addressed. This could be addressed by developing the project plan to a greater level of detail to fully capture the actions and deliverables allocated to individuals outside the project team.</p> <p>Where monitoring is taking place, through avenues such as</p>	<p>Management accept this recommendation.</p> <p>The audit took place while this plan was still being collated and it continues to mature in line with the PRINCE2 “Planning Horizon” concept, capturing detail of upcoming stages and the individuals allocated to each task. This will be used to track and manage progress moving forward.</p>	3	Director of People & Development	29 May 2020

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Action No.	Recommendation	Management Response	Grade	Action Owner	Due Date
	regular meetings, forums, and catch ups, these should be documented at least to the extent of identifying planned actions, progress to date, an assessment of progress, and any actions identified and agreed to address developing issues.				
4.1	As a matter of good practice, the Project Board should produce minutes of its discussions adequate to evidence that the group is applying appropriate scrutiny.	<p>Management accepts the recommendation.</p> <p>This area is also covered in the wider review into the Transformation Portfolio, and the project plans to mirror any changes in activity that may follow as actions arising from that separate Scott Moncrieff audit.</p>	2	Director of People & Development	30 Sept 2020
7.1	<p>The Project team should define an expected process for reviewing and updating the strategic plan. This should be shared with those responsible for compiling local workforce plans with the guidance that any locally developed processes should align with that for updating the strategic plan as a whole.</p> <p>We acknowledge that there will be lessons learned in the course of compiling the first iteration of the Strategic Workforce Plan that may lead to any planned process being revised. The project plan should be extended to include the review of the proposed process following the</p>	<p>Management accepts the recommendation.</p> <p>The focus of the current project is to deliver the first Police Scotland Strategic Workforce Plan, covering a period of up to three years. It is accepted by the project team that there will be a need to provide organisational guidance on the planning framework at appropriate times. However this cannot be an overly prescriptive process – monitoring and reviewing timescales will depend on the size and scope of change activity identified in each plan, which should be as individualised as the needs of the service dictate.</p> <p>Lessons learned during the process of writing the initial plan will be captured and taken into account in future iterations. At all times remaining compliant with the 6-Step Methodology will</p>	2	Director of People & Development	30 April 2021

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Action No.	Recommendation	Management Response	Grade	Action Owner	Due Date
	completion of the initial version of the strategic workforce plan.	be of the highest importance.			

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