

SCOTTISH POLICE  
AUTHORITY

<b>Meeting</b>	<b>Audit Committee</b>
<b>Date</b>	<b>24 July 2018</b>
<b>Location</b>	<b>Pacific Quay, Glasgow</b>
<b>Title of Paper</b>	<b>Internal Audit Performance Management Report</b>
<b>Item Number</b>	<b>5.4</b>
<b>Presented By</b>	<b>Helen Berry, Director, Scott-Moncrieff</b>
<b>Recommendation to Members</b>	<b>Members are requested to note the report.</b>
<b>Appendix Attached</b>	<b>Internal Audit Performance Management Report</b>

**PURPOSE**

This paper presents our final report on the review of Performance Management.

The paper is presented in line with the Internal Audit contract with Scottish Police Authority.

The paper is submitted for noting.

## 1. BACKGROUND

- 1.1 Policing 2026, a 10-year vision and strategy for policing in Scotland, was published for public consultation on 27 February 2017.

In order to demonstrate progress against this strategy, the Scottish Police Authority (SPA) and Police Scotland (PS) must have a sound performance management framework in place. This should include the development and review of performance measures, quality indicators and Key Performance Indicators (KPIs) that are linked to its strategic and operational plans. SPA and Police Scotland must also ensure that arrangements in place for collating performance information to support indicators are effective and robust.

Monitoring performance against these indicators will allow SPA and PS to measure its achievement in meeting its desired outcomes and will provide focus on areas where additional work is needed to achieve them.

SPA and PS are currently developing a new performance management framework which will focus on operational performance, corporate performance and the management of change. This represents a significant change to the current performance management.

We assessed the progress that PS has made in developing the new performance management framework and identified the extent to which the planned arrangements will help to monitor progress against delivery of its Strategic Plan.

## 2. FURTHER DETAIL ON THE REPORT TOPIC

- 2.1 The report notes that Police Scotland's performance management controls procedures reflect good practice in a number of areas including:

- The project team members leading the implementation of the new performance management framework have undertaken

good preparatory work. The project team has set up a data analysis team which is responsible for assisting with drafting the new framework and has started to make progress in assessing the data requirements for measuring and reporting under the new frameworks regime.

- o PS decided to continue with the 'business as usual' function for monitoring and reporting of performance under the current regime and have a 'business as usual' team in place for this. The two reporting teams are running in tandem whilst piloting arrangements under the new framework. This will allow PS to obtain feedback on the new reporting regime before rolling it out across the organisation.

The report contains four "grade 4" (very high risk exposure), two "grade 3" (high risk exposure) and two "grade 2" (moderate risk exposure) recommendations to enhance the design and operation of the performance management controls. The findings contained within the report have been accepted with action owners and timescales for completion assigned.

Next steps: We will follow up management responses contained within the report on a periodic basis to monitor progress being made towards implementing management actions

### **3. FINANCIAL IMPLICATIONS**

- 3.1 There are no financial implications arising as a direct result of this report.

### **4. PERSONNEL IMPLICATIONS**

- 4.1 There are no personnel implications associated with this report.

### **5. LEGAL IMPLICATIONS**

- 5.1 There are no legal implications associated with this report.

### **6. REPUTATIONAL IMPLICATIONS**

- 6.1 There are no reputational implications arising from with report.

**7. SOCIAL IMPLICATIONS**

7.1 There are no social implications directly associated with this report

**8. COMMUNITY IMPACT**

8.1 There are no community impact implications directly associated with this report.

**9. EQUALITIES IMPLICATIONS**

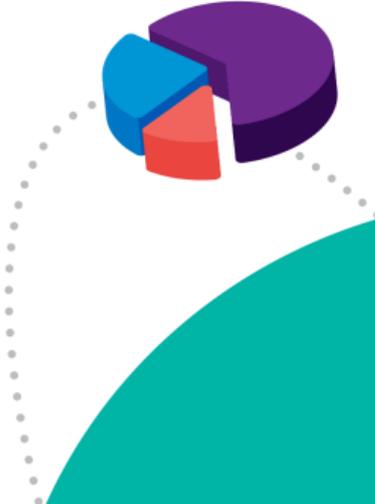
9.1 There are no equalities implications directly associated with this report.

**10. ENVIRONMENT IMPLICATIONS**

10.1 There are no environmental implications associated with this report.

**RECOMMENDATIONS**

Members are requested to note the report.



# Scottish Police Authority

Internal Audit Report 2017/18

Performance Management

June 2018



Scott-Moncrieff  
business advisers and accountants





# Scottish Police Authority

## Internal Audit Report 2017/18

### Performance Management

Executive Summary	1
Management Action Plan	4
Appendix A – Definitions	19
Appendix B – Policing 2026 Strategy	20
Appendix C - Police Scotland Performance Framework summary	21
Appendix D - Police Scotland Performance Framework detail	22

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# Executive Summary

## Conclusion

Police Scotland (PS) 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 KPIs to Strategic 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 of the new performance framework is challenging and may not be achieved.

## Background and scope

Policing 2026, a 10-year vision and strategy for policing in Scotland, was published for public consultation on 27 February 2017.

In order to demonstrate progress against this strategy, the Scottish Police Authority (SPA) and Police Scotland (PS) must have a sound performance management framework in place. This should include the development and review of performance measures, quality indicators and Key Performance Indicators (KPIs) that are linked to its strategic and operational plans. SPA and Police Scotland must also ensure that arrangements in place for collating performance information to support indicators are effective and robust.

Monitoring performance against these indicators will allow SPA and PS to measure its achievement in meeting its desired outcomes and will provide focus on areas where additional work is needed to achieve them.

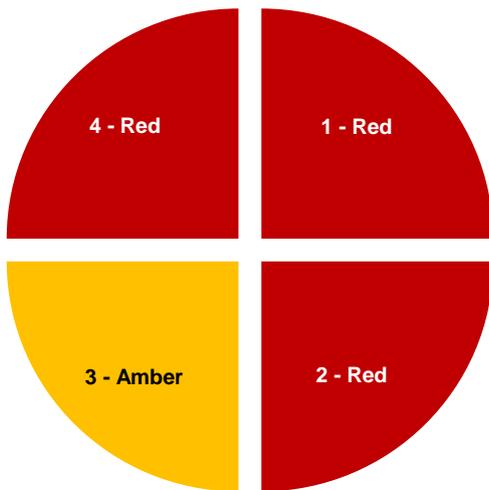
SPA and PS are currently developing a new performance management framework which will focus on operational performance, corporate performance and the management of change. This represents a significant change to the current performance management.

We assessed the progress that PS has made in developing the new performance management framework and identified the extent to which the planned arrangements will help to monitor progress against delivery of its Strategic Plan.

## Acknowledgements

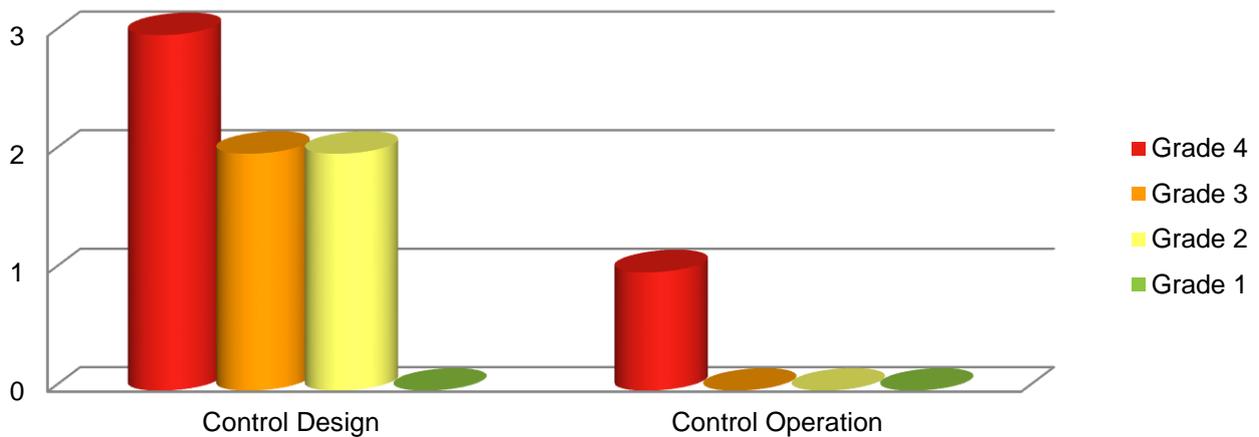
We would like to thank all staff consulted during this review for their assistance and co-operation.

## Control assessment



- 1. There is a formal performance management framework programme plan in place that considers all three elements of focus: operational performance, corporate performance and management of change and there is a supporting programme plan in place.
- 2. There is an appropriate mix of qualitative and quantitative performance indicators planned for all departments, localities, functional areas and projects.
- 3. The planned qualitative and quantitative performance indicators are linked to the delivery of the organisation's strategic objectives.
- 4. There are clearly defined plans in place to assess the data requirements that will inform the qualitative and quantitative performance indicators.

## Improvement actions by type and priority



Eight improvement actions have been identified from this review. Seven actions relate to the design of processes, while one relates to the operation of existing controls.

# Key findings

## Good practice

The PS performance management arrangements reflect good practice in the following areas:

- The project team members leading the implementation of the new performance management framework have undertaken good preparatory work. The project team has set up a data analysis team which is responsible for assisting with drafting the new framework and has started to make progress in assessing the data requirements for measuring and reporting under the new framework's regime.
- PS decided to continue with the 'business as usual' function for monitoring and reporting of performance under the current regime and have a 'business as usual' team in place for this. The two reporting teams are running in tandem whilst piloting arrangements under the new framework. This will allow PS to obtain feedback on the new reporting regime before rolling it out across the organisation.

## Areas for improvement

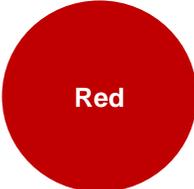
We have identified numerous areas for improvement which are detailed in the management action plan section of this report. In order to successfully implement a robust performance management framework, Police Scotland must prioritise the following areas:

- The production of a formal, detailed performance management framework document with clearly defined accountability that incorporates all three elements of focus: operational performance, corporate performance and the management of change.
- The production of a detailed programme plan with clearly defined project outcomes, dates, milestones, tasks and action owners.
- The identification of suitable KPIs for the performance management framework which meet SMART requirements.
- The identification of the gaps in data / information required to support the KPIs to allow effective performance reporting.

These are discussed further in the Management Action Plan, along with a number of less significant areas for improvement.

# Management Action Plan

Control Objective 1: There is a formal performance management framework programme plan in place that considers all three elements of focus: operational performance, corporate performance and management of change. The programme plan should indicate key roles and responsibilities and timelines for achievement of programme objectives.



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## 1.1 Performance Management Framework not defined in detail

Police Scotland has defined a draft Performance Management Framework that is aligned to the five key themes within the Policing 2026 Strategy (Protection, Prevention, Communities, Knowledge, and Innovation, as shown in Appendix 2) with the additional theme of Transformed Corporate Services. Twenty-five performance objectives have been defined that are aligned to one of the key themes (as shown in the Performance Management Framework Summary at Appendix 3).

Work to define the key performance indicators that will allow measurement of the extent to which the 25 objectives have been completed is in progress. Management has identified 108 KPIs, which are supported by Technical Notes designed to capture the data currently available or required to report progress. These KPIs have been mapped to Police Scotland business areas, to demonstrate which business areas will report against each KPI (as shown in Appendix 4). However, there is no single document that sets out the following:

- the Police Scotland performance management reporting hierarchy, including the frequency of reporting to the different groups and individuals within that hierarchy;
- the roles and responsibilities of individuals in different performance management roles across the organisation (for example those capturing data, those quality assuring data, those reviewing and challenging data);
- the processes to be followed by management within individual business areas across Police Scotland to identify and define KPIs as part of an annual process to review and, where required, refresh performance management information.

### Risk

There is a risk that PS does not have an effective performance management framework in place to allow measurement and reporting of performance. This increases the risk that PS is unable to achieve its strategic objectives and therefore increases the risk of reputational damage.

### Recommendation

Police Scotland should agree a timeline for finalisation of a detailed Performance Management Framework. The work required to finalise the Performance Management Framework should include:

- Documentation of the Police Scotland performance management reporting hierarchy, including the frequency of reporting to the different groups and individuals within that hierarchy;
- Documentation of the roles and responsibilities of individuals in different performance management roles across the organisation (for example those capturing data, those quality assuring data, those reviewing and challenging data); and
- Documentation of the processes to be followed by management within individual business areas across Police Scotland to identify and define KPIs as part of an annual process to review and, where required, refresh performance management information. This should include the process for approval of any such changes.

### Management Action

Grade 4  
(Design)

#### ***Management accept this finding.***

An initial version of the performance framework was published on 4 April 2018 on the Police Scotland intranet set in the context of the implementation of the 2026 strategy for all police officers and staff to be able to self-brief. Alongside the technical detail of the 108 KPIs, a summary document and an animation were also published on a dedicated intranet site alongside contact and project details.

<https://spi.spnet.local/policescotland/about-us/2026/Pages/Performance.aspx>

New work is now being undertaken to further develop and refine the performance framework by mapping it against the various hierarchies of reporting, from Scottish Government to Local Scrutiny Board to provide more detail in various layers of performance. Part of this new work includes incorporating the benefits realisation reporting into the framework as well as deriving outcomes aligned to the 2026 Strategic Objectives from the various Annual Police Plan Commitments, Performance Objectives and Areas of Focus for 2018-19. This is an iterative process and the Q1 Performance Report to SPA in August 2018 will be the first step in reporting this way.

Management recognises the need to document the reporting hierarchy, business processes, role and responsibilities for the performance framework and proposes that a form of handbook or SOP relating to performance hosted on the intranet would be suitable.

The dedicated intranet site is being kept up to date with refreshed documentation on the performance framework as work progresses and new materials become available. Consideration of an appropriate communications strategy runs alongside this as well to ensure that there is organisational awareness of the changes and what they mean for police officers and staff.

**Action owner:** Lesley Bain, Head of Analysis and Performance Unit      **Due date:** 1 April 2019

## 1.2 Project management arrangements require strengthening

The development and implementation of the new performance management framework is a significant piece of work, requiring a high level of resourcing, expertise, and planning. Police Scotland has adopted a project management approach to delivery of this work, with the Demand, Productivity and Performance (DPP) Board being assigned responsibility for its completion.

We reviewed project documentation during our review, including the team Gaant Chart and project roles and responsibilities documentation. The DPP board Gaant chart assigns specific actions to staff, however this is outdated and is not currently being used by the project team. The critical path document sets out key milestones however not all of these milestones indicate the implementation deadlines. The critical path document was also prepared at a high level and again does not provide the required level of information for the team to track their overall progress with the project.

The initial timeline indicated that the first performance report under the new framework was due to go to the SPA Board in August 2018. PS is significantly behind schedule for the implementation of the new framework and the project is not progressing as initially planned. Discussions with management during our review have indicated that key decisions on how performance should be measured and reported are still underway, therefore the new framework requires significant work before it is finalised and implemented.

In addition, we have not seen a detailed centralised project plan that sets out the following key information:

- Key project outcomes
- Key dates and milestones
- Tasks to be completed to achieve milestones
- Action owners for key deliverables
- Reporting requirements.

Therefore it is unclear how the project team are progressing with the implementation of the new framework.

Overall, there is a significant amount of information across a wide variety of documents, making the information fragmented which hinders the ability for an overarching review of progress to be made. The team needs clear direction about the goals it is working towards, what tasks should be performed and how the project is progressing in relation to the timetable. A centralised plan will support the successful delivery of the new framework and will allow the project team to identify any slippage in progress and identify corrective actions required.

### Risk

There is a risk that without a project plan PS will fail to deliver the new performance management framework in the required timescale. This will lead to a further delay in PS being able to fully report on its performance, potentially resulting in failure to achieve its strategic objectives and further reputational damage.

### Recommendation

Management should introduce a formal and detailed project plan to allow effective monitoring of implementation of the new framework. The project plan should include:

- Key project outcomes

- Key dates and milestones
- Tasks to be completed to achieve milestones
- Action owners for key deliverables
- Reporting requirements

The DPP Board should use this programme plan to prepare the Gaant charts and action logs required to remain on track with progress and identify any project slippage as it occurs.

### Management Action

Grade 4  
(Design)

#### ***Management accept this finding.***

A project plan and documentation does exist for the development and implementation of the new performance framework but management are aware that this has been created in the absence of a Project Manager, a post previously approved for the Performance workstream of the Demand, Productivity & Performance Programme but which remains vacant. Following recent prioritisation work across the change portfolio, the Director of Change has committed to supplying either a Project Manager or Business Change Manager in the near future. In the interim, the Project Manager from the Demand and Productivity project is being used to limited but best effect to support the Performance Framework development. Filling this vacancy is seen by management as being critical to producing a detailed centralised project plan and progressing through implementation into longer term maintenance of the framework.

**Action owner:** Lesley Bain, Head of Analysis and Performance Unit      **Due date:** 1 April 2019

## 1.3 Membership of the DPP Board and allocation of tasks requires review

The DPP Board is responsible for the delivery of the new performance management framework. The project team consists of members who have relevant performance management experience and knowledge and others who have operational knowledge of the organisation. However, we noted that the DPP Board, which is responsible for the development of the framework, does not include representation from any members of the Change Management and Benefits Realisation Team. In addition, we noted that tasks were not always completed by those individuals within the team with the most appropriate skills and experience. We were informed that team members had not received performance management training, nor were there plans to deliver training to the group.

### Risk

If project tasks are not completed or reviewed by individuals with relevant skills and experience, there is an increased risk that errors or gaps in the project work will remain undetected, resulting in a failure to develop a robust performance management framework.

### Recommendation

The membership of the DPP Board should be reviewed, with a view to introducing links to the Change Management and Benefits Realisation teams. This will provide the DPP Board with additional skills and provide a link to other programmes of change within the organisation so that the work to develop the Performance Management Framework does not become siloed.

The allocation of tasks within the project should be reviewed to confirm whether each task will be completed by the individual with the most appropriate skills and experience. Where competing priorities do not allow this to happen, work should be subject to a detailed review to confirm it has been completed to an appropriate standard.

#### Management Action

Grade 3  
(Operation)

#### ***Management accept this finding.***

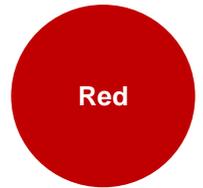
Since this audit was conducted, the Demand, Productivity & Performance Board membership has been reviewed with colleagues from both Change Management and Benefits Realisation teams having joined.

Management are aware that not all board members are trained in the same project management methodology but are content that all board members have relevant skills and experience to allow them to carry out their role on the board effectively.

**Action owner:** Lesley Bain, Head of Analysis and Performance Unit

**Due date:** 1 April 2019

## Control Objective 2: There is an appropriate mix of qualitative and quantitative performance indicators planned for all departments, localities, functional areas and projects.



### 2.1 Key Performance Indicators are not adequately defined

Our review of the draft Performance Management Framework noted that the existing KPIs do not provide balanced reporting against each of the 25 performance objectives or the 6 key themes. For example, there are 39 KPIs associated with the Protection key theme, 18 of which are associated with Performance Objective 1. In contrast, while there are two performance objectives associated with the Innovation key theme, only one KPI has been defined. This is shown in Appendix 4.

In total, two of the 25 performance objectives have no identified KPI; and five have only 1 KPI. Of 21 Business areas, 10 have identified KPIs that are associated with only one performance objective and key theme.

We also noted that, while the Technical Notes capture some detail in relation to existing reporting, there is no documentation that defines the planned reporting hierarchy in terms of:

- Committees, Boards and management groups that require performance information
- The level of detail required by each level of the hierarchy
- The frequency of reporting at each level of the hierarchy.

While we understand that it is management's intention to define a mix of qualitative and quantitative KPIs, our review of the 108 draft KPIs noted that many of them are not SMART or defined in a way that will allow management to conclude whether the desired level of performance has been achieved, either for achievement of the KPI or in relation to completion of performance objectives or key themes.

Finally, while the draft Performance Management Framework documentation demonstrates how operational and corporate services KPIs will be captured, it is unclear how the performance of change management activities will be captured.

#### Risk

There is a risk that KPIs are not defined to allow PS to effectively report on performance, resulting in failure to achieve the strategic objectives as well as creating further reputational damage for PS.

#### Recommendation

Following on from our recommendation at 1.1, the work to finalise the detailed Performance Management Framework should include:

- Quality assurance review of the KPIs identified to date, to determine whether they meet the SMART (Specific, Measurable, Assignable, Realistic, Time-bound) criteria and whether additional KPIs are required in order to allow effective measurement of progress towards achievement of the 25 performance objectives and six key themes.

- Quality assurance review to determine how the performance of change management activities will be incorporated into the Performance Management Framework.

## Management Action

Grade 4  
(Design)

### ***Management accept this finding.***

The new mapping work (referenced at recommendation 1.1) which is currently being undertaken on the reporting hierarchy from Scottish Government to Local Scrutiny Board will clearly document which groups require which information as well as the level of detail and frequency of reporting for each group.

A top down approach is being taken to engagement around the new mapping of the performance framework which focuses primarily on the concept of asking how we will know if we have achieved our outcomes. A workshop has already been held internally to align the performance reporting at the highest level, for example to the SPA board, to the strategic objectives of 2026 and their outcomes. To achieve effective engagement of this, an engagement plan is being drafted for the next iteration of the performance framework at or around the time of the Q1 Performance Report to the SPA Board. This includes engagement internally in Police Scotland as well as externally, e.g. with HMICS. A similar engagement plan was previously put in place for the initial launch of the new performance framework in April 2018 and worked to good effect.

Work is also planned to ensure this approach is cascaded down to Local Scrutiny Boards and will be undertaken jointly with Eleanor Gaw at SPA. A workshop is proposed for August 2018 where we will hear from officers at the local authorities about what they have found valuable in supporting their local scrutiny discussions. The workshop will also be used to establish areas where additional insight would be welcome, or any perceived gaps, and how we can assist in building elected member confidence in the data and their understanding of the wider evidence base.

The benefits realisation and corporate performance aspects of the framework are already currently subject of intensive engagement and development for the publication of the Q1 Performance Report. Progress has been good and it is expected that performance indicators for corporate functions will be defined and implemented by the end of July 2018. This complements the extensive work already undertaken to produce technical notes for all measures so far which ensures that all indicators are properly defined. Work is also underway to distil the strategic level narrative around the realisation of the benefits of change.

**Action owner:** Lesley Bain, Head of Analysis and Performance Unit      **Due date:** 1 April 2019

## 2.2 Arrangements for sharing good practice within Police Scotland and with external stakeholders

Police Scotland provides Local Scrutiny Reports to the Local Scrutiny Boards within each Local Authority area. The reports provide local performance information in relation to crime statistics, an overview of criminal issues that have been identified and PS's response to any changes in the local crime landscape.

In addition, PS meets with the External Reference Group, which includes local councils, HMICS and other emergency services organisations. Meetings are held quarterly, to discuss locality trends, sector issues and responses.

Scrutiny Board performance reports are not currently prepared in a standard format. We are aware that each Scrutiny Board has requested various forms of information to be included within these reports, which has resulted in inconsistent reporting within each local authority.

We noted a range of reporting formats in use for Local Scrutiny Reports, as well as the expected variance in the content of the reports, with some formats providing greater clarity of reporting than others. There is an opportunity for the DPP Board to develop arrangements for sharing good practice across Police Scotland to improve Local Scrutiny Reports for all local authorities, with the caveat that the reports must continue to provide the reporting requested by the Local Scrutiny Boards.

Similarly, the External Reference Group includes bodies whose performance management arrangements are more mature than Police Scotland's. There is an opportunity for additional knowledge-sharing and partnership working in relation to performance management arrangements, which could benefit Police Scotland.

### Risk

There is a risk that opportunities for collaborative working both within Police Scotland and with external stakeholder are missed, resulting in a failure to improve the efficiency and effectiveness of performance reporting.

### Recommendation

Management should develop a forum for sharing good practice in performance management and reporting across the organisation. This could include consideration of the format of Local Scrutiny Reporting (but not the content which should be driven by Local Scrutiny Board requirements), and practical application of the Performance Management Framework (once finalised).

PS should consider partnership working by consulting with the External Reference Group to identify opportunities to collaboratively work with other public sector bodies. PS should consider how it can use this forum to understand how other organisations (including other emergency services) monitor and report on performance. Consideration should be given to the opportunity for partnerships working to overcome system limitations in a more cost effective manner.

## Management Action

### ***Management accept this finding.***

The starting point for this work is the activity outlined in 2.1 above with Eleanor Gaw at SPA.

There is also work ongoing to redefine the performance framework reference group membership and purpose which picks up this recommendation as part of that work.

Another of Police Scotland's transformation work streams is looking at developing external partnerships and collaboration, including data sharing and partnership analytics, which is another area where there are opportunities for us to engage in sharing good practice with external stakeholders. This project is working closely with the Analysis & Performance Unit which gives that link to the performance framework development.

The Demand, Productivity & Performance Programme is looking at Local Scrutiny Board reports as part of the performance reporting hierarchy. In particular, there is a focus on seeking to achieve consistency across all the reports whilst also reflecting local difference. Management accepts that this work has been subject to resource constraints which have pushed the timeline for delivery beyond the original deadline and temporarily curbed the ambition of this part of the project.

There has also been long term, regular engagement with the Improvement Service in the development of the performance framework which has provided Police Scotland with an opportunity to learn from their experience in developing a complex public sector framework and benchmarking between services.

**Action owner:** Lesley Bain, Head of Analysis and Performance Unit      **Due date:** 1 April 2019

# Control Objective 3: The planned qualitative and quantitative performance indicators are linked to the delivery of the organisation's strategic objectives

Amber

## 3.1 Clearer alignment of Performance Objectives to Strategic Objectives required

Within the draft Performance Management Framework, 108 KPIs have been mapped to 25 performance objectives and six key themes, as shown in Appendix 3.

We were able to map the key themes in the Framework to Policing 2026 Strategy, where they are set out as key areas of focus. However, we noted that these are not the six Strategic Objectives set out in Policing 2026, which we did not see reflected in the draft Performance Framework. We were unable to map the information in the Performance Framework to the Strategic Objectives.

We confirmed that the 25 performance objectives within the Framework are referenced in the Annual Policing Plan, where they are described as KPIs. The Annual Policing Plan documents how the performance objectives will be used to measure achievement of Policing Priorities but the document does not directly link either the performance objectives or policing priorities individual Strategic Objectives.

We reviewed the Corporate Support Business Plan 2018/19 and noted that it documents the links between the key themes and the Strategic Objectives, through to the annual priorities. Actions and measures to achieve these priorities are set out in an Action Plan, in which each action is cross-referenced to a Strategic Objective. However, the Action Plan includes proposed measures against which to assess the status of the actions and we were unable to agree these proposed performance measures to the Corporate KPIs within the Framework.

### Risk

There is a risk that the Performance Framework will not demonstrate the extent to which the six Strategic Objectives set out in the Policing 2026 Strategy are being achieved. This could result in the failure of PS to achieve the strategic objectives and further reputational damage.

### Recommendation

PS should review and update the draft Performance Management Framework to provide clear links to the Strategic Objectives set out within Policing 2026, in addition to the existing mapping to key themes and performance objectives. This review should incorporate the reconciliation of KPIs within the Performance Management Framework to proposed measures within key corporate documents, to provide assurance that the agreed KPIs will provide the information required to demonstrate achievement of key corporate actions.

Once the Performance Management Framework is finalised, management should share agreed terminology across the organisation and incorporate update of the agreed performance management terminology into scheduled updates of existing corporate documents (e.g. confirming all documents refer to Performance objectives rather than KPIs when describing the 25 objectives supporting the key themes) to avoid potential confusion to readers.

## Management Action

### ***Management accept this finding.***

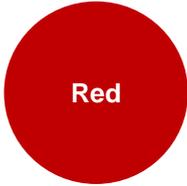
Work to align these areas is already part of the ongoing journey and project plan for the performance framework development. In particular the focus is on gathering enough evidence to be able demonstrate that the Strategic Objectives are being achieved and to be able to tell the story of how that is being done and how well it is being done.

The way this is being put into place practically is through extensive mapping of all the various measures in a hierarchical way – i.e. from lowest level management indicators up to the Scottish Government National Performance Framework. Following on from initial mapping that has already been carried out (presented to Helen Berry on 27 June 2018), a decision has been taken to consolidate the various measures in the performance framework into strategic outcomes aligned specifically to the six Strategic Objectives. This work is well advanced at time of report and will be incorporated into the strategic level performance report to the SPA board for the Q1 period.

This outcome-focused, hierarchical approach to reporting performance makes it possible to not only report against these six Strategic Objectives but also at the various strategic, tactical and operational levels against (for example) the Annual Police Plan Commitments, the Strategic Policing Priorities or Local Authority Outcomes. Management accepts that this is new and ground-breaking work for a public sector organisation of the size of Police Scotland which will be completed in stages over a longer period of time and the due date reflects the iterative nature of this process.

**Action owner:** Lesley Bain, Head of Analysis and Performance Unit      **Due date:** 1 April 2019

## Control Objective 4: There are clearly defined plans in place to assess the data requirements that will inform the qualitative and quantitative performance indicators.



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### 4.1 No clearly defined plans to assess data requirements

At present, if the data required to report on PS performance is not available within existing systems, local divisions use a range of methods and formats to collect data which is subsequently collated at divisional level for inclusion in performance reports. This can include manual collection of data.

Work is in progress to complete Technical Notes for each of the 108 identified KPIs in the draft Performance Management Framework. The Notes include identification of data sources and any additional work required to develop reporting.

In addition to the 108 existing KPIs, management intends to define an “aspirational framework” of activity that Police Scotland would like to measure in future. The Technical Notes should also capture the data required for this aspirational framework.

While acknowledging that this is work in progress, we noted that the Technical Notes have not all completed to the same extent: some Technical Notes have noted captured the data sources and additional work required for the 108 KPIs. The aspirational framework information has not yet started.

As a result, the DPP Board is not able to prepare a document that summarises the data requirements and functionality that would be required of a single data system that would meet the PS Performance Management Framework requirements. We are aware that development of the single source data warehouse is referenced within the Digital, Data and ICT Strategy however it is unclear how and when the work being completed by the DPP Board will feed into that project.

#### Risk

There is a risk that the DPP Board’s work to understand the gaps in the data required for the new performance management framework will not be progressed and completed in line with the timelines for production of a single source data warehouse within the Digital Date and ICT Strategy. This could result in a failure to define system requirements that will allow efficient and effective future reporting against the Performance Management Framework.

#### Recommendation

The DPP Board should liaise with the DDICT Strategy delivery team to confirm the extent of any dependencies between the two change programmes. These should then be factored into the updated project plan recommended at 1.2. Once any revised timelines are clear, management should review current resources within the team to determine whether existing resource is sufficient to achieve the revised timelines.

## Management Action

### ***Management accept this finding.***

Management recognises the need to develop a demand and productivity baseline that will then be enhanced and grow in a business as usual function as skills, experience, knowledge are gained and other transformation projects deliver. Requirements for new data for the performance framework are at an early stage of development. High level strategic data gaps relevant to analytics and performance management reporting have been outlined but the detailed data requirement of the wider organisation in this area has not yet been assessed.

There are a number of existing ICT systems that support reporting for the performance framework where high priority data gaps are known, e.g. person and object data is required within the current MIS aka ScOMIS. There are a number of new ICT systems coming online, e.g. national custody, where data content is new and unfamiliar. Management are aware that there is a lack of documentation for existing and new systems, such as entity relationship diagrams or data dictionaries, which would allow data content of ICT systems to be better understood. It is not possible at this time to scope all the new and existing data opportunities across all of the various ICT systems. The approach being taken is to assess data items which are potentially relevant for analytics and performance management by more closely examining one system at a time.

To ensure that the performance framework continues to develop and be enhanced, the Analysis & Performance Unit are engaging with the Ernst & Young '100 days' work, the Data Governance and Insight and the Demand, Productivity & Performance projects which are seen as the most relevant areas of transformation. Management also recognises the need for a central data repository to be created which contains enhanced data in order to be able to deliver the best possible performance framework and support the production of insightful analytics. The DPP professional supplier (PWC) will support the development of a new, more comprehensive dataset which will provide greater understanding of organisational demand and performance, thereby enhancing capability for us to potentially improve partnership working and evidence based service delivery.

**Action owner:** Lesley Bain, Head of Analysis and Performance Unit      **Due date:** 1 April 2019

## 4.2 Quality assurance of data input to existing performance reports required

As noted in the 4.1, work is required to identify and implement an automated solution to facilitate performance management reporting. This work is likely to take some time and existing performance reporting arrangements will continue in the interim.

The performance reporting process involves Local Analysts liaising with Divisional Analysis based at Headquarters. Divisional Analysts are responsible for collating local data and preparing information in a format that can be used for corporate reporting purposes. Due to the number of legacy systems that PS is currently working to unify, each local division has different information available and/or obtains information in a variety of ways. This has resulted in each Divisional Analyst reporting to the Head of Analysis Performance in different formats, some of which involve manual data input at local level.

There is inevitably a risk of human error where manual input is involved and this risk is exacerbated where the information required is subjective. Discussions with key management identified that there have been instances in the past where staff from local divisions have been providing manual information on performance despite not being authorised to do so. There have also been instances where incorrect information has been provided to the Central Performance unit for incorporation in to organisational performance reports.

At present there is a lack of control over manual data collection processes and limited quality assurance over such data before it is incorporated into divisional and organisation level performance reporting.

### Risk

There is a risk that data used in divisional performance reports is inaccurate and/or incomplete. This could lead to errors being incorporated into organisational performance reports, which increases the risk of PS being unable to effectively and accurately report on its performance.

### Recommendation

Where manual data is fed into divisional tasking reports by local analysts, PS should implement appropriate controls to ensure this information is accurate. Manual data should be verified and authorised before incorporation in to organisational performance reports to PS SLT and the SPA Board. The following steps should be taken to improve the quality of divisional performance data:

- The Central Performance Team should identify all areas of manual data input for each division.
- Where manual input is necessary the following controls should be implemented:
  - Authorised personnel should be identified for submitting manual performance data;
  - Persons identified should be held accountable for the accuracy of data;
  - A control sheet should be implemented and submitted by each local division for all manual performance data submitted;
  - The control sheet should demonstrate that all manual data submitted has been reviewed by a secondary member of staff, of an appropriate senior position with the skills and knowledge to appropriately assess the accuracy of the data; and
  - The control sheet should provide accountability for the data submitted being accurate.

**Management Action*****Management accept this finding.***

Some transformation projects are going to introduce automated data management processes and platforms for some data sources, e.g. the Data Governance & Insight project proposal to use the *Master Data Management* tool to create a so-called 'golden nominal' and the Demand, Productivity & Performance project proposal to use the *Pandora* data management platform for cleansing, linking and translating data.

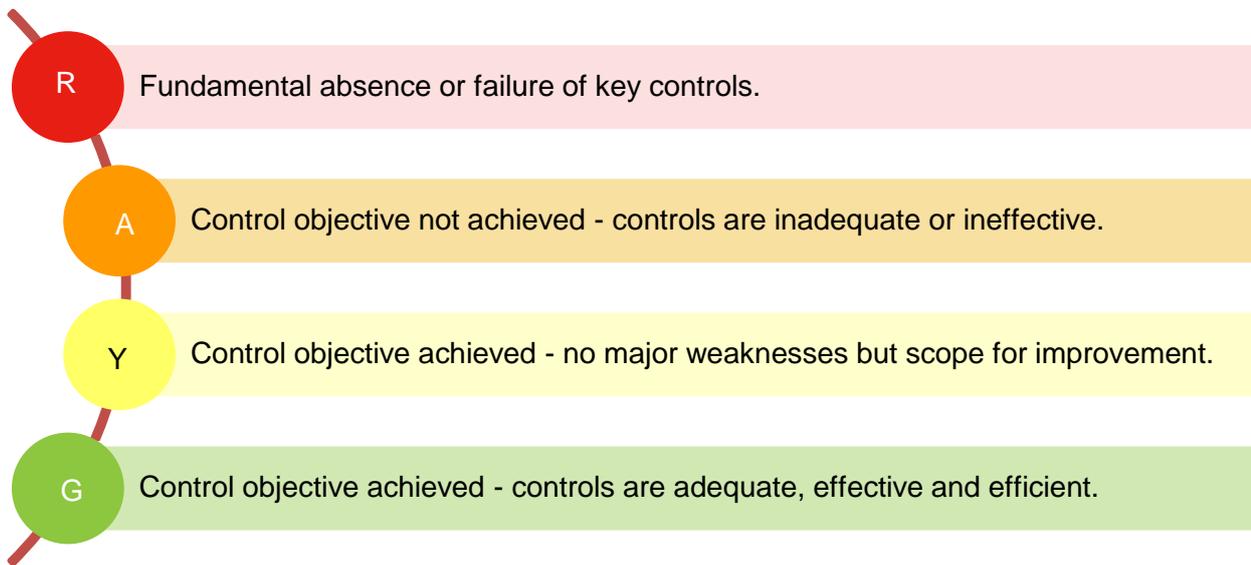
In some areas of the business there are controls in place for manual data entry, e.g. Crime Managers oversee data entry into crime systems.

Management are aware that there is a need to improve and formalise quality controls for manual data input to the performance framework as the controls that are in place involve the central performance unit working informally with those submitting data to ensure it is considered to be of the best quality available. There is a need to strike a balance between issuing guidance to those involved in manual data collection and entry, which is perhaps seen as optional advice, compared to issuing a mandatory instruction. It is essential that performance is understood and used in a positive way to drive improvement. The organisation needs to understand why performance looks as it does and then ask what are we going to do about it. Management are keen to stress that it is not desirable for those responsible for submitting data to feel that poor performance will be punished as this can have more serious unintended consequences, including undermining confidence in data collection and quality assurance processes. A control process for manual data input will be developed in response to this recommendation. This will be particularly important for developing the 'aspirational performance framework' where reporting will be new.

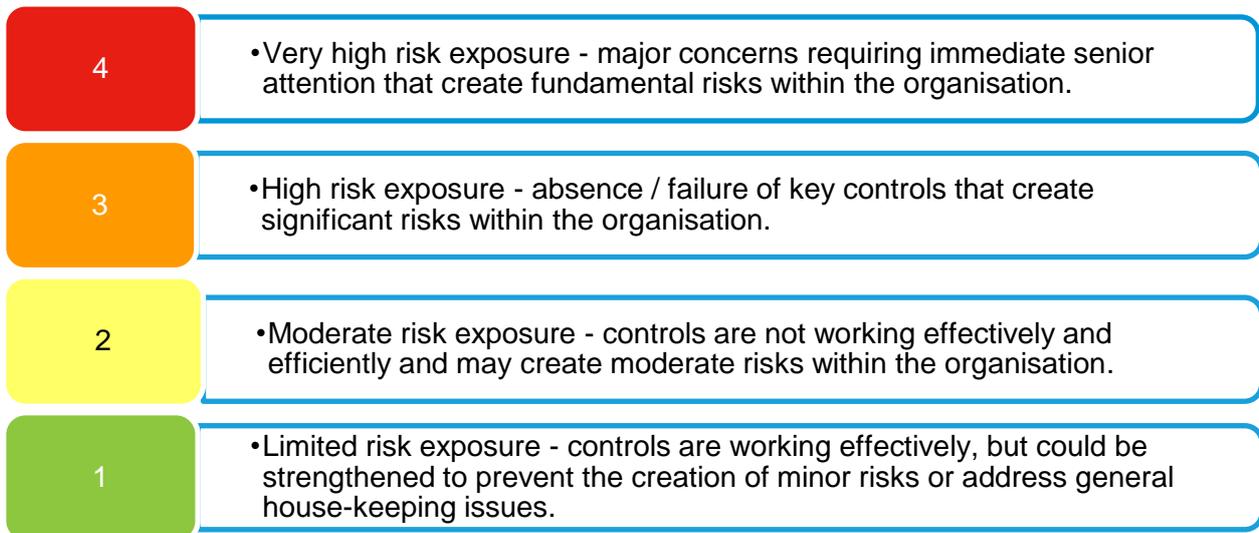
**Action owner:** Lesley Bain, Head of Analysis and Performance Unit      **Due date:** 1 April 2019

# Appendix A – Definitions

## Control assessments



## Management action grades

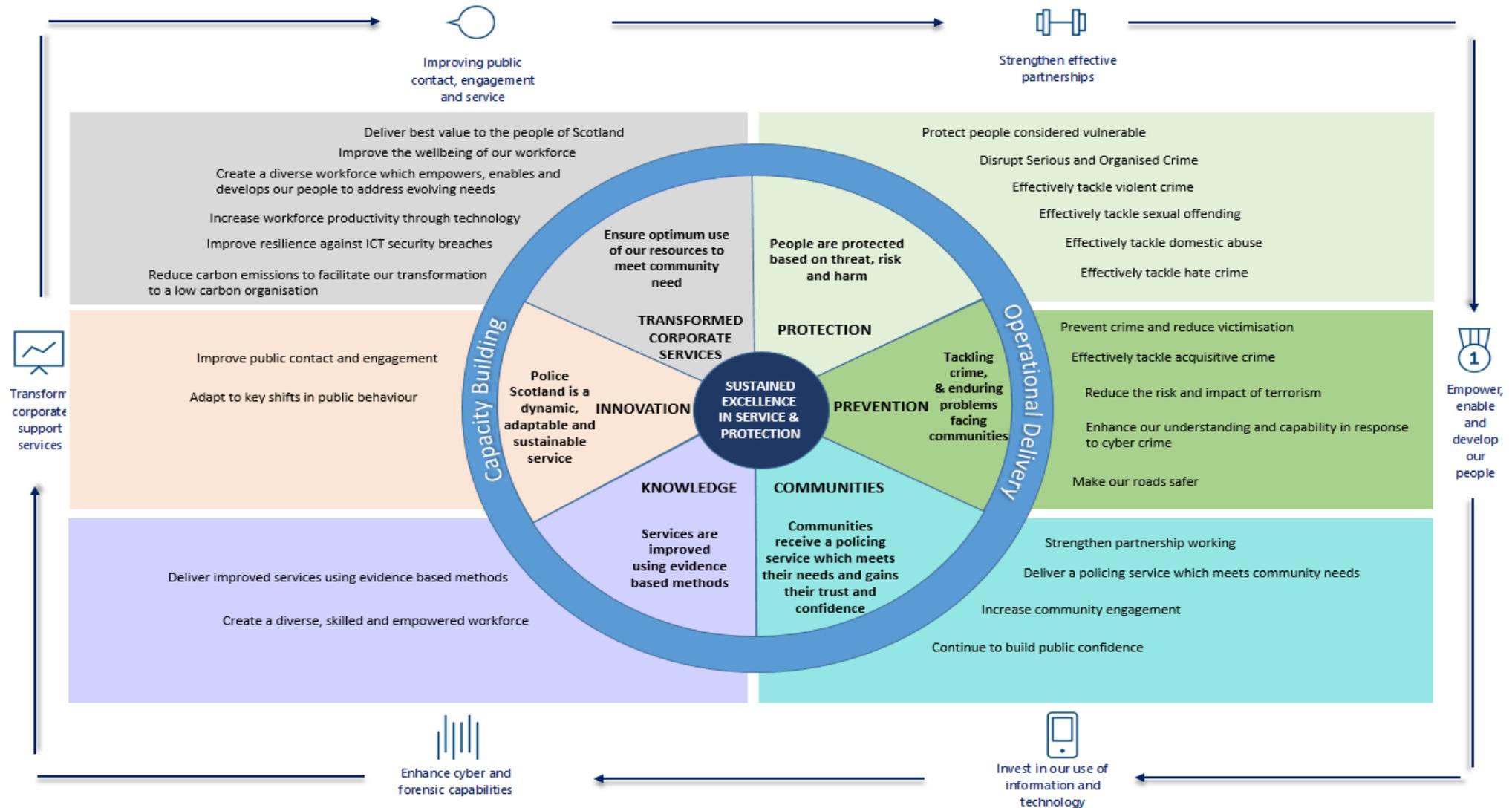


# Appendix B – Policing 2026 Strategy



# Appendix C - Police Scotland Performance Framework summary

## Police Scotland Performance Framework



# Appendix D - Police Scotland Performance Framework detail

## Police Scotland Performance Framework

### There are 7 Key Performance Questions (KPQs).

Answering the Key Performance Questions allows an assessment of progress against each Key Performance Indicator.

KPQ 1	How good is our understanding of the threat/risk posed by the issue?
KPQ 2	How effective is our response to the issue?
KPQ 3	How effective is our work with partners on the issue?
KPQ 4	How good are we at using our resources on the issue?
KPQ 5	What difference has it made locally on the issue?
KPQ 6	Are there best practices that can be shared on the issue?
KPQ 7	Is there any benchmarking data about the issue?

### There are 25 Key Performance Indicators (KPIs)

These are indicators of success for each Area of Focus. Under each KPI will be a suite of Measures which can be quantitative and/or qualitative (a count of which can be found below, broken down by Business Area)

### BUSINESS AREA KEY:

Acquisitive Crime	C3	EERP (OSD)	FoCUS (OSD)	Road Policing (OSD)	Specialist Operations (OSD)	Armed Policing (OSD)	Serious Organised Crime (SCD)	Counter Terrorism & Domestic Extremism	Protecting People at Risk of Harm	PPR - Domestic Abuse	PPR - Missing Persons	Violence, Disorder & Antisocial Behaviour	Professional Standards Department (PSD)	Public Confidence	Corporate Communications	Estates	Fleet Management	ICT	People & Development	Procurement
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KEY PERFORMANCE INDICATORS (KPIs)	AREA OF FOCUS	OUTCOME	Acquisitive Crime	C3	EERP (OSD)	FoCUS (OSD)	Road Policing (OSD)	Specialist Operations (OSD)	Armed Policing (OSD)	Serious Organised Crime (SCD)	Counter Terrorism & Domestic Extremism	Protecting People at Risk of Harm	PPR - Domestic Abuse	PPR - Missing Persons	Violence, Disorder & Antisocial Behaviour	Professional Standards Department (PSD)	Public Confidence	Corporate Communications	Estates	Fleet Management	ICT	People & Development	Procurement				
KPI 1 Protect people considered vulnerable	PROTECTION	People are protected based on threat, risk and harm			3			4		5		6		5													
KPI 2 Disrupt Serious and Organised Crime																											
KPI 3 Effectively tackle violent crime																											
KPI 4 Effectively tackle sexual offending														5													
KPI 5 Effectively tackle domestic abuse															6												
KPI 6 Effectively tackle hate crime								1																			
KPI 7 Prevent crime and reduce victimisation	PREVENTION	Tackling crime & enduring problems facing communities				2			1																		
KPI 8 Effectively tackle acquisitive crime																											
KPI 9 Reduce the risk and impact of terrorism																											
KPI 10 Enhance our understanding and capability in response to cyber crime																											
KPI 11 Make our roads safer																											
KPI 12 Strengthen partnership working	COMMUNITIES	Communities receive a policing service which meets their needs and gains their trust and confidence																									
KPI 13 Deliver a policing service which meets community needs																											
KPI 14 Increase community engagement																											
KPI 15 Continue to build public confidence																											
KPI 16 Deliver improved services using evidence based methods	KNOWLEDGE	Services are improved using evidence based methods																									
KPI 17 Create a diverse, skilled and empowered workforce																											
KPI 18 Improve public contact and engagement	INNOVATION	Police Scotland is a dynamic, adaptable and sustainable service																									
KPI 19 Adapt to key shifts in public behaviour																											
KPI 20 Deliver best value to the people of Scotland	CORPORATE SERVICES	Ensure optimum use of our resources to meet community need																									
KPI 21 Improve the wellbeing of our workforce																											
KPI 22 Create a diverse workforce which empowers, enables and develops our people to address evolving needs																											
KPI 23 Increase workforce productivity through technology																											
KPI 24 Improve resilience against ICT security breaches																											
KPI 25 Reduce carbon emissions to facilitate our transformation to a low carbon organisation																											

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