

SCOTTISH POLICE  
AUTHORITY

<b>Meeting</b>	<b>Audit Committee</b>
<b>Date</b>	<b>23 October 2018</b>
<b>Location</b>	<b>Surgeons' Quarter, Edinburgh</b>
<b>Title of Paper</b>	<b>Police Scotland and SPA Forensics Staff Performance Management Assignment Plan</b>
<b>Item Number</b>	<b>4.3</b>
<b>Presented By</b>	<b>Elizabeth Young, Director, Scott-Moncrieff</b>
<b>Recommendation to Members</b>	<b>Members are requested to note the assignment plan.</b>
<b>Appendix Attached</b>	<b>Police Scotland and SPA Forensics Staff Performance Management Assignment Plan</b>

**PURPOSE**

This paper presents the final assignment plan for our audit of Police Scotland and SPA Forensics Staff 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 Assignment plans set out the scope and objectives of each audit, along with an assessment of the key business risks relating to the area under review. Our consultative approach ensures that the focus of each review is sensitive to the specific risks and context within which SPA and PS operate. This maximises the value of each review and reflects the risk-based assurance we offer.

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

- 2.1 We provided a draft assignment plan for our review over staff performance management to the Audit Committee in September 2018. We originally suggested that the review covered SPA, Police Scotland and SPA Forensics.
- 2.2 Due to the planned implementation of the SPA restructure, however, it was suggested that SPA should be excluded from the review and these arrangements audited as part of the 2019/20 internal audit plan instead.
- 2.3 We subsequently met with representatives from SPA and agreed to remove SPA from the scope of our review. We finalised our assignment plan to cover Police Scotland and SPA Forensics only. Our review over the Police Scotland arrangements commenced last week and our review over SPA Forensics is due to commence in November.

## **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.

# Internal Audit Assignment Plan

<b>Client:</b>	<b>Scottish Police Authority</b>
<b>Assignment:</b>	<b>C.4 Staff Performance Management</b>
<b>Client contacts:</b>	<p>Audit Sponsors: Jude Helliker, Director of People and Development (ACC Angela McLaren, Operational Change and Resilience)</p> <p>Tom Nelson, Director of Forensic Services</p> <p>Key Contacts: TBA</p>
<b>Background:</b>	<p>In recent years there have been significant levels of organisational change that have impacted on roles and responsibilities within SPA Forensic Services and PS. Arrangements for personal development, particularly within PS during that period were largely held over pending “steady state”.</p> <p>Nonetheless, it is important that organisations have well defined staff performance management systems which are underpinned by approved policies and procedures which are clearly understood by line managers and staff.</p>
<b>Scope:</b>	<p>We will review staff performance management arrangements within both SPA Forensic Services and PS to determine the extent to which there is routine review of staff and police officer performance that facilitates personal development and maximises contribution to role, succession planning, knowledge management, etc. within both bodies.</p> <p>A review of staff performance management arrangements within SPA Corporate will be deferred until 2019/20. This is in recognition of the planned implementation of the revised organisation structure.</p>
<b>Business objectives:</b>	<ul style="list-style-type: none"> <li>• There is a clear performance management process in place that is followed consistently throughout SPA Forensic Services and PS;</li> <li>• The staff performance management process supports the setting of goals that align with individuals’ development needs as well as the organisation’s overarching objectives;</li> <li>• Training needs are identified and addressed to ensure that staff have the required skills to perform effectively in their role; and</li> <li>• Succession planning is carried out that considers reliance on key posts as well as workforce demographics to support effective recruitment and workforce development strategies.</li> </ul>
<b>Business risks:</b>	<ul style="list-style-type: none"> <li>• <b>SPA - HR 10</b> There is a risk that Implementation of Modernised Pay &amp; Grading Structure/Principle T&amp;C's could be delayed or not fully implemented due to:-</li> </ul>

	<ul style="list-style-type: none"><li>a. lack of resources or</li><li>b. inappropriate project management/governance, or</li><li>c. the ability to balance costs and funding availability</li></ul>
<b>Resources:</b>	Internal Auditor, Claire McTaggart – 19 days Internal Audit Manager, Claire Stevenson – 3 days Head of Internal Audit, Elizabeth Young – 2 days Partner, Gary Devlin – 1 day
<b>Timetable:</b>	Fieldwork commences: 8 October 2018 Fieldwork completed: 13 November 2018 Closing meeting with auditee: by 13 November 2018 Draft report issued for management responses: 27 November 2018 Management responses to be provided by: 18 December 2018 Report to be issued as final by: 24 December 2018 Audit Committee meeting: January 2019
<b>Reporting format:</b>	Standard internal audit report presented to Audit and Risk Committee and management.
<b>Agreed by client and date:</b>	TBC