



Meeting	Audit, Risk and Assurance Committee
Date	3 November 2022
Location	By video-conference
Title of Paper	SPA Oversight of Change
Presented By	SPA Chief Executive, Lynn Brown
Recommendation to Members	For Discussion
Appendix Attached	Appendix A – SPA Oversight of Change Presentation

PURPOSE

This paper seeks to update the Audit Risk and Assurance Committee on the Authority’s oversight of the content, progress, pace and impact of transformational change in policing and how it is improving service to the public, and to do this in a visible and robust way.

This paper sets out the recommendations made by the Authority on an enhanced approach to the oversight of change for the Audit, Risk and Assurance (ARAC), as well as setting out some of the key areas of anticipated oversight in the coming months, and is submitted for discussion.

1. BACKGROUND

- 1.1 The 2012 Police and Fire Reform Act (Scotland) requires the SPA to set the strategic direction for policing through the publication of a Strategic Police Plan, to support and promote continuous improvement in policing and to hold the Chief Constable to account.

The achievement of the strategic outcomes set out in the Strategic Police Plan require positive action by Police Scotland which is delivered across a wide range of activities. Some of these activities include change which may be regarded as transformational, some involve changes which are better described as innovation in operational approaches and some which are best described as changes in structure, people, practice or process which drive increased efficiency or effectiveness.

The commonality across all of these activities is the intention to deliver outcome focused impact which can be evidenced in an improvement in the policing of Scotland. It is against this definition of strategic outcome aligned to impactful and evidenced improvement change activity that the SPA has considered the delivery of the "oversight of change".

- 1.2 The detail of that oversight is reported to the Authority in public by the Committee and Oversight Group Chairs as a standing item and is further emphasized in routine reporting on change oversight in bespoke reporting by SPA support staff.

As a result of adopting this approach, HMICS cleared the recommendation from the September 2019 Thematic Inspection of the SPA on improving change oversight. Further, in reporting on their April 2021 Assurance Validation of Police Scotland Transformation Benefits HMICS concluded that:

HMICS are satisfied that the SPA Board and Resources Committee continue to provide good support and challenge for the Police Scotland transformation portfolio.

This conclusion was repeated in the November 2021 report by HMICS.

- 1.3 As part of the drive to continuously improve the Authority's Governance under the sponsorship of the current Vice Chair, Jane Ryder, ARAC Members considered three graduated options:

Option One: Do nothing. Maintain the current processes and procedure approved by the Authority in February 2020.

Option Two (AGREED): Use the existing remit of the ARAC to seek further assurance on the overall progress of the Police Scotland Transformation Portfolio with a focus on risk to the coordinated delivery of the Strategic Police Plan outcomes and enhance the Resources Committee focus on the return on investment, delivery of benefits and coherence with the approved business cases. The Forensic Services Transformation Portfolio would continue to be overseen by the Forensics Committee.

Option Three: Establish a full standing Authority Change Committee with a remit across the Police Scotland and Forensics Transformation Portfolios to act as a single lead forum for SPA Oversight of Change.

2. FURTHER DETAIL ON THE REPORT TOPIC

- 2.1 As the Police Scotland portfolio continues to grow and develop delivery momentum, there is an increasing need for the Authority and Police Scotland to share a **common understanding** of the interdependencies and linkages across the various enabling strategies, programmes, projects and work streams. The current change portfolio is hugely diverse. Elements include major change programmes such as DDICT, Digitally Enabled Policing, Estates, Transforming Corporate Services, People Strategy, and the Strategic Workforce Plan. It will also include significant operational change, such as the Modernising Contact and Engagement (MCE), Enabling Policing for the Future (EPF), Policing in a Digital World (Cyber) and Local Policing Improvement Programme. Together, the defined change portfolio includes a range of infrastructure, technology, equipment, processes, practices and people changes and this is the primary focus of the Authority's oversight.
- 2.2 It was **AGREED** that the **ARAC** takes lead responsibility for the coordination of oversight across change within Police Scotland on behalf of the Board. Corporate Staff will provide support and advice, principally from the Head of Finance, Audit and Risk and Head of Change and Operational Scrutiny, working with other Departmental Heads.
- 2.3 **Option 2** was **AGREED** by **ARAC** Members at a Development Day on 28 October 2021, before being confirmed by the wider SPA at a Members' Seminar on 8 December 2021.

2.4 Going forward, the ARAC would consider through its agenda:

Overview of the Portfolio progress as a whole with interdependencies and critical linkages and milestones highlighted.

The Portfolio Risk Register.

Key Programmes and Project Assurance and Exceptions such as:

- Digital Evidence Sharing Capability (DESC)
- Emergency Services Mobile Communication Programme (ESMCP)
- Modernising Contact and Engagement Programme
- Enhancing Digital Forensics Capability
- Age of Criminal Responsibility (ACRA)
- Cyber Strategy Implementation

These changes allow each existing Committee to have a footprint in change oversight and enables Best Value to be considered across operational activity as well as corporate services:

		1 Strategy	2 Project initiation & approval				3 Project delivery			4 Project closure & BAU operations		
			PPA (potential project assessment)	BJC (business justification case)	IBC (initial business case)	FBC (full business case)	Procure	Change control	Implement	Benefits realisation	Closure	BAU operations
Authority's scrutiny	Board	✓				✓						✓ monthly change
	Resources committee	✓		✓	✓	✓	✓	NEW: change control role		✓ Quarterly benefits tracking		✓ ENHANCED: Formal process
	ARAC		NEW: summary oversight report of all live change projects. Focus on high level status /RAG assessment. Report to be agreed / focus similar to ARAC risk report. Deep dive work conducted by other committees									
	PPC, People, Forensics	✓	ENHANCED: remit to conduct specific & deep dive oversight of projects within the remit of committees.									

The following shows the revised responsibilities across all of the SPA governance fora:



3. CURRENT AND FUTURE OVERSIGHT

3.1 **Appendix A** provides an overview of the change oversight provided by SPA Committees from 1st September 2021 to 1st September 2022, and outlines some future areas of change oversight Members are likely to consider over the coming months:

3.2 **Contact Assessment Model (CAM) HMICS Assurance Review**

HMICS published their latest assurance review into CAM on the 31 August 2022. This report focussed on the operational impact of the initiative as part of their statutory duties. The Terms of Reference for this review was published in February 2022 and the aim was to assess the state, efficiency and effectiveness of the Contact Assessment Model (CAM). This report forms the sixth report into call handling by Police Scotland following the incident involving the deaths of John Yuill and Lamara Bell, with a total of 38 recommendations previously made.

Recommendations pertaining to the SPA will be considered as part of the agreed governance processes and an action plan agreed, along with Police Scotland, on the implementation of those recommendations. This item was heard at Policing Performance Committee on the 14 September and will be subject to continued oversight at this committee.

3.3 Spending Review - Change Portfolio Prioritisation Exercise Outcome

A portfolio review is ongoing by Police Scotland, in light of announcements made in the latest Scottish Government Spending Review, and a prioritisation exercise is being carried out. This work will be presented to the Police Scotland Change Board, with oversight from the SPA at Resources Committee in due course.

3.4 Portfolio Roadmap – by Outcome, Priorities and Themes

It is expected that Police Scotland will produce a 5 Year Business Plan and Roadmap for the Change Portfolio (including the totality of change within the organisation). This work, once again, will be presented to the Police Scotland Change Board, with oversight from the SPA in due course.

This Roadmap will also help demonstrate the alignment of projects and programmes to the Strategic Police Plan objectives, prioritisation measures (outlined above) and transformation themes being developed throughout the portfolio.

3.5 Benefits Realisation Update and New Categorisation of Benefits

In November 2021, HMICS reported on Assurance validation of Police Scotland transformation benefits 2020-21

The report highlighted that in order to inform future assurance of Police Scotland's Benefit Management Framework, or adherence by programmes and projects, *"The SPA requires to satisfy themselves that the investment in the business cases they have approved is delivering the expected benefits and how specifically these are improving the performance of policing service delivery."*

Police Scotland has given an indication that there will be a revised approach to the categorisation of benefits, which will allow the SPA to make a better assessment of business cases, and how intended benefits are realised in order to improve policing performance.

It is expected that this report will be presented to Resources Committee and officers from the SPA and PS will identify a mechanism to provide assurance to Board Members regarding investment in business cases and how this has delivered intended benefits.

3.6 Data Ethics Implementation

Police Scotland are currently in the process of implementing a Data Ethics Governance Framework. This is an enabling framework, which once fully implemented will ensure a consistent approach to making decisions, whilst not constraining responsible innovation.

The framework will ensure that when a new data or data driven technology project is considered, it is filtered through a set of triage question to determine a Data Ethics Risk Assessment. Those projects which have been identified as carrying particularly high risk (as an outcome of the triage), will then go through enhanced scrutiny processes, including consideration by a Police Scotland Digital Ethics Oversight Group (DEOG), and in areas of enhanced/uncertain risk the Independent Data Ethics Group (IDEG). It is proposed that the IDEG will be jointly administered by the SPA and Police Scotland.

It is anticipated that all future data and data driven technology projects adhere to the Data Ethics Governance Framework and that evidence of ethical considerations and views of the DEOG and IDEG are detailed in future business cases.

3.7 Service Design and Target Operating Model

A significant amount of work has gone into maturing the design-led approach to the change portfolio, with the anticipation that this work will lead to the continued development of a strategic target operating model (TOM).

3.8 End of Project Reports (EPRs), including Mobile Working

With EPRs being considered by Resources Committee – as part of the enhanced oversight of change – Police Scotland are developing a standardised approach to present these reports to Members, which complements and enhances the current work on demonstrating cost, benefit and timeline adherence.

It is anticipated that Members will have the opportunity to consider the EPR on Mobile Working in the near future.

3.9 Business Cases, including Microsoft Office 365

At the request of Resources Committee, a revised format for presenting Business Case summaries is being developed by Police Scotland. While this will continue to follow the UK Treasury (Green Book) 5-case model, additional focus will be given to strategic alignment, resource requirements, benefit realisation (following the development of additional categories, as above), risks and dependencies.

SPA staff will continue to work closely with the Police Scotland Portfolio Team to assist Members with their responsibilities in providing oversight and assurance on each individual Business Case that meets financial thresholds or presents a significant public interest.

Members can expect to see the Microsoft Office 365 Business Case, as it progresses through Police Scotland and SPA governance.

3.10 Change Request Oversight

As part of the revised approach to the oversight of change, and agreed by the SPA Board's Scheme of Financial Regulation, a new approach to Police Scotland's change request process has been introduced. These changes include that a forecast 20% or £0.5m overspend or lower saving per the approved FBC, require approval through the same oversight mechanism that approved the original FBC. Other non-financial changes ie non-financial benefits, scope, timeline, etc will be monitored and reported to ARAC as part of Police Scotland's regular reporting.

3.11 Annual Report and Accounts (ARA)

As part of the new approach to the Oversight of Change approved by Members it was agreed that there would no longer be 6 monthly reports to the Authority on Change.

Instead this work would be reported through the ARA. Given this new approach was only adopted in April 2022, the ARA for 2021/22, which is due in summer 2022, will follow a similar format to previous years regarding the Oversight of Change.

The ARA for this current year (22/23) will document the holistic approach to Oversight of Change adopted this year.

4. FINANCIAL IMPLICATIONS

4.1 There are no financial implications in this report.

5. PERSONNEL IMPLICATIONS

5.1 There are no personnel implications associated with this paper.

6. LEGAL IMPLICATIONS

6.1 There are no further legal implications in this paper to those listed above.

7. REPUTATIONAL IMPLICATIONS

7.1 There are reputational implications associated with this paper.

There are potential reputational implications raised as part of this paper.

The paper describes key risks for the Police Scotland Change Portfolio and identifies expectations of Police Scotland to report to the Authority. The Authority may wish to consider the nature of the updates contained with this paper and act in its best interest to safeguard delivery of the benefits of the Portfolio and ensure oversight of the Portfolio.

7. SOCIAL IMPLICATIONS

7.1 There are no social implications associated with this paper.

8. COMMUNITY IMPACT

8.1 There are no community implications associated with this paper.

9. EQUALITIES IMPLICATIONS

9.1 There are no equality implications associated with this paper.

10. ENVIRONMENT IMPLICATIONS

10.1 There are no environmental implications associated with this paper.

RECOMMENDATIONS

Members are requested to discuss and note the report.

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SCOTTISH POLICE
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Oversight of Change

ARAC MEETING

3 November 2022

Background

Authority's role on change

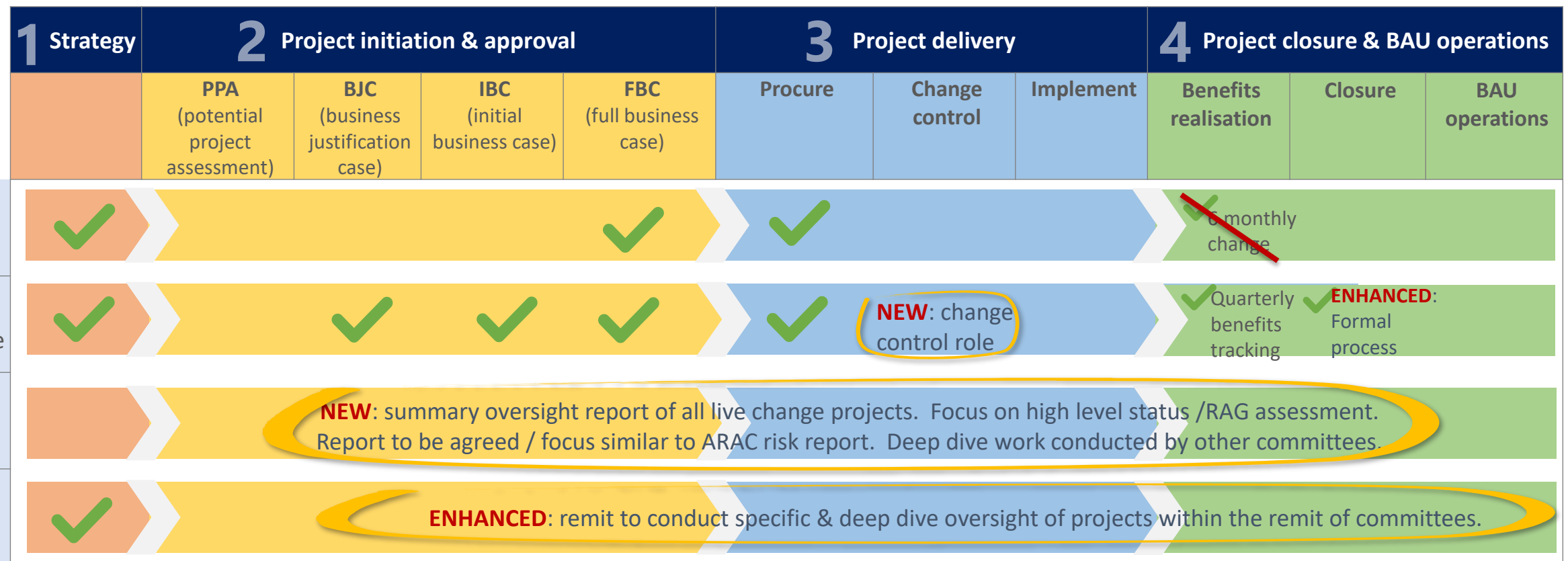
- Holding the Chief Constable to account:
 - key **oversight of transformational change** and its progress towards outcomes.
- The Authority also has a strategic risk specifically in relation to its oversight of policing.
- Promote **continuous improvement** and focus on achieving **Best Value**.

Further detail

- **September 2019** - HMICS recommended improvements to the effective governance of change and transformation.
- **February 2020** – Board approved an approach to change oversight which was distributed and coordinated across Committees and Board.
 - Oversight of change is conducted through the Committees and also the Board through Committee Oversight, Chairs reports and specific 6 monthly reports to the Board.
- **December 2021** - ARAC Members' Session, Members considered and approved the enhanced approach.
- HMICS and Audit Scotland verified their support.
- **April 2022** - New approach to oversight of Change started to be implemented

Project lifecycle *(Approved Option 2: enhanced oversight using existing committees)*

- This project lifecycle diagram shows the Authority’s oversight of a change proposals from start to finish and also highlights the changes from current practice.
- This option allows each existing Committee to have a footprint in change oversight and enables Best Value to be considered across operational activity as well as corporate services.



- Separate approvals exist for the use of reform funding.
- All Chairs reports will outline the oversight of change conducted specifically by each committee.
- There are areas for potential strengthening of consistent and routine oversight in change control, oversight of the implementation of projects, portfolio risk register and detailed oversight of benefits realisation. The role and remit of committees should be very clearly defined to avoid duplication of work.
- **There will be an annual update to the Board on SPA Oversight of Change through the Annual Report and Accounts.**

Approved Approach

1

Audit, risk & assurance committee

- Takes **lead responsibility** for the **coordination of oversight across** the Police Scotland portfolio on behalf of the Board. SPA staff will provide support and advice.
- The ARAC will consider through its agenda:
 - overview of the portfolio progress as a whole with interdependencies and critical linkages and milestones highlighted;
 - portfolio risk register;
 - key programmes, portfolio assurance and exceptions.

2

Resources committee

- Considers:
 - Business cases
 - substantial change requests;
 - finance update: cost monitoring and spend profile;
 - benefits realisation update;
 - closure projects including organisational learning.

3

Policing performance committee

- Continues to conduct oversight of specific operational change programmes and projects, and look to evidence of the improved performance resulting.

4

People committee

- Continues to conduct oversight of specific workforce and people related change programmes, projects and critical linkages.

5

Forensics committee

- Continues to conduct oversight of all aspects of the Forensics Services Strategy and Change Portfolio.

6

Chairs reports

- Public reporting of oversight of change continues through committee Chairs reports.

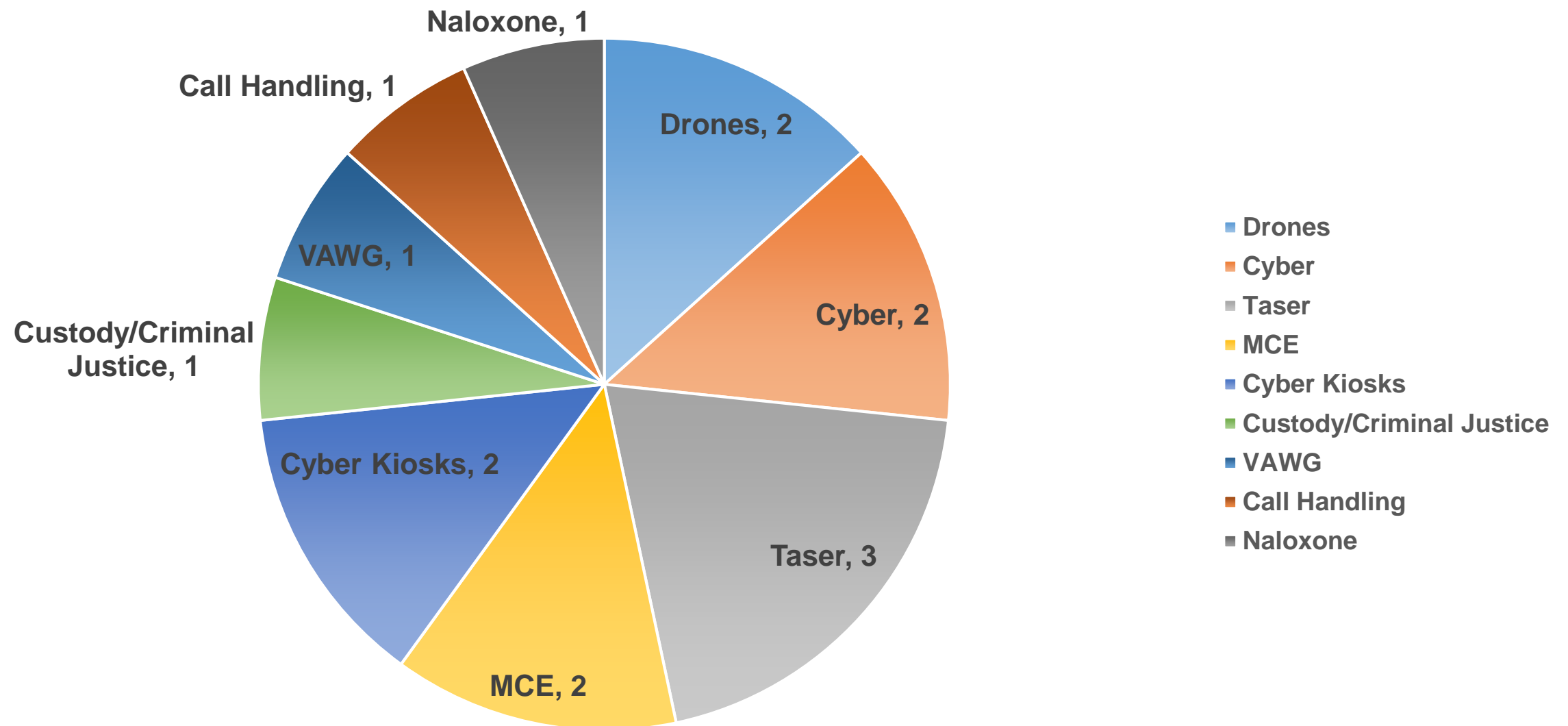
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ARA

- 6 Monthly reporting of Change Oversight to the board will stop. As part of the Annual Report and Accounts an annual summary of SPA Oversight of Change is developed for review by the Board in public session.
- The CC Annual Assessment will include an update and overview on Change.

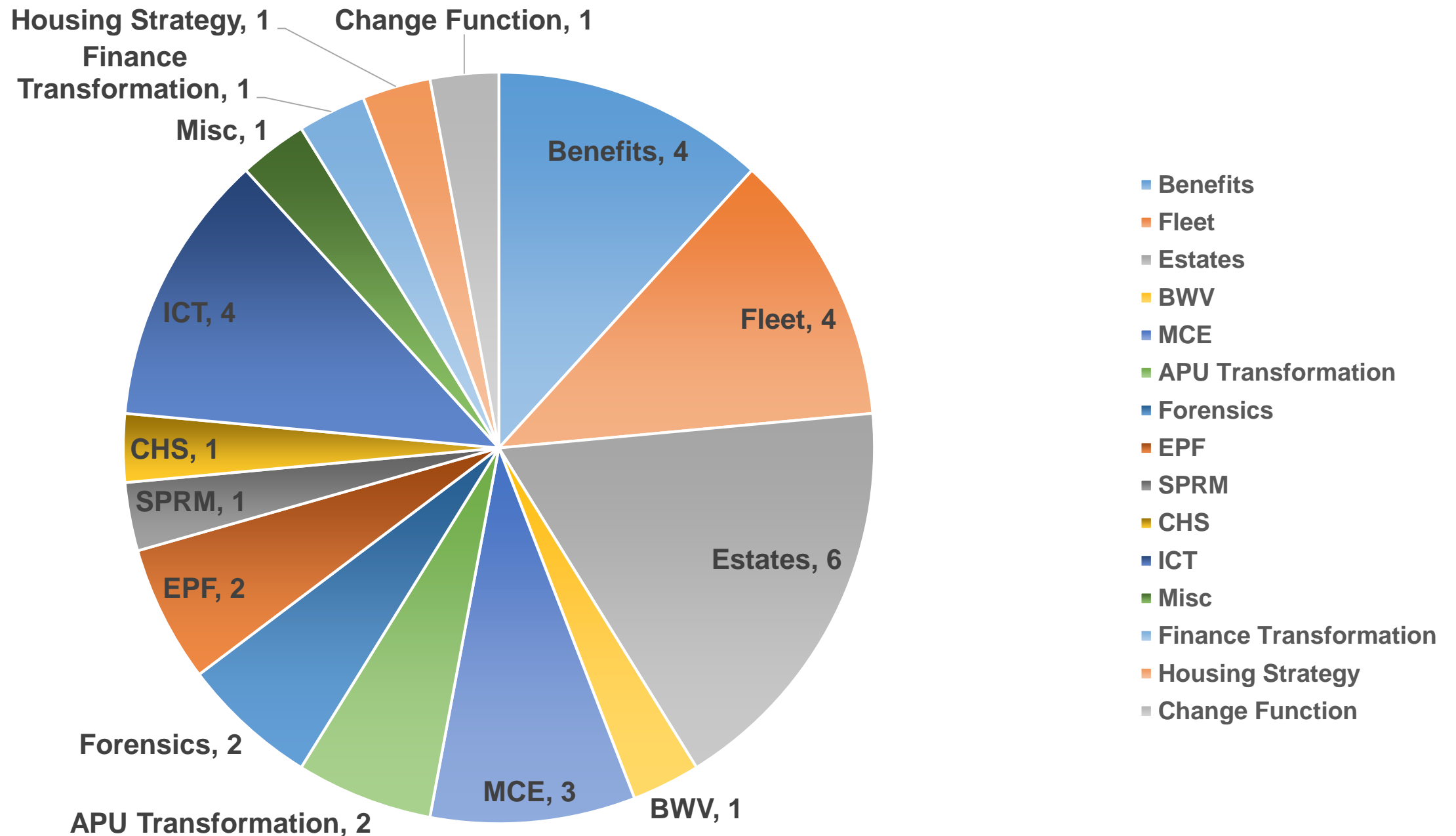
PPC Oversight: 1 Sept 2021 – 1 Sept 2022

The following charts display the number of times a specific committee has considered a change topic from 1 September 2021 to 1 September 2022.



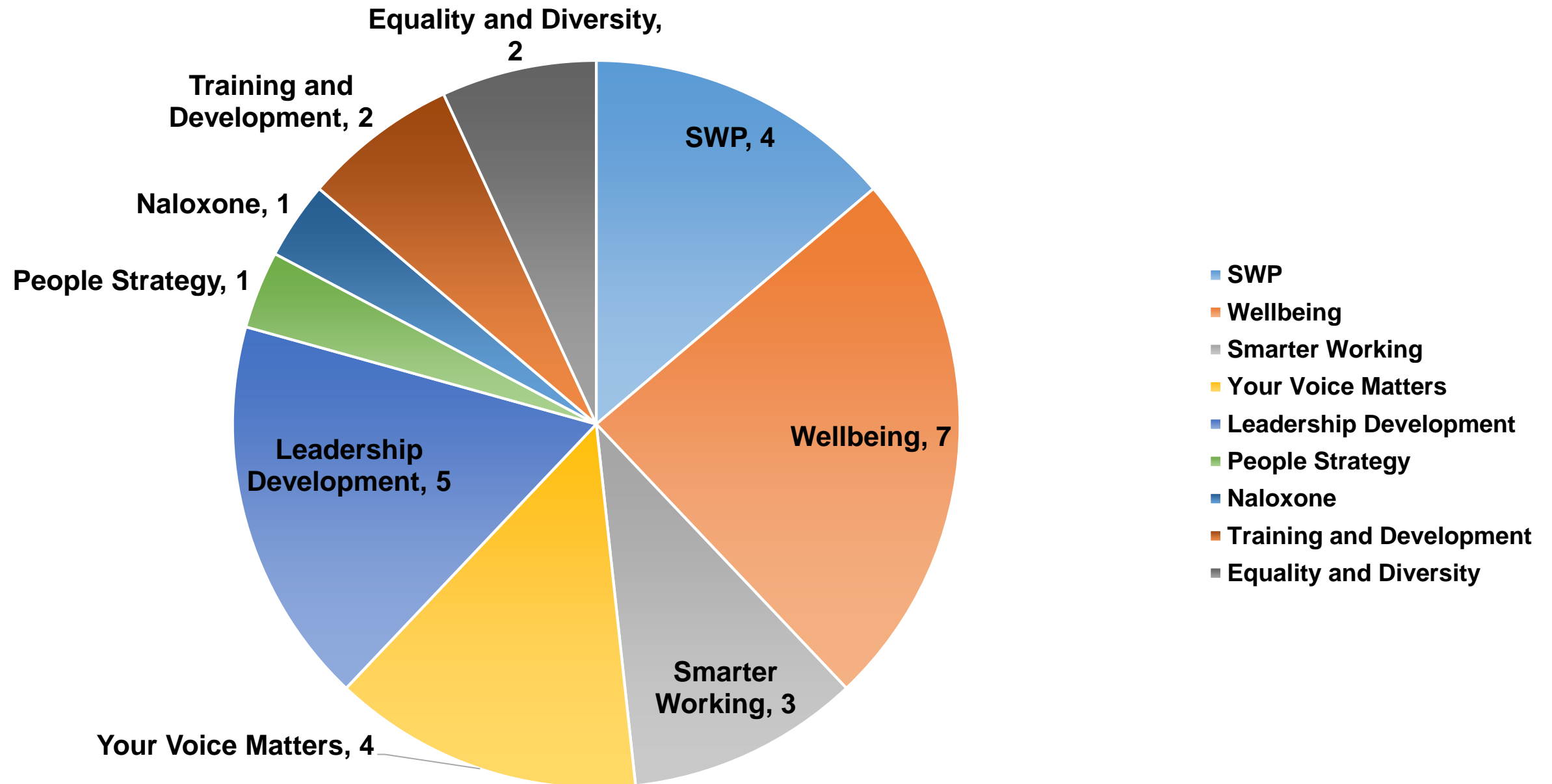
- There has been **no PPC meeting** since the previous ARAC meeting, however, topics that will be covered at PPC in September include: PS Aviation and Security including Drones, Custody and Criminal Justice Division and Naloxone. It is anticipated that PPC in December will have an update on some in flight programmes (DEPP- COS for example).

Resources Committee Oversight: 1 Sept 2021 – 1 Sept 2022



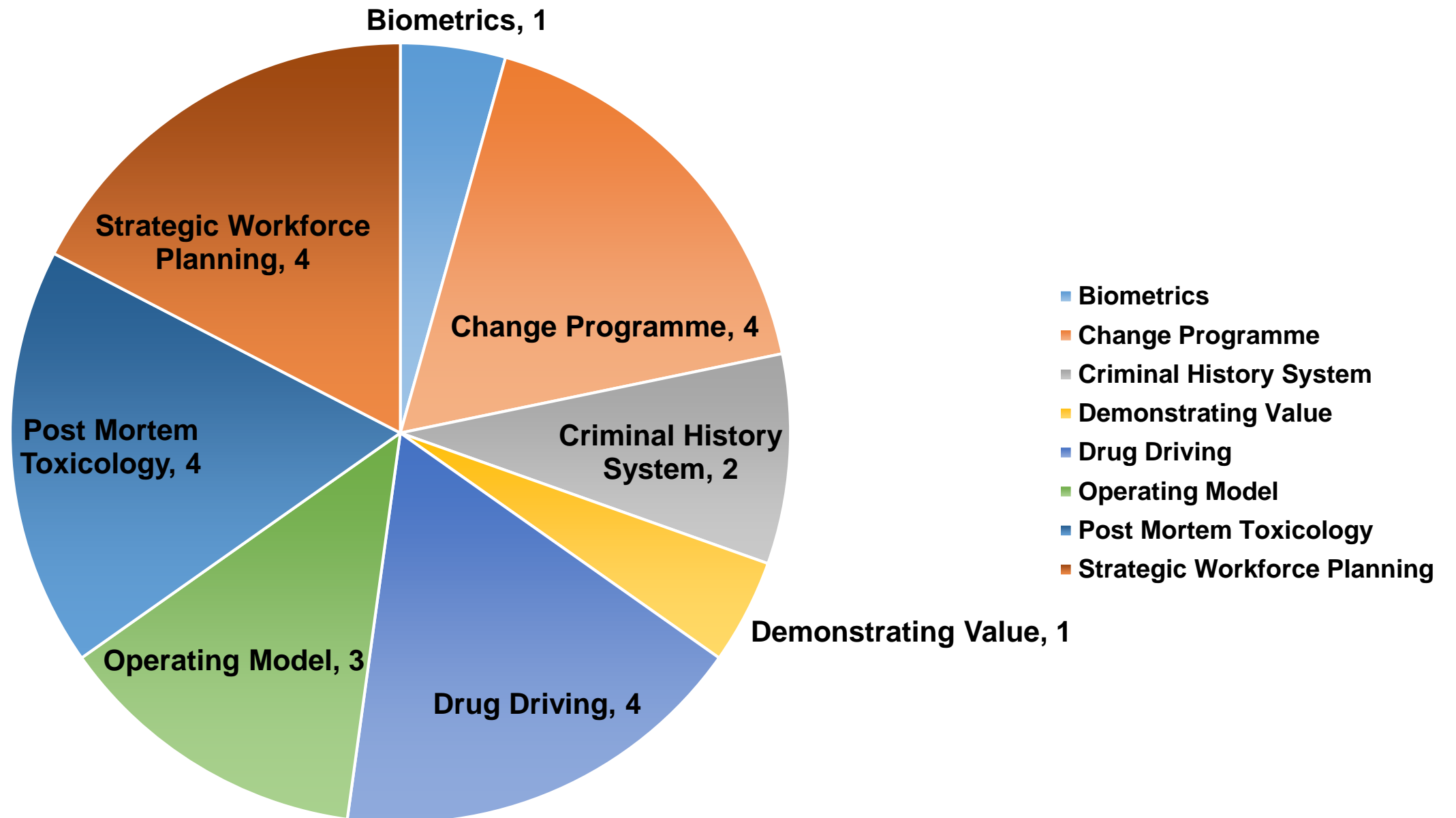
- Since the last ARAC meeting, the **Resources Committee** has considered: Evaluation Report of Electric Vehicles; Review of Contract Expenditure; Contract Award for DNA Kits; and the **Analytics Transformation Full Business Case**.

People Committee Oversight: 1 Sept 2021 – 1 Sept 2022



- Since the last ARAC meeting, the **People Committee** has considered a number of reports on the Strategic Workforce Plan; Naloxone; Training and Development; and Leadership. Notably, the Committee considered the HMICS Thematic Inspection of Police Scotland Training and Development; HMICS Assurance Review of Strategic Workforce Planning, and the Equality and Diversity Strategy.

Forensics Committee Oversight: 1 Sept 2021 – 1 Sept 2022



- Since the last ARAC meeting, the **Forensic Services Committee** has considered a number of reports on the Strategic Workforce Plan; Demonstrating Value; Drug Driving; Post Mortem Toxicology; the FS Operating Model; and Biometrics. Notably, the Committee established the Forensic Services Change Board to oversee the implementation of the transformational change programme.

Future Oversight

SPA Committee Members can anticipate the following areas of Change oversight and update over the coming months:

- Contact Assessment Model (CAM) HMICS Assurance Review - **PPC**.
- Spending Review - Change Portfolio Prioritisation Exercise Outcome - **RC**.
- Portfolio Roadmap – by Outcome, Priorities and Themes – **RC/ARAC**.
- Benefits Realisation Update and New Categorisation of Benefits - **RC**.
- Data Ethics Implementation - **ARAC**.
- Service Design and Target Operating Model – **TBC - Authority**.
- End of Project Reports, including Mobile Working - **RC**.
- Business Cases, including Microsoft Office 365 - **RC**.
- Change Request Oversight - **RC**.
- Annual Report and Accounts - **Authority**.