

STAFFORDSHIRE CHIEF CONSTABLE

Workforce Planning

Internal audit report 10.19/20

DRAFT

7 April 2020

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EXECUTIVE SUMMARY

Why we completed this audit

We have completed an audit of the Workforce Planning (WFP) processes in place at the Force to ensure that they take into account the current workforce and future workforce needs to help identify the gap between the present and the future, and implement solutions to ensure that the Medium Term Financial Strategy (MTFS) can be delivered.

The focus of our review has been on the operational and strategic framework and planning that goes into the Workforce Plan (WFP) and Target Operating Model (TOM). We have also reviewed how the Force has addressed the uplift of Police Officers stipulated by the Government and whether consideration has been given to fleet, lockers and other equipment.

The Force uses Origin Resource Management (HR System) which has been designed specifically to meet the HR needs of the UK Police service.

Conclusion

The opinion of this review has been formed upon the basis of an effective control framework which is in place at the Force for WFP. We agreed two low priority management actions as areas for improvement.

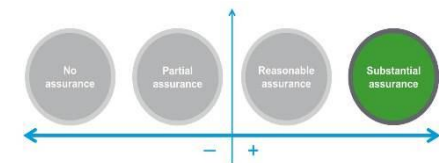
We confirmed a number of well-designed and complied with areas, which have been detailed in the key findings section of this report and we also confirmed that there was a monthly detective control in place, assisting the team to identify any TOM changes which may be overlooked due to human error.

HMI's observations from the most recent PEEL assessment in 2018/19, confirmed that *'Staffordshire Police understands the current and future demand for its services much better than it has done previously.'*

It has used this information to develop strong financial and workforce places for the future.'

Internal audit opinion:

Taking account of the issues identified, the Force can take substantial assurance that the controls upon which the organisation relies to manage the identified area are suitably designed, consistently applied and operating effectively.



Key findings



The Supplies Team did not always receive up to date information where there were changes to the recruitment figures. As the Supplies Manager must be prepared for larger recruitment intakes going forward (due to the maximum intake for the Police Constable Degree Apprenticeships being 48 as opposed to 16 for the Degree Holder Entry Program). An action has been agreed to ensure periodic updates of all recruitment numbers are routinely sent to the Supplies Manager to ensure that all new Officers can be provided with the necessary equipment to do their job.



The Operational WFP meeting was introduced and the first meeting was held on 11 February 2020. We confirmed discussion of relevant WFP and Uplift areas in the minutes,

however there were no Terms of Reference and the minutes did not include the meeting's attendance list.



Detailed below are areas of compliance and good practice identified as part of our audit

The WFP – Delivery Plan 2019 – 2022 sets out the resource planning, demand and recruitment requirements / plans to assist the achievement of the Force's vision and priorities for the coming three years. There are clear reports in place to determine how the Delivery Plan is flexed, as a result of changing demand priorities, additional resource requirements and challenges. A paper was presented to the CPRB in February 2020 outlining the changes in February and planning for an additional 90 officers in 2020/21, 120 officers in 2021/22 and a further 90 officers in 2022/23 – all of which have been reconciled to the MTFS and TOM.



The MTFS is updated annually through review of the TOM as at the December year end. The TOM as at December 2019 was used to create the 2020/21 budget and MTFS, reconciling to the HR Nominal Report as at 31 December 2019. On review it was confirmed that the MTFS has provided for future changes that may impact the TOM. We obtained the Policing budget for 2020/21 and confirmed it included the budget process, officer uplift figures and assumptions, appropriate for the Force. In addition, we confirmed that each directorate budget is reconciled (by Finance Business Partners on a monthly basis) against the Target Operating Model. The WFP Assistant sends out the updated TOM on a monthly basis to all Finance Business Partners. We confirmed that these had been completed and agreed in all three cases which were selected



Finance Business Partners reconcile the TOM to their respective budgets on a monthly basis, ensuring that any

discrepancies are discussed with the WFP Assistant to ensure that reasons are identified and addressed.



The WFP Assistant reviews and analyses the Nominal Report and Pensions Report (from external provider) to ensure that in year adjustments to the workforce are taken into account and updated on the Turnover Timeline. The WFP Assistant also meets with HR Business Partners twice a month to discuss any approved or upcoming changes to the TOM.



Our testing of Secondments, Recruitment and Promotions confirmed that where procedures are followed by the HR department all relevant amendments are identifiable by the WFP Assistant when the Origin Nominal Report (including all staff and officer's details in the Force) is received.




Testing of reporting points in the Turnover Timeline as at 29 February 2020 confirmed that those figures selected were supported by calculations which could be reperformed by the WFP Assistant, evidencing the process followed to ensure the accuracy of the figures reported.



The most recent three Strategic WFP meetings were confirmed to include challenge and detailed discussion around WFP and TOM decisions, which required agreement / approval. Where the meeting required further input, actions were raised and followed through to the relevant meetings for approval and decisions.



The Modern Policing and Enabling Board (MPEB) meets every two months and acts as the gateway for decisions which cannot be made at the Strategic WFP meeting. Review of the minutes confirmed that between October 2019 and January



2020 there was detailed discussion and approvals, as appropriate. All decisions requiring amendment to the TOM were clearly identifiable, enabling the WFP Assistant to include the changes in the monthly review of the TOM and Turnover Timeline.

DETAILED FINDINGS AND ACTIONS

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

1. Police Officer Uplift		Assessment	
Control	The WFP process has made consideration for the national government initiative to increase the numbers of police officers.	Design	✓
		Compliance	x
Findings / Implications	<p>Uniform and Equipment</p> <p>Review of the Training and Recruitment Activity section of the Turnover Timeline 2020.01 confirmed that there were provisions for the Government uplifts through three intakes of new Police Officers (POs) who will begin the Police Constable Degree Apprenticeship in March 2020, January 2021 and March 2021. In total the provision is for 30 people to begin training in March 2020 and 60 to be spread over the January and March 2021 courses.</p> <p>Review of email trails confirmed that the Supplies Manager was informed by the Recruitment and Diversity Lead on 10 October 2019 that there were 42 POs starting in March which included the 30 relating to the operational uplift. Review of the Timeline 2020.01 confirmed that 48 POs were forecast for this intake, however the Supplies Manager had not been made aware of this increase. The Supplies Manager also informed us that since the email in October 2019, there had been no further update in relation to the March 2020 intake.</p> <p>Whilst we can confirm that the WFP process and Turnover Timeline document had considered the national government initiative to increase the numbers of POs, we identified that there was no periodic update of any changes to the training and recruitment figures to the Supplies Team. Where the Supplies Team are not periodically updated with any changes in the Training and Recruitment figures, there is a risk that said changes will result in Police Officers not having suitable equipment on their start date.</p> <p>Lockers</p> <p>We were informed by the Estates Services Manager that there was initial contact from the Learning and Development department to Estates with regards to the Government Uplift of officers and their approximate intake of dates and numbers. The locations and officer numbers that were detailed within the initial programmes were for sites where there was adequate space to install additional lockers where needed. We were also informed that the Estates team had completed locker audits which confirmed that there was already adequate space for the additional POs to store their belongings in lockers, with the exception of NACF and Cannock. The Estates Services Manager addressed this by arranging for 18 lockers to be utilised at Cannock from a recent site decommission and at NACF, the team on site made lockers available.</p> <p>The Estates Services Manager has no concern with suggested locations for the new PO intake as they are '<i>all sites that have a level of capacity for growth</i>' and has also ensured that the estimated numbers of POs on the uplift intakes have been accounted for as part of overall numbers in the Estates Strategy and Plan.</p>		

Fleet

The Strategic Head of Transport for Fire and Police in Staffordshire informed us that there had been consideration of the impact that the uplift would have on the Force's fleet in the 'Uplift Board' meeting and in an email to the auditor stipulated that it had been agreed that the Force would require:

- 2 additional vehicles for driver training;
- 2 additional response vehicles; and
- 1 Mini-bus for D1 and transportation.

Review of the most recent three 'Operational Uplift Strategic Programme Board' minutes confirmed the following discussion / actions in relation to fleet:

- 12 February 2020:
 - Discussed the feasibility of purchasing a minibus for use by the Tutor Unit and an Uplift liveried vehicle for use by the Diversity team;
 - Action for Finance, WFP and JETS executive members to meet to discuss arrangements around the above vehicles;
 - The Head of Commercial Services is to provide a spreadsheet showing the impact of enabling services, including JETS;
- 6 December 2019:
 - No discussion of fleet / vehicle purchase;
- 8 November 2019 (first meeting of the Board):
 - Initial discussion outlining the purpose of the meeting; and
 - There was early discussion of the uplifts requirements and the consideration around 'kit, uniform, fleet and so on'.

Whilst we could not confirm that the purchase of vehicles outlined by the Strategic Head of Transport above had been approved for purchase, we confirmed that there had been consideration of how the uplift would affect the fleet in the Operational Uplift Strategic Programme Board and a more general Vehicle Replacement Programme to replace 80 vehicles that are no longer operationally fit had been approved in the Modern Policing and Enabling Board (MPEB) meeting, held on 23 January 2020.

Management Action	The Force will ensure that the Supplies Team receive routine updates of the Training and Recruitment figures in the Turnover Timeline, to ensure that they can plan in advance and have uniform ready for use, prior to Officers' start dates.	<i>Immediate</i>	TBC	Low
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2. WFP Meeting Group – Operational		Assessment	
Control	The WFP - Operational meeting convenes on a monthly basis to discuss and challenge various operational elements of the WFP process.	Design	×
	WFP is considered throughout the Force at both strategic and operational governance levels.	Compliance	✓

Findings / Implications	<p>The meeting is in place to discuss the specific operational details of the timeline and queries which any Superintendents and other relevant staff may have.</p> <p>There had only been one meeting of the Operational WFP meeting, at the time of the audit. We reviewed the 'Minutes and Actions Record' for the meeting held on the 11 February 2020 which confirmed discussion of the following (this list is not exhaustive):</p> <ul style="list-style-type: none"> • Internal transfers; • Secondments; • Temporary Positions; • Vacancies; • Recruitment update (including consideration of Operational Uplift); • Workforce Gaps and Future Need; and • Degree Holder Entry Program (DHEP). <p>There was no list of attendees included in the minutes and we were not provided with any Terms of Reference so we were unable to confirm required attendance. However, we were informed that the meeting was made up of all Superintendents and any relevant staff who have operational responsibilities in relation to WFP</p>
Management Action	<p>The Force will ensure that a Terms of Reference document is created for the Operational Workforce Planning meeting to stipulate the purpose, type of coverage and required attendance of the meeting.</p> <p>The actual attendees at each meeting should also be recorded in the relevant minutes and action plan document.</p>

APPENDIX A: CATEGORISATION OF FINDINGS

Categorisation of internal audit findings

Priority	Definition
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

The following table highlights the number and categories of management actions made as a result of this audit.

Area	Control design not effective*		Non Compliance with controls*		Agreed actions		
					Low	Medium	High
Modern Policing - The WFP Strategy provides a framework and plan to ensure that we have the right people, with the right skills in the right place at the right level at the right cost.	1	(9)	1	(9)	2	0	0
Total					2	0	0

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

APPENDIX B: SCOPE

Scope of the review

The scope was planned to provide assurance on the controls and mitigations in place relating to the following risks:

Objective of the area under review

Modern Policing - The Workforce Planning Strategy provides a framework and plan to ensure that we have the right people, with the right skills in the right place at the right level at the right cost.

When planning the audit the following areas for consideration and limitations were agreed:

There is a Force wide Workforce Delivery Plan which considers all aspects of workforce planning including strategic planning, equipment and transport. We will review the document and confirm that it has been approved and confirm the arrangements that are in place across the Force to monitor its delivery and achievement.

We will ensure that there is a clear alignment between the resources outlined within the Workforce Delivery Plan and the Medium Term Financial Plan.

Workforce planning is considered throughout the Force at both a strategic and operational governance levels. We will consider the reporting and escalation flows to ensure it is appropriate and duplication is minimised including the ability of oversight and challenge by the PCC.

The HR system data informs the workforce plan and supporting data around retirements, medical retirements, transfers, interim roles, externally funded, secondment, promotions, starters and leavers, annual leave, sickness and therefore it is important that the data supporting the HR system is accurate, input timely and is reliable. Where applicable we will utilise data analytics regarding the population of some of the types of data (between the Finance and HR systems primarily) and we will select samples to confirm the data has been recorded accurately and timely onto the system. As part of the audit we will confirm the process to which changes required to the HR system are received into the team the timeliness to which the changes are made onto the system.

The reports generated from the HR system enable the Force to identify any gaps and how long it may take to fill any gaps and ultimately deliver on its target operating model.

In terms of the recent Government announcement to increase the number of police officers, as part of the audit we will consider the plan and processes in place to utilise those posts, including the impact on uniform, fleet, lockers, other equipment.

Where necessary, our work will incorporate the use of Computer Assisted Audit Techniques (CAATs) using the IDEA software package.

Limitations to the scope of the audit assignment:

We will not substantiate all of the data included within the Workforce Delivery Plan.

We will not review compliance with equality & diversity legislation and we will not comment on decisions made to recruit, promote, medical retirements and we will not confirm decisions made back to supporting documentation.

We will not comment on the decisions made around fleet, uniform, lockers, etc. only that such issues have been considered within decision making.

We will not confirm the appropriate processes have been followed for any sickness absence - only that the required data has been received and input onto the system in a timely manner.

Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

Please note that the full scope of the audit can only be completed within the audit budget if all the requested information is made available at the start of the audit, and the necessary key staff are available to assist the audit process during the audit. If the requested information and staff are not available we may have to reduce the scope of our work and/or increase the audit budget. If this is necessary we will agree this with the client sponsor during the audit.

Debrief held
Draft report issued
Responses received

12 March 2020
7 April 2020

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Final report issued

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We have no responsibility to update this report for events and circumstances occurring after the date of this report.

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