



HM INSPECTORATE OF CONSTABULARY IN SCOTLAND

Assurance Review of Demand Analysis and Management Terms of Reference

December 2020

HM Inspector of Constabulary in Scotland

HM Inspectorate for Constabulary in Scotland (HMICS) is established under the Police and Fire Reform (Scotland) Act 2012¹ and has wide ranging powers to look into the 'state, effectiveness and efficiency' of both the Police Service of Scotland (Police Scotland) and the Scottish Police Authority (SPA).

We have a statutory duty to ensure that the Chief Constable and the SPA meet their obligations in terms of best value and continuous improvement. If necessary, we can be directed by Scottish Ministers to look into anything relating to the SPA or Police Scotland, as they consider appropriate. We also have an established role in providing professional advice and guidance on policing in Scotland.

- Our powers allow us to do anything we consider necessary or expedient for the purposes of, or in connection with, the carrying out of our functions.
- The SPA and the Chief Constable must provide us with such assistance and co-operation as we may require to enable us to carry out our functions.
- When we publish a report, the SPA and the Chief Constable must also consider what we have found and take such measures, if any, as they think fit.
- Where our report identifies that the SPA or Police Scotland is not efficient or effective (or best value not secured), or will, unless remedial measures are taken, cease to be efficient or effective, Scottish Ministers may direct the SPA to take such measures as may be required. The SPA must comply with any direction given.
- Where we make recommendations, we will follow them up and report publicly on progress.
- We will identify good practice that can be applied across Scotland.
- We work with other inspectorates and agencies across the public sector and co-ordinate our activities to reduce the burden of inspection and avoid unnecessary duplication.
- We aim to add value and strengthen public confidence in Scottish policing and will do this through independent scrutiny and objective, evidence-led reporting about what we find.

Our approach is to support Police Scotland and the SPA to deliver services that are high quality, continually improving, effective and responsive to local needs.²

This review will be undertaken by HMICS under section 74(2)(a) of the Police and Fire Reform (Scotland) Act 2012 and will be laid before the Scottish Parliament under section 79(3) of the Act.

¹ Chapter 11, Police and Fire Reform (Scotland) Act 2012.

² HMICS, [Corporate Strategy 2017-20](#) (November 2017).

Our audit

Introduction

1. HM Inspectorate of Constabulary in Scotland (HMICS) has committed to an assurance review of demand analysis and management as part of its Scrutiny Plan for 2020-21³.

Aim

2. The aim of this review will be to assess the state, efficiency and effectiveness of the analysis and management of demand within Police Scotland. It will:
 - Test the appropriateness of the approach, including the assumptions made in its development and the use of policing and other data
 - Test the alignment of, and consider how demand management drives, informs and links to the Target Operating Model⁴ (TOM), the Resource Allocation Model⁵ (RAM) and Strategic Workforce Plan⁶ (SWP)
 - Examine how the application of demand information is used to support business-as-usual tasking and co-ordination and resource planning (including quarterly recruitment decisions) to maintain the required level of operational policing capacity; with the right skills mix to cope with demand on policing
 - Consider how well the analysis of demand provides projections and forecasts for demand on policing services in the future in terms of securing a sustainable policing model.

Background

3. The joint SPA and Police Scotland 10-year strategy, 2026 Serving a changing Scotland⁷ concluded that demand for police services would grow and that Police Scotland would need to be more agile and flexible to respond to threat, risk and harm in public, private and virtual spaces. The strategy committed to the creation of a dynamic deployment model that reflected demand and enabled better matching of resources to that demand. HMICS recognises that a consistent narrative has been presented by Police Scotland in terms of increases in demand such as major events and cyber-crime. This justification has been used to support the maintenance of police officer numbers. Having a credible and effective demand analysis and management approach is crucial to providing the evidence of changes in the demand profile which can effectively support operational, resource and budgetary planning.
4. The Combined Full Business Case for the Demand, Productivity and Performance (DPP) and the Local Policing Development (LPD) projects, cited then as a critical enabler for the delivery of the SPA and Police Scotland 2026 Strategy, was approved by the SPA Board on 28 June 2018⁸. The Demand and Productivity Unit (DPU) was created as a key deliverable of the DPP in June 2019 and established with limited resourcing as a Minimum Viable Structure (MVS) with some consequential limitations on outputs.

³ HMICS Annual Scrutiny Plan 2020-21 <https://www.hmics.scot/publications/hmics-annual-scrutiny-plan-2020-21>

⁴ The primary purpose of a Target Operating Model is to enable the application of the Police Scotland strategy and vision to its business and operations. It is a high-level representation of how Police Scotland can be best organised to more efficiently and effectively deliver and execute on their strategy.

⁵ A Resource Allocation Model is a methodology for determining where resources should be allocated within an organisation. Resources may include financial resources, technological resources and human resources.

⁶ Strategic workforce planning is the process that proactively anticipates current and future workforce demand and supply in alignment with strategic business needs.

⁷ SPA and Police Scotland - 2026 Serving a changing Scotland <https://www.scotland.police.uk/spa-media/jjkn4et/policing-2026-strategy.pdf?view=Standard>

⁸ SPA Board Meeting – 28th June 2018 – Item 16 <https://www.spa.police.uk/spa-media/a0ufovjr/approved-minute-28-june-2018.pdf>



5. On 16 July 2020, Internal Auditors presented their Demand and Productivity Internal Audit Report to the SPA Audit and Risk Committee⁹. This report detailed the findings of the Internal Audit and the processes in place to assess the overall and component source demand on Police Scotland. Key findings included that Police Scotland has made significant progress in developing its understanding, measurement and reporting of demand and productivity and that the DPU is working to address ongoing issues relating to the availability and quality of data used within the approach and how it will be rolled out beyond local policing. HMICS will take cognisance of any outstanding recommendations during our review.
6. The DPP project was completed on schedule and an End Project Report drafted in October 2020. The DPU operates within the current MVS as a business as usual function (part of the Analysis and Performance Unit), with a current focus on operationalising the RAM and improving the Demand Baseline through continued data development and demand analysis.
7. HMICS will also carry out an assurance review of the planning arrangements for the 26th Conference of the Parties (COP26) in 2021/22. This review will focus on the the business as usual arrangements for non-COP26 policing activity; the co-ordination, management and mobilisation of resources in response to COP26, and staff wellbeing before, during and after the event. HMICS recognises that demand management and workforce planning will be relevant to that assurance review. The Terms of Reference for each piece of review work will ensure no unnecessary duplication of effort in areas of commonality.

Review - Terms of Reference - Scope

8. This Review will be undertaken by HMICS in terms of the Section 74(2)(a) of the Police and Fire Reform (Scotland) Act 2012.
9. HMICS will consider the development, operation and effectiveness of the demand approach in terms of:
 - Testing assumptions made in the development and deployment of demand analysis and demand profiles, validity of baseline information and how demand volume and complexity are differentiated
 - Assessment of 'weights and measures' standards to ensure that they are robust, appropriate and complete
 - Assessment of data sources, data quality and analysis, the process for data validation and alignment with the Data Management Strategy
 - Assessment of coverage, quality, utility and uptake of DPU products
 - Testing the flexibility of the derived resource allocation model to withstand surges in demand for major incidents and events
 - Testing how the approach works in a dynamic setting and to what extent it is used to influence outcomes, resource and skills allocation at local and national levels
 - Assessment of linkages and alignment with Target Operating Model, Strategic Workforce Planning and Resource Allocation Model
 - The extent to which demand analysis informs and drives the workforce plan and supports decision making to change skills mix and increase or reduce officer and staff numbers through the quarterly recruitment intake to maintain the required level of operational policing capacity
 - Assessment of improved management of demand (and how this links to the tasking and co-ordination process) at local and national levels

⁹ SPA Audit Risk and Assurance committee – 16th July 2020 – Item 3a <https://www.spa.police.uk/spa-media/svoh31qx/rep-c-20200703-item-3a-ia-report-demand-and-productivity.pdf>

- Governance and resourcing; consider governance routes and assessment of DPU resources and capability to deliver the current scope of their work and future sustainability of capacity.

Exclusions from scope

10. A number of related areas impact directly on demand analysis and management which are considered under varying existing assurance mechanisms. HMICS may comment on these linkages and dependencies in our review but we will not review:
 - the deliverable demand and productivity benefits of individual programmes within the transformation portfolio
 - development of strategy and programmes to address information management and data quality
 - ICT systems development and infrastructure.

Objectives and outcomes

11. The HMICS overall aim for this review is to assess the state, efficiency and effectiveness of Demand Analysis and Management within Police Scotland. Our review objectives are to ascertain:
 - **Appropriateness** of the approach, its development, the use of data and utility of its products
 - **Alignment** within overall strategic framework and governance: including with the Strategic Workforce Plan, Resource Allocation Model, Target Operating Model, Data Management Strategy and the business of the Organisational Design and Development Board (ODDB)
 - **Application** and management - examine how demand information is used to support business-as-usual tasking and co-ordination and resource planning (including quarterly recruitment decisions) to maintain the required level of operational policing capacity with the right skills mix to cope with demand on policing.
 - **Anticipation** - consider how well the demand approach provides projections and forecasts for demand on policing services in the future in terms of securing a sustainable policing model
12. The intended outcomes from this review and its publication are to:
 - Provide effective demand analysis benchmarking to support Police Scotland's continued development of its approach and assure that best practice is being adopted
 - Provide assurance that the measures and baselines being used to assess and forecast demand are suitable in terms of professional practice
 - Provide assurance that demand products and information are being used effectively at operational and strategic level within Police Scotland to support policing delivery
 - Ensure that suitable capacity is in place to support a sustainable demand management function.

User Perspective

13. As set out in the Public Services Reform (Scotland) Act 2010, HMICS has a duty to demonstrate continuous improvement in user focus, i.e. involving users in the scrutiny process. In this review, we will use available information from and engage directly with Police Scotland officers, staff and their representative organisations as 'users' of the demand analysis and management functions. HMICS may also engage directly with key governance groups and stakeholders including the SPA, Scottish Government and local authority scrutiny committees.



Methodology

14. We will use the HMICS Inspection Framework which is based on the European Foundation for Quality Management (EFQM) Excellence Model and Best Value characteristics.
15. The Inspection Framework will provide a structure to our review which will be risk based, proportionate and focused on improving the delivery of policing in Scotland. We will structure our review around our objectives and six themes:
 - Outcomes
 - Leadership and Governance
 - Planning and Processes
 - People
 - Resources
 - Partnership
16. Between November 2020 and April 2021 we will:
 - Identify a single point of contact for HMICS in Police Scotland to support the review process and to facilitate appropriate access to people and information
 - Liaise regularly with Police Scotland and maintain ongoing engagement with other key stakeholders
 - Examine relevant documentation including policies, procedures, performance and management information including strategies, plans, reports and dashboards. Where possible we will detail this requirement in our Document Request, acknowledging that additional access requests may emerge during the course of the review.
 - Consider the original full business case which secured funding for the DPP project, delivery of planned outcomes, value for money and knowledge transfer.
 - Assess existing and ongoing research in the field of demand analysis and management, analyse published information, and benchmark policing and other approaches in England and Wales, Northern Ireland, Republic of Ireland and other international settings.
 - Engage directly with officers and staff, conducting interviews where appropriate.
 - Review the detailed measurements, baselines and source data which contribute to the approach, assessing gaps and plans for future development.
 - Consider the sustainability and long term purpose of the DPU, in terms of their capacity and capability, planning and prioritisation of their work and maintaining and developing the product set.

Publication and reporting timescales

17. We anticipate publishing a report of our findings in May 2021. Our report will be published in terms of Section 79 of the Police and Fire Reform (Scotland) Act 2012. A copy of the report will also be provided to the Chief Constable, the Scottish Police Authority and the Cabinet Secretary for Justice and laid before the Scottish Parliament. A copy will also be made publicly available on the HMICS website.
18. For further information about the Demand Analysis and Management Assurance Review, please contact Tina Yule, Lead Inspector (Christina.Yule@gov.scot).

Gillian Imery QPM

HM Chief Inspector of Constabulary in Scotland
December 2020