



THE CHIEF CONSTABLE OF NORTH YORKSHIRE

Workforce Planning

Internal audit report 10.21/22

FINAL

9 May 2022

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1. EXECUTIVE SUMMARY

Why we completed this audit

Our review of the North Yorkshire Police's workforce planning processes has been undertaken to determine whether there is a robust strategy in place to enable the Force to put the recruit and retain the right skills and capabilities both now and in the future.

In April 2020 Enable North Yorkshire ("EnableNY") took over the management of enabling services to North Yorkshire Police (NYP), North Yorkshire Fire and Rescue Services (NYFRS) and the Office of Police, Fire and Crime Commissioner (OPFCC). Enable's role within the Force is to deliver improvements in support services in order to ensure that front line services can operate as effectively as possible. To achieve this, a People Services Operating Model was established in April 2021. The model consists of four core service areas, People Operations, Talent and Development, Health and Wellbeing and People Partnering.

Our review looked at workforce planning for the Force and the Talent and Development service level aim outlined in EnableNY's commitments to the attraction, selection, identification, and development of talent. The Talent and Development team is comprised of the Talent Development Manager, Talent Business Partner and Talent Acquisitions Partner.

The high-level target applicable to the People Services Team is the achievement of the specified number of officers and Police Community Support Officers (PCSOs). This target is provided by The Home Office through a yearly funding grant where, within the document, North Yorkshire's yearly budget is presented.

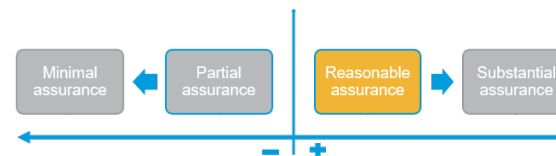
The People Services Team operates a Medium-Term People Plan to track and forecast police officer and PCSO numbers. The Plan outlines, on a monthly basis, the figures applicable to the Force's expected and actual starters or new recruits, transferees, retirements, leavers and those expected to take a career break. Within 22/23, NYP have seen an uplift of 78 additional officers required to be recruited, equating to a total of 1,638 officers being required by the Force. The Talent and Development team are in the early stages of developing a Talent Management Model and framework to ensure that 'talent' is understood and identified, as well as to allow succession planning to take place.

Conclusion

We found that EnableNY is in the process of developing and implementing a new, more robust control framework to improve workforce planning going forwards. Current staffing levels and projections are well documented and monitored. Our review identified that work is still required in relation to the completion and implementation of the Talent Management Model currently being drafted and ensuring that there is a mechanism for monitoring and reporting upon this. As a result, we have agreed **two medium** and **one low** priority management actions.

Internal audit opinion:

Taking account of the issues identified, the Chief Constable of North Yorkshire can take **reasonable assurance** that the controls upon which the organisation relies to manage this area are suitably designed, consistently applied and effective. However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified area.



Key findings

Our audit identified the following areas of improvement resulting in two medium priority actions:



We acknowledge that there is a Talent Management Model in the process of being drafted but this has not yet been completed. Without this Model being fully developed and implemented the Force does not yet have a documented strategy for both talent management and succession planning. **(Medium)**



Talent Management tools and techniques have not yet been implemented as the model in the action above has not yet been completed and finalised. As such the process to identify any issues or delays in delivery of talent management and succession planning targets has not yet been defined. **(Medium)**

Details of the low priority management action are included in section two of this report.

Our audit review also identified that the following controls are suitably designed, consistently applied, and are operating effectively:



We found that key responsibilities for the delivery of the Force's People Service Strategy had been stated with the People Services Catalogue. Within the Catalogue, we noted that, for all four service areas: People Partnering, People Operations, Talent and Development, Health and Wellbeing, appropriate members of staff had been assigned specific targets, all of which, we were able to reconcile back to the People Service Strategy.



From analysis of the Medium-Term People Plan, we believe that the document aligns to the Force's overarching strategic objectives and supports their achievement through accurately presenting the monthly hiring figures of officers and PCSOs against the forecasted figure as constructed by the Force.



We obtained meeting minutes highlighting that the People Services Strategy had been appropriately authorised by the Executive Board.



Through reconciling the Force's People Service Strategy with the Recruitment Schedule, we found that the areas outlined within the strategy, recruitment, induction, talent management, people development, training, and succession planning, had been supported in their realisation and delivery through the Force's Recruitment Schedule.



By analysing three of the Force's People Plans, we discovered that, within all sampled plans, both strategic and local priorities had been balanced accordingly. Within the People Plans, we found clear and measurable targets and timescales attributed to various business objectives, applicable to both strategic and local priorities.



We found that the Medium-Term People plan was measured and reported in a manner which supported the achievement of the specified number of officers and PCSOs and supported timely decisions to be made. We evidenced from the Medium-Term People Plan (MTPP) that monthly figure, applicable to a range of hiring channels across multiple months, could be obtained and were appropriate to achieve the current target of 1,564 Officers and 211 PCSOs. In addition to this, we found that the Medium-Term People Plan is reported formally, on a monthly basis, to the People Board and that informally, the Plan was reviewed internally by the People Services Team on an on-going basis.



We traced a sample of actual staffing figures within the MTPP back to the Origin, the HR system and on all occasions, these were found to have been input accurately. We also traced the recruitment figures from the MTPP to the Recruitment Schedule and these were also found to agree.

2. 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.

Area: Workforce Planning							
Control	<p>The Force has a People Services Strategy accounting for a four-year period from 2021 to 2024. The Strategy outlines three strategic aims:</p> <ol style="list-style-type: none"> 1. We will maximise organisational and management capability, to improve people management outcomes. 2. We will foster a values-based culture focused on diversity, inclusion, and well-being. 3. We will develop and implement an integrated suite of high- performance people practices focused on positive staff engagement. <p>The Force manages a People Services Catalogue which includes talent and development KPIs.</p>						
	<table border="0" style="width: 100%;"> <tr> <td style="width: 70%;">Assessment:</td> <td></td> </tr> <tr> <td>Design</td> <td style="text-align: right;">✓</td> </tr> <tr> <td>Compliance</td> <td style="text-align: right;">×</td> </tr> </table>	Assessment:		Design	✓	Compliance	×
Assessment:							
Design	✓						
Compliance	×						
Findings / Implications	<p>Through discussions with the Talent and Development Manager, we were informed that the content within the Force's People Service Catalogue feeds in directly to the Talent Demand Spreadsheet which is utilised to manage, amongst other areas, the Force's developmental programmes.</p> <p>The Talent Demand Spreadsheet contains a dedicated tab attributable to 'Talent Development'. Within the tab, various activities had been outlined against appropriate sub-categories with individual action owners, delivery timescale and colour-coded progress fields. We noted that in all 17 activities attributable to EnableNY, North Yorkshire Police and the OPFCC, the activity was relevant and appropriate to encourage the development of Force talent. Furthermore, we could also reconcile each activity, in addition to each activity's subcategory, back to the force's People Service Catalogue.</p> <p>To understand whether both the Talent Demand Spreadsheet and the People Service Catalogue supported the achievement of the Force's People Service Strategy, we reconciled both documents back to the strategy to highlight any key consistencies. Within the People Services Strategy, supporting the Talent Development Service Aim, commitments are outlined which reference talent retention, timeliness, developmental opportunities, professional development, and leadership management. For the commitments outlined, we were able to trace each through to the People Services Catalogue and then following this, the Talent Demand Spreadsheet. We found that from reconciling the activities within the spreadsheet to the commitments, these were clearly aligned.</p> <p>We reviewed the Force's People Service Catalogue where we noted that Talent and Development was included as a key element. The areas included within the document include, but are not limited to:</p> <ul style="list-style-type: none"> • KPI and Measuring Impact. 						

Area: Workforce Planning

- Client requirements.
- General goals (Stated as Items and Descriptions within the document), applicable to the following areas:
 - Talent Planning.
 - Talent Acquisition.
 - Talent Development.
 - Inclusion and Diversity.

From the catalogue we found that amongst the KPIs and various items listed, the Force has a strong framework applicable to the review and development of its talent.

Key KPIs that we noted were, New Starter Experience, Turnover / Retention Rates and Employee Engagement.

However, through various interviews conducted with the Force's Talent and Development Manager, we found that KPIs are not yet reported as the KPIs have only very recently been introduced. Currently, consultation is continuing within the force and it was stated by the Talent and Development Manager that monthly KPI monitoring will begin in April 2022, informally on a monthly basis and formally to the business on a quarterly basis. Given this, we have agreed a low priority action ensure that the force appropriately reports on the KPIs stated within the People Services Catalogue.

If key KPIs are not reported at an appropriate level and frequency, there is a risk that the organisation may not have complete visibility of performance.

Management Action 1	The Force will report on the KPIs listed within the People Service Catalogue. Once reporting has started the KPIs will be reviewed to ensure they are SMART and working for the force. Baseline targets will also be developed.	Responsible Owner: Talent Business Partner & Talent Acquisition Partner	Date: 30 September 2022	Priority: Low
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Area: Workforce Planning

Control	<p>The Talent and Development section of the People Strategy details the commitments related to recruitment and succession planning.</p> <p>A Talent Management Model is in the process of being developed</p>	<p>Assessment:</p> <p>Design ✓</p> <p>Compliance ×</p>	
Findings / Implications	<p>The People Services Strategy details the services operating model and talent and development is part of this. There are a series of commitments contained within the document that cover both talent management and succession planning these are:</p> <ul style="list-style-type: none"> • Through workforce and succession planning, understand our workforce mix and anticipate current and future talent needs and identify and address workforce gaps/risks. • Shape personal and professional development opportunities through a blended approach to learning. • Through the evaluation of key talent programmes, listen to our customer, candidate, and learner feedback to continuously improve our talent offer. • Provide a suite of leadership and management development solutions to support our existing and aspiring leaders, which complements our commitment to intent-based leadership and support the transition to a learning organisation. <p>EnableNY is currently in the process of developing a Talent Management Model that will be implemented for recruitment and succession planning across the Force. Through review of the draft model, we established that there are clear plans in place which will support the Force going forwards. The model provides an analysis of the Force's current position, defines talent management and outlines the process to be undertaken to produce a talent model based upon the Force's strategy. It also details the proposed talent framework and the various aspects of it including talent planning, acquisition, development, management and transitioning. At the foot of the model is the space for an action plan but the development has not yet reached this stage for actions to be identified.</p> <p>There has also been some detailed research undertaken by EnableNY on the personal development review (PDR) process. As a result of this the process was found to need improvement and refinement. Discussion with staff established that the research has identified gaps and the next steps are to identify improvements to the process and implement these as part of the wider piece of work to implement the new Talent Management Model. One of the focuses identified is to upskill managers and leaders.</p> <p>However, until the new Talent Management Model is fully developed and implemented, there is a risk that the Force's progression of its workforce development will not achieve the targets it has set for itself.</p>		
Management Action 2	<p>EnableNY will continue to develop the Talent Management Model already in the process of being drafted and this will then be implemented. The overall process will include succession planning and ensure there is a mechanism for both retirements and changing Force requirements to be factored in.</p>	<p>Responsible Owner: Talent Business Partner</p>	<p>Date: 30 September 2022</p> <p>Priority: Medium</p>

Area: Workforce Planning

Control	<u>Missing control</u>	Assessment:			
	<p>Issues or delays in delivery of talent management and succession planning targets are identified and reported on a timely basis so that timely decisions can be made regarding delivery of the Medium-Term People Plan.</p>	<p>Design</p>	<p>x</p>	<p>Compliance</p>	<p>-</p>
Findings / Implications	<p>We have seen evidence that the talent management tools and techniques are still being developed and agreed so have not yet been implemented. As such the process to identify any issues or delays in delivery of talent management and succession planning targets has not yet been defined.</p> <p>Once these have been developed the route for reporting these issues and delays will also be identified. There is already a process in place for the MTPP itself to be reviewed and reported on a monthly basis so there is the potential to incorporate reporting on issues and delays in relation to delivery of talent management and succession planning targets within the same process.</p> <p>Prior to this EnableNY will need to determine whether the reporting structure will be in line with the monthly monitoring of the MTPP or whether other groups of officers will need informing of this.</p> <p>Without these tools, there is a risk that talent management and succession planning targets may not be achieved or may be delayed.</p>				
Management Action 3	<p>As part of the implementation of the Talent Management Model the reporting requirements for issues or delays in delivery of talent management and succession planning targets will be determined.</p> <p>This will be implemented as part of the overall framework and model.</p>	<p>Responsible Owner: Talent Development Manager</p>	<p>Date: 30 September 2022</p>	<p>Priority: Medium</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 management actions		
	Low	Medium	High	Low	Medium	High	
Workforce Planning	1	(14)	2	(14)	1	2	0
Total	1	2	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

The scope below is a copy of the original document issued.

Objective relevant to the scope of the review

The internal audit assignment has been scoped to provide assurance on how and the Chief Constable of North Yorkshire manages the following area.

Objective of the area under review

The organisation has a robust strategy and supporting processes in place to ensure that the Force has the right skills and capabilities throughout the Force both now and in the future.

Scope of the review

In order to ensure that it has the right mix of skills and capabilities in its workforce both now and in the future, North Yorkshire Police has a number of mechanisms in place including:

- A Medium-Term People Plan covering the period 1 April 2021 to 31 March 2024 with the aim of achieving the Force's strategic staffing requirements by its end date.
- A talent / succession planning strategy designed to look at its future needs and current resources.
- Robust staff recruitment, induction, review and development programmes aligned to its overall service strategy.

Following an internal review, the Force has, through its Enable support services function, begun a process of enhancing its people practices, particularly in relation to the recruitment, induction, review and development of its workforce. The Force has also recently recruited a data analyst to help support these processes. Governance arrangements have also recently been reviewed and a quarterly People Collaboration Board has been established to sit between the monthly People Board which is quite detailed in nature, and higher level governance processes such as the Chief Officers' Team (police) and the Executive Board (police, fire and OPFCC) meetings.

Our review will focus on the following areas:

Overall management:

- Whether clear responsibilities have been allocated for relevant people practices which support delivery of the Force's overall workforce planning requirements.
- Whether the Force has a clear strategy for the review and development of its workforce which is aligned to its overall service strategy.
- Whether the Force's Medium-Term People Plan is aligned to the Force's strategic objectives.

- Whether the Force's Medium-Term People Plan has been appropriately authorised.
- How the people strategy is supported in its delivery by more detailed plans for areas such as recruitment, induction, talent management, people development, training and succession planning to enable the realisation of that strategy.
- How the Force balances strategic and local priorities and also the use / prioritisation of voluntary roles.
- What objectives have been set for its people practices and whether these are aligned to its overall service delivery strategy and Medium-Term People Plan.
- How delivery of the Medium-Term People Plan is measured and reported in order that timely decisions can be made.

Recruitment:

- Recruitment targets are aligned to the objectives of the Medium-Term People Plan to ensure that target staffing levels are achieved.
- There is a robust mechanism to ensure that staffing changes (actual or anticipated), such as retirements, transfers, interim roles, known starters and leavers are factored into the recruitment planning mechanism accurately, completely and on a timely basis.
- Issues or delays in achieving recruitment targets are identified and reported on a timely basis so that timely decisions can be made regarding delivery of the Medium-Term People Plan.

Talent Management and Succession Planning:

- Talent Management and Succession Planning objectives are clearly aligned to the objectives of the Medium-Term People Plan to ensure that future Force requirements are accounted for on a timely basis.
- Future retirements and changing Force requirements are factored into the Talent Management and Succession Planning process.
- Issues or delays in delivery of talent management and succession planning targets are identified and reported on a timely basis so that timely decisions can be made regarding delivery of the Medium-Term People Plan.

The following limitations apply to the scope of our work:

- The scope of this audit is limited to those areas examined and reported upon in the context of the objective set out for this review.
- Any testing undertaken as part of this audit will be compliance based and sample testing only.
- We will not perform any testing over the recruitment, induction or training of officers or staff during the course of this review.
- We will not perform any testing over officer or staff review and development activities during the course of this review.
- Our review will also not consider sickness or other absence management processes.
- We will not review budget setting or monitoring processes during the course of this review.
- Our review does not guarantee the achievement of target staffing levels.
- Our review also does not guarantee the outcome of any future inspection by HMICFRS.
- Our work does not provide an absolute assurance that material errors, loss or fraud do not exist.

Debrief held	7 April 2022	Internal audit Contacts	Daniel Harris, Head of Internal Audit
Draft report issued	19 April 2022		Philip Church, Senior Manager
Responses received	6 May 2022		Michael Gibson, Client Manager
			Lucy Sheridan, Senior Auditor
Final report issued	9 May 2022	Client sponsor	Managing Director
			Head of People Services
			Talent and Development Manager
		Distribution	Managing Director
			Head of People Services
			Talent and Development Manager

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