Scottish Government
Riaghaltas na h-Alba
gov.scot

Directorate for Internal Audit and Assurance

Internal Audit Report

Social Security Scotland 2022-23

SPM Management
Information and Reporting

Directorate for Internal Audit and Assurance

Issue Date: 9-02-2023

Audit Personnel

Senior Internal Audit Manager:	[Redacted]
Internal Audit Manager:	[Redacted]
Internal Auditor	[Redacted]
Assurance Support Officer	[Redacted]

Report Distribution

Client Accountable Officer*	David Wallace
External Audit*	Audit Scotland
Key Audit contacts	[Redacted], Chief Data Officer (SRO) [Redacted], Social Security Directorate Service Manager [Redacted], Acting Head of Change and Project Management [Redacted], Head of Change and Project Management [Redacted], Fraud and Error Systems and Process Lead [Redacted], Head of Statistics; [Redacted], Operational Support Lead; [Redacted], (previous Head of Change and Project Management) [Redacted], Head of National Stakeholder Engagement [Redacted], Finance Systems & Process Lead [Redacted], Head of Operations Health & Social Care; [Redacted], Social Security Directorate Service Owner

	[Redacted], Social Security Directorate Product Owner [Redacted], Social Security Directorate Product Owner - Data Provision [Redacted], Social Security Directorate Product Owner [Redacted], Social Security Directorate Data Management Product Owner [Redacted],, Social Security Directorate SPM Business Analyst
Internal Audit Business Support Hub*	[Redacted],

* Final Report only

Contents

1. Introduction

1.1. Introduction

This internal audit review of SPM Management Information & Reporting formed part of the Audit Plan agreed by the Accountable Officer and noted by the Audit and Assurance Committee on 25 March 22. The Accountable Officer for Social Security Scotland is responsible for maintaining a sound system of governance, risk management and system of internal control that support the achievement of the organisations policies, aims and objectives.

1.2. Audit Scope

The scope of this review was to evaluate and report on the controls in place to manage the risk surrounding Social Security Scotland's Management Information and Reporting arrangements.

The agreed Terms of Reference for this review is attached at Annex B.

1.3. Assurance and Recommendations

Assurance Category	Limited		
Recommendations Priority	High	Medium	Low
	3	0	0

Our review has identified three high priority recommendations. A limited assurance rating has been provided. There are weaknesses in the current risk, governance and/or control procedures that either do, or could, affect the delivery of any related objectives. Exposure to the weaknesses identified is moderate and being mitigated.

The rationale for this is that since the launch of Social Security Scotland in 2018 there has been weaknesses in the availability of sufficient Management Information from SPM (Social Programme Management, an off the shelf product from IBM, selected following a formal procurement process, Social Security Scotland's Client Management System). There has since been a focus on improvements to data and from our review we have found there are appropriate governance and projects in place to progress improvements to the availability of SPM Management Information and Reporting for key business needs across the organisation. However, there remains weaknesses in the existing tools available and in the processes for improving Management Information and Reporting to ensure the organisation has the management information and reporting required to meet business needs as the organisation matures. The planned improvements are also reliant on sufficient resources and delivery space within tight releases and priorities. While we have only made three recommendations, these individually cover broad areas of improvement required.

Findings are summarised against recommendations made in the Management Action Plan.

Full details of our findings, good practice and improvement opportunities can be found in section 3 below.

Please see Annex A for the standard explanation of our assurance levels and recommendation priorities.

Annex C sets out a summary of results from a survey on feedback from key business areas on management information and reporting.

2. Management Action Plan

2.1. Management Action Plan

Our findings are set out in the Management Action Plan below

No.	Issue & Risk	Recommendation	Priority	Management Response & Action Owner	Action Date
1	**Issue**: **Weaknesses in existing tools** We found weaknesses in the functionality, resilience and reliability of the existing management information and reporting tools. Tools to generate management information and reports have increasing pressures and there is still reliance on manual trackers, insufficient control over user access and in some cases are temporary solutions and time consuming to generate. **Risk:** An inability for Social Security Scotland to identify, monitor and report appropriate management information due to gaps in management information resulting in inaccurate	Management should seek to implement a plan to address weaknesses across all business areas which is well communicated and considers the actions needed to address the root cause of weaknesses to management information and reporting.	H	**Response:** Recommendation accepted. It is pleasing to see recognition in the report that the provision of Management Information and Reporting has increased and additional tools have been introduced since the launch of Social Security Scotland in 2018 whilst juggling the scale, complexity and challenging timeline of the Social Security Programme However, it is also recognised that the suite of tools and the availability of data and information must be strengthened and expanded to meet business needs now and in future. **Action:** • Create and publish a new data strategy which will contribute to communicating	

No.	Issue & Risk	Recommendation	Priority	Management Response & Action Owner	Action Date
	reporting of performance against strategic priorities increasing the possibility that Social Security Scotland does not achieve its objectives.			a long term plan to improve Management information and services - May 2023 • Support the development of the Agency's Performance Measurement approach by adequately resourcing and prioritising the Analysis and Insights team to both identify the organisation's needs and priorities in this area and ensure management information is aligned and available for relevant performance indicators - improve presentation of the operational delivery section of the performance pack, automating updates and providing charts and trends using Power BI – end of February 2023 - Adequately resource the Analysis and Insights team to take forward substantive improvements to the performance measurement approach to the satisfaction of the Agency Leadership Team and Executive Team - though FY 23/23. • Finalise Programme prioritised transformation delivery plans, confirm	

No.	Issue & Risk	Recommendation	Priority	Management Response & Action Owner	Action Date
				associated budget allocation and additional resourcing and progress with data, information and associated tooling transformation. This will include close working with all Social Security Scotland divisions on their requirements and improved approach to access controls - Plans, budget March 2023 - Resources April 2023 – Work and delivery through FY 2023/24 • Design, Develop and stand up an operational Business Information Centre – April 24 • Increase robustness of MI & Reporting by priority requirement, starting with Adult Disability Payment, by replacing manual case trackers with batch based automated case journey insights from 30 January 2023. • Develop and implement a communications strategy for future transformational activity – April 2023	

No.	Issue & Risk	Recommendation	Priority	Management Response & Action Owner	Action Date
				Action Owner: [Redacted], Chief Data Officer (Social Security Scotland) and [Redacted], Head of Data (Social Security Directorate).	
2	**Issue**: **Understanding of Data** There is a lack of understanding across the organisation on what data is available and what it does or means to their area as a result of no data dictionary, training or guidance leading to tools being underutilised and reliance on workarounds. **Risk:** Lack of support, training and/or awareness raising of current management information and reporting capabilities and availability meaning that use of this is inefficient and ineffective and does not support service delivery and decision making.	Management should take action to improve the culture and awareness of data and the tools available for this. This should be supported by an appropriate data dictionary and training and guidance to all relevant business areas.	H	**Response:** Recommendation accepted. It is recognised that Data literacy and understanding varies across Social Security Scotland. For the organisation to become data driven, as the report suggests, Data must be understood, shared appropriately and leveraged for insight across the business, not just specialists and traditional heavy data consumers e.g. Finance. Similarly colleagues need to be aware of, comfortable and confident in using the data tooling available to maximise the value of data available to them.	

No.	Issue & Risk	Recommendation	Priority	Management Response & Action Owner	Action Date
				Action: • Critically assess and create an improvement plan on existing communications, guidance and training pertinent to data and information - Target Date June 2023 • A Data Dictionary exists with circa 6k entries. This is to be made available, promoted, maintained and effective processes developed to add, amend, delete entries as it matures and to reflect future development work. – Availability and promotion by June 2023 **Action Owner:** [Redacted] Chief Data Officer (Social Security Scotland) and [Redacted] Head of Data (Social Security Directorate).	

No.	Issue & Risk	Recommendation	Priority	Management Response & Action Owner	Action Date
3	**Issue**: **Processes for Improving Management Information and Reporting** There is an increasing demand on the Data Provision Team for developments to management information which requires sufficient resource in order to deliver. Requests are predominantly reactive once system updates are implemented or new benefits are launched. Management information needs can often be delayed, descoped and deprioritised due to competing priorities causing frustration to business areas resulting in them making requests elsewhere or in silos and leaving areas with gaps in management information and reporting needs. **Risk:** Staff and stakeholders cannot access relevant management information and/or information is not available in a timely manner resulting in required information not being available to support key decisions.	Processes for improving management information and reporting should be reviewed to address the weaknesses identified. This should include action in relation to new benefits or system developments at the development stage so that data and management information needs can be proactively embedded in the new benefits/functionality	H	**Response:** Recommendation accepted**.** Social Security Directorate and Social Security Scotland are embarking on a transformational phase for data and information. This will include the transformation of core data and information capabilities as well as the transformation of ways of working. **Action:** • Reporting and Data Delivery Train, initially encompassing core data, information and reporting changes across Business Intelligence Reporting Tool, Curam Operational Insights Tool, Amazon Web Services Quicksight and Structured Query Language Extracts – Launch January 2023 –Target date April 2025	

No.	Issue & Risk	Recommendation	Priority	Management Response & Action Owner	Action Date
		rather than retrospectively.		In line with the Action for Issue & Risk 1, Finalise transformation delivery plans, confirm associated budget allocation and additional resourcing and progress with data, information and associated tooling transformation. This will include close working with all Social Security Scotland divisions - Plans, budget, resources February 2023(?) – Development and delivery through FY 2023/24 - Plans, budget March 2023 - Resources April 2023 – Work and delivery through FY 2023/24 **Action Owner:** [Redacted] Chief Data Officer (Social Security Scotland) and [Redacted] Head of Data (Social Security Directorate).	

3. Findings, Good Practice and Improvement Opportunities

3.1. Good Practice

3.1.1. Since the launch of Social Security Scotland in 2018 there has been weaknesses in the availability of sufficient SPM Management Information and Reporting as a result of limited tools available from SPM. However, through our fieldwork we were able to evidence the enhancements that have been made to the availability of Management Information and Reporting. This showed there has been the gradual implementation of additional tools such as the Data Warehouse and Quicksight, Business Intelligence Reporting Tools (BIRT) and PowerBI, Audit Trail Repository Service (ATRS) and the Curam Operational Insight Tool (COIT). This now means there is in place some key operational management information such as daily dashboards and an ability to export key financial data. All of the listed reporting tools are at various stages of development but with plans for further development.

3.1.2. Due to business needs and a demand for improved management information and reporting, we noted that there is a focus on improvements to data within both Social Security Scotland and Social Security Directorate and appropriate governance and projects are in place to progress improvements to the availability of SPM Management Information and Reporting for key business needs across the organisation.

3.1.3. Data leads in Social Security Scotland and the Social Security Directorate are aligned with the improvements needed and we evidenced good joint working between both areas.

3.1.4. High priority workstreams have commenced including the review of the 2018 Data Strategy and development of a Data Management Framework and Business Information Centre. Although at early stages, plans are being developed to take forward delivery and roadmaps to completion. The organisation is also progressing work to improve management information on performance through the Insight and Engagement Forum with six key areas identified and a proof of concept now developed.

3.2. Improvement Opportunities

Weaknesses in Existing Tools

3.2.1. We found that confidence in the tools in place to provide management information to the organisation is impacted by underlying source system data quality issues. The ability to validate the data being reported directly with SPM is not possible and checks to ensure reliability of data and provide assurance that information being reported is accurate are manual and resource intensive increasing the risk of error or misstatement. There were also issues highlighted in the reliability of systems with examples of changes being made to the data structure through system releases which impacted the data extracts and required remedial action.

3.2.2. We found the performance of the data warehouse, used as the main tool for management information to be taking longer to generate as the volumes increase and outages are known to happen which is impacting on the availability of data extracts. As more data is added and more extracts are requested as further benefits are introduced, there is a risk that these systems are not reliable and unable to sustain the capacity needed. It was highlighted that the frequency of delays with the availability of extracts or failure of the data warehouse is becoming more common.

3.2.3. We noted that gaps exist in access controls for existing tools, many of which are role based. Access is being granted through service desk requests and distribution lists. As such we found that there are limited controls over leavers and movers and ensuring relevant system access is updated/removed as these changes take place. This increases the risk that personnel may have access to systems or information without business need.

3.2.4. Feedback found that there are instances where data points have not been defined within SPM, resulting in an inability to generate data requested from business areas. As an example, some data may be captured in SPM by recording data through free text, resulting in an inability to produce data from these fields. Finance colleagues also expressed an inability to obtain information on what a client is due and when, and what they've been paid, instead having to manually collect this information from SPM, as a result of this data not being easily identifiable and therefore automatically extractable from the SPM database. Where data points have not been defined, in many instances this cannot be rectified retrospectively. As such there is a need to ensure sufficient consideration is given at development stage of defining and articulating what reporting and data needs there may be, so this can be factored into development and not result in retrospective action having to be undertaken.

3.2.5. Current key sources of management information are the nine Daily Benefit Dashboards that are produced by colleagues in the Analysis and Insights team. This solution is however not a strategic solution and work required to produce is time consuming and not best use of the skilled statisticians. As such, there is work required to improve the delivery of the dashboards to achieve a sustainable solution which makes best use of resources available and is accessible to relevant business areas.

3.2.6. We undertook a survey across key business areas to understand their use and feedback on available management information. From the responses we noted that staff felt tools provide limited functionality, data is not easily accessible and can't be shared effectively because the IT systems are not all linked, systems are not user or visually friendly and requires manual intervention to create the information needed.

3.2.7. Divisional and organisational performance is not currently managed through available management information and therefore is noted as a main gap in what is available. Work is ongoing to develop key areas of focus, however these developments are still in the early stages of planning. There is a need to ensure these progress through the work of the Insight and Engagement forum to ensure Social Security Scotland management have the ability to make informed and transparent decisions.

3.2.8. There remains a reliance on Microsoft Excel manual trackers, mainly across the Client Services Delivery division, which is a result of managing the gap in existing data or lack of understanding of available data resulting in duplication. The volume of data contained within these trackers and amount of people accessing has caused the trackers to crash and therefore demonstrates how unsustainable this option is. Manual trackers also increase the risk of error or misstatement. Work is

required to move away from reliance on manual trackers to minimise the risks associated with use.
(see recommendation one)

Understanding of Data

3.2.9. There is a lack of understanding within business areas across the organisation on data and who is responsible for data. Work is required to upskill the organisation and embed that data is for everyone, not just specialists.

3.2.10. To support this, feedback from key business areas also found that there is a lack of training and support for existing tools and systems. Training and guidance should be rolled out in conjunction with delivery of new and existing products and where relevant incorporated into other training routeways so as to embed the use of relevant tools and systems into the established ways of working.

3.2.11. Through analysis of our survey, some business areas were not aware of what Management Information or tools were available to them, why and how they can be used and therefore systems are underutilised. For example Curam Operational Insight Tool (COIT) is available to Client Services Delivery colleagues, however our survey results found it wasn't widely used and there is no evidence to demonstrate usage of systems and analysis of uptake is not undertaken to assess how products have landed. There is a need to raise awareness, outwith technical divisions, of what is available.

3.2.12. Feedback highlighted the lack of a mature Data Dictionary, we are aware this is being actively worked on and should be made widely known to key business areas with updates of progress.

3.2.13. There is a need to define and document what data is currently collected, whether it is fit for purpose, how it is managed, and who owns it. This is expected to be covered by the progress of the review of the Data Strategy however timescales of delivery aren't expected until May 2023. We do however acknowledge that work is already underway to identify such gaps and the lead areas to close them as part of work to develop a Data Management Framework for Social Security Scotland and Social Security Directorate, led by the Data Management Team.

(see recommendation two)

Processes for Improvements to Management Information and Reporting

3.2.14. The Data Provision Team is the main route for raising requests for data. We found this team to have a large backlog of requests which were being prioritised and managed. As a result of the demands on the team, decisions were being taken reactively rather than proactively to react to business needs.

3.2.15. Business areas were known to make requests via other routes i.e. locally via Slack , which could result in duplication or processing requests outwith the defined front door data provision process which considers the wider priorities.

3.2.16. Data requests also have to fit into the wider priorities of release management, this has meant data requests have had lengthy implementation times, have been deferred, resulting in business areas not receiving management information timeously or in the format requested, for example delays to PowerBI and AWS Glue were highlighted to us during fieldwork.

3.2.17. Feedback from our survey highlighted a lack of clarity on what is under development and when it will be available and therefore there is a need to strengthen communication on development progress.

3.2.18. There is a need for sufficient resource across teams delivering data needs to ensure delivery and enable projects to progress at pace. This is relevant to the Data Provision Team prioritising the backlog of requests as well as the project teams delivering the review of the Data Strategy and implementation of the Business Information Centre and work to deliver performance statistics.

3.2.19. Existing management information systems and tools require manual intervention. For future developments management should ensure investment in data automation to reduce errors. Automation through self-service needs to be at the forefront to safeguard skilled resource of statisticians.
(see recommendation three)

Annex A Definition of Assurance and Recommendation Categories

Assurance Levels

Substantial Assurance **Controls are robust and well managed**	Risk, governance and control procedures are effective in supporting the delivery of any related objectives. Any exposure to potential weakness is low and the materiality of any consequent risk is negligible.
Reasonable Assurance **Controls are adequate but require improvement**	Some improvements are required to enhance the adequacy and effectiveness of procedures. There are weaknesses in the risk, governance and/or control procedures in place but not of a significant nature.
Limited Assurance **Controls are developing but weak**	There are weaknesses in the current risk, governance and/or control procedures that either do, or could, affect the delivery of any related objectives. Exposure to the weaknesses identified is moderate and being mitigated.
Insufficient Assurance **Controls are not acceptable and have notable weaknesses**	There are significant weaknesses in the current risk, governance and/or control procedures, to the extent that the delivery of objectives is at risk. Exposure to the weaknesses identified is sizeable and requires urgent mitigating action.

Recommendation Priority

High	Serious risk exposure or weakness requiring urgent consideration.
Medium	Moderate risk exposure or weakness with need to improve related controls.
Low	Relatively minor or housekeeping issue.

Annex B – Terms of Reference

Directorate for Internal Audit and Assurance

Internal Audit Terms of Reference

Social Security Scotland 2022-23

Social Programme Management
Management Information and Reporting

Directorate for Internal Audit and Assurance

Issue Date: 17-10-2022

Key Audit Contacts

Audit Year:	2022-23
Client Accountable Officer:	David Wallace, Chief Executive
Client Audit Contact(s):	[Redacted] Chief Data Officer (SRO) [Redacted] Acting Head of Change and Project Management [Redacted] Head of Change and Project Management [Redacted] Fraud and Error Systems and Process Lead [Redacted] Head of Statistics; [Redacted] Operational Support Lead; [Redacted] (previous Head of Change and Project Management) [Redacted] Strategic Communications and Marketing Lead [Redacted] Finance Systems & Process Lead [Redacted] Head of Operations Health & Social Care; [Redacted] Social Security Directorate Service Owner [Redacted] Social Security Directorate Service Manager [Redacted] Social Security Directorate Product Owner [Redacted] Social Security Directorate Product Owner - Data Provision [Redacted] Social Security Directorate Product Owner [Redacted] Social Security Directorate Data Management Product Owner [Redacted] Social Security Directorate SPM Business Analyst
Lead Senior Internal Audit Manager:	[Redacted]
Internal Audit Manager:	[Redacted]
Internal Auditor:	[Redacted]
Assurance Support Officer:	[Redacted]

Estimated Reporting Timescale

Fieldwork Starts:	October 2022
Fieldwork Ends:	November 2022
Draft Report Issued:	November 2022
Final Report Issued:	December 2022
Estimated Resource Days:	50

1. Introduction

1.1. This review forms part of our planned audit coverage set out in our Annual Internal Audit plan issued on 25 March 2022 and agreed by the Accountable Officer and noted by the Audit and Assurance Committee.

1.2. This review follows on from the SPM (Social Programme Management, an off the shelf product from IBM, selected following a formal procurement process, Social Security Scotland's Client Management System.) reviews undertaken in previous years. This phase or our audit will consider the availability of Management Information from SPM and whether the provision is sufficient and meets the needs of Social Security Scotland and other relevant stakeholders.

1.3. As part of this review we will consider the Management information demand and reporting needs, and whether what is currently in place meets this demand/need. We will also consider what development work is ongoing in this space to assess whether these forthcoming developments will be sufficient to deal with the current gaps in availability of Management Information and reporting capability.

1.4. It is important to acknowledge that development and delivery of the systems and processes for Social Security Scotland is being undertaken following an agile methodology and as such it is recognised that initial systems and processes will be based on minimum viable products.

1.5. From previous reviews undertaken by Internal Audit, concerns relating to the availability of Management Information and the resource implications for producing this have been highlighted. With an ever-increasing number of benefits, volume of cases being delivered, complexity of processes and ways of working and the overall maturity of the organisation and demands placed externally our review will look to provide assurance over the current arrangements and future plans in relation to management information and reporting.

2. Scope

2.1. To evaluate and report on the controls in place to manage the risk surrounding Social Security Scotland's Management Information and Reporting arrangements.

2.2. Remit Item 1 – Current Management Information and Reporting Capabilities
Provide assurance in relation to the current management information and reporting capabilities and where relevant highlight risks and weaknesses with the current ways of working.

Key Risks:

- An inability for Social Security Scotland to identify, monitor and report appropriate management information resulting in inaccurate reporting of performance against strategic priorities increasing the possibility that Social Security Scotland does not achieve its objectives.
- Staff and stakeholders cannot access relevant management information and/or information is not available in a timely manner resulting in required information not being available to support key decisions.
- There is a lack of support, training and/or awareness raising of current management information and reporting capabilities and availability meaning that use of this is inefficient and ineffective and does not support service delivery and decision making.
- Effective data quality controls are not in place resulting in reporting that cannot be relied on for accuracy and completeness and may not provide adequate information to support service delivery, management oversight and decision making purposes.
- Access to management information is not appropriately controlled leading to inappropriate access and sharing of management information.

2.3. Remit Item 2 – Management Information and Reporting Improvements and Development
Assess the arrangements in place in relation to ongoing developments in relation to Management Information and Reporting and provide assurance that current work ongoing in both Social Security Scotland and Social Security Directorate are aligned and focussed and progressing well with an aim of ensure the needs of Social Security Scotland and its stakeholders are met.

Key Risks:

- Management information and reporting needs are not considered as part of system/process design and therefore not available and do not meet the needs of service delivery, management oversight and decision making purposes.
- There is no clear strategy or plan and a lack of clarity over management information and reporting needs meaning current arrangements and future developments are not aligned with business needs.
- Current actions to develop/improve management information and its availability are not focussed on the main issues and will not deliver what is required by Social Security Scotland or other stakeholders who rely on the reporting output resulting in ineffective products delivered.
- A lack of effective framework and governance structure around the improvement of the suite of existing management information, increasing the risk the expected and/or required levels of improvement are not realised.
- Insufficient resource capacity and capability leading to an inability to improve Management Information and reporting arrangements.

3. Approach

3.1. We will undertake the audit in compliance with the Internal Audit Charter and the Memorandum of Understanding agreed between Internal Audit and Social Security Scotland.

3.2. At the conclusion of the audit a customer satisfaction questionnaire will be issued to the main client audit contact. Internal Audit appreciate feedback and to facilitate continuous improvement, we would be grateful if you could complete and return the questionnaire.

3.3. Social Security Scotland is reminded of our need for timely access to people and responsiveness to information requests, to enable the reporting timetable to be met.

Annex C - Social Security Scotland – Summary of Survey Findings

Introduction

As part of our audit to consider the availability of Management Information and Reporting from SPM to assess the processes and controls in place, we issued a short questionnaire on Friday 28 October 2022 to understand availability of Management Information from SPM and stakeholders current usage of this.

We sought responses from a range of colleagues across Client Services Delivery, Finance, Fraud and Error Resolution, Health and Social Care and Analysis and Insights Divisions to understand the Management Information and Reporting processes, systems and tools in place and utilised across the organisation.

The questionnaire closed on Monday 7 November with 101 responses being received.

Across the rest of this paper, you will find detail on the responses received to each of the questions posed in our questionnaire.

A number of themes have emerged from the questionnaire:

- reliance on Excel Trackers to log case load and provide management information;
- lack of awareness and guidance in how to run enquiries and produce reports from SPM and the MI tools in place;
- use of Excel more generally across Social Security Scotland to manage data and produce meaningful Management Information and Reporting;
- concern about the number of colleagues accessing Trackers, the operational capacity for Excel to cope with this and the volume and accuracy of data building up; and
- where colleagues did have access to good Management Information and Reporting this was used to manage workloads, prioritise work, process gaps, examine operational issues and inform performance.

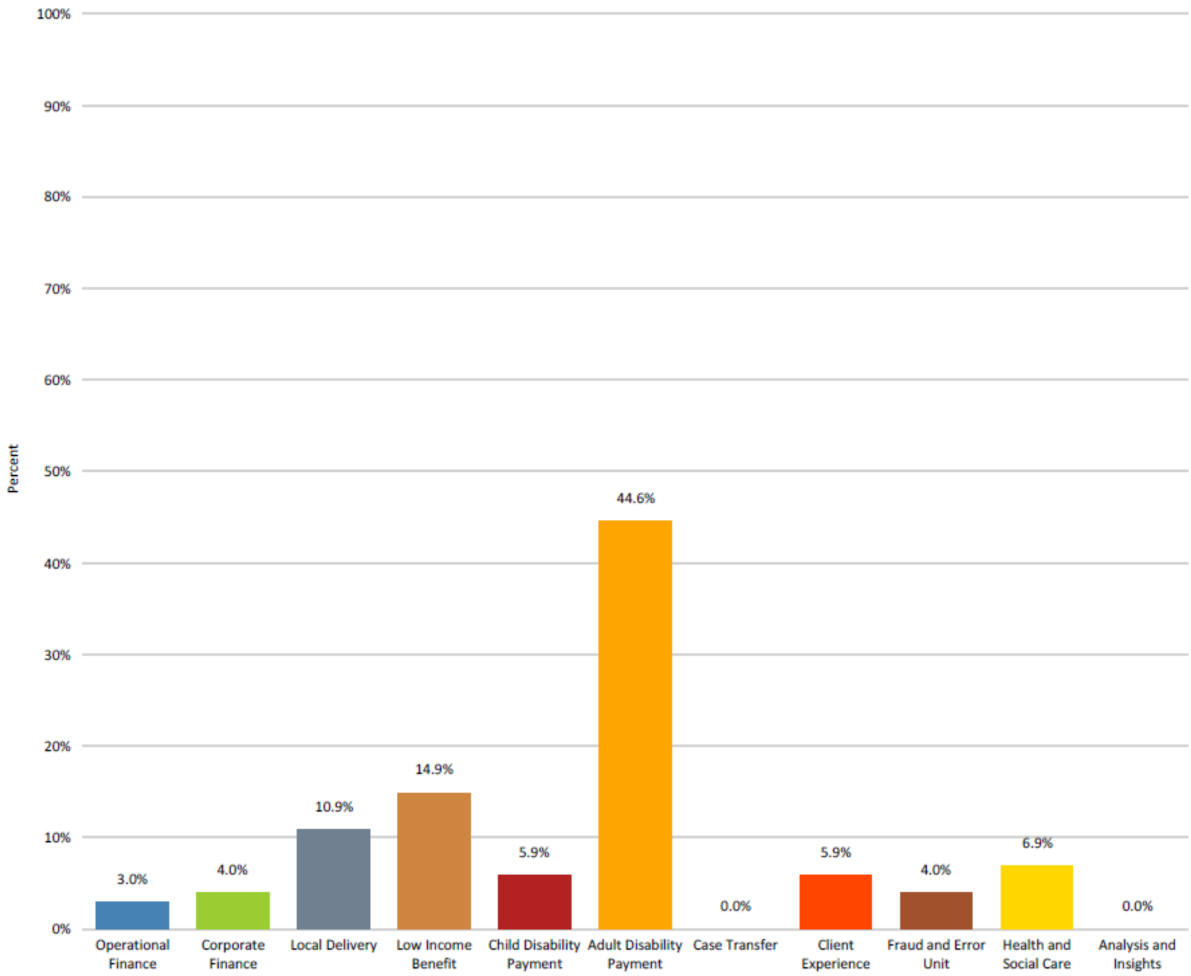
We are grateful to colleagues who gave time and thoughtful answers via the questionnaire. As well as allowing us to share this insight with Social Security Scotland, we are also using this information to inform our test findings for the audit.

Directorate for Internal Audit and Assurance

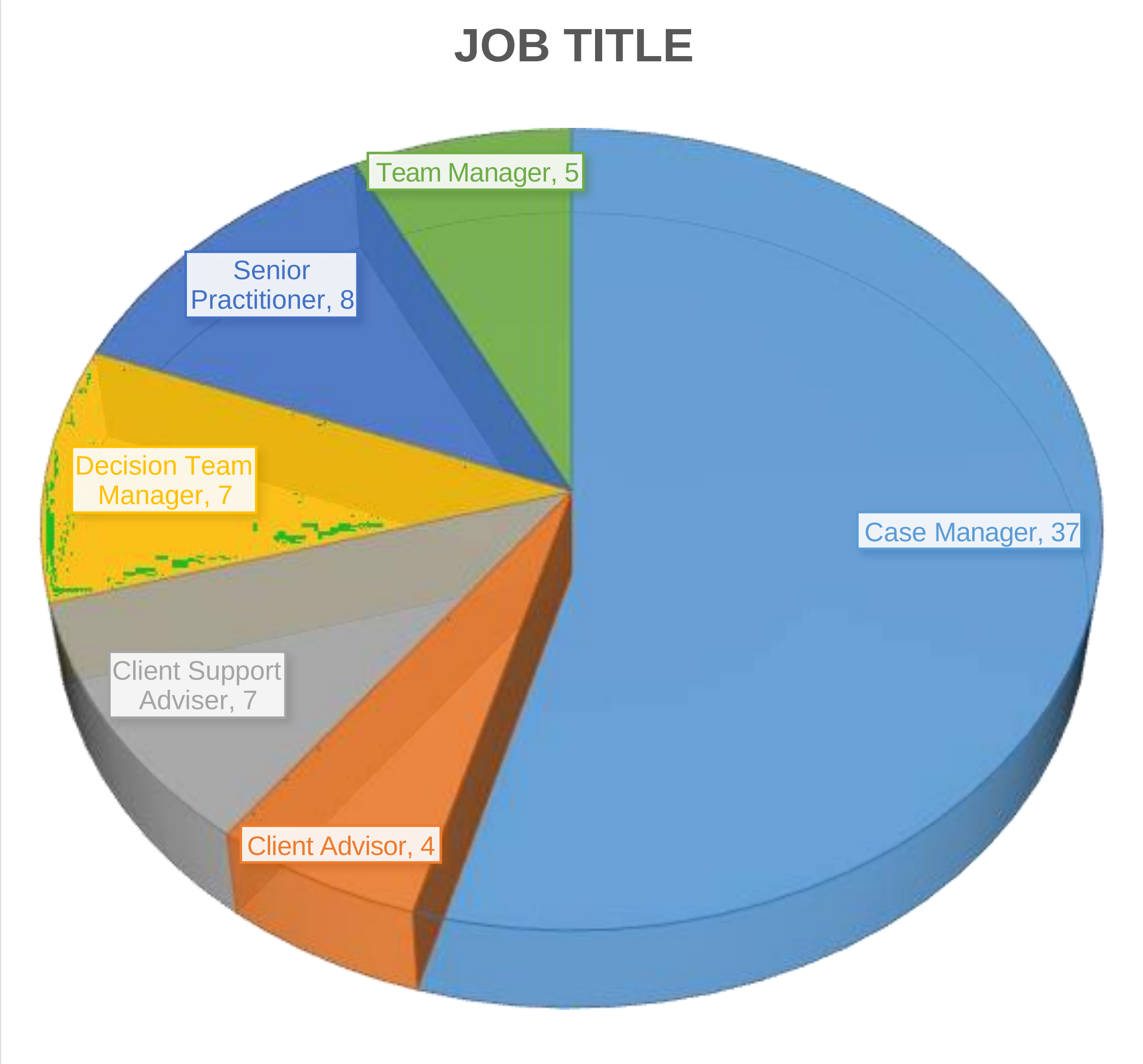
Scottish Government

23 November 2022

Question 1: What is your business area?

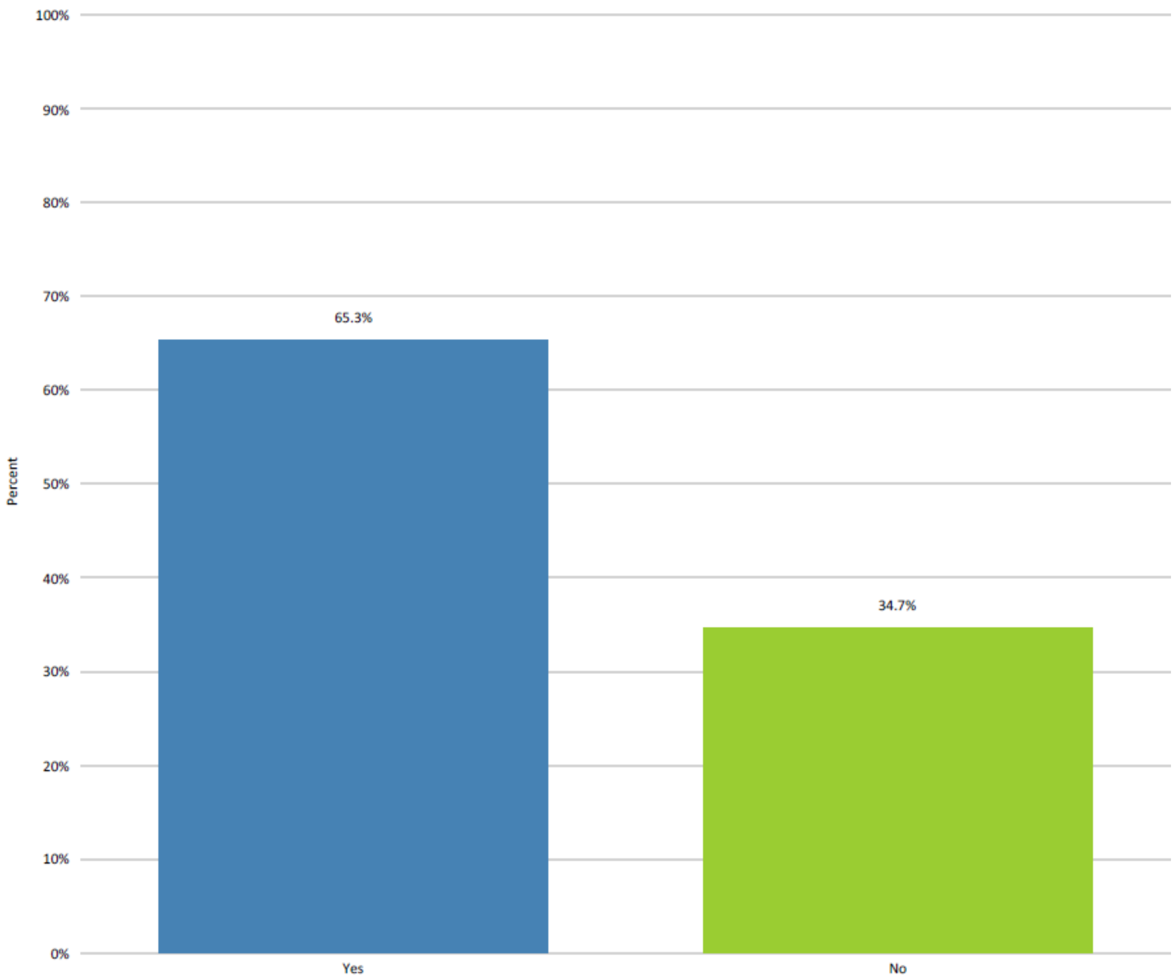


Question 2: What is your job title?



Please note: 101 responses were received to the questionnaire. To avoid identifying Social Security Scotland colleagues, the pie chart only details job titles where there is a high number of individuals in the same role.

Question 3: Have you an understanding of the Management Information and Reporting needs in your area?



Question 4: If no, based on your previous response, please can you explain why.

34.7% of respondents to the questionnaire said that they did not understand the Management Information and Reporting needs in their area. A number of responses indicated that they were new joiners and still learning about their role, ICT systems and were on a journey of upskilling. Significant recruitment activity has taken place within Social Security Scotland in the last year, and this would be expected to impact on colleagues understanding of Management Information and Reporting.

Respondents suggested that there was a general lack of knowledge and awareness of the Management Information and Reporting available and noted that this made it more challenging for peers to offer support. A contributing factor to this lack of knowledge was insufficient training and poor communication.

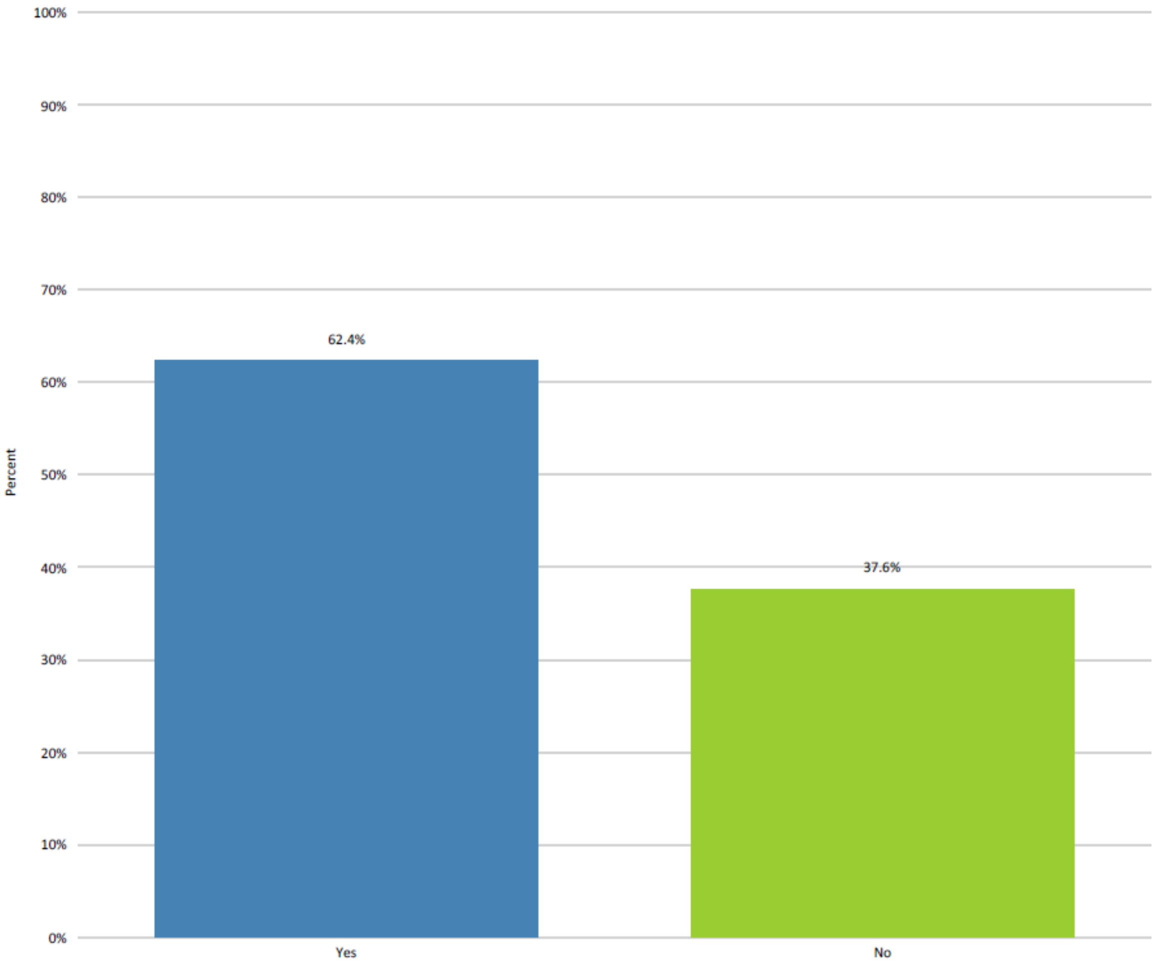
A number of comments said that it was unclear how to make day-to-day enquiries and extract reports from SPM which suggested that SPM had reporting gaps and functionality. To ensure there was a process for managing workloads and producing Management Information and Reporting, there was widespread use of Excel trackers.

Question 5: What Management Information and Reporting do you have access to specific to your area in relation to SPM?

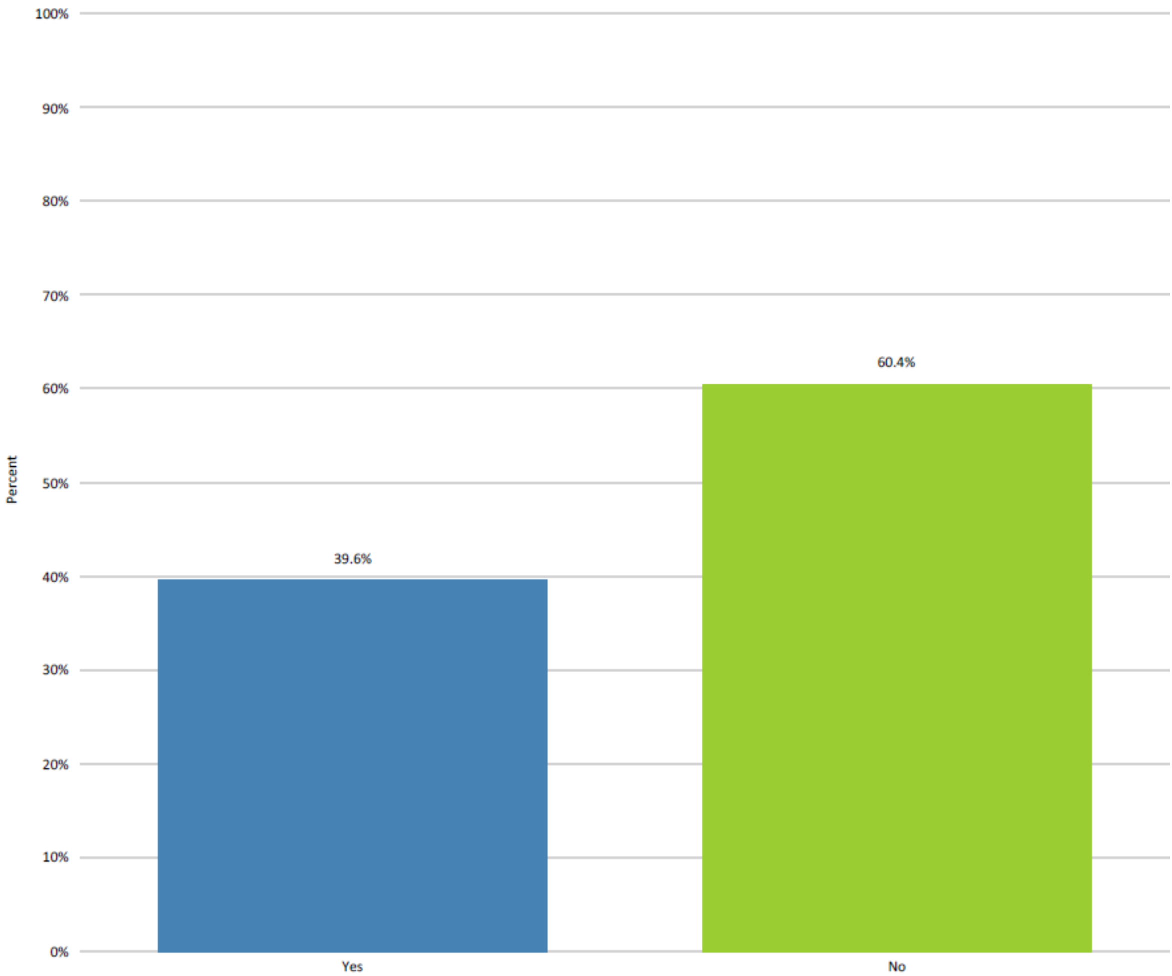
Most respondents utilised Microsoft Excel for Management Information and Reporting with trackers being used to log and manage all cases that are being worked on. It was noted that the size of Excel trackers and the number of colleagues accessing the spreadsheets was becoming an operational issue.

Other respondents indicated that Management Information and Reporting was generated from SPM Dashboards, AWS QuickSight, BIRT Insight and COIT, although there remained significant reliance on Excel.

Question 6: Do you utilise the Management Information and Reporting tools available to you?



Question 7: Do you have the knowledge, skills, experience and training to access and utilise Management Information and Reporting effectively for your business needs?



Question 8: Please detail where there are gaps in knowledge, skills, experience and training to access and utilise Management Information and Reporting.

60.4% of respondents indicated that they did not have the knowledge, skills, experience and training to access and utilise Management Information and Reporting.

A number of comments highlighted that due to a lack of knowledge as to what reporting functionality was available within SPM, Management Information and Reporting was gathered and collated manually using Excel. It was noted that many colleagues were only recently employed with Social Security Scotland which resulted in less peer support and guidance.

Many comments suggested that colleagues were not familiar enough and did not know how to extract data from SPM. However, many contributors were comfortable with using Excel which became a primary method for producing Management Information and Reporting.

A comment suggested that AWS QuickSight functionality was limited which required raw data to be exported and manipulated in Excel.

A number of comments highlighted that Excel Trackers were now used by a considerable number of colleagues. Use of trackers resulted in human-error mistakes together with access and performance issues with an Excel spreadsheet.

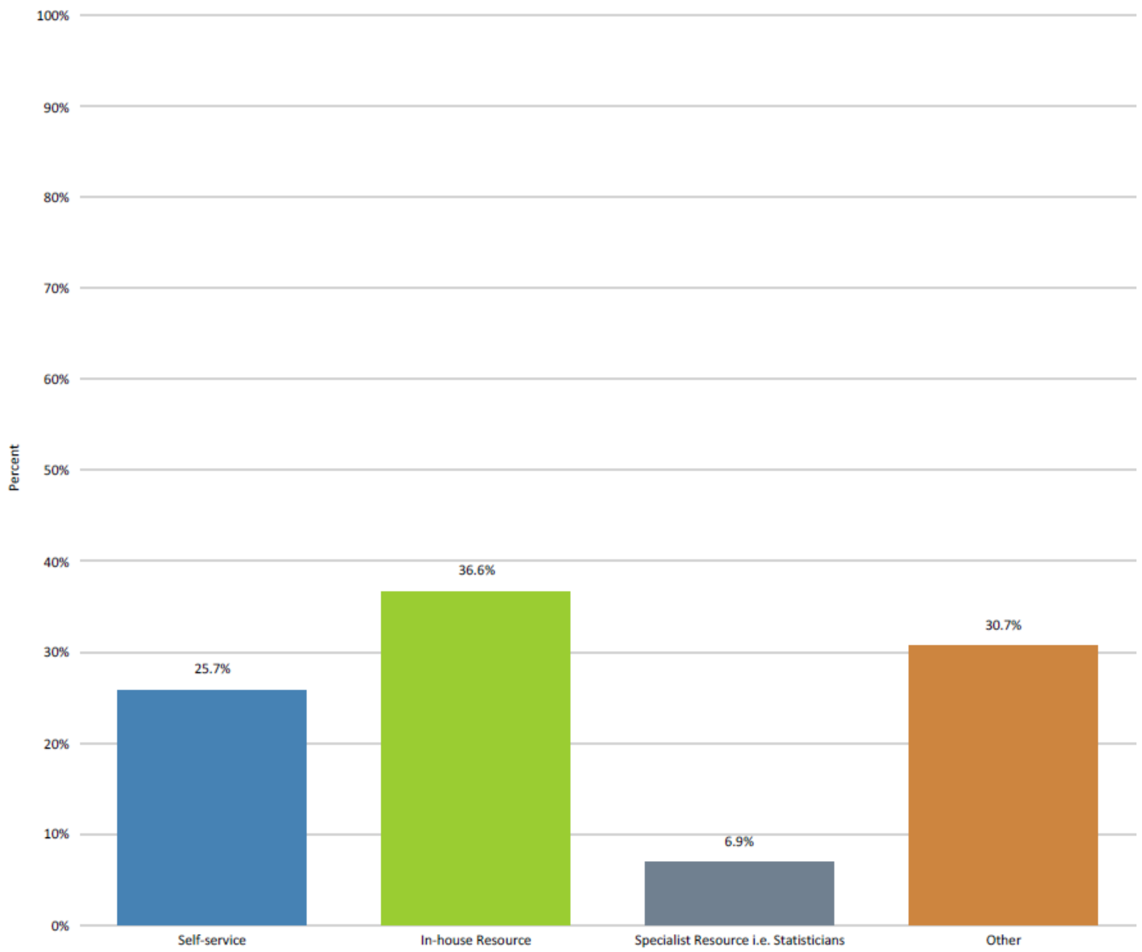
A number of comments thought that there was an over-reliance of Excel trackers rather than functionality being readily available within SPM.

Question 9: Do you regularly use the Management Information and Reporting available and what do you use if for?

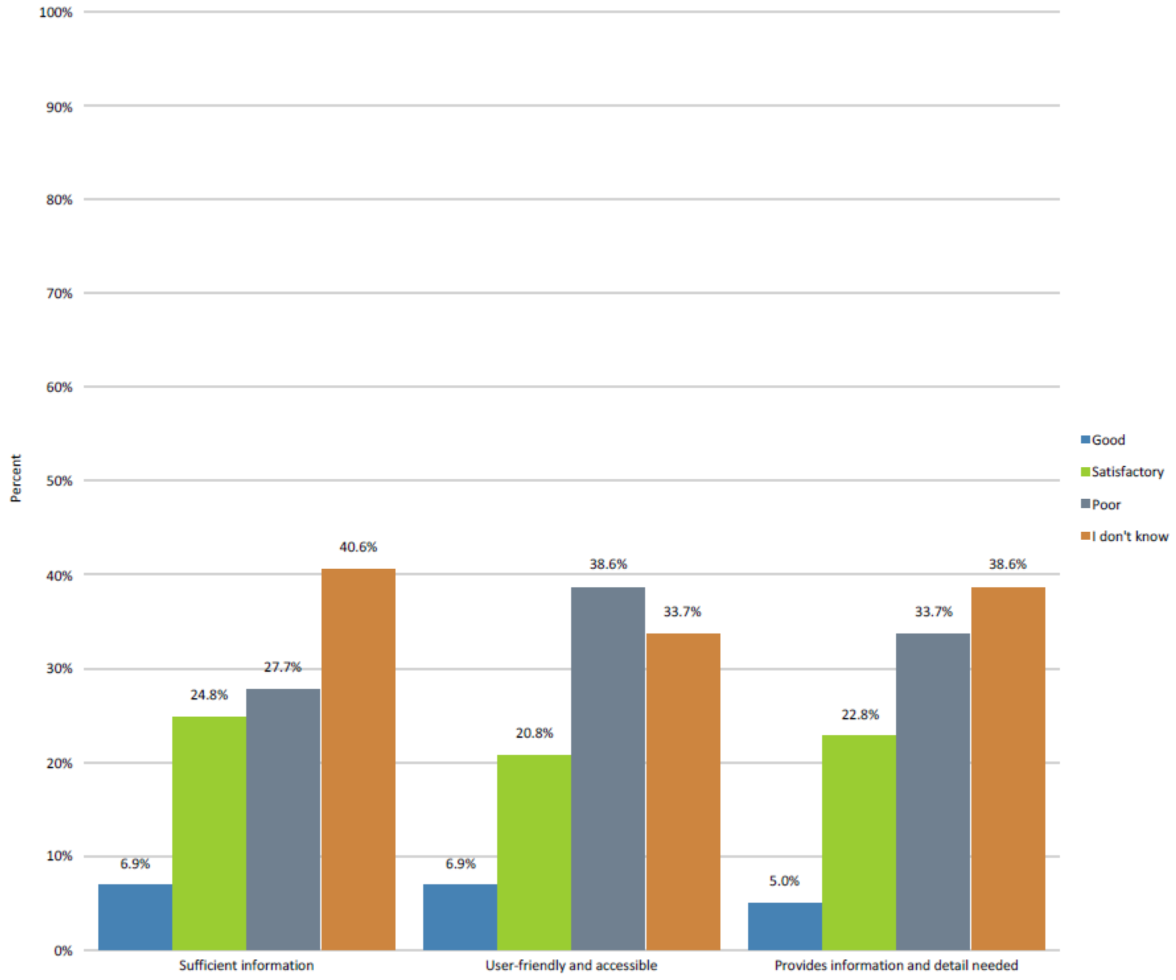
Many comments suggested that colleagues do not regularly use the Management Information and Reporting available.

Where colleagues did regularly use the Management Information and Reporting, this was to manage workloads, prioritise work, process gaps, examine operational issues and inform performance.

Question 10: Who generates and uses Management Information and Reporting?


100%
90%
80%
70%
60%
50%
40%
30%
20%
10%
0%
Percent
25.7%
36.6%
6.9%
30.7%
Self-service
In-house Resource
Specialist Resource i.e. Statisticians
Other

Question 11: How do you rate the current Management Information and Reporting?



Question 12: Where do you feel that there are gaps in the information and systems available to your area?

A comment suggested that there was performance issues and poor analytical capability issues with AWS QuickSight. This resulted in the additional time and resources being taken to produce Management Information and Reporting within Excel.

A common theme emerged that gaps in information and systems were filled by the use of resource intensive manual collation of data which proved to be a challenge. It was noted that data was often entered manually in Excel with frequent issues of human-error making data unreliable.

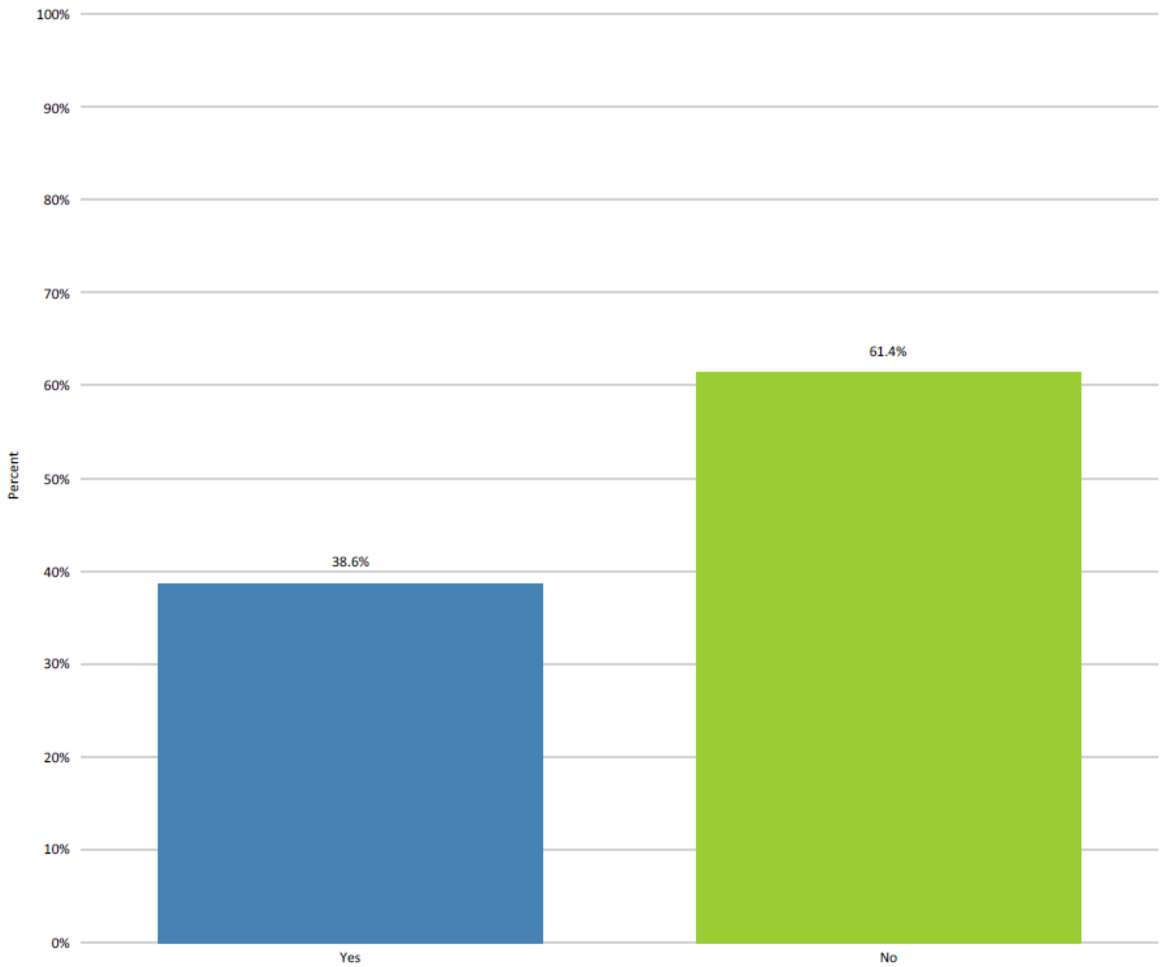
A general theme emerged that Management Information and Reporting was not tailored to the user and that this required to have a workaround to correct. This was noted to be a time-consuming exercise with users feeling that SPM did not meet staff needs.

A number of comments considered that SPM should be able to produce statistical reports to consider performance against an average target, which was felt an effective way to improve performance. Some comments noted that there were no service level agreements or KPIs in place resulting in staff not knowing what "good" looked like.

A number of users said that they carried out regular reconciliation work. They felt that this took longer than needed as large data files were extracted from SPM into Excel. The data was then manipulated to the job in hand. This had a significant impact on the performance and time taken to undertake the exercise.

Further comments were made about the continuing use of Excel Trackers which were being used to collate thousands of records which were accessed by hundreds of members of staff. It was suggested that this caused numerous recording errors and software crashes. Colleagues were unsure whether SPM had the functionality that they required and whether it could replace their reliance on Excel Trackers.

Question 13: Where there are Management Information and Reporting gaps, are there assurances that plans are in development to address these gaps?

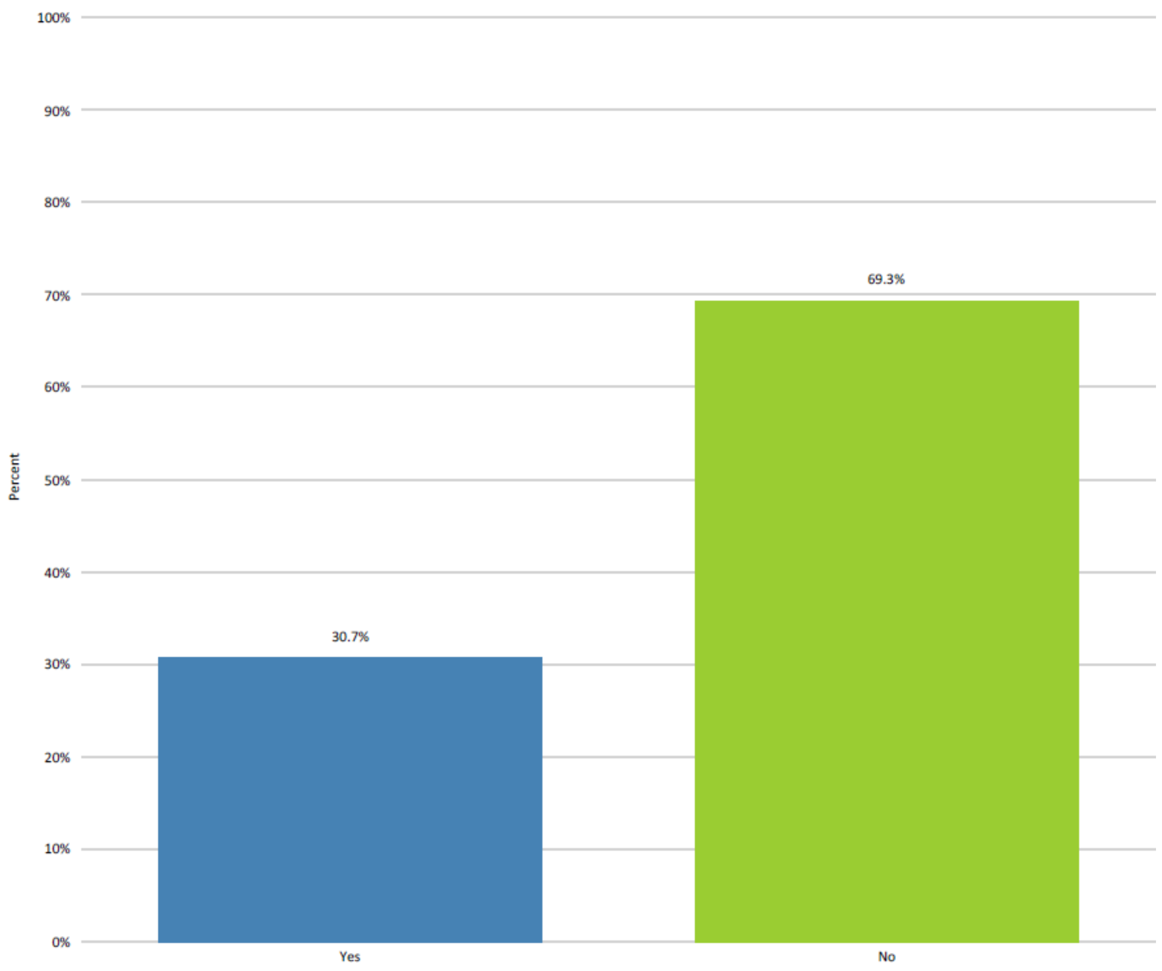


Question 14: Where you feel that there are gaps, what is the reason for Management Information and Reporting?

Comments suggested that Management Information and Reporting should be available at the touch of a button to analyse performance and trend analysis. Management Information and Reporting was needed for statutory requirements, management of risk and workload management.

It was recognised that SPM held significant amounts of data which could not easily be utilised to produce analytical data.

Question 15: Do you feel there is sufficient awareness of what Management Information and Reporting is available to your team?

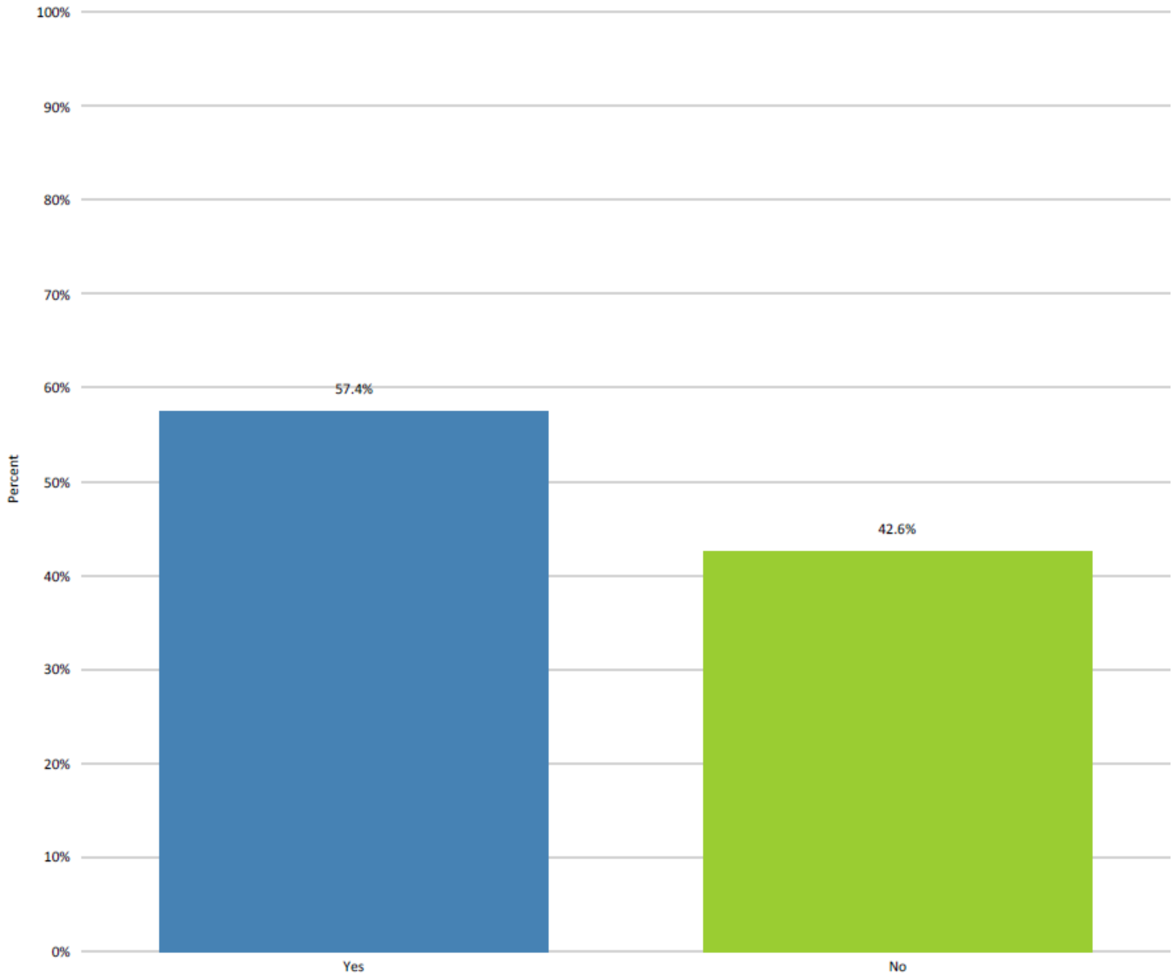


Question 16: Do you know where to raise any issues relating to Management Information and Reporting for SPM information, if so, where?

Many comments suggested that colleagues did not know where to raise any issues relating to Management Information and Reporting for SPM information

Where colleagues did know where to raise issues, this was done through: relevant line managers; Atlasian Jira tickets; Programme colleagues; or the Financial Processes and Payments team.

Question 17: Are there any manual workarounds or resource intensive tasks involved in getting or using the Management Information and Reporting needed for your team?



Question 18: Please describe the manual workaround or resource intensive tasks in getting or using Management Information and Reporting for your team. (Please quantify and specify what Management Information if possible)

A number of comments suggested that consultation reports required to be copied from the tool, reformatted and uploaded to SPM in order to share between teams due to system error.

Many comments talked about Excel remaining to be the primary method of managing, collating and analysing data. While reference was made to the main Trackers and Master Tracker, some comments suggested that personal Trackers had been created for individual members of staff. It was noted that the Master Tracker was unavailable for a protracted period which created a backlog of data that had to be entered later.

There was concern about the amount of data now being held within Trackers which was becoming unworkable within Excel.

Operational Finance require manual workarounds to filter QuickSight data due to the volume of data exceeding the maximum amount, extracts are becoming unworkable in Excel and not meeting demands as benefit delivery grows together with manually creating dashboards and visuals.

The Fraud and Error Unit utilises clerical control sheets for the Interventions and Debt Teams which is resource intensive and prone to human error. It was noted that the monthly collection of statistics for the management team was resource intensive. Many reports across all reporting applications require to be downloaded into Excel to allow them to be used for analysis.

Health and Social Care colleagues commented that local administrative staff had to extract raw data and manipulate it with Excel to make it meaningful but that this method of Management Information and Reporting resulted in numerous process errors. It was suggested that SPM should have the ability to extract meaningful reports on any inputted data to support client facing functions of the business.