

# Chief Constable Annual Governance Statement

## 2014/15

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### SCOPE OF RESPONSIBILITY

The Chief Constable (CC) is responsible for ensuring that the business of Staffordshire Police Force is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Chief Constable also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which the Force's functions are exercised, having regard to a combination of economy, efficiency and effectiveness

In discharging this overall responsibility the Chief Constable is responsible for putting in place proper arrangements for the governance of the Force's affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

The Chief Constable has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA/SOLCAE framework Delivering Good Governance in Local Government. A copy of the Joint (with the Office of the Police and Crime Commissioner – OPCC) code can be accessed via our website [www.staffordshire.police.uk](http://www.staffordshire.police.uk)

### THE PURPOSE OF THE GOVERNANCE FRAMEWORK

The governance framework comprises the systems and processes, culture and values by which the Force is directed and controlled and its activities, through which it accounts to, engages with and leads its communities. It enables the Chief Constable to monitor the achievements of the Force strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of the framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can, therefore, only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of Staffordshire Police's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised and to manage them efficiently, effectively and economically.

## GOVERNANCE FRAMEWORK ARRANGEMENTS

The CIPFA/SOLACE Framework “Delivering Good Governance in Local Government” (updated December 2012) details the key elements of the systems and processes that comprise an organisations governance. The Force receives scrutiny around a number of these key areas through various mechanisms, including local and internal audits, external inspection, OPCC oversight and via the Ethics, Transparency and Audit Panel (ETAP). Each element has been reviewed and the position for Staffordshire Police detailed below:

### **1. Identifying and communicating the Chief Constable’s vision, purpose and intended outcomes for citizens and service users**

The Chief Constable’s policing plan 2013-18 sets out the vision, mission and key objectives for Staffordshire Police.

#### ***The Vision***

We’ll work even more closely with partners to deliver excellent policing services for the county’s residents, businesses and visitors. At all times, we’ll strive to keep them safe, prevent, them from becoming victims and reduce their fear of crime and anti-social behaviour.

#### ***Our Mission***

Keeping our communities safe and reassured.

#### ***Key Objectives***

Deal with what matters to communities  
Provide outstanding service  
Prevent crime and disorder.

The policing plan supports the Police and Crime Commissioners broader Safer, Fairer United Communities strategy, which looks to bring public agencies, the voluntary sector, businesses and the community together to reduce crime and anti-social behaviour and improve community safety.

### **2. Reviewing the vision and its implications for the governance arrangements and translating the vision into objectives for the organisation and its partnerships**

The joint (with the OPCC) ‘Our vision for transforming policing in Staffordshire by 2020’ document clearly outlines the need for change recognising that the Force is operating in the most challenging of times in the history of the service. These challenges are financial as well as requiring us to adapt to changing public expectations and deal with current and emerging threats and risks to public safety. The Force will have to become a radically different organisation in the next few years. It will need to be smaller yet more effective, lean, agile, focused on dealing with what matters to people and be far more engaged with the community and other partners.

### **3. Measuring the quality of service for users, for ensuring they are delivered in accordance with the Chief Constable’s objectives and for ensuring that they represent the best use of resources and value for money**

Staffordshire Police has undergone considerable change in recent years and is now in a strong position for the short term. The Force is still achieving high levels of customer satisfaction amongst victims of crime and anti-social behaviour and has maintained neighbourhood policing services and managed

significant operational challenges. The Force has a balanced the budget for the next year and has established a good track record for managing change. HMIC judged Staffordshire Police as 'outstanding' in providing value for money in its all Force assessments published November 2014. However this position will not be sustainable for the long term without extensive transformation.

#### **4. Defining and documenting roles and responsibilities with clear delegation arrangements and protocols for effective communication in respect of the organisation and partnership arrangements**

The Chief Constable is responsible for maintaining the Queen's peace and for the direction and control of the Force's police officers, police staff, Special Constabulary and volunteers. The Chief Constable is accountable to the law for the exercise of police powers and to the Police and Crime Commissioner for the delivery of efficient and effective policing and management of resources and expenditure by the Force. Senior managers have powers of delegation to undertake the management of staff employed by the Chief Constable in line with agreed policies and procedures. All matters properly delegated by the Chief Constable to identified individuals may be further delegated where appropriate to roles and responsibilities of the delegate.

#### **5. Developing, communicating and embedding codes of conduct, defining the standards of behaviour for members of staff**

There is strong leadership from the Chief Constable with the tone and culture of the Force clearly set out and demonstrated by the Executive Officer Team. Staff are aware of the standards expected of them and the importance of the new national Code of Ethics (introduced nationally in July 2014). The code of ethics is built of the Nolan principles of public life. The People Service Department has brought together the Human Resources (HR) department, the Performance and Standards Unit (PSU) and the training department to co-ordinate activity and work together to oversee people activity effectively. The Anti-Corruption Unit (ACU) remains separate.

The Force actively examines information and intelligence from a broad range of sources in an innovative and productive way; triggering timely interventions and early identification of staff who may be at risk of wrongdoing or vulnerable to corruption.

#### **6. Reviewing the effectiveness of the organisation's decision-making framework, including delegation arrangements, decision-making in partnerships and robust data quality**

There is a clear decision making framework within the organisation with all key strategic decisions being taken at the Chief Officer Management Meeting (COMM). This is supported by the Strategic Coordination Group and a series of operational performance and strategy meetings to co-ordinate resources based on threat risk and harm. The Strategic Coordination Group oversees the transformational change programme, providing direction, monitoring progress and ensuring that projected outcomes and benefits are delivered in a consistent and cohesive way. Partnerships and integration is a core principle for all projects. There is a joint (with the OPCC) decision making mechanism through Strategic Executive Group (SEG) which is held monthly and has all Force and OPCC executive level officers and staff in attendance.

Data quality is audited both internally and externally by Her Majesty's Inspectorate of Constabulary (HMIC). The Deputy Chief Constable (DCC) is the named officer responsible for data quality. HMIC recognised in their November 2014 Force inspection report that we record crime both ethically and accurately.

Force performance and outcomes are scrutinised at a quarterly public performance meeting, chaired by the Police and Crime Commissioner to hold the Chief Constable to account.

## **7. Reviewing the effectiveness of the framework for identifying and managing risks and demonstrating clear accountability**

The Force manages risk in a variety of ways to ensure that both operational and business risks are identified, controlled / mitigated and managed as appropriate and in accordance with Force policy. The following measures are in place to ensure effectiveness in this area:

- Quarterly Joint Strategic Risk Management Group chaired by the Deputy Chief Constable
- Individual risk registers for each key areas of the Force including the transformation programme
- Regular internal audit reports which identify the risks in those areas examined
- The Section 151 Officer ensuring the propriety and legality of financial transactions and recognising risk when setting the budget
- Financial regulations and contract standing orders supported by appropriately qualified finance and procurement staff
- Professionally qualified staff and business area leads in all key areas across the organisation
- HR procedures supporting terms and conditions of employment for staff supported by qualified HR specialists
- Reporting mechanisms and trained staff reviewing and taking action to address Health and Safety risks
- Risks from complaints and internal conduct issues investigated by the PSU or the Anti-Corruption Unit and appropriate action taken.

How the Force identifies and manages risk is regularly monitored by both the Police and Crime Commissioner and ETAP along with external insurers and internal auditors upon their request for additional assurances.

## **8. Ensuring effective counter-fraud and anti-corruption arrangements are developed and maintained**

The PSU directs investigations on a day-to-day basis. The ACU team has successfully identified and brought proceedings against corrupt officers during 2014/15. Counter-fraud arrangements are independently reviewed by ETAP.

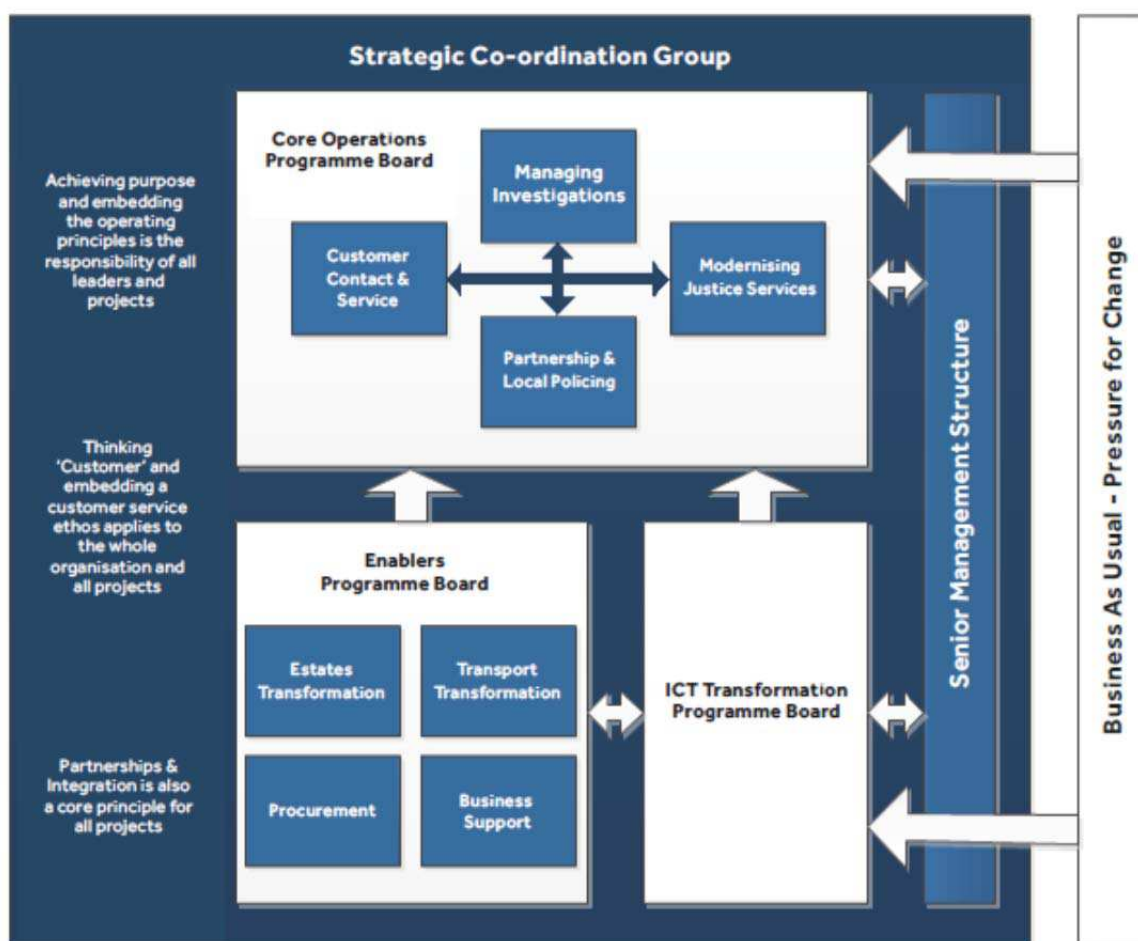
The Force uses the National Crime Agency (NCA) threat assessment process to consider the risks and identified three areas around which harm reduction strategies should be based: information management; abuse of powers or police authority; and organised crime groups.

The closed session of the monthly PSU co-ordination meeting provides an opportunity to identify harm reduction strategies and to develop preventive or proactive methods to investigate and identify corrupt practice.

## **9. Ensuring effective management of change and transformation**

The Chief Constable and Police and Crime Commissioner have an ambitious change programme which will see all benefits and savings delivered by 2020. There are 3 programmes of work with a clear governance structure placed around them. The Strategic Coordination Group (jointly chaired by the

DCC and PCC's Chief of Staff) provides the oversight and governance to the 3 transformation programmes (see diagram below).



#### 10. Ensuring the organisation's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer and the CIPFA Statement on the Role of the Head of Internal Audit

The organisation's financial governance and management arrangements are all based on the CIPFA Financial Management Code of Practice for the Police Service of England and Wales as presented to Parliament pursuant to Section 39A(5) of the Police Act 1996 and Section 17(6) of the Police Reform and Social Responsibility Act 2011. This identifies the roles and responsibilities of the Chief Constable and the Chief Constable's Chief Finance Officer separately from those of the Police and Crime Commissioner and the Police and Crime Commissioner's Chief Finance Officer. The role of internal audit and Head of Internal Audit is provided to the Force via contracted arrangement.

#### 11. Ensuring effective arrangements are in place for the discharge of the Head of Paid Service function

The Head of Paid Service function is undertaken by the Chief Constable.

## **12. Undertaking the core functions of an audit committee**

There is a joint Audit Committee (ETAP) for the Chief Constable and the Police and Crime Commissioner. The remit of the committee is to provide “overall independent assurance of the adequacy of the corporate governance and risk management framework and the associated control environment and independent scrutiny of the Police and Crime Commissioner’s and Chief Constable’s financial and non-financial performance” The remit of the committee was extended in 2013 to include:

- Ethics and Professional Standards
- Governance and Irregularity
- Transparency.

The committee undertakes all of the requirements of an audit committee, as identified in CIPFA’s Audit Committee – Practical Guidance for Local Authorities and Police (2013).

## **13. Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful**

The Force has direct links to the College of Policing and reviews all Authorised Professional Practice in the context of its own policies and procedures. All policies and procedures are subject to an Equality Impact Assessment (EIA) and are reviewed in the context of the code of ethic and signed off at executive officer level. The Force has a Policy Development Officer to oversee this process. Governance for this area sits with the Policy Steering Group, which feeds into the Force Development Board by exception to ensure the Force is compliant and lawful. In addition there is a dedicated Policy Review and Development Team for the area of Public Protection which ensures that all local and national lessons learned and recommendations around serious case and safeguarding reviews for both adults and children are used to enhance service provision to those most vulnerable in our communities. There is an annual programme of inspections by Her Majesty’s Inspectorate of Constabulary (HMIC), internal audit and external audit that give assurance or raise issues to ensure that laws, regulations, policy and expenditure are complied with lawfully.

## **14. Whistleblowing and for receiving and investigating complaints from the public**

The Force has a whistleblowing policy which is supported by a whistle blowing system (Bad Apple). Reports on the Bad Apple statistics are presented to ETAP. Clearly defined processes are in place for dealing with complaints. Complaints and investigations are undertaken by the PSU and ACU. The Force has an effective, ongoing dialogue with the Independent Police Complaints Commission (IPCC) who also have a confidential hotline.

## **15. Identifying the development needs of Senior Officers in relation to their strategic roles, supported by appropriate training**

Executive Officers at Assistant Chief Constable level and above (including police staff equivalent) must successfully complete a national standard of Strategic Command. There has been a recent elevation of overall Senior Responsible Officer for covert policing activity to the DCC, this allows independent scrutiny of this business area. Business heads for HR, Finance and Legal services are all professionally trained and qualified. The Force holds a quarterly Strategic Leadership Group to develop skills internally and consult with colleagues. There is a leadership blue print that underpins the Policing Plan.

#### **16. Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation**

The Police and Crime Commissioner has a programme of consultation with the public, partners and other stakeholders. This includes specific consultation with victims of crime and will influence how services are delivered going forward. In addition Safer Neighbourhood Panels have recently been established as an extension of ETAP to hold local policing commanders to account for service delivery in the communities for which they are responsible. The Force has a well-established citizens panel and also records face to face interviews with residents on its bespoke citizen focus toolkit which enables the Force to understand crime and disorder issues being faced by residents. There have been over 2,000 local community meetings open to the public during the course of 2014/15 and there is a commissioned policing, public safety and quality of life survey which tracks trends and issues over time by locality. The Force uses social media to communicate and consult quickly and effectively with large groups of the community via Twitter and Facebook. .

#### **17. Enhancing the accountability for service delivery and effectiveness of other public service providers**

The Police and Crime Commissioner sets clear lines of accountability and the Chief Constable is held to account around performance and service delivery publically every quarter. Strategic level partnership meetings with Local Authorities, Health and other blue light services form part of the wider governance arrangements and set the direction for broader County and City wide issues. The transformation programme seeks to increase capability and capacity for joined up intervention. Scrutiny will always be taken in public unless there are good reasons for confidentiality. Both the Chief Constable and the Police and Crime Commissioner aim to make Staffordshire the most transparent Force.

#### **18. Incorporating good governance arrangements in respect of partnerships and other joint working as identified by the Audit Commission's report on the governance of partnerships and reflecting these in the organisation's overall governance arrangements**

As per the Audit Commission report recommendations Staffordshire Police understands the significant partnership arrangements that the organisation is involved in and the level of resources invested. Clear governance arrangements and documentation exist for all significant partnerships and arrangements are audited by the lead organisation. As the Force transforms the way it delivers its mission, it will need to enhance engagement with both the community and other partners and stakeholders.

### **REVIEW OF EFFECTIVENESS**

The Chief Constable has responsibility for conducting, at least annually, a review of the effectiveness of the governance framework including the system of internal control. The review of effectiveness is informed by the work of the Senior Managers within the Force who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's Annual Report, and also by comments made by the external auditors and other review agencies and inspectorates.

Over the course of 2014/15, the Force has undergone scrutiny from the OPCC, ETAP, Internal Auditors, HMIC, service suppliers, peers, The College of Policing and through locally driven continuous improvement reviews. Information from stakeholders including the public and partners has been examined to ensure the delivery of efficient, effective and legitimate services. The governance arrangements surrounding leadership, decision making, transparency, code of conduct, management of risk, transformation, and outcomes, have been all been rigorously tested and continue to be regarded as fit for purpose. The areas already addressed and those to be specifically addressed with new actions planned are outlined below.

## SIGNIFICANT GOVERNANCE ISSUES

### Issue 1:

The Force and the OPCC both have balanced the budget for next year and have established a good track record for managing change. HMIC judged the Force as 'outstanding' in providing value for money in its all Force assessments published November 2014. However this position will not be sustainable for the long term without extensive transformation.

### Action

As the transformation programme moves into the implementation phase, projected year on year savings to ensure a balanced budget will be realised. This will be subject to continuous scrutiny for 2015/16 under the Force and OPCC joint governance arrangements and internal and external audit processes.

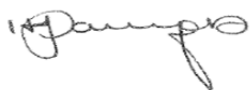
### Issue 2:

As the Force and the OPCC transform the way they deliver the vision, they will need to be far more engaged with both the community and other partners and stakeholders. Bold new approaches will need to be developed with partners around information sharing, joined up customer service and better support for victims and witnesses.

### Action

Appropriate governance arrangements should be clearly developed and set out as the Force and the OPCC transform the way they work with public and private sector partners. This will be subject to continuous scrutiny for 2015/16 under the Force and OPCC joint governance arrangements and internal and external audit processes.

*We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of the planned review of the Governance Framework.*

Signed: 

Jane Sawyers  
Chief Constable

Signed: 

Suzanne Birchall  
Head of Business Services (CFO for the CC)