



STAFFORDSHIRE  
**POLICE**

# Chief Constable

## Annual Governance Statement

### 2018/19

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## **INTRODUCTION AND SCOPE OF RESPONSIBILITY**

The Chief Constable has an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that appropriateness of all actions can be demonstrated and mechanisms are in place to encourage and enforce adherence to ethical values and to respect the rule of law.

In discharging this overall responsibility the Chief Constable is required to put in place proper arrangements for governance and risk management of the force's affairs, facilitating the effective exercise of its functions.

The Chief Constable has adopted a governance framework, which is consistent with the principles of the Chartered Institute of Public Finance and Accountancy (CIPFA) guidance 'Delivering Good Governance in Local Government and Police' 2016. The framework outlines seven principles (as set out below) of good governance and aligns to the wider public sector Nolan principles of good governance.

1. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law (integrity)
2. Ensuring openness and comprehensive stakeholder engagement
3. Defining outcomes in terms of sustainable economic, social and environmental benefits
4. Determining the interventions necessary to optimise the achievement of the intended outcomes
5. Developing the entity's capacity, including the capability of its leadership and the individuals within it
6. Managing risks and performance through robust internal control and strong public financial management
7. Implementing good practices in transparency, reporting and audit to deliver effective accountability.

The seven areas have been used to form the basis of the following review of the effectiveness of the force's governance arrangements.

A copy of the governance framework can be accessed via the force website [www.staffordshire.police.uk](http://www.staffordshire.police.uk)

## REVIEW OF THE EFFECTIVENESS OF THE GOVERNANCE ARRANGEMENTS

### 1. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

The force has 3 statutory officers, these being: the Chief Constable (CC), Deputy Chief Constable (DCC) and a Chief Finance Officer, Section 151 Officer (S151 of the Local Government Finance Act 1972).

- The Chief Constable is responsible for maintaining the Queen's Peace, and has direction and control over the force's officers and staff. The Chief Constable holds office under the Crown, but is appointed by the Staffordshire Commissioner (SC). The Chief Constable is accountable to the law for the exercise of police powers, and to the SC for the delivery of efficient and effective policing, management of resources and expenditure by the police force. At all times the Chief Constable, his officers and staff, remain operationally independent in the service of the communities that they serve.
- The Deputy Chief Constable is a statutory post to act on behalf of the Chief Constable in his absence, thus ensuring there is a senior executive officer available at all times to exercise the post of Chief Constable.
- The Chief Finance Officer (Section 151 Officer) has responsibility for finance and to ensure the dispersal of funds is appropriate and lawful.

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 national Code of Ethics (introduced nationally across the service in July 2014). The Code of Ethics is built on the Nolan principles of public life.

Officers and staff are trained to make ethical operational decisions within the framework of Threat, Harm, Risk, Investigation, Vulnerability and Engagement (THRIVE). The National Decision Making Model (NDM) was also introduced across the service in 2013 which assists in making dynamic ethical decisions around a given situation or as a situation progresses.

The Force's Professional Standards Department (PSD) monitors compliance and consists of three areas:

1. Performance Assessment Unit primarily dealing with complaints from the public and misconduct.
2. Anti-Corruption Unit (ACU) which deals with corruption threats and prevention in line with the annual strategic assessment and identified priorities.
3. Force Vetting Unit which operates in line with the vetting code of practice.

The department reports directly to the Deputy Chief Constable and is co-located with Human Resources (HR) to provide a joined up approach to the management of people.

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.

The PSD directs investigations on a day-to-day basis. The ACU team has successfully identified and brought proceedings against officers and staff during 2018/19 where they have fallen below the standards that are expected of them. Counter-fraud arrangements are also periodically independently reviewed by the Ethics, Transparency and Audit Panel (ETAP).

The force uses the National Crime Agency (NCA) threat assessment process to consider any risks around the three nationally identified areas; information management; abuse of powers or police authority; and organised crime groups.

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

The force has a whistleblowing policy which is supported by a whistle blowing system (Bad Apple). Clearly defined policies and processes are in place for dealing with complaints. Complaints and investigations are undertaken by the PSD and ACU. The force has an effective, ongoing dialogue with the Independent Office for Police Conduct (IOPC) who also have a confidential hotline.

The force's approach to misconduct cases is one of transparency. Regular updates are provided across the force from the Chief Constable via "news from the executive" to demonstrate the nature and outcomes of upheld misconduct cases.

The force requires that all gifts and gratuities are recorded for transparency, even where declined. There is an online system for recording this activity. This is regularly reported to ETAP for transparency and scrutiny. Executive officers expenses are available publicly and are also reviewed by ETAP. PSD undertakes regular dip samples of expenses and other systems. Any agreed secondary employment is recorded and a process for authorisation of new business interests is in place.

Support around legal matters is provided to the Chief Constable through the Head of Legal Services. The Head of Legal Service's role is delivered through a contract with West Midlands Police and is a joint legal services between the two Forces. The Chief Constable has access to the Head of Legal Services as and when required and there have been no issues with regards to the level or quality of support in this area.

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 Ethics and signed off at Executive Officer level. 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 and Fire & Rescue Services (HMICFRS) and internal and external audit give assurance or raise issues to ensure that laws, regulations, policy and expenditure are complied with lawfully.

The last Police Efficiency, Effectiveness and Legitimacy (PEEL) force inspection (2017) did not highlight any causes for concern from HMICFRS and the force was judged overall as 'Good' in terms of legitimacy. A number of areas for improvement were identified which have all been completed and will be reviewed as part of the next PEEL inspection during the summer of 2019.

## 2. Ensuring openness and comprehensive stakeholder engagement

The Code of Ethics is embedded across the force and is a key strand in training and policy development. The Chief Constable makes clear expectations of standards of behaviour in line with the code. The Code requires all officers and staff to act with openness, fairness and respect. The standards within the code are accessible to staff via a dedicated intranet site. Through the force website the public can access the Code and assess the level of professionalism in how services are provided. In executing the Code, the Chief Constable sets out clearly the message that staff and officers are here to keep communities safe and reassured and to protect those who are most vulnerable.

Staffordshire Police publishes a number of key documents in line with the force publication scheme, this includes Executive Officer expenses, responses to inspection activity, and minutes from strategic level meetings. The adoption of a national single on line home platform across the service during 2019/20 will enhance what and how information is shared with the public.

**Action 1: The force will further review the scope of the documents it makes available to the public and ensure that where appropriate information is made as accessible as possible. Additional work will take place as the single on line home platform is adopted.**

The force endeavours to respond to all Freedom of Information requests in the required time frame. This ensures that the public are able to access the information that the legislation entitles them to.

The Staffordshire Commissioner has a programme of consultation and engagement with the public, partners and other stakeholders. The force conducts specific consultation with victims of crime and anti-social behaviour which influences how services are delivered. In addition Safer Neighbourhood Panels have 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 citizen's 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. The force uses social media to communicate and consult quickly and effectively with large groups of the community via Twitter and Facebook.

The force has a public confidence strategy which has a specific strand which covers community engagement and how the force undertakes this (see section 3 below for further details).

For Staffordshire's 2019 PEEL inspection, HMICFRS have, via their risk based assessment method, concluded that the force does not require further scrutiny at this time around engagement with the community and treating people with fairness and respect.

### 3. Defining outcomes in terms of sustainable economic, social and environmental benefits

The Policing Plan sets out clearly five priorities as set out below to ensure that the force focuses on what matters to the people of Staffordshire. This plan supports the 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. The Chief Constable is held to account by the Staffordshire Commissioner against the delivery of this plan.

Each of the five priorities has a specific strategy to make clear to the public and the officers and staff across the force, how desired outcomes will be achieved. Each strategy is owned at Assistant Chief Constable (ACC) or police staff equivalent level with specific thematic delivery leads. These are supported by a performance framework to monitor delivery and success.



In addition to the above priority areas the force has developed a service commitment which sets out 10 core commitments to the people of Staffordshire in respect of the delivery of services (all of the above materials can be found on the Staffordshire Police website).

Areas of operational focus are also identified through a process of strategic risk assessment. Delivery and outcomes against these areas are overseen via a strategic tasking and monitoring process led at ACC level.

During the summer of 2018 the force implemented a significant programme of change resulting in a new operating model which saw the restructure and redesign of services. Public confidence and outcomes are at the heart of the changes that have been and will continue to be implemented. Focus will remain on dealing with what matters to people and supporting this by engagement with the community and other partners.

Increased robustness in annual business planning continues with the first force management statement (FMS) (requirement by HMICFRS) being produced in June 2018. Work continues with HMICFRS and National Police Chiefs Council (NPCC) leads to ensure this process evolves year on year. There is a particular focus across the service around a more sophisticated understanding of future demand.

**Action 2: To further develop the force's capacity to understand and plan for future demand, linking in with work being undertaken by HMICFRS, NPCC and the College of Policing.**

The Force has also introduced delegated budgets during the financial year where directorate leads are now held to account for the delivery of services within their delegated budget. Wrapped around this has been the introduction of Finance Business Partners aligned to directorates to give support and advice to management teams on the use of financial resource aligned to outcomes, as well as to provide a link back to the Force corporate centre.

#### **4. Determining the interventions necessary to optimise the achievement of the intended outcomes**

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 priorities and to consider whether those priorities have led to the delivery of appropriate services and value for money.

Much of the ambitious change programme for the force is predicated on a significant change to police systems and core IT (Information Technology) platform. In order to achieve the changes required, Staffordshire Police has a strategic IT Partnership in place with Boeing Defence UK. The partnership represents a unique and innovative opportunity to develop



new systems and new ways of working that will help police officers and police staff work more effectively and provide a more streamlined service for the communities of Staffordshire. Governance arrangements around this partnership have been enhanced during the year to ensure appropriate oversight of associated strategies and plans, performance, change and risk and growth.

The force has completed a significant amount of data legacy and quality review work necessary to move to a new records management system. This system will support more effective management and analysis of information to inform decision making at all levels.

Facilities management continues to be delivered by Kier on behalf of the force. Additional collaborative partnerships are successfully in place with other blue light services and local authorities to deliver around areas such as safeguarding, regional organised crime, counter terrorism, and motorways policing.

The force has forged further partnerships with academic establishments to help understand and develop culture and is leading the national agenda around forensics in partnership with Staffordshire University to develop upstream solutions to digital forensics which assist around safeguarding issues and increase capability and capacity.

The force's Service Improvement and Organisational Learning Board oversees how the force is delivering improvements. This board is serviced from a number of areas including the Evidenced Based Practice and Innovation Board, which includes academic partners.

The directorate structure for the force provides clear direction to deliver policing services to the community through engagement with partners and enhancing partnership relationships. To ensure the force is maximising the benefits from these arrangements a partnership register has been developed. Following the restructure of a number of corporate functions within the DCC Directorate, a review of this activity and ownership thereafter has been passed to a newly formed Corporate Planning and Business Change Team.

**Action 3: To continue to develop the current partnership framework incorporating an enhanced partnership register to identify the resource input from the force balanced against the benefits realised.**

The system of internal control is a significant part of the governance 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. 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, including partnership and other joint working arrangements.

## **5. Developing the entity's capacity, including the capability of its leadership and the individuals within it**



Staffordshire Police has a People Strategy (People First) which supports the delivery of the 5 policing priorities.

The People First strategy has 8 interconnected themes which contribute to modernising the forces organisational culture and developing an integrated workforce that will align the right skills, powers and experience to meet the changing police demand. The People Services HR function has recently been reviewed to incorporate workforce planning capacity into the team to enable closer links between demand management/predictions to inform future skills and capacity requirements.

The department has a robust and well developed workforce planning approach which supports the force in identifying skills gaps and workforce changes. Workforce Planning and recruitment/promotion activity is underpinned by the forces turnover timeline and promotion predictions products which detail forecast officer numbers against the Target Operating Model alongside future demand activity as predicted by the Knowledge Hub and demand profiling.

Police Officers are being recruited through the new entry routes for new recruits which has significantly changed the employment model and has required extensive workforce planning and recruitment activity to ensure successful implementation.

The force has an in house health safety & wellbeing team which includes health care professionals such as counsellors and clinical nurse specialists who support all staff. This team support delivery of wellbeing initiatives across the force in accordance with the people first wellbeing delivery plan which is aligned to national campaigns. These services and support are available to staff within the HR function and early intervention and proactive referrals are encouraged for all staff who may require this support. Sickness absence and attendance management is monitored and managed in accordance with the sickness absence policy which includes early intervention support from welfare counsellors and physio therapy. Staff are encouraged to engage with various support groups such as Wellbeing Champions and attend initiatives including the Wellbeing bus tour, the sleep initiative 'are you getting enough' and menopause support groups.

Organisational development is overseen via the corporate planning and resourcing element of the Force Strategy Board (FSB).

The force holds bi-monthly continuous professional development (CPD) days where a mix of internal and external speakers share good and best practice across the organisation. Most recently an ACC lead has been appointed to ensure best practice and innovation are co-ordinated, a specific board meets to oversee this function.

The force also undertakes daily environmental scanning and engages readily with peer reviews and benchmarking requests to enhance organisational learning opportunities.

The force is also contributing to a HMICFRS review around the selection and development of chief officers.

Executive Officers at Assistant Chief Constable level and above (including police staff equivalent) must successfully complete a national standard of Strategic Command. Business heads for HR, Finance and Legal services are all professionally trained and qualified.

Any previously noted gaps within the Finance and Commercial Services team have been addressed and the structure is now fully implemented.

Where appropriate, the force has standard operating procedures and information sharing agreements to enhance partnership working especially in order to identify vulnerability. The Multi Agency Safeguarding Hub is a good example where together with other agencies, the force is jointly located and sharing information effectively to enhance capacity and capability. Partnerships with external providers such as Boeing and Kier have governance arrangements in place. These have been reviewed during the course of 2018/19 and revised where appropriate, to ensure effective decision making and clarity of roles and responsibilities.

## **6. Managing risks and performance through robust internal control and strong public financial management**

As reported in the last Annual Governance Statement (AGS), the Chief Constable commissioned a complete review and restructure around the decision making framework within the organisation. All key strategic decisions are made at the bi-monthly Force Strategy Board jointly chaired by the Chief Constable and the Deputy Chief Constable. The Board is an all-day meeting which comprises of 3 key strands of focus as follows:

- Strategic Risk Management Board
- Corporate Planning and Resources Board
- Transformation Board

The force's Service Improvement and Organisational Learning board takes place on alternate months and is preceded by the CPD sessions as referenced earlier.

The original monthly cycle was reviewed and a decision undertaken to move to a bi-monthly strategic governance rhythm. There is a weekly formalised Force Executive Meeting where matters requiring decision or review outside of the bi-monthly cycle may be taken. Any decisions are then recorded and fed back into the Force Strategy Board. Beneath the FSB there are Directorate level monthly Boards which provide oversight and appropriate decision making at the appropriate threshold. Matters which exceed this threshold are escalated to the FSB along with any matters by exception. In implementing the new governance arrangements across the force, the Chief Constable has reaffirmed clear levels and lines of accountability across all Directorates and business areas.

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:

- Bi-monthly Strategic Risk Management through the FSB chaired by the Chief Constable
- Individual risk registers for each directorate and department as well as specific registers for projects such as the records management system implementation
- Regular internal audit reports – the latest report (October 2018) around risk management was awarded substantial assurance
- 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 PSD or the ACU and appropriate action taken
- External audit arrangements

As part of the forces risk, issue and opportunity (RIO) management process, it has been recognised that more value can be drawn from the opportunity aspect by linking this in to provide a formalised framework to assist in capturing and capitalising on organisational learning.

**Action 4: To develop the way organisational learning is captured and effectiveness monitored utilising the opportunity element of the RIO process.**

How the force identifies and manages risk is regularly monitored by both the Staffordshire Commissioner's Office (SCO) along with external insurers and internal auditors upon their request for additional assurances. Additionally ETAP have appointed a 'risk champion' to work closely with the force and the SCO to offer specific scrutiny and support to this area. An ETAP review of the force's risk, issues and opportunity management framework was undertaken at the beginning of 2019, resulting in positive findings.

Risk is a standing agenda item on the Performance Assurance Board (SCO mechanism for holding the force to account) where risks if appropriate may be escalated to the Strategic Governance Board (SGB) which is held monthly and has all Force and SCO executive level officers and staff in attendance.

Along with the Performance Assurance Board, force performance and outcomes are scrutinised at a quarterly public performance meeting, chaired by the SC to hold the Chief Constable to account. There are a series of thematic inquiry sessions where the SCO also scrutinises the force's performance.

The force's bi-monthly Service Improvement and Organisational Learning Board chaired by the DCC, monitors force performance by exception. The board also holds 'thematic' leads to account against their delivery plans.

The force has recently merged its intelligence and performance functions in order to enhance capacity. The Knowledge Hub department includes the monitoring of operational performance and reports directly to the bi-monthly Service Improvement and Organisational Learning Board.

A review of the DCC Directorate has seen a force self-review capacity retained within a newly formed Corporate Planning and Business Change function. This allows the internal review a wide range of operational areas to ensure recommendations, especially from HMICFRS and Internal Audit are being progressed and service provision enhanced. The annual programme is formulated on a risk based assessment of where additional force scrutiny would provide best value.

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 SC and CC work with other SCs and CCs on a regional basis (the West Midlands region – Staffordshire, Warwickshire, West Mercia and West Midlands). The SC for Staffordshire chairs the regional collaboration group and oversees with colleagues the performance of regional and national collaborations between police forces; these include the Regional Organised Crime Unit (ROCU), the Central Motorway Police Group (CMPG), the National Police Air Service (NPAS) and the regional Counter Terrorism Unit (CTU). Regional work is a key aspect of the overall Force delivery arrangement and is one that is growing given Government investment into regional activity and the expectation that local Forces will transfer some activity, where appropriate, into a regional collaboration. Force leads on specific collaborations are required to bring performance and financial reports to each quarterly Regional Board meeting and the SCs scrutinise and hold to account both those leads and Chief Constables for the activity and outcomes achieved.

The Deputy Chief Constable is the named officer responsible for data quality. The force seeks reassurance via its information assurance arrangements and Information Assurance Board that data is being used and shared appropriately and in line with data protection and information assurance requirements. In the event of any potential data breaches, the force has a record of early self-referral to the Information Commissioners Office for independent review and to ensure openness and transparency.

The force has recognised the need to have a clear and unambiguous lead for Records and Information Management (RIM) to underpin a transformation in information governance. In order to enhance the force's governance and oversight of information, the recent restructure of the DCC Directorate has led to the creation of a Chief Information Officer to which a Records Information Manager, Central Disclosure Unit and Crime Data Integrity manager (also designate Force Crime Registrar) will all report. The Chief Information Officer will also be the designated Data Protection Officer which has been a gap for the force.

The force is now in the process of implementing a new Records Management System (NICHE), which will replace 12 extant high risk systems. This is due to be implemented by October 2019 and will address issues around double keying, data quality and large resource intensive back office function.

The financial performance of the force and SCO is monitored through monthly budget out turn reports and refreshed Medium Term Financial Strategy (MTFS). Any variances or longer term gaps identified are reported to the FSB via the Corporate Planning and Resourcing Board. Financial control arrangements allow implications on budgets and value for money to be understood and corrective plans put in place where appropriate to either maximise or minimise the financial impact. There has been a clear focus to ensure that budget information is developed to inform at various levels of the organisation to support accountability in budget management and the demonstration of value for money decision making. For 2018/19 internal auditors gave an opinion of reasonable assurance around the key financial controls for the force.

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 Staffordshire Commissioner and the Commissioners Chief Finance Officer.

In collaboration with the SCO the force reviews the Financial Regulations and Scheme of Delegation to ensure the organisation remains up to date with its strategic financial control environment.

During 2018/19 a number of key appointments have been made within the business services area which has assisted in enhancing monitoring arrangements at the strategic level to ensure systems and processes are in place so the organisation can evidence compliance with the financial management frameworks.

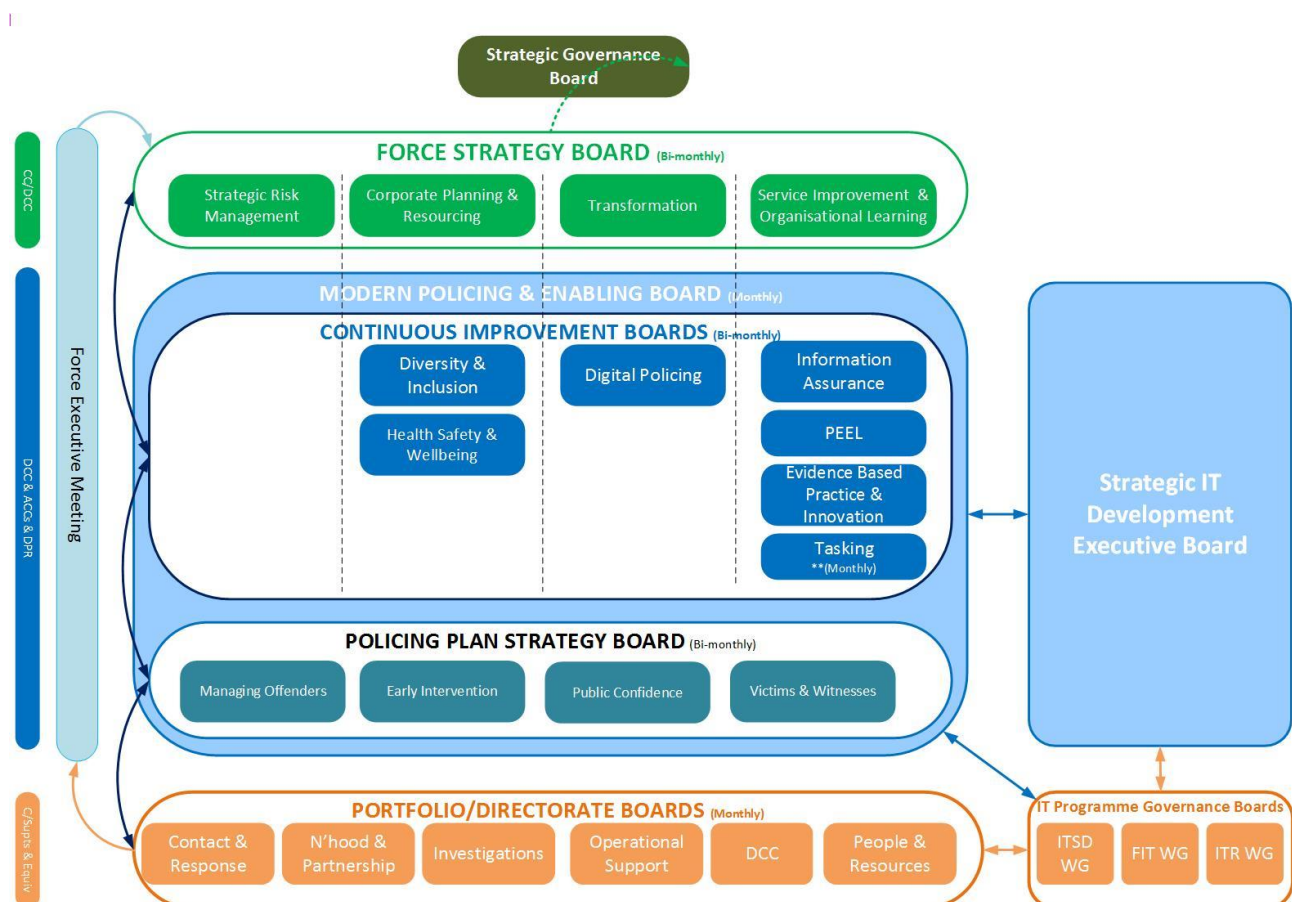
The force was given an overall judgement of 'Good' from the last HMICFRS inspection (2017) for 'how efficient the force is at keeping people safe and reducing crime'. This looked at demand management, sustainability and affordability, and the financial position for the short and long term. However the report does acknowledge that the force needs to ensure it has adequate plans in place to show it can provide services, while also making necessary cost savings. During 2018/19 the force moved to a new target operation model which saw transformational changes to the way that response and neighbourhood policing is delivered, including changes to geographical locations and the creation of responses hubs. Following this, business change activity now continues with accountability at a directorate level, with support from a core change management function. Cost savings will be reassessed by HMICFRS during the inspection in June 2019.

The force has a responsibility for the review of the effectiveness of the governance framework including the system of internal control. This process is ongoing and has resulted in a number of changes being made during the course of 2018/19 as already referenced.

The review of effectiveness is informed by the work of the senior management teams within the force and SCO who have responsibility for the development and maintenance of the governance environment.

## 7. Implementing good practices in transparency, reporting and audit to deliver effective accountability.

During 2018/19 there has been further revision to the decision making and scrutiny arrangements across the force following a Chief Constable commission of a comprehensive review of arrangements in 2017/18. The most significant revision can be noted around the enhanced strategic IT governance arrangements (please see diagram below).



The Chief Constable is held to account by the SC formally via a number of scrutiny meetings including confidential inquiry sessions, public quarterly performance meetings, and the performance assurance board. The Chief Finance Officer also meets regularly with the Director of Finance for the SCO.



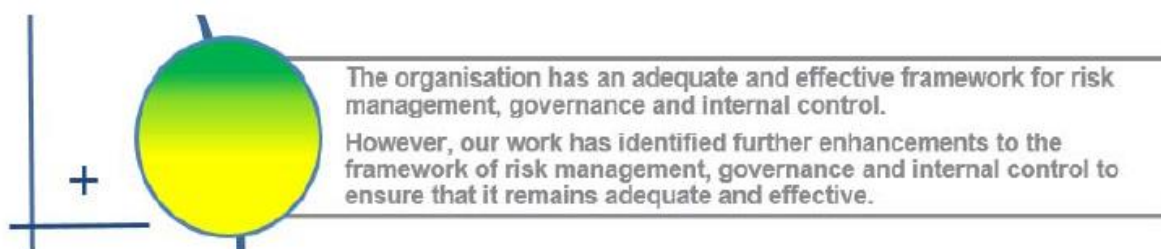
The force has a robust action planning system that tracks the implementation of external recommendations including internal audit and HMICFRS. This online tool is accessible to all managers across the force and is administered by the Governance Team.

ETAP regularly review progress made against external recommendations and this forms part of the quarterly Chief Constable's Governance report tabled at each meeting.

The role of internal audit is provided to the force via a contracted arrangement with a provider for 2018/19 this is RSM (UK Group LLP). The Head of Internal Audit ensures that there is a strategy and plan developed on the basis of risk with appropriate levels of involvement from the force and the SCO. For 2018/19 the majority of audit opinions have been reasonable or substantial. A financial management audit undertaken in August 2018 was given partial assurance, however the force has addressed and in most cases completed the agreed actions during the course of the year. Furthermore, an advisory only audit was undertaken in respect of the governance arrangements for the implementation of a new records management system for the force. This raised concern around the formal governance structure for the Niche implementation project. In response Staffordshire Police has revised the structure and appointed a Niche Project Manager who as part of their role ensures the technical delivery of the project is completed to the required standard, on time and in budget. There is also a monthly Niche Implementation Working Group with clear terms of reference and an escalation route into the Deputy Chief Constable.

The Annual Internal Audit Report (April 2019) concludes that overall for the 12 months ended 31 March 2019, the head of internal audit opinion for the Chief Constable for Staffordshire is as follows:

#### Head of internal audit opinion 2018/19



ETAP undertakes the statutory functions of an Audit Committee and operates in accordance with the Financial Management Code of Practice for the Police Service and CIPFA's Practical Guidelines for Local Authorities. A Sub-Group of ETAP (Finance Panel) provides a particular focus on financial issues. The panel has a different chairperson than for ETAP, providing for a dual focus at different meetings.

ETAP continues to advise the SC and the CC according to good governance principles, including the monitoring of the Strategic Risk Framework, recommending for approval the AGS and the Statement of Accounts as well as putting decisions made by the SC and the force under the spotlight.



Staffordshire Police's external auditors for 2018/19, (Ernst and Young LLP), provide regular reports at ETAP. At these meetings panel members are given the opportunity to consider audit findings, challenge and ask for further clarification, and also make recommendations.

The external auditor management letter for year ended 31 March 2018 references that detailed findings were reported were reported 25 July 2018. The audit recommendations from this report have been monitored via the forces action planning system and have been addressed and completed. Ernst and Young have during 2018/2019 been present at all ETAP meetings.

Independent assessments are made via HMICFRS, Internal and external auditors, ETAP and Safer Neighbourhood Panels. Any recommendations resulting from external reporting are recorded onto The force's action planning system and are monitored via internal scrutiny mechanisms and assurance provided to ETAP and other independent reviewers where appropriate.

Peer inspections and the sharing and review of best practice within and across other forces is also undertaken where appropriate. During this period the force has undertaken peer review work with the College of Policing and has also set up an Evidence Based Policing and Innovation Board, overseen at Chief Officer level. The board ensures that organisational learning opportunities are harvested within the organisation and provides strong academic and partnership links to provide a more robust evidence base around decision making.

The force's has its own audit capability through the Corporate Planning element of the DCC Directorate. The annual programme is formulated on a risk based assessment of where additional force scrutiny would provide best value. Methodologies are also shared with key business areas to support the development of local self-audit. This programme and the resulting evaluations are overseen at the Deputy Chief Constable and feed into other governance arrangements as appropriate.

## **OVERALL LEVEL OF ASSURANCE**

The Chief Constable can provide a substantial level of assurance that appropriate stewardship is being applied to the use of resources by Staffordshire Police in order to serve the public interest and to adhere to legislation and policy, and ethical values and respect of the law.

This opinion is given based upon the proactive work that has been undertaken by the force during 2018/19. Alongside this there has been positive timely action to address any weaknesses that have been brought to the forces attention by Internal Audit, External Audit, HMICFRS, ETAP and other scrutiny bodies.

## ACTIONS

### Update against 2017/18 actions

#### **Issue 1: (Brought forward from 2016/17)**

With the implementation of a new Force website there is an opportunity to assess what the force publishes to make information accessible to the public.

**Action:** The force will further review the scope of the documents it makes available to the public and ensure that where appropriate information is made as accessible as possible.

**Carry forward to 2018/19 with different focus:** Progress has been in this area, however the force intends to retain this action in light of the adoption of the single on line home platform across the service during 2019/20. It is anticipated that this will enhance further what and how information is shared with the public allowing a more comprehensive update relating to a holistic service approach.

#### **Issue 2: (Brought forward from 2016/17)**

Work will be undertaken by the Chief Finance Officer to ensure systems and processes are in place so the organisation can evidence compliance with the financial management frameworks.

**Action:** To enhance the delivery of business as usual a restructure of the Finance Team and the introduction of business partnering will be undertaken.

**Completed:** During the course of 2018/19 a number of key appointments have been made to enhance business partnering and commercial services capability. Processes and governance arrangements have also been reviewed to ensure that internal and external audit findings for this area of business have been addressed.

#### **Issue 3:**

The force will look to enhance and develop the current engagement strategy to build on current methods and broaden reach across communities.

**Action:** To embed the engagement strategy, ensure it links to the policing plan, and partnerships and has appropriate reporting lines into the force's governance structure for challenge and scrutiny.

**Completed:** Each of the forces five priorities has a specific strategy to make clear to the public and the officers and staff across the force, how desired outcomes will be achieved. Community engagement is a key deliverable of the Public Confidence strategy with a specific plan and set of principles which are linked to a performance framework to monitor delivery and success.

**Issue 4:**

With the introduction of FMS there is an opportunity to ensure a robust annual business planning cycle.

**Action:** To embed the enhanced business planning cycle and FMS process to ensure links to resource utilisation and financial planning, to clearly demonstrate the effective use of the force's resources and value for money to the communities of Staffordshire.

**Carry forward to 2018/19 with different focus:** The force has most recently produced its second FMS which demonstrates an enhanced understanding around future planning and demand. There is a service wide acknowledgement that this process can be enhanced further and work will continue internally and with HMICFRS, NPCC and the College of Policing colleagues to evolve FMS further to better inform corporate planning.

**Issue 5:**

With projected increased demand in many areas of business ensuring the most effective partnerships and collaborations will be vital.

**Action:** To develop the current partnership framework incorporating an enhanced partnership register to identify the resource input from the force balanced against the benefits realised.

**Carry forward to 2018/19:** To ensure the force is maximising the benefits from partnership arrangements a partnership register has been developed. Following the restructure of a number of corporate functions within the DCC Directorate, a review of this activity and ownership thereafter has been passed to a newly formed Corporate Planning and Business Change Team. The force would wish to carry this action forward as additional work has now begun which is anticipated to influence the outcome of this action further.

## **Actions arising from 2018/19 review**

**Issue 1: (Brought forward from 2016/17 with change of focus to single on line home)**

With the implementation of a new Force website there is an opportunity to assess what the force publishes to make information accessible to the public.

**Action 1:** The force will further review the scope of the documents it makes available to the public and ensure that where appropriate information is made as accessible as possible. Additional work will take place as the single on line home platform is adopted.

**Issue 2: (Brought forward from 2017/18 – with change of focus to understanding and planning for future demand)**

With the introduction of FMS there is an opportunity to ensure a robust annual business planning cycle.

**Action 2:** To further develop the force's capacity to understand and plan for future demand, linking in with work being undertaken by HMICFRS, NPCC and the College of Policing.

**Issue 3: (Brought forward from 2017/18)**

With projected increased demand in many areas of business ensuring the most effective partnerships and collaborations will be vital.

**Action 3:** To continue to develop the current partnership framework incorporating an enhanced partnership register to identify the resource input from the force balanced against the benefits realised.

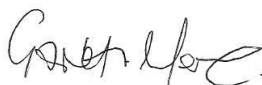
**Issue 4: (New for 2018/19)** As part of the forces RIO management process, it has been recognised that more value can be drawn from the opportunity aspect by linking this in to provide a formalised framework to assist in capturing and capitalising on organisational learning.

**Action 4:** To develop the way organisational learning is captured and effectiveness monitored utilising the opportunity element of the RIO process.

## CONCLUSION

The detail given within this statement represents a clear approach to ensuring that appropriate governance arrangements are in place for Staffordshire Police. The Force has undertaken and continues to progress a challenging programme of transformational change, the delivery of which requires robust governance. The force's decision making and scrutiny arrangements ensure the robust monitoring and review of external recommendations, ongoing continuous improvement and transformational change. The force continues to value the independent views of others, and where a need to improve is identified the force will act quickly to address these.

*Signed:*



Gareth Morgan  
Chief Constable



Nick Baker  
Deputy Chief Constable



John Bloomer  
Chief Constable's  
Chief Finance Officer