



Annual Governance Statement

2018/2019

Protective Marking	OFFICIAL
Version	Version 3.3
Purpose	To provide assurance regarding the governance arrangements for Warwickshire Police.
Author	Analysis and Service Improvement
Date	March 2019
Reference	ASI/2019/07

OFFICIAL: This document must be handled and stored according to the Government Security Classifications guidance.

Introduction

Welcome to the Annual Governance Statement (AGS) for 2018 / 2019. The AGS provides an overview of the governance structures and processes that were in place during the year and outline the findings of the annual review.

The Chief Constable is accountable to the Office of the Police and Crime Commissioner (OPCC) for the delivery of efficient and effective policing and the management of resources and expenditure by the police. The force relies on its staff to deliver our services to the public and relies on governance arrangements to make sure that this is done properly. The force has a responsibility for ensuring that governance arrangements remain fit for purpose. That:

- Decisions are ethical, open, honest, and evidence based
- Public money is safeguarded, properly accounted for and used economically, efficiently and effectively
- Risk is effectively managed
- Transparency comes as a matter of course
- Processes are continually improved.

In April 2016 CIPFA published an updated version of their “Delivering Good Governance in Local Government: Framework” which was followed by specific guidance notes for Policing Bodies. The 2016 Framework sets out seven principles of good governance which are taken from the International Framework: Good Governance in the Public Sector (CIPFA/IFAC, 2014) ('the International Framework') and interprets them for local government.

The seven principles are:

A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

B – Ensuring openness and comprehensive stakeholder engagement

C – Defining outcomes in terms of sustainable economic, social and environmental benefits

D – Determining the interventions necessary to optimise the achievement of the intended outcomes

E – Developing the entity's capacity, including the capability of its leadership and the individuals within it

F – Managing risks and performance through robust internal control and strong public financial management

G – Implementing good practices in transparency, reporting and audit to deliver effective accountability.

The principles and guidance have again informed the review of governance arrangements for 2018/19. More specifically, the structure of this AGS has been prepared with reference to themes from key elements of the structures and processes referred to in the CIPFA guidance.

Principle A

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

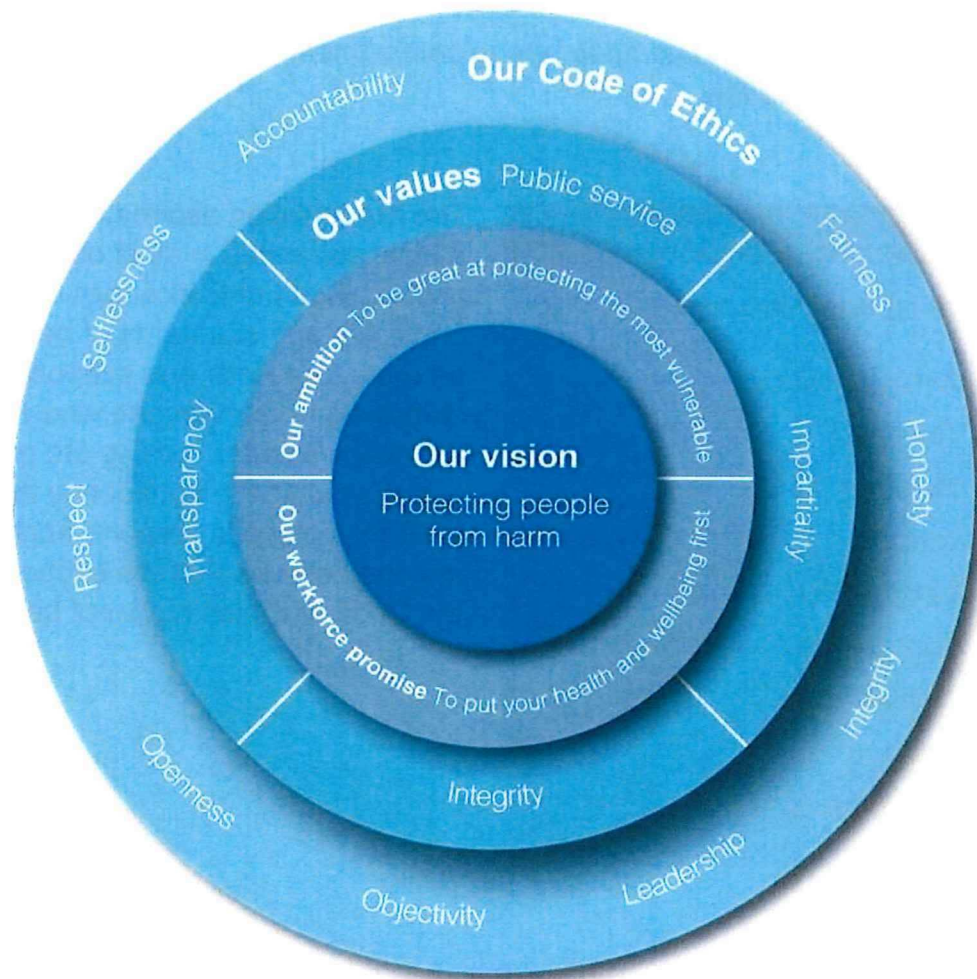
<i>Code of Ethics</i>
<p>The policing principles are:</p> <ul style="list-style-type: none"> • Accountability • Fairness • Honesty • Integrity • Leadership • Objectivity • Openness • Respect • Selflessness

The organisation aspires to the highest ethical standards in all of our activities. The policing Code of Ethics sets out the principles and standards of behaviour that promote, reinforce and support the highest standards from everyone who works within the police service. Giving the profession and the public the confidence that there is a system in place to respond appropriately if anyone believes that the expectations of the Code of Ethics have not been met.

Warwickshire has agreed a new strategic direction for 2019. Whilst our Vision remains, '*Protecting people from harm*', the Priorities and Values have been revisited and updated to provide clear and concise policing priorities to support our culture throughout the force. They are:

- **Public service**
- **Impartiality**
- **Integrity**
- **Transparency**

Our vision and values



Consideration is given to the standards of professional behaviour and the nine policing principles whilst carrying out our activities. This helps us ensure that everything we do is supported by our Vision and Values.

As with any organisation there are times where individual conduct can fall short of the standards of behaviour expected of them. There is however confidence in the management structures and behaviours in place for this area.

Ethics Committee

Everyday officers and staff across the force face situations in which they are required to make choices and 'do the right thing'.

To highlight complex issues we have to confront, we have established an Internal Ethics Committee to provide a sounding board for issues to be heard and discussed.

Officers and staff are able to contribute ethical dilemmas affecting their work and working environment for discussion at the meeting, including financial matters, so that the committee can discuss them before providing a view back on the matter.

The Professional Standards Department

The main function of the department is to protect the public from harm by protecting the integrity of the police force and those of us who work within them. This has three main forms:

- Anti-Corruption Unit
- Misconduct and Complaints Team
- Vetting Unit

Developments over the last few years have very clearly set out what is expected of us all as members of the police service which have resulted in the creation of the Code of Ethics and the Standards of Professional Behaviour.

The following are objectives set by the head of the Professional Standards department:

- To uphold professional standards and the Code Of Ethics to allow effective service delivery by both forces in line with our Vision and Values
- To safeguard organisational integrity
- Interact with members of the public, partners and staff in a fair, ethical and transparent manner
- To investigate allegations in a manner which relentlessly pursues wrongdoers, educates the unwise, and protects the innocent.

Policies

Conduct is governed by specific policies that cover the activities of the force. These policies also consider the conduct of officers and staff and the standards expected by the public, for example we have policies and standards relating to gifts, hospitality and sponsorship issues, which supports an electronic registration of any gift given to a member of the organisation helping to ensure proper governance and transparency.

Business Interests

It is essential that the public has confidence in the integrity and impartiality of the police service. The force does not constrain police officers or staff from holding a business interest or additional occupation, it promotes consistent decision making in the authorising of those business interests and additional occupations which do not conflict with the work of the police and which will not adversely affect the reputation of the individual, Warwickshire Police, or the wider police service.

National Fraud Initiative

The force participates in the National Fraud Initiative which attempts to identify fraud by sharing and comparing employee data across the public sector. We also subscribe to the police service's Statement of Common Purpose and Values which includes the requirement to act fairly with integrity, common sense and sound judgement. We also have a Raising Concerns (whistle-blowing) policy, where if the highest standards of ethical and professional behaviour have not been met, staff are encouraged to report these through the Anonymous Integrity Reporting Line.

Principle B

Ensuring openness and comprehensive stakeholder engagement

OPCC – Police and Crime Plan

The Office of the Police and Crime Commissioner sets the overall strategic direction for the Chief Constable and the force through the objectives contained in the Police and Crime Plan, setting the force budget and determining the precept, commissioning services, and holding the Chief Constable to account on behalf of the public.

In Warwickshire, the PCC's key aims are working towards a reformed, more secure and more reassured Warwickshire. They also aim to ensure the force has the necessary resources, procedures and expertise to do its vital work as effectively and efficiently as possible. The Police and Crime Plan covers the period 2016-2021.

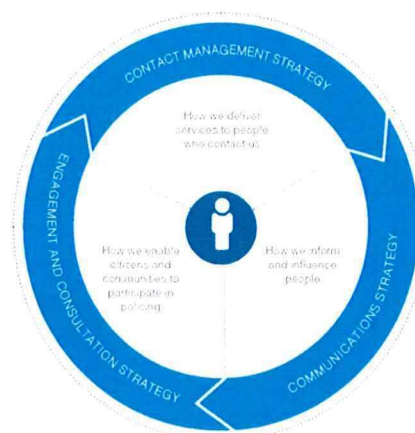


Community engagement

Warwickshire actively involves communities across its county. The approach involves public meetings including community forums, as well as telephone surveys. There is also active involvement with the full range of media such as press, TV, social media and the force website to ensure the communication of a wide range of topics.

There is a formal Communications and OCC contract strategy with an overarching Consultation and Engagement strategy. This is a virtual circle with each strategy supporting the other.

Communications Strategy 2017 - 2021



Safer Neighbourhood Teams

The Safer Neighbourhood approach is central to policing in Warwickshire, and there are 33 Safer Neighbourhood Teams (SNTs) throughout the force area. Police Officers, Police Community Support Officers, Special Constables and other volunteers work with partners to keep communities safe and improve the quality of life for local people while tackling force and local priorities. Each SNT holds meetings at which problems and issues identified by the local community are discussed. Each SNT has a website where updates on action to tackle local priorities are posted together with details of local events, surgeries and other useful information. Members of the local community can access local crime information and provide feedback to teams or contact them directly. The SNTs and Special Constabulary have their own Twitter feeds, for example @warksspecials.

User Satisfaction Surveys

Warwickshire Police undertakes a survey with victims of certain incidents and crimes, about the service they have received from the police. Telephone interviews are completed 6 to 12 weeks after the initial report has been made.

The force surveys specific victim groups, namely:

- domestic burglary victims
- violent crime victims
- vehicle crime victims
- racist incidents/hate crimes.

The survey leads the victim through the different stages of service that they would have experienced as a victim of crime, which are:

- ease of contact - when the initial contact was made
- actions taken - action taken by the police
- kept informed - being kept informed of progress of the case
- treatment - treatment by all staff
- whole experience - the overall service provided

In each of these stages of service, there is a mandatory core question. These questions seek to measure the satisfaction level of individuals in a consistent way, allowing comparisons to be drawn between forces.

Principle C

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

Environmental Strategy and Sustainability

Warwickshire Police have a long standing commitment to protecting the environmental agenda and recognise that their activities both operational and non-operational have an impact on the natural environment for the communities of Warwickshire.

We have a responsibility to reduce the organisations' detrimental impact on the local environment by promoting environmental best practice and to exceed aspirations. We will comply with all environmental legislation and regulations, and wherever practicable exceed the requirements of codes of practice and best practice provision and will minimise adverse environmental and social impacts associated with the goods, works and services it purchases. It will aim to specify the goods, works and services that have the lowest adverse social and environmental impacts provided they can meet the required standard(s) without entailing excessive additional costs that represent best value.

The Police and Crime Commissioner for Warwickshire Police has a duty to ensure value for money through purchase and contracts and every effort will be taken to seek value for money whilst improving or minimising the impact on the environment. However, it is recognised that in some areas of compliance with legislation and/or reaching higher standards in terms of improving the environmental impact this might increase costs or require prior investment.

Collaboration and Partnerships

The Chief Constable and the PCC are committed to working collaboratively with others where it:

- Supports the delivery of the Police and Crime Plan
- Builds resilience, capability and capacity to provide the best possible overall service to our communities
- Enables longer-term operational effectiveness and economy through greater interoperability, integration and/or joint working of policing and public services
- Achieves value for money through economies of scale, increased efficiency, greater effectiveness or improved potential for sustainably delivery

In developing its significant partnerships, the organisation has ensured that it has in place a framework that enables it to maximise the benefits from collaboration and partnership working and that its risks are mitigated to an acceptable level. Statutory partnerships are subject to either contractual agreements or are governed by legislation.

We work with many different partners and agencies to deliver the best possible service to our communities. We operate within a complex partnership landscape, this includes partners such as the Ambulance Service, Fire & Rescue Services, Councils, Community Safety Partnerships, NHS Trusts, clinical commissioning groups, criminal justice partners, watch schemes, educational professionals and the voluntary sector.

In an era of reduced overall funding for public services, it has never been more important for us to work together effectively with our partners to provide the greatest value and highest standard of service to our shared communities. We have already led the way in working innovatively with other providers of public services.

Warwickshire Police is collaborating with policing partners in the West Midlands region, (Staffordshire, West Mercia and West Midlands Police) in order to combat the national threats identified in the Strategic Policing Requirement.

Regional Organised Crime Unit (ROCU)

Warwickshire Police collaborates with the other forces in the West Midlands region to tackle threats related to serious and organised crime. The West Midlands ROCU forms a critical part of the national and local response to disrupting organised crime groups.

National Police Air Service (NPAS)

Regionally, users of NPAS work closely together to provide scrutiny and ensure that the service provides value for money.

Place Partnership Ltd

Formed in 2015, Place Partnership Ltd brings together the property expertise of six public sector authorities (Worcester City Council, Hereford and Worcester Fire Authority, Worcestershire County Council, Redditch Borough council, West Mercia Police and Warwickshire Police) into one transformative company that acts as a joint property vehicle to achieve change. It was developed from the Government's One Public Estate programme and has asset management and regional development at its heart. Through collaborative working and through management of a common estate shared land and property assets are used to transform the regional economy.

Principle D

Determining the interventions necessary to optimise the achievement of the intended outcomes

Medium Term Financial Plan (MTFP)

The Chief Finance Officer, in conjunction with the Treasurer produces and maintains the MTFP, which supports and is integrated with Force business plans. The MTFP is refreshed regularly at key times in the planning cycle. The budget for the current year and the MTFP are reported on in a monthly report for discussion at the Executive Board meeting. HMICFRS commented in the 2017 PEEL Efficiency report regarding how the force was planning for the future. The overall grading for the force was 'good'. It concluded that the force plans are sufficient to achieve its vision for the future.

Between 2011/12 and 2017/18 Warwickshire Police achieved £44m of cashable savings of which £23m can be attributed to entering a strategic alliance with West Mercia Police. During 2018/19 it is planned to deliver over a further £3m of savings, with further savings in the period 2019/20 to 2021/22. It is envisaged that these savings will come predominantly from support services, details which will be quantified in the PCC's 2019/20 Budget and Medium Term Financial Plan (MTFP). The MTFP is based on sound assumptions and estimates of costs and funding.

However, the strategic alliance, in its current form, is due to cease on the 8 October 2019. The PCC and the Chief Constable are considering the options available to Warwickshire Police for delivering those services which are currently shared under the alliance, after the deadline date. Future collaboration with West Mercia Police is not ruled out. The future operating model, which will be incorporated into future budgets and the MTFP, will be designed within the funding constraints set out in the MTFP, therefore it will include further savings required to bring day to day expenditure in line with funding.

Continuous Improvement

Warwickshire is committed to continuous improvement. We recognise that we must continue to transform in order to ensure that we are able to provide the best possible service to the public at the best possible value. The force has undertaken a significant amount of work to develop effective understanding of our demand, and to use this understanding to identify opportunities to bring forward changes to our ways of working that improve productivity and efficiency based on an understanding of the cost of output.

Organisational transformation

During the 2018/19 the Change Programme manages the totality of change across the alliance in a coordinated and integrated manner assessing value for money, projects, sequencing of projects and bids for change via a Transformation Board.

HMICFRS commented that the forces' change management programme, 'Looking to 2020', is well resourced and includes people with experience of project management and those with operational experience.

HMICFRS

Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) independently assesses police forces and policing activity in the public interest, ranging from neighbourhood teams through to serious crime and the fight against terrorism. In preparing their reports, they ask the questions which the public would ask and publish the answers in an accessible form.

HMICFRS provide the information to allow the public to compare the performance of their force against others and their evidence is used to drive improvements in the service to the public.

The fourth PEEL (police effectiveness, efficiency and legitimacy) assessment was a broad inspection concluding in September 2017. Covering much of operational policing, the inspection assessed the principle components of effectiveness and had several core questions:

1. How effective is the force at preventing crime, tackling anti-social behaviour and keeping people safe?
2. How effective is the force at investigating crime and reducing re-offending?
3. How effective is the force at protecting those who are vulnerable from harm and supporting victims?
4. How effective is the force at tackling serious and organised crime?
5. How effective are the force's specialist capabilities?

The force was assessed as 'Requires Improvement' for Effectiveness and Legitimacy.

Warwickshire Police was judged to be 'good' in the efficiency category with which it keeps people safe and reduces crime. The force is judged to be 'good' in its understanding of demand; its use of resources to manage demand; and its planning for future demand.

The force considers carefully HMICFRS recommendations and acts upon them through a series of coordinated actions plans 'owned' by the appropriate Chief Officer. These are managed and measured through the monthly Strategic Service Improvement Board.

Early in 2019, HMICFRS will inspect Warwickshire Police, a report and an assessment will be available to view on the HMICFRS website later in 2019.

Principle E

Developing the force's capacity, including the capability of its leadership and the individuals within it

Warwickshire Police recognises that our people deliver our service and to be effective in meeting the needs of our communities we must ensure we have enough people with the right skills to meet changing demands. The force must have officers and staff who possess the values, attitudes and awareness that drive highly inclusive, ethical behaviour in the workplace, and possess the professional policing skills required for their role. If these officers and staff are motivated by supportive leaders and sustained by policies that safeguard their health and wellbeing, then they will deliver outstanding policing servicing to our communities.

Continuing Professional Development

Leadership Capability Assessment – a pilot was rolled out during the summer of 2018 with senior police staff leads, and is now taking place for Chief Inspectors up to Chief Superintendent and this is due to complete by 31 March 2019 in order to provide an assessment of our leadership capability.

Maximising contribution and potential (MAX)

This is a new approach to maximising contribution and potential by having regular conversations. It is a new one stop shop microsite with access to tools and guidance to help managers. Leaders develop the benefits of this approach, from the top down, with full integration into all processes.

MAX seeks to:

- Support improved health and wellbeing
- Recognise and reward achievements
- Realise aspirations
- Support and develop people, based on individual needs
- Recognise and foster talent, growing potential for the future, and
- Ensure clarity in focus and direction

PDR

All officers and staff in the force have personal development reviews (PDRs). The process has been reviewed and PDRs are now used for internal candidates within the promotion process.

National Police Promotion Framework (NPPF)

The NPPF consists of four steps, ending in a period of Work Based Assessment at Sergeant or Inspector rank. The four steps are a continuous process and candidates will be expected to undertake each step with the intention of moving to the next step at the earliest opportunity. The four steps of the process are:

- **Step one – competence in current rank**
- **Step two – legal examination**
- **Step three – force selection process**
- **Step four – work-based assessment**

For new Sergeant Development we are progressing and piloting a learning passport. Newly promoted officers will be required to collect passport 'stamps' for modules on the programme, they cannot progress to the NPPF until they have a completed passport. Once this approach has been tested and modified it is hoped that it will be rolled out across all newly promoted ranks.

Talent Mapping

The roll out of the Talent Mapping scheme, commenced in 2017, and the process is due to be completed by 31 March 2019. This is now being used in local succession planning and promotion processes.

Staff directions and updates (Force Orders)

Force Orders are published weekly on the alliance intranet and an archive of previous Force Orders is maintained. Articles are included to give guidance and direction to staff about topics considered organisationally important. These include:

- Messages from the Chief Constable or Chief Officer Team
- Chief Constable's commendations, honours and awards
- Transformation Board updates
- Operational articles – changes in law and or practice
- PCC updates
- Staff moves
- Job opportunities
- Courses and training

Health and Wellbeing

We have a Health and Wellbeing Strategy which supports the force People Strategy, the aim of which is to achieve the forces' vision through our people, by creating a positive working environment and promoting a culture of trust where our people work together, and feel motivated and confident to challenge and strive to be innovative. Through the strategy and the supporting action plan, we will provide a framework for the force to drive an agenda which will enhance the health and wellbeing of our people and create an environment and culture which balances the needs of our people with those of the organisation. This will be achieved through wellbeing initiatives, employee support mechanisms and joint working with our people and their representatives to identify and address areas for improvement. By regularly engaging with our workforce, including ensuring the workforce is represented at the Health and

Wellbeing Board, and by conducting an annual staff survey we will ensure the alliance identifies and minimises those issues which may impact on our people's health and wellbeing.

Warwickshire has a Wellbeing Board that is chaired by the Chief Constable, which promotes and supports physical health, positive relationships, mental and emotional health and a positive working environment. 2019 has been designated the 'Year of Wellbeing' and both forces will be supporting this.

Principle F

Managing risks and performance through robust internal control and strong public financial management

Strategic Decision Making

All strategic decision making is carried out in accordance with the Corporate Governance Framework. The main decision making meeting for the force is the Executive Board, which meets monthly and is chaired by the Chief Constable. The Board receives regular reports on operational performance and the financial position and receives the business cases for all projects initiating significant change. These arrangements ensure that key decisions are taken at the appropriate level and are referred to the PCC when required.

The PCC holds a weekly holding to account meeting with the Chief Constable. Notes of one such meeting each month are published on the PCC's website.

Performance measures and monitoring

Daily performance can be accessed from the intranet from the 'Performance Dashboard.' The Dashboard provides comprehensive crime, incident and satisfaction data on a self-service basis. Reports are provided internally both weekly and monthly to inform decision makers and monitor performance trends. Warwickshire's performance is reviewed as part of the quarterly Performance Management Group. The meeting agenda, relates to the key performance measure set out in the Police and Crime Plan, identifies major themes that contribute to providing a quality of service to victims of crime and looks at the wider 'health' of the organisation. Where appropriate Chief Officer Management Team meetings (COM) will focus on performance in key areas, for example 999 and 101 calls, to ensure grip and appropriate action is taken.

Risk Management Process

Mechanisms for the management of risk are embedded in the operational and organisational activities of the force. The primary objective of the risk management process is to manage risk in a way that reduces the likelihood of occurrence and

minimising their impact should they take place. The Strategic Risk Map is developed through the analysis of risks held on the forces', Directorate level, operational and functional risk maps. The Strategic Risk Map is presented for scrutiny at the Joint Audit Committee.

Financial Management

The Chief Finance Officer (CFO) has a responsibility set out in the Financial Management Code of Practice to ensure the finance function is resourced and fit for purpose and meets legislative requirements. Within the CIPFA document, the role of the CFO, sets out the core responsibilities of the CFO, as well as the personal skills and professional standards that are crucial to success in the role.

To ensure that financial control has been maintained and operated in respect of the resources under the control of the Chief Constable and the PCC. The system of internal financial control provides assurance that assets are safeguarded, that transactions are authorised and properly recorded, and that material errors or irregularities are either prevented or should be detected within a timely period.

To conduct their business effectively, the PCC and Chief Constable need to ensure that they have sound financial management policies in place and that they are strictly adhered to. Part of this process is to adopt and implement Financial Regulations. The Regulations (updated October 2018), have been drawn up in such a way as to ensure that the financial matters of the Police and Crime Commissioner and the Chief Constable are conducted properly and in compliance with all necessary requirements. The regulations are supported by the Scheme of Delegation and policies.

Principle G

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

Internal Audit

The Warwickshire Police and Crime Panel form part of the governance arrangements for the force. Their role is to maintain a regular check and balance on the performance of the directly elected Police and Crime Commissioner.

Warwickshire Police and West Mercia Police currently have a single Assurance Team. The programme of work is agreed annually with the Deputy Chief Constable of West Mercia (DCC) and ratified by the Joint Audit Committee (JAC).

All audit recommendations are reported through the JAC. The JAC is made up of six independent members who have extensive audit backgrounds. They meet with representatives from the force, the lead auditors and relative partners on a regular basis to consider all outstanding internal and external audit reports.

The statutory Internal Audit function is carried out by the Warwickshire Audit Team across the alliance working to an Annual Audit Plan agreed by JAC in consultation with the PCC and Chief Constable. Internal Audit regularly review compliance with key financial policies and are directed to other business areas as required or where risk is greatest, their findings are reported to the JAC.

External Auditors

Grant Thornton are the external auditors of the force and conduct audits of the financial accounts to ensure they are prepared in accordance with legislation, accounting standards and good practice. As well as issuing a statutory opinion on the accounts they also issue a statutory opinion on the Chief Constables' arrangements for securing value for money, measured as economy, efficiency and effectiveness.

As previously noted, further scrutiny is provided by Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service (HMICFRS) who independently assesses operational policing processes and report the performance of each force at national level.

Force Management Statement (FMS)

A FMS is a self-assessment document that each Chief Constable prepares at the request of HMICFRS each year. The FMS is used to inform the business planning cycle of the organisation. The operational and organisational risks, highlighted within the Force Management Statement, are considered and prioritised to ensure that we meet the aims and objectives of PCC's Police and Crime plan.

Freedom of Information Act (FOIA) arrangements

The Freedom of Information Act (FOIA) 2000 is an Act of the Parliament of the United Kingdom that creates a public "right of access" to information held by public authorities. It is the implementation of Freedom of Information legislation in the United Kingdom on a national level. FOI requests are managed for the alliance by the Information Compliance Unit who collate requests for both forces and manage responses back to those who submit requests.

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 senior officers and staff who have responsibility for the development and maintenance of the governance environment, the annual report from the Chief Internal Auditor, and by comments made by the external auditors and other review agencies and inspectorates. A significant input is also taken from priorities identified in the annual planning cycle, the Strategic Assessment and the resultant Control Strategy.

Conclusions of Review

Following completion of the review of effectiveness the Chief Constable and the Chief Financial Officer to the Chief Constable are satisfied that our arrangements for governance, risk management and control are generally adequate and effective.

In particular they are satisfied that:

- the system of internal control in operation during the last year has been effective; and
- the Constabulary's financial management arrangements conform to the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2016).
- Issues identified during the course of the review and recommendations made by internal and external auditors, HMICFRS and other inspection bodies are monitored to ensure remedial actions and implementation and subsequent operation of recommendations.



Signed:

Martin Jelley,

Chief Constable of Warwickshire Police