

# Annual Governance Statement

## 2018/2019

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## Introduction

Welcome to the Annual Governance Statement (AGS) for 2018/19. 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 document has also been updated to ensure that it reflects the passage of time and more recent events to ensure that it is up to date at the point of sign off of the accounts.

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*

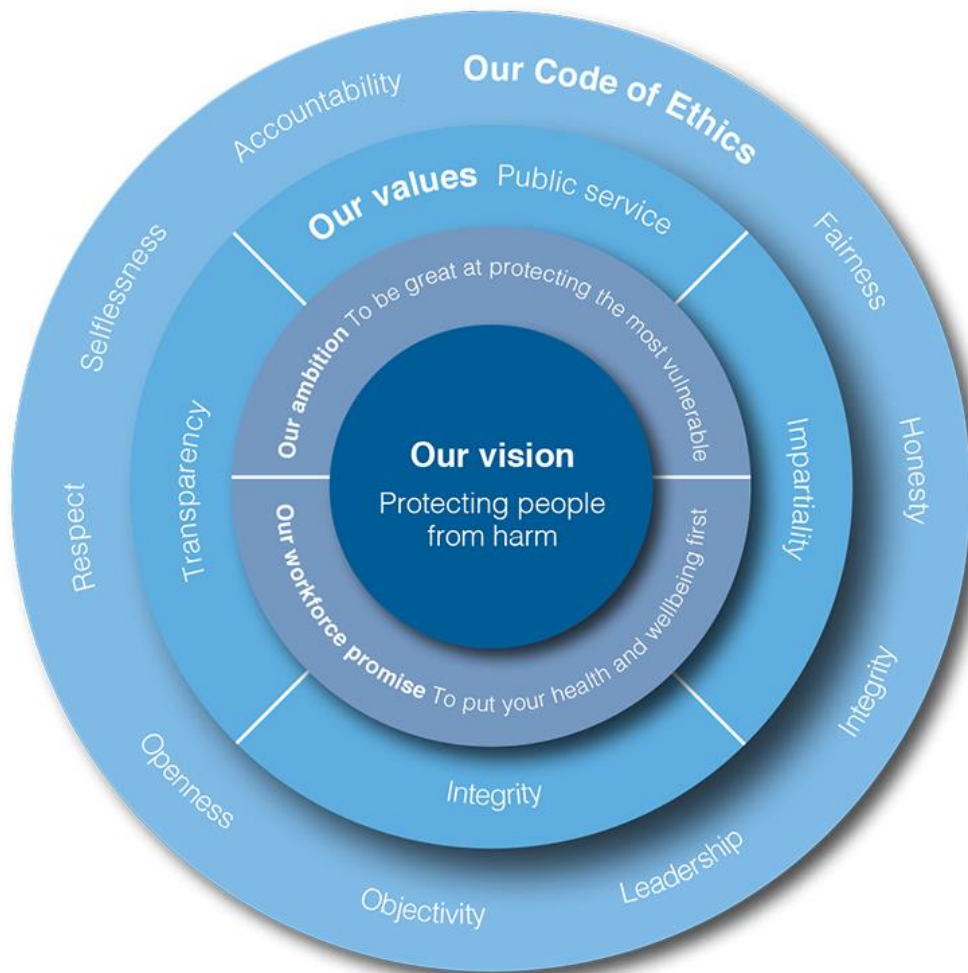
<i>Code of Ethics</i>
<p>The policing principles are:</p> <ul style="list-style-type: none"> <li>• Accountability</li> <li>• Fairness</li> <li>• Honesty</li> <li>• Integrity</li> <li>• Leadership</li> <li>• Objectivity</li> <li>• Openness</li> <li>• Respect</li> <li>• Selflessness</li> </ul>

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 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 and has been refreshed more recently to reflect the extended term of the current PCC, as a result of the postponement of the May 2020 elections, and also issues arising more widely from the coronavirus pandemic.



### 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 many 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 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 and 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.

Grant Thornton, our external auditors, perform work to determine that the PCC and Chief Constable have proper arrangements for securing economy, efficiency and effectiveness in its use of resources. With regard to 2018/19 Grant Thornton have given a qualified 'except for' conclusion in respect of both the PCC's and the Chief Constable's arrangements for securing vfm. The reason for this is related to matters regarding the dissolution of the strategic alliance with West Mercia Police.

The following explains further our commitment to collaborating where it is efficient and effective to do so.

### 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. The strength of these partnerships has been tested and found to be invaluable in responding to the COVID-19 pandemic.

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, however our strategic partnerships are kept under review and we constantly seek the most cost effective partnerships to deliver services which is relevant in the constantly changing environment in which the Force operates.

During 2018/19 Warwickshire Police and West Mercia Police provided the majority of services through a strategic collaboration. Whilst West Mercia Police served notice on Warwickshire Police of their intention to terminate this arrangement with twelve months' notice, from the 8 October 2018, this will mean that Warwickshire Police are more in line with other forces in terms of the extent of their collaboration portfolio and still lead on the Justice Centre collaboration, a long standing, ground breaking arrangement that brings justice agencies together in one location.

### **Regional Organised Crime Unit (ROCU)**

Warwickshire Police has long standing collaborations with the other forces in the West Midlands region, (Staffordshire, West Mercia and West Midlands), 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 and national threats identified in the Strategic Policing requirement.

### **National Police Air Service (NPAS)**

Air Support is delivered is a national. Regionally, users of NPAS work closely together to provide scrutiny and ensure that the national 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. Worcester City Council and Redditch Borough Council have now both exited from the arrangement, and Worcestershire County Council will also be doing so in March 2021. The remaining partners are considering future options to ensure that these services continue to be delivered in a cost effective manner.

## Principle D

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

### Medium Term Financial Plan (MTFP)

The Director of Finance, in conjunction with the Treasurer produces and maintains the MTFP, which supports and is integrated with Force business plans. The MTFP is refreshed as part of the annual budget setting process and is refreshed regularly as part of the planning cycle. The budget for the current year and the MTFP are reported on in a monthly report (Money Matters) for discussion between Chief Officers and the OPCC and senior managers via the Executive Board meeting.

Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) provides an annual independent thematic inspection and assessment of the force's performance in terms of its effectiveness, efficiency and legitimacy. The most recent assessment found the force to be good in the areas for legitimacy and effectiveness, but requiring improvement in efficiency.

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. Whilst further savings were planned for 2018-19, in October 2018, the West Mercia PCC and Chief Constable served notice on their counterparts. On receiving the termination notice, which was due to take effect from October 2019, the PCC and the Chief Constable fully considered the options available to Warwickshire Police for delivering those services which were shared under the alliance, after the deadline date. Future collaboration with West Mercia Police was not ruled out initially, but following a long and protracted negotiation process, services have been y and large transitioned out of the alliance, and have either been stood up within Warwickshire or will be collaborated on with other providers. In 2020/21 only four areas of service remain collaborated, on hosted or shared basis, with West Mercia, including ICT, forensics, transactional services including payroll and some evidence storage facilities. As part of the settlement agreement, new collaboration agreements were signed to cover these four service areas to the end of March 2021, with flexibility to extend by a further 6 months if necessary, in addition to a settlement on costs which sees a gross payment from West Mercia to Warwickshire of £10.77m to meet their reasonable costs of exiting the Alliance. This agreement was reached after the 2020/21 budget and MTFP had been approved, but the settlement has been reflected within the 2020/21 reserves strategy and the 2019/20 outturn report, both of which have been approved by the PCC.

Warwickshire Police have demonstrated that they are sustainable, a going concern, both operationally and financially, post the alliance and settlement with West Mercia Police has enhanced financial resilience and reduced the need to borrow to finance transition.

## 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. Consequent to West Mercia Police serving notice on Warwickshire Police the Evolve Change Team in Warwickshire have designed and drove the transitional and transformational changes required to exit the Alliance and to stand up services in Warwickshire beyond the end of 2018/19 and have been instrumental in forging new partnerships with other forces to deliver value for money services in the medium term. Their work will continue to ensure the vision of a sustainable budget is achieved through the ongoing development of savings and efficiency plans.

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' in two of the three areas considered.

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.

As part of the annual inspection process, HMICFRS inspected Warwickshire Police in 2018-19 and released their report in September 2019. It is available on the HMICFRS website, but found the force to be good in the areas of legitimacy and effectiveness, but requiring improvement in efficiency. The actions arising from that inspection continue to be monitored and it is hoped that the work and changes that have been undertaken will be recognised in the next inspection as Warwickshire Police emerge from the alliance and enter a new period in our history.

## 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.

As services have transitioned from the alliance arrangements, staff have undergone management of change processes to recruit teams to those standalone services in Warwickshire. This has enabled a number of experienced and knowledgeable staff to be maintained and to ensure continuity and high level service provision. Other staff have been recruited externally and this will continue until all services have transitioned from the former alliance and collaborations with West Mercia.

Warwickshire Police have come out of the alliance to a position of strength with regard to the capacity and capability of its workforce and have in place processes to nurture and develop our talented people and look after their health and wellbeing. We feel that Warwickshire Police truly is a great place to work and an employer of choice in the County and beyond.

### 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 these meetings are published on the PCC's website. The PCC approves and publishes all of his key decisions on the OPCC 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 and Standards Committee.

## **Financial Management**

The Director of Finance 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, October 2019 and again in March 2020), 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.

All audit recommendations are reported through the Joint Audit Committee (JAC). The JAC was made up of six independent members who had extensive audit backgrounds. They met with representatives from the force, the lead auditors and relative partners on a regular basis to consider all outstanding internal and external audit reports. JAC was merged with the Trust Integrity and Ethics Committee during the course of 2018/19 to provide a more complete and effective scrutiny role. However, given the ending to the alliance a Warwickshire only Joint Audit and standards Committee (JASC) was set up in October 2019 to provide this assurance to the Warwickshire Chief Constable and PCC.

The statutory Internal Audit function is carried out by the Warwickshire Audit Team across the alliance working to an Annual Audit Plan agreed by the Audit Committee 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 JASC.

### 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. The framework and the associated documents were reviewed in October 2019, to reflect the services that had transitioned from the alliance and again in March 2020 as part of the annual review process, to ensure that are up to date and reflect best practise.

## **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.

Grant Thornton, our external auditors, issued a qualified 'expect for' opinion, in regard to arrangements for securing vfm and issued in light of matters surrounding the dissolution of the strategic alliance with West Mercia Police. Whilst, we would not want to receive a qualified opinion, albeit an 'expect for' opinion we have reflected on this event and consider that our position and appetite with regard to future collaboration is in line with other Forces and will better serve the provision of efficient and effective policing in Warwickshire.

Signed:

**Martin Jelley,**

**Chief Constable of Warwickshire Police**

## Strategic Risk

This AGS 2019, refers to the Strategic Risk Map which is compiled by the Strategic Organisational Learning and Risk Officer in conjunction with Chief Officers. The Strategic Risk Map is reviewed monthly at the Executive Board meeting. A supporting narrative is provided for each risk and the Risk Map is reviewed by the JAC. The table included was authorised at the last Executive Board meeting held in January 2019.

Risk	Mitigation or resolution
<u>ICT Technical Architecture, and ICT Department Capacity and Capability</u>  The Alliance's ICT resource is the critical enabler of both operational policing, supporting services and both forces' ability to change.	Recruitment of key skills  Redesign of leadership team  Protecting improvement work from large projects
<u>Student Officer Recruitment and training.</u>  The risk that we are unable to recruit sufficient student officers and deliver their training programme to meet the increased establishment requirements for the alliance.	Attraction campaign  Workforce Planning
<u>Health and Wellbeing</u>  The ongoing, consistent monitoring and understanding of factors that affect health and wellbeing and the deployment of a consistent strategy to tackle the causes outlined.	Fairness, Diversity and Inclusion Policy, supported by a Board chaired by the Director of Enabling Services  Activity using inputs from the recommendations identified from the well-being charter audit, blue light framework assessment, recommendations from the Staff Survey, complex case review learning and consulting with the workforce through engagements such as PMG, change forum.
<u>Information Quality</u>  Data compliance which, if not managed, provides inaccurate data which is used to formulate decisions and may breach legislation.	Deletion of Records in compliance with GDPR and MoPI  Training to Info Asset Owners within the alliance  Identifying the root cause themes to poor data quality  Information Learning and Risk Group established

<p><u>OCC 'go-live' delay risk</u></p> <p>The risk of further delay to OCC go-live due to the incompatibility of two external suppliers of a telecom product required to meet the OCC Programme go-live date.</p> <p>Further delays in OCC go-live will extend the reliance on aging legacy command and control systems.</p> <p>Go-Live date now aimed at the first half of 2019.</p>	<p>Re-evaluation of timeline and activity plan</p> <p>Recording of all correspondence between the alliance and Virgin Media and SAAB</p> <p>Root cause work</p>
<p><u>Authorised Firearm Officer (AFO) Numbers</u></p> <p>The implementation and ongoing deployment of a successful strategy to retain the level of AFO's to a point that ensures compliance with the Strategic Policing Requirement.</p>	<p>AFO overtime to cover vacancies</p> <p>Sept AFO courses will run double shift training, 24 students not 12 (21 got through assessments)</p> <p>Ongoing review of our response to recent terrorist attacks and a refresh of Op Plato – (pre-agreed protocols are triggered for a MTFA – Police and other agencies).</p> <p>Recruitment of staff (non-warranted) instructors</p> <p>Transferees from Home Office</p> <p>Retention payment for AFO officers</p> <p>Promotional video</p> <p>Taster days</p> <p>Deliver practical roads policing day and ARV overview for new student officers.</p> <p>Officers interested in joining the RPO are encouraged that the quicker route will be ARV as that is where vacancies are.</p> <p>Internal selection process for Task Force PC vacancies</p> <p>OPU Warwickshire Patrol Base to be centralised – PCC &amp; PPL working on finer finance detail.</p> <p>Ongoing review of the Alliance STRA</p> <p>Review of regional armed policing by regional PCCs</p>

<p><u>Not achieving and maintaining ISO accreditation levels</u></p> <p>Investment and management support required in order to achieve and maintain UKAS accreditation within a number of Forensic Services areas of business and across some other Alliance functions.</p>	<p>Quality Team formed within Forensics to support functions gaining and maintaining UKAS accreditation.</p> <p>Strategic Governance - Digital Forensics Groups:</p> <ul style="list-style-type: none"> <li>• Being joined in purpose and focus with the Cyber / DII Group</li> <li>• Digital Forensics Governance Group</li> <li>• Development of Digital Forensics Meeting. Includes development of Hubs &amp; UKAS ISO17025 Accreditation Action Plan Delivery</li> </ul> <p>Explore fit for purpose options to store, duplicate and archive forensic data for the alliance</p> <p>Alterations to Digital Forensics Database to satisfy UKAS and FSR Codes requirements</p> <p>Introduction of new DF Case Management System – This is to be absorbed into process review and ICT infrastructure review for DF and to which a Temp BA has been appointed as part of considerations</p> <p>UKAS Accreditation of Fingerprint activities by Oct 2018 (assessment Aug 2018)</p>
<p><u>Financial impacts - The Medium Term Financial Plan</u></p> <p>The delivery of the financial savings plan set against an uncertain medium term political and economic climate.</p>	<p>The Medium Term Financial Plan for 2018/2019</p> <p>Update for Chiefs Council</p> <p>Treasury Management Strategy</p> <p>Financial Risk assessment at Treasurer Level.</p>
<p><u>Athena</u></p> <p>The risk that Athena will cause pressures across the organisation which may result in reduced performance, protection or staff wellbeing</p>	<p>ICT Improvement plan</p> <p>Removal of IMU backlog</p> <p>PND</p> <p>Case Walkthrough video</p> <p>Athena Case Roadshows</p>

### **Risk Conclusion and commitment statement**

All of these risks have the potential to impinge on our ability to deliver effective policing. We remain satisfied that focus on these areas, through regular scrutiny of the Risk Register and ownership at Chief Officer level will ensure that the Risks are mitigated.

Signed:

**Martin Jelley,**

**Chief Constable of Warwickshire Police**

DRAFT