

## **Warwickshire Police and Crime Commissioner's**

### **Annual Governance Statement 2018-19**

#### **1. Introduction.**

This 'Annual Governance Statement 2018-19' (AGS) reflects the governance framework established and delivered by the Warwickshire Police and Crime Commissioner (PCC) and his Office (OPCC). It also provides a review of compliance with that framework during the financial year. This AGS has been updated to reflect 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.

#### **2. Scope.**

The PCC is responsible for ensuring his business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively.

In discharging this overall responsibility, the PCC is responsible for putting in place proper arrangements for the governance of his Office's affairs and facilitating the exercise of its functions. This includes ensuring a sound system of internal control is maintained through the year and that arrangements are in place for the management of risk.

A joint corporate governance framework sets out how governance operates for both the PCC and Chief Constable. The framework consists of: -

- **Statement of Corporate Governance.** Outlining the statutory framework and local policy,
- **Code of Corporate Governance.** Setting out how the core principles will be implemented,
- **Scheme of Corporate Governance.** Defining the parameters within which the organisations will conduct their business, scheme of delegations etc,
- **Policy and Procedures.** Separate for each corporation sole, with protocols where they operate jointly.
- **Cooperative Arrangements.** Those arrangements by which the PCC and the Warwickshire Chief Constable support the exercise of each others' functions.

The 'Joint Corporate Governance Framework' can be found on the OPCC website [www.warwickshire-pcc.gov.uk](http://www.warwickshire-pcc.gov.uk). It can also be obtained from the OPCC at 3, Northgate Street, Warwick, Warwickshire, CV34 4SP.

The Chief Constable is responsible for operational policing matters, the direction and control of police officers and police staff, and for putting in place proper arrangements for the governance of the force. The PCC is required to hold the Chief Constable to account for the exercise of those functions and those of the persons under the Chief Constable's direction and control. The PCC must satisfy himself that the force has appropriate mechanisms in place for the maintenance of good governance, and that these operate in practice.

The 'Annual Governance Statement' for Warwickshire Police is published alongside the accounts of the PCC.

This statement explains how the PCC has complied with the code and also meets the requirements of 'Regulation 6 of the Accounts and Audit 2015 (England) Regulations' in relation to the publication of a statement on internal control.

### **3. The Governance Framework.**

The governance framework comprises the systems and processes, together with culture and values by which the PCC directs and control the activities for which he is accountable, including engagement with communities. It enables the PCC to monitor the achievement of his strategic objectives and to consider whether these objectives have led to the delivery of appropriate cost effective services, including achieving value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable and foreseeable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness.

The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of the PCC's policies, aims and objectives in order to evaluate the likelihood of those risks being realised and the impact should they be realised. This process enables them to effectively, efficiently and economically managed.

The Chartered Institute for Public Finance and Accountancy (CIPFA) '*Delivering Good Governance Framework for Public Services 2016*' sets out seven good governance core principles. The governance arrangements that have been put in place for the PCC / OPCC and how they adhere to these principles are set out below: -

**3.1 Principle A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.**

The 'Police Reform and Social Responsibility Act'<sup>1</sup> sets out the functions of the PCC and Crime Commissioner and Chief Constable. The Act requires the PCC to have a Chief Executive and Chief Finance Officer<sup>2</sup> (the Treasurer).

The 'Policing Protocol 2011' requires all parties to abide by the *seven principles of public life*<sup>3</sup>. Additionally, the 'Police Code of Ethics'<sup>4</sup> combines these values with others enshrined in policing, and sets and provides a framework for upholding high standards of conduct and behaviour. The Code also includes two additional principles.

Following his election in May 2016 the PCC signed a code of conduct based on the principles referred to above. This document has been published on the OPCC website along with the declarations of interest of the PCC, together with the protocol for managing conflicts between the leader of Warwickshire County Council and the Warwickshire PCC.

All Warwickshire police officers, police staff and the staff of the OPCC operate within: -

- OPCC and Police Force policies and procedures.
- Corporate Governance Framework.
- Conduct Regulations and Codes of Conduct.

Policies, procedures, regulations and the governance framework are reviewed as appropriate. Policy documents are published on the OPCC website.

The joint independent 'Trust Integrity and Ethics' (TIE) Committee met twice within the current financial year, before their function was merged with the 'Joint Audit Committee'.

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<sup>1</sup> PRSRA11, S5 – 8,

<sup>2</sup> PRSRA11 Sch1 p6

<sup>3</sup> Standards in Public Life 2005. As amended by the 14<sup>th</sup> Report of the Committee on Standards in Public Life: Selflessness; Integrity

From the 1<sup>st</sup> September 2018 this body has now become the 'Joint Audit and Standards (JASC) Committee'. The JASC has met on two further occasions within this financial year. The JASC has agreed work programme seeking to ensure that the two police forces within the alliance embrace the highest levels of integrity and ethical standards of behaviour. This is a public meeting and copies of all papers are published on the OPCC website.

On a monthly basis TIE committee members have dip-sampled complaints made against the police that are subject to investigation by the Professional Standards Department (PSD). The monthly dip-sampling has been continued by the OPCC Development and Police Lead - Standards and Integrity member of staff whilst the training of two new members of the JASC was completed. The findings are reported to the JASC Committee. This process has been reviewed and revised to ensure it is fit for purpose and better aligned to the statutory guidance and with other performance / inspection programmes. The JASC members now undertake dip- sampling on a quarterly basis. The former JASC with West Mercia PCC and Chief Constable was disbanded in October 2019, and a new Warwickshire only Committee was established at this point, which operates on behalf of the PCC and Chief Constable. The Warwickshire only JASC has continued to receive updates on the 2018/19 accounts position up to the point of sign off to provide appropriate scrutiny and challenge and to fulfil their responsibilities. They have worked actively with staff and officers from the force and OPCC and have liaised directly with Grant Thornton on specific issues, including the alliance and the impact and challenges this has provided in bringing the 2018/19 Statement of Accounts issue to a resolution.

Quarterly performance meetings are held between the PSD Head of the Department and the OPCC, to coincide with the publication of the 'Independent Office of Police Conduct' (IOPC) performance reports to provide scrutiny and challenge on PSD performance.

### **3.2 Principle B. Ensuring openness and comprehensive stakeholder engagement.**

The protocol<sup>5</sup> highlights that the PCC is accountable to local people and draws on this mandate to set and shape the strategic objectives for the force area in consultation with the Chief Constable.

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<sup>4</sup> Code of Ethics (College of Policing 2014)

<sup>5</sup> Policing Protocol Order 2011, art14

The PCC's 'Police and Crime Plan 2016-2021' sets out what the strategic direction and priorities are and how they will be delivered. The Warwickshire plan was published in December 2016 following a two phase public and stakeholder consultation. The first phase focused on the policing priorities and the second phase on the draft of the plan. In addition to this public consultation, the PCC has also widely consulted on the Precept for 2018/19 and 2019/20 and reported the outcome of those consultations to the Police and Crime Panel for their information and scrutiny, before setting the precepts each year. The Police and Crime Plan has been reviewed during the PCC's terms to take account of current issues and circumstances following public consultation and engagement.

A 'Consultation and Engagement Strategy' for the term of the PCC's office has been published and is reviewed annually. This sets out how local people will be involved with the PCC and the Chief Constable to ensure that they are part of the decision making, accountability and the future direction of police and crime matters in Warwickshire.

The OPCC Head of Media and Communications drives the use of social media, as well as more traditional methods of engagement, to engage with communities and to promote the public consultations that have taken place.

The PCC's Rural, Business and Cyber-crime Coordinators host a range of public engagement events and meetings that the PCC attends, to listen to the concerns and issues of the local communities. These roles enable the commissioner to develop a better local understanding of the specific issues that face different types of communities throughout Warwickshire. The community concerns and issues are fed back to relevant partners and dealt with accordingly.

The PCC has weekly 'holding to account' meetings with the Chief Constable and his Chief Officer team, some issues are subject to a deep dive review, whilst other regular items for discussion include force performance and finance, as well as current topical issues being monitored and requiring a decision. Minutes from the 'open' session of the meetings are published on the website. The website also contains details of key decisions made by the PCC, together with the agendas, reports and minutes from the JASC.

The PCC undertakes a series of engagements and visits every week, and whilst these have been curtailed more recently because of the coronavirus pandemic, contact with key stakeholders, partners and local communities has still occurred through using technology for virtual meetings, telephone contact, social media and press releases. The PCC's annual report sets out how the PCC has exercised his functions in each financial year and the progress which has been made in meeting the objectives of the 'Police and Crime Plan'. The PCC's 'Annual Report 2017-2018' is published and available on the OPCC website. Given the passage of time, the 2018-19 annual report is now also available on the OPCC website and provides further detail of the work undertaken and outcomes achieved in 2018-19.

### **3.3 Principle C. Defining outcomes in terms of sustainable economic, social and environmental benefits.**

The PCC has issued a Police and Crime Plan that outlines the police and crime objectives (outcomes) and the strategic direction for the policing of the Force area. The Police and Crime Plan has been updated most recently to reflect the Covid-19 pandemic and the impact on the OPCC and policing services in Warwickshire. PCC elections that were due to take place in May 2020 have been postponed to May 2021 as a result of the pandemic and the lockdown. The refreshed Police and Crime Plan and its objectives continue to provide the strategic direction for policing in Warwickshire.

The Police and Crime Commissioner for Warwickshire Police has a duty to ensure value for money through purchasing, contracts and the wider commissioning of services. Every effort is taken to secure 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 to achieve higher standards, or to improve environmental impacts, this might increase costs or require specific one-off 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 value for money (vfm). The reason for this are very specific and relate solely to matters regarding the dissolution of the strategic alliance with West Mercia Police.

Warwickshire are however committed to working collaboratively with new partners in the future as part of its operating model, to ensure that value for money and other economic, social and sustainable benefits can be achieved.

Collaboration agreements set out those areas of business to be undertaken jointly with other police forces and Local Policing Bodies, whether to reduce cost, increase efficiency or increase capability to protect local people. New collaboration agreements have been agreed with West Mercia for four areas of ongoing service collaboration in 2020/21, and collaboration with West Midlands Police have also been agreed in principle for service provision in key service areas over the medium term.

A 'Medium Term Financial Plan' (MTFP) has been developed to support delivery of the refreshed 'Police and Crime Plan'. It is monitored closely throughout the year and reviewed and updated formerly as part of the annual budget setting process. The MTFP is also supported by the wider financial strategy, which includes the separate reserves, capital and treasury management strategies. The cost settlement with West Mercia was agreed after the 2020/21 budget and MTFP was approved. However, the settlement is reflected within the 2020/21 reserves strategy and the outturn report for 2019-20, both of which have been approved by the PCC.

The 'Police and Crime Commissioner's Grant Scheme' has been further developed to ensure funding is based on identified need, with clear outcomes. A new approach to commissioning victim services has commenced and the PCC has agreed a commissioning intentions document for the remainder of his term of office. Co-commissioning with partners in terms of domestic abuse services has also taken place and are likely to be extended due to delays with the re-commissioning process as a result of the pandemic. PCC commissioned services are operating well and performance is monitored regularly. An annual grants process is undertaken by the OPCC for allocating funds, following a robust and rigorous evaluation process. Monitoring of grants in terms of finance and performance achieved from the grant allocation is also undertaken throughout the year to ensure that the desired outcomes and the Police and Crime Plan objectives are being delivered.

### **3.4 Principle D. Determining the interventions necessary to optimise the achievement of the intended outcomes.**

The PCC has developed a 'Delivery Plan' that sets out the monitoring and progress made against the commitments within the 'Police and Crime Plan'. This programme is subject to scrutiny by the 'Warwickshire Police and Crime Panel'.

The forces' performance management framework has been reviewed to reflect the 'Police and Crime Plan'. Monthly and quarterly performance reports are produced which enabled both the PCC and Chief Constable to assess and scrutinise force performance. Monthly holding to account meetings are held with the Chief Constable that focus specifically on performance, with actions being set and monitored.

The PCC and Chief Constable have a 'Risk Management Strategy' in place, and keep and monitor separate risk registers to enable them to manage risks in the respective organisations. The risk registers are reported to each Joint Audit and Standards Committee meeting to ensure that they are scrutinised and risks are managed effectively

The development of the commissioning intentions and the grant scheme will ensure the right interventions are used to achieve the intended outcomes set out in the 'Police and Crime Plan'. More recently, further due diligence and risk assessment work was introduced to the annual grant process in the light of the coronavirus pandemic to ensure that agreed and adequate support is provided to partners, but also to ensure that public money is spent wisely.

The Director of Finance, in conjunction with the Treasurer produces and maintains the MTFP, which supports and is integrated with the business planning process. The MTFP is refreshed as part of the annual budget setting process and is reviewed regularly as part of the planning cycle. The budget for the current year and the MTFP are reported and discussed at the monthly Holding to Account meeting with the Chief Constable.

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 (2018-19, and published in September 2019) found the force to be good in the areas for legitimacy



and effectiveness, but requiring improvement in efficiency. The force considers carefully HMICFRS recommendations and acts upon them through a series of coordinated action plans 'owned' by the appropriate Chief Officer. These officers are held to account through ongoing performance monitoring by the PCC and actions are also reported and reviewed by the Joint Audit and Standards Committee to provide further assurance that progress and appropriate actions to deal with the issues raised in the inspections are being dealt with. The actions arising from the latest inspection are no exception, and it is hoped that the work and changes that have been undertaken will be recognized in the next inspection as Warwickshire Police emerge from the alliance, stand up services in Warwickshire and enter new collaborations with different forces and partners.

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

The organisations' training strategies set the climate for continued development of individuals. The respective performance development review processes will ensure that these strategies are turned into reality for officers and members of staff. This principle is included within the 'Police and Crime Plan'.

The 'Corporate Governance Framework' provides a clear statement of respective roles and responsibilities and how they are delegated, and also includes the more detailed financial and contract regulations. The Corporate Governance framework and the associated documents have been updated in October 2019 to reflect the ending of the Alliance, and have been reviewed again in March 2020 as part of the annual review process, to ensure that they are up to date and reflect best practise. The framework is joint across the force and PCC, and prior to its adoption it is considered and scrutinised by the JASC.

### **3.6 Principle F. Managing risks and performance through robust internal control and strong public financial management.**

The PCC and Chief Constable each have a 'Strategic Risk Strategy' in place to ensure that the risks facing the force and PCC's office are effectively and appropriately identified, evaluated and reported. The Treasurer, on behalf of the PCC has reviewed the strategic risks on a quarterly basis. The strategic risks are subject to scrutiny on a quarterly basis by the JASC.

The 'Corporate Governance Framework' sets out the parameters for decision making, including the delegations, consents, financial limits for specific matters and for contracts.

The JASC meet on a quarterly basis and the agendas, papers and minutes are published on the OPCC website. As part of its work programme the committee receives regular updates on internal and external audit, HMIC inspections, risk management and treasury management.

The JASC operates in line with CIPFA guidance and within the guidance of the 'Financial Management Code of Practice'<sup>6</sup>.

The 'Warwickshire and Worcestershire County Council Law and Governance Service' are commissioned by the PCC and Chief Constable to conduct independent and impartial audits of alliance processes.

The PCC has a 'Publication and Freedom of Information (FOI) Scheme' in place. All FOIs are dealt with by the OPCC, or passed onto the force as appropriate by agreement and in accordance with GDPR legislation.

### **3.7 Principle G. Implementing good practices in transparency, reporting and audit to deliver effective accountability.**

The PCC has produced and published an annual report that details performance against objectives for the previous year.

Information published on the OPCC website is in accordance with the 'Elected Local Policing Bodies (Specification Information) Order 2011'.The website is kept up to date with the publication of key decisions, expenditure over £500, minutes of key meetings, performance reports and details of HMICFRS inspections including the PCC's response to the Home Secretary on the reports.

The PCC and Chief Constable have appointed internal and external auditors and audit recommendations are reported to the JASC. Further details on audit outcomes are in Section 4 below.

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<sup>6</sup> Financial Management Code of Practice for the Police, s11.1.3

#### **4. Review of Effectiveness.**

The PCC's office has responsibility for conducting, at least annually, a review of the effectiveness of the governance framework, including: -

- The system of internal audit
- The system of internal control

The governance framework within the OPCC is reviewed annually and influenced by the internal and external audit reviews for its effectiveness by the PCC, Chief Executive and Treasurer, as well as by legal representatives and relevant staff within the force. The roles and processes applied in maintaining and reviewing the effectiveness of the governance framework are outlined below: -

##### **4.1 Police and Crime Commissioner.**

The PCC has overall responsibility for the discharge of all the powers and duties placed on him and has a statutory duty to maintain an efficient and effective police force.

The effectiveness, review and maintenance of the governance framework is undertaken by the JASC, who discuss governance issues and refer reports to the PCC when necessary.

##### **4.2 Warwickshire Police.**

The Chief Constable has responsibility for conducting a review of the effectiveness of the governance framework within the force at least annually. This review is informed by the work of senior officers and managers, including the 'Head of Internal Audit' and the 'Risk and Assurance' managers, who have responsibility for the development and maintenance of the governance environment.

##### **4.3 Joint Audit and Standards Committee (JASC).**

A decision was taken by the AGG to merge with effect from the 1<sup>st</sup> September 2018 the 'Trust Integrity and Ethics (TIE) Committee' with the 'Joint Audit Committee', thereby ending the tenure of the existing TIE members. This merger has resulted in the creation of a single JASC. Terms of reference for the JASC have been developed to reflect the whole remit of the committee. Two new members have been appointed to the JASC to provide

additional capacity, particularly in relation to the standards remit of the committee. As outlined previously within this document, the JASC has now been res-established as a Warwickshire only committee, for the PCC and Chief Constable following the ending of the alliance. It consists of five members in total, three transferring and two new members. They have an agreed work plan and training programme.

The JASC receives regular reports on governance issues. This includes the review of the 'Annual Governance Statement' (AGS) for inclusion in the 'Annual Statement of Accounts' and update reports on the progress made in addressing any significant governance issues identified in the AGS.

The JASC also receives regular reports on policy and procedure, decision making, leadership, culture, people, risk, performance and conduct. This also includes update reports on the progress made in addressing any significant issues that have been identified, and the Warwickshire JASC have continued to monitor progress regarding the 2018/19 statement of accounts. The Committee chair has also agreed more recently to work more closely with the chair of the Police and Crime Panel on any common governance related issues.

#### **4.5 Head of Internal Audit.**

In maintaining and reviewing the governance framework, the Treasurer places reliance on the work undertaken by internal audit; in particular, the 'Head of Internal Audit' independent opinion on the adequacy and effectiveness of the system of internal control. The annual report of the 'Head of Internal Audit' provides the opinion that taking into account all available evidence, that internal control environments give *"moderate assurance"*.

The internal audit service is compliant with all CIPFA and industry requirements and standards. The Audit Committee reviews (and will review) internal audit performance.

#### **4.6 External Audit and Other External Review Bodies.**

External audits are an essential element in ensuring public accountability and stewardship of public resources and the corporate governance of the PCC services. Their annual governance report in particular provides comment on the financial aspects of corporate governance, performance management, value for money and other reports.

An unqualified audit report was issued on the 'Statement of Accounts 2017/18' at the end of July 2018, together with an unqualified value for money conclusion. The 'External Auditor's Annual Audit Letter' issued in July 2018 did not identify any matters to be addressed.

In addition to the above, other review / assurance mechanisms such as 'Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service (HMICFRS), who are charged with promoting the effectiveness and efficiency of policing and improving performance and sharing good practice nationally, are relied upon by the PCC.

## **5. Significant Governance Issues.**

### **5.1 Strategic Risks.**

This AGS referred earlier to the 'Strategic Risk Register', which is compiled by the Treasurer in conjunction with the PCC and the OPCC Chief Executive and is reviewed quarterly.

A supporting narrative is provided for each risk and the Register is reviewed by the JASC. The reported position as at October is shown below: -

No	Risk	Mitigating Activity
1	The risk of the Police and Crime Commissioner not meeting his statutory responsibilities	A number of measures are in place to mitigate this risk. The activity continues to be monitored and reviewed on a regular basis.
2	The risks arising from the termination of the Strategic Alliance fails	Notice was served by the West Mercia Chief Constable and Police and Crime Commissioner to terminate the Strategic Alliance in October 2019. A number of actions are in place to manage the process of exiting the alliance to ensure a smooth transition for both forces. These will be monitored closely throughout the transition period. Negotiations continued until March 2020, with the support of the Home Office at Warwickshire's request. This has helped to conclude issues relating to the total cost settlement payable to Warwickshire of £10.77m, and the signing of collaboration agreements for the four remaining areas of service until March 2021, which flexibility to extend these for a further 6 months if required. This has mitigated this risk

		significantly, and work will continue to ensure that Warwickshire can smoothly transition the remaining services to their new service delivery models.
3	The risk of failing to manage our finances effectively	There is a significant amount of activity to mitigate against this risk. The 2018/19 and 2019/20 final funding settlements provided increased precept flexibility to give greater local control for financing in 2018/19 and 2019/20. Activity does however continue throughout the year to ensure that we can meet any challenges and manage the financial risks accordingly. In 2019/20 and 2020/21, the PCC exercised the flexibility provided within the central government finance settlement on precept to ensure that the force could deliver additional officers and transition services. The West Mercia cost settlement has provided a more resilient and stable financial position, and Warwickshire's borrowing levels can be reduced against those levels anticipated in the 2020/21 budget. Regular monitoring of spend and income is undertaken and reported to the PCC, business planning processes are being strengthened and increased robustness and rigour is being applied to internal control processes as services are stood up in Warwickshire to ensure that the strategy of a good and balanced sustainable budget is achieved.
4	The risk that the Police and Crime Commissioner does not hold the Chief Constable to account	An OPCC assurance programme sets out what issues are to be considered to ensure that the CC is held to account for all key matters. Weekly holding to account meetings, which are minuted and actions agreed, take place, and governance and performance meetings are undertaken on a monthly basis to enable deeper and more detailed scrutiny on specific issues.
5	The risk of inadequate commissioning of Victims Services	A number of measures are in place to mitigate this risk including external additional scrutiny provided by Ministry of Justice returns for grant expenditure. Activity commenced in 2018/19 to recommission these services to ensure that effective and efficient victims' services are maintained

		throughout Warwickshire. Services are now delivered through a commissioned approach and outcomes monitored. MOJ funding is utilised and additional spending takes place on victim services from within the PCC's own budget to ensure services are adequate.
6	The risk that we do not manage our partnerships effectively could lead to our objectives not being achieved, poor value for money and adverse impact on the reputation of the Police and Crime Commissioner	A number of formal and informal processes in place to mitigate this risk. Although it is recognised that the OPCC can only mitigate against some of the risks. The PCC and force have a number of partners which they work closely and successfully with. They are also looking to enter new partnership arrangements and collaborations, following the ending of the strategic alliance, as part of their future operating model.
7	The risk of failure in performance by external partners including the Force impacting negatively on the delivery of the Police and Crime Plan	Much ongoing activity to ensure that external partners including the Force achieve or exceed the level of performance expected. Where this is not achieved there is a clear understanding of the issues that inhibited performance.
8	The risk of the Police and Crime Commissioner failing to engage with the community	A 'Consultation and Engagement Strategy' is in place to ensure that the PCC fully engages with the community. The PCC undertakes a full engagement programme which is reported to the Police and Crime Panel, along with utilising a range of different mediums including social media, and more recently during the coronavirus pandemic virtual meetings.

## 5.2 Significant Governance Issues 2018-19

In the last AGS there were 'no significant governance issues' as defined by CIPFA, however there were a number of areas identified to be addressed during 2018-19: -

Issues identified	Mitigating activity
Potential transfer of Fire and Rescue Authority responsibilities to the Police and Crime Commissioner under the Policing and Crime Act 2017	<ul style="list-style-type: none"> <li>• CEO engaged at a national level through APACE in developing awareness of legislative changes for both fire authorities.</li> <li>• APCC involvement by PCC and CEO, on behalf of PCC, actively engaged with Warwickshire Fire and Rescue Service.</li> <li>• 'The PCC has convened and chairs the</li> </ul>

	County Blue Light Collaboration Advisory Board meetings during which areas of collaboration for all of the emergency services in Warwickshire are promoted and implemented.
Preparation for the changes in the arrangements for dealing with police complaints	<ul style="list-style-type: none"> <li>• CEO engaged at a national level through APACE in developing awareness of legislative changes for complaints.</li> <li>• A shared Complaints Appeal Manager post has been appointed and is in post from February 2020 with West Midlands PCC to deal with the new process and changes.</li> </ul>
Implementation of the alliance Transformation Programme.	<ul style="list-style-type: none"> <li>• Governance of the Change Programme through the Transformation Board</li> <li>•</li> </ul>
Review arrangements for the governance and oversight of ethical issues for when the current term of appointments to the Trust, Integrity and Ethics Committee end in August 2018.	<ul style="list-style-type: none"> <li>• AGG decision taken to merge the Trust Integrity and Ethics Committee with the Joint Audit Committee and for the TIE committee members' term to end.</li> <li>• Joint Audit and Standards Committee formed from 1 September with terms of reference to reflect the remit of the committee.</li> <li>• Two new members successfully recruited.</li> <li>• A new Warwickshire JASC has been established following the ending of the alliance to fulfil this role.</li> </ul>

### 5.3 Potential Significant Governance Issues 2019-20.

As a consequence of the decision of West Mercia Police to terminate the alliance with Warwickshire Police as of the October 2019, there will be a requirement to review the governance arrangements of the organisations to ensure that any such new arrangements are operative at the point of termination. The Corporate Governance framework has been reviewed in October 2019 and March 2020 to ensure that they are up to date, and reflect best practise, they have also been reviewed by the JASC prior to their approval and adoption.

Other governance issues which will require consideration are: -



- Preparation for the legislative changes in the arrangements for dealing with police complaints. A new shared post is in place from February 2020 to accommodate the changed process.
- The progress of the alliance Transformation Programme and monitoring of the benefits realisation and delivery of savings. Benefits realisation and savings have been (and will continue to be) monitored by the Evolve change team in conjunction with the finance team and reported in the Money Matters report and at the regular PCC/CC meetings. The year end outturn report is approved by the PCC in a formal decision notice, which is published on the website.
- Ensure a smooth transition from the Alliance beyond October 2019 and develop plans and fully explore opportunities for collaborations with partners. Transitional projects have been and continue to be monitored by the Evolve team and progress reported to the PCC in the weekly meetings. New collaborations have been publicly agreed in principle with West Midlands Police, and work on S22 collaboration agreements with services that will continue to be collaborated with West Mercia are now also agreed.

## **6. Conclusion and Commitment Statement.**

We are satisfied that this report is an accurate summary of the governance arrangements in place and of their effectiveness during 2018-19, and also reflects the changes that have occurred up to the point of signing this document.

Grant Thornton, our external auditors, have issued a qualified 'except for' opinion, in regard to arrangements for securing value for money. This opinion specifically relates to matters surrounding the dissolution of the strategic alliance with West Mercia Police, following their serving of notice in October 2018. Whilst, Warwickshire did not agree with the serving of the termination notice, we have strived to ensure that the benefits of the alliance can be maintained and improved upon for our local communities through the setting up of new collaborations and partnerships or more effective service delivery within Warwickshire. We have robustly challenged the qualified except for opinion with our auditors, particularly in the light of the positive £10.77m settlement from West Mercia police, but this process has also enabled us to reflect on the alliance arrangements, and as a result we consider that our position and appetite for future collaboration will be more in line with other forces and that

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this will ultimately, better serve the provision of efficient and effective policing in Warwickshire.

The coronavirus outbreak in late March 2020 and the country going into a state of lockdown to contain the pandemic has resulted in a number of changes to the way the OPCC conducts its work, whilst ensuring that governance arrangements continue to be adhered to. This AGS reflects on those changes, to bring this document up to date at the point of signing.

We shall continue to ensure all the necessary steps are taken to implement and scrutinise effective governance during 2019-20 and 2020-21 and that the areas identified in Section 5.3 are suitably addressed.

Signed and dated this 29<sup>th</sup> day of July 2020

Philip Seccombe TD  
Warwickshire Police and Crime Commissioner

Neil Hewison  
Chief Executive, Warwickshire OPCC

Sara Ansell  
Treasurer, Warwickshire OPCC