



Annual Governance Statement

2019/2020

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| Protective Marking | OFFICIAL |
| Version | Version 1 |
| Purpose | To provide assurance regarding the governance arrangements for Warwickshire Police. |
| Author | Analysis and Service Improvement |
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OFFICIAL: This document must be handled and stored according to the Government Security Classifications guidance.

Introduction

Welcome to the Annual Governance Statement (AGS) for 2019/20. 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 AGS is published alongside the annual Statement of Accounts for the Chief Constable.

The AGS is a regulatory document and explains how the Chief Constable has complied with the corporate governance framework for the year ending 31 March 2020.

The Chief Constable responsible for operational policing matters and 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.

This statement explains how the Chief Constable 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 the effectiveness of the system of internal control.

Coronavirus

On the 23rd March 2020, the country went into a national lockdown to stem the impact of the coronavirus pandemic. As a result of the pressure on Local Authorities and public bodies nationally, a new timetable regarding the publication and approval of the Annual Governance Statement and the Statement of Accounts was announced, which pushed back the timetable from 31st May 2020 to 31st August 2020. The Accounts and Audit (amendment) regulations 2020 reflect this change, along with an amendment to the date for final publication of the accounts which is now the 30th November 2020. The 30th November is also the target date for the audited statement of accounts, although this is not a statutory requirement.

Members of the Joint Audit and Standards Committee reviewed the initial draft AGS in March 2020, prior to lockdown, but the document has now been updated in the light of the crisis, guidance from CIPFA and the changes made internally to governance arrangements to ensure the document reflects the updated position at the point of publication. Due to the timing of the lockdown, the majority of 2019/20

governance was conducted under the arrangements outlined fully below and unaffected by the Coronavirus. However, where the coronavirus did have an impact on governance during March 2020 this is reflected in the AGS.

The covid-19 pandemic is a primarily a public health emergency that requires a police response both in terms of maintaining business as usual and policing specific issues arising as a consequence of the pandemic.

The Chief Constable set up a covid-19 command structure and dedicated team which is linked in nationally and regionally to other forces and the Home Office and follows NPCC emergency incident response protocols. The Force is linked in to other public bodies through the Local Resilience Forum. Two members of the OPCC worked directly with the COVID command team to bring a wider knowledge base, greater resilience and to be able to gain first hand insight into the Force response.

The Force was undergoing transition to formally breakout a number of services from the alliance on 1 April 2020, which involved considerable work leading up to this date and during the pandemic, however, the services concerned were successfully separated. Whilst the Force was successful in maintaining business as usual any delays, as a result of suppliers that are unable to operate fully during the pandemic, to work to build ICT infrastructure and applications will be assessed.

Warwickshire Police (PCC and Chief Constable) are well placed, as an emergency service, and remained fully operational throughout the lockdown, implementing business continuity plans to maintain capacity and capability and deploying technology to enable distance working. All governance meetings within the force and with the PCC, for the purposes of holding the Chief Constable to Account, have continued uninterrupted albeit using technology to enable communication, enabling effective operational and strategic decisions to be made. Operational delays, where they have occurred have been in partner agencies for example the Criminal Justice system.

It is anticipated that some of the measures taken to enable agile working will be retained and lead to more efficient ways of working. Workplace planning follows national guidance and continues to adapt to the changing circumstances.

The community response to policing has been well received with high levels of satisfaction with the Forces approach of Engage, Explain, Encourage, Enforce.

Review

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.

Code of Ethics

The policing principles are:

- Accountability
- Fairness
- Honesty
- Integrity
- Leadership
- Objectivity
- Openness
- Respect
- Selflessness

The principles and guidance have again informed the review of governance arrangements for

2019/20. 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

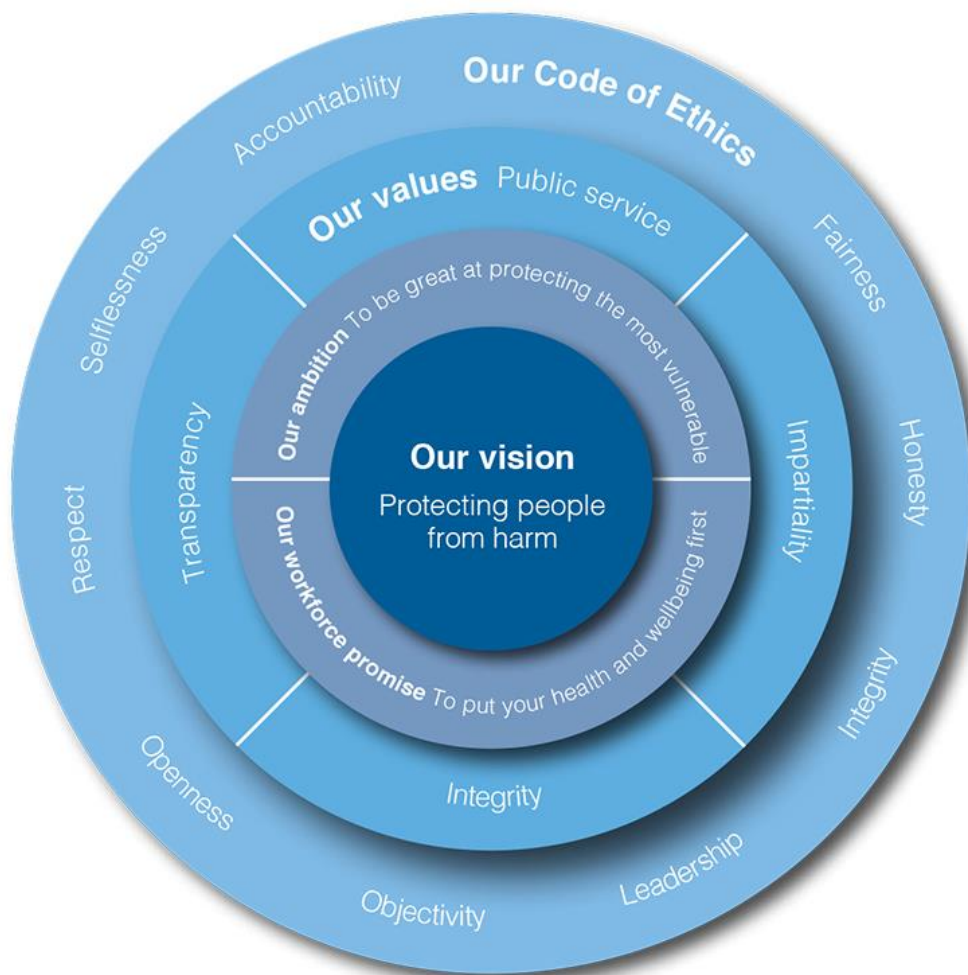
The organisation aspires to the highest ethical standards in all of our activities. The policing Code of Ethics sets out the principles and standards of behaviour that promote, reinforce and support the highest standards from everyone who works within the police service. Giving the profession and the 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 recently agreed its new Fit for the Future corporate strategy, but the core elements around vision and values remain unaltered.

The vision therefore remains, '*Protecting people from harm*', and the values 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.

In 2020/21 the force will be launching a campaign 'Knowing the Line' across the force to reinforce the standards of behaviours expected.

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 in line with our Vision and Values
- To inspire trust in Warwickshire Police
- To help Warwickshire Police to continue to develop and learn
- To keep the workforce working.

The Professional Standards Department have fully embraced the changes and ethos of the new Police Regulations which raise the bar for what is considered as misconduct and seeks to deal with all low level matters by way of learning,

development and improvement. These changes continue to being rolled out and trained to the workforce.

The Department holds regular meeting with departments across the organisation, to address key issues, disseminate learning and also to develop prevention and intervention strategies to help staff make the right choices.

Policies

In addition to the standards of professional behaviour and Code of Ethics, the conduct of officers and staff is also governed by policies which provide specific guidance for areas of risk, vulnerability or may present a real or perceived conflict of interest. Examples include:

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.

Notifiable and Vulnerable Associations

This policy ensures that risk of officers and staff engaging in associations with individual or groups outside of the organisation who may present a real or perceived conflict of interest or damage the integrity of Warwickshire Police is identified, mitigated and managed appropriately.

Gifts Gratuities and Hospitality

This police addresses matters relating to gifts, hospitality and sponsorship issues. The policy and process uses electronic registration of any gift given to a member of the organisation helping to ensure proper governance and transparency.

Other policies address matter such as drug and alcohol misuse, service confidence procedures and lawful business monitoring.

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.



Due to covid-19 the Police and Crime Commissioner elections scheduled for May 2020 have been put back to May 2021. The Police and Crime Plan already covered the period to 2021 and a covid-19 supplement has been produced which sits alongside the main plan.

In developing the force's 'Fit for the Future' strategy this was consulted with the Office of the Police and Crime Commissioner to ensure it complemented and supported the overarching Police and Crime Plan.

Community engagement

Warwickshire actively involves communities across its county. The approach involves public meetings including community forums, as well as telephone surveys.

In early 2020 Warwickshire Police and the Office of the Police and Crime Commissioner jointly commissioned a public priorities survey to obtain the views of over 750 residents on a range of policing priorities, the Police and Crime Plan and confidence in Warwickshire Police, to inform decision making. This information was used to help develop Fit for the Future priorities and will be used as part of key decision making throughout 2020/21.

As part of the covid-19 response Warwickshire also surveyed the general public in four weekly waves to understand the public's understanding and response to the force's approach to policing during lockdown. The results of this were fed into weekly Chief Officer and gold group meetings and compared favourably to national trends.

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.

Safer Neighbourhood Teams

The Safer Neighbourhood approach is central to policing in Warwickshire, and there are 32 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. The SNTs can be contacted via the force website where members of public can email or vote for local issues that they would like to make the team aware of, provide feedback or contact them directly. Crime figures for SNT areas can also be found on the police.uk website. The SNTs and Special Constabulary have their own Twitter feeds and Facebook pages, for example @warksspecials, where details of local events, surgeries and other useful information are posted.

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 4 to 6 weeks after the initial report has been made. For Hate Crime and Domestic Abuse victims this period is longer.

The force surveys specific victim groups, namely:

- Domestic Burglary victims
- Violent crime victims
- Vehicle crime victims
- Hate crime victims
- Domestic abuse victims .

The survey leads the victim through the different stages of service that they would have experienced as a victim of crime.

From April 20 Warwickshire has moved from an in-house delivery model to outsourcing the surveys to a third party specialist who has significant experience

across policing. There was a conscious decision to pause surveys during covid-19 but the programme was re-established in June.

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. This is reflected in a strategic priority in Fit for the Future strategy with a commitment to a greener force, which positively contributes to a sustainable environment. On the back of this the force has recently established an internal group dedicated to looking at this area.

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.

Warwickshire has always been at the forefront of collaboration, for example in the co-location of criminal justice agencies within the Justice Centre and more recently the strategic alliance with West Mercia Police. Warwickshire has recently left a strategic alliance with West Mercia, following the termination by West Mercia. This provided the opportunity to review collaboration levels and move to a model which is closer to the norm in policing. There remains a Section 22 agreement in place with West Mercia until 2021 to cover forensics, ICT, some transactional services and file storage.

Following a review of the Warwickshire target operating model, the force will be partnering with West Midlands Police. From 2021 they will provide transactional services, forensics and hosted elements for ICT.

Warwickshire Police continues to collaborating with forces on a regional basis 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 ROCU for the West Midlands 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 Director of Finance, in conjunction with the Treasurer produces and maintains the MTFP, which integrates with the Force Business Plans. The MTFP is refreshed annually as part of the business planning and budget setting process. Financial performance, forecast income and expenditure compared to the budget, is reported on a monthly basis (Money Matters report) to the PCC Governance Board as well as being reported to the Force Executive Board for consideration by Chief Officers and senior leaders. The report is scrutinised and appropriate actions taken to address variations against the budget and plan.

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, which is linked to the termination of the strategic alliance with West Mercia Police.

In October 2018, the West Mercia PCC and Chief Constable served notice on their Warwickshire counterparts to terminate the strategic alliance agreement. On receiving the termination notice, which was due to take effect from October 2019, the PCC and the Chief Constable considered the options for delivering policing services after the 8 October 2019. Subsequent to Home Office intervention the agreement was extended to 8 April 2020. Therefore, 2019/20 was a transitional year as services migrated out of the alliance. From 1 April 2020 to 31 March 2021 four areas of service remain collaborated, on a hosted or shared basis, with West Mercia Police; ICT, forensics, HR and Finance transactional services and file storage facilities. There is an option to extend these agreements for up to six months if required. As part of the separation agreement West Mercia Police reach a settlement with Warwickshire Police to meet the reasonable costs of separation, with a gross value of £10.775m. This money will be used to set up standalone ICT infrastructure and systems. Warwickshire Police have entered into an agreement with West Midlands Police to provide shared transactional services on full separation from West Mercia Police.

This agreement was reached after the 2019/20 and 2020/21 budget and MTFP had been approved, however, the settlement has been reflected within the 2019/20 outturn position and Statement of Accounts 2020/21 and incorporated into the review of the reserves and borrowing strategy. Warwickshire Police are more sustainable following the settlement with West Mercia Police.

The MTFP relies on delivering the transformation to new ICT infrastructure and systems on time and on budget. This follows the trend of commissioning cloud based services rather than building and operating specialist ICT infrastructure, which transfers the cost from the Capital Programme to the Revenue Budget.

The Force has set the strategic aim of balancing the revenue budget for day to day policing to the core funding by 2022/23. Therefore understanding the operating costs of the Force in a period during a period of significant change is critical to ensuring that it is affordable and sustainable.

The Force is increasing the number of police officers as part of the PCC precept growth and the Government Uplift Programme. This is against a backdrop of an ever changing world that requires continual adaptation to the nature of policing. Whilst the force is well within its prudent borrowing levels it plans to exhaust reserves over the life of the MTFP. Therefore the Force will need to meet its savings targets and focus on becoming more efficient and self-sufficient to be able to meet new challenges. This encapsulates the key financial / operational risk facing the Force and key factors in securing a sustainable future. This risk is contained in the Force Risk Register.

Warwickshire Police have demonstrated that post the alliance that they are operationally sustainable, facing a significant number of major events and investigations in a short period of time. The settlement with West Mercia Police has enhanced financial resilience and reduced the need to borrow to finance transition provided expenditure can be maintained within the MTFP.

With regard to the financial consequences of the Coronavirus pandemic these can be viewed over the short and long term. The immediate cost of the Chief Constable's response; including purchase of PPE, overtime and work place adaptations can be met from the PCC reserves and accommodated within the Medium Term Financial Plan and Reserves Strategy in lieu of anticipated Home Office funding.

The long term effect of the pandemic on the financial standing of the Force is difficult to know at this stage and very much depends on the impact on the economy and the government response, as well as the cost implications of the various rescue package that the government have put in place. The appetite for increased taxation or another period of austerity, manifesting in constrained or reduced funding of public services is low. Coupled to this is the outlook for precept income, which may result in a short term dip in collection rates and a slowing in the increased house building.

The impact on the capital programme is seen as delay rather than a change of direction or not being able to complete works. The work to build shared services with West Midlands Police through collaboration is still on target.

The position will be informed by the 2021/22 Home Office funding settlement and rules around precept, it is unlikely that the Comprehensive Spending Review, which will take place in the autumn of 2020 and provide a longer term view of funding for government departments. The virus posed no threats to the Force's ability to police the County.

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 a dedicated Service Improvement team which looks at continuous improvement and organisational learning. We are also developing our evidence based policing framework. Whilst this is still in the very early stages we recognise the value and importance of working with academics, partners and colleagues to create, review and use the best available evidence to inform and challenge policing policies, practices and decisions.

Organisational transformation

In response to the termination of the alliance, Warwickshire established 'Evolve', which was a standalone organisational transformation programme. The original terms of reference for this programme was to produce a strategic business case for Warwickshire on the preferred target operating model once the alliance with West Mercia ended. Following approval of the new model for Warwickshire, Evolve continued to lead on the transition of services out of the alliance during 2019/20, which culminated in all services bar four successfully transitioning out by April 2020.

The programme uses best practice methodologies to deliver its programme and projects with a dedicated Portfolio Management Office. Evolve is now focused on managing the final critical stage of separating out forensics, ICT and transactional services into the new operating model.

To complement this work the force has developed new governance arrangements for approving and managing change activity across all business areas.

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.

In March 2019 Warwickshire Police had its HMICFRS annual Integrated PEEL inspection. The results of which were published at the end of September.

Effectiveness: Good 2019 – Requires Improvement 2017

| Sub section | Grading 2019 | Grading at last inspection |
|-------------|--------------|----------------------------|
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| Preventing crime and tackling anti-social behaviour | Good | Requires Improvement |
| Investigating crime and reducing re-offending | Requires Improvement | Good |
| Protecting Vulnerable People | Good | Requires Improvement |
| Tackling Serious and Organised Crime | Good | Requires Improvement |
| Armed Policing/Specialist Capabilities | Ungraded | Ungraded |

Efficiency: Requires Improvement 2019 – Good 2017

| Sub section | Grading 2019 | Grading at last inspection |
|------------------------------|-----------------------------|----------------------------|
| Understanding Current Demand | Requires Improvement | Good |
| Understanding Future Demand | Inadequate | Good |

Legitimacy: Good 2019 – Requires Improvement 2017

| Sub section | Grading 2019 | Grading at last inspection |
|--|-----------------------------|----------------------------|
| Fair Treatment of the Public | Requires Improvement | Requires Improvement |
| Ethical and lawful workforce behaviour | Good | Requires Improvement |
| Fair treatment of the workforce | Good | Requires Improvement |

HMICFRS noted that Warwickshire Police is good at preventing crime and tackling antisocial behaviour, understanding community issues and working with other agencies to resolve local problems. The inspection report also recognises the improvements that have been made in the area of protecting the most vulnerable and praises the way it works closely with partners to safeguard victims.

HMICFRS identified a cause for concerns with the way the force investigates crime, with capacity and capability issues meaning that some crimes take too long to bring to an outcome. The report also makes clear the very difficult circumstances the force has been placed into over the past year as a result of the termination of the alliance with West Mercia Police.

Warwickshire also received a Crime Data Integrity Inspection from HMICFRS during 2019/20 and the results were published on the 8th October 2019. The inspection provided an overall judgement of 'Good' for CDI compliance, where over 93% of reported crimes were found to have been recorded accurately. The report noted that

since the last inspection in 2014 Warwickshire Police has made changes to its systems and processes to improve crime recording

It also provided the following grades for specific areas of CDI performance: -

- Effectiveness at recording reported crime – Good.
- Leadership and culture necessary to meet the national standards for crime recording - Good.
- Efficiency of systems and processes to support accurate crime recording – Requires Improvement.

As part of the new governance arrangements for Warwickshire, the force has established a Warwickshire Assurance Board, which is chaired by the Deputy Chief Constable. This is the key forum to ensure the recommendations from HMICFRS Inspections are actioned appropriately.

There are a range of governance meetings that report into the Warwickshire Assurance Board which are tasked with owning specific areas. For example, the Investigations, Standards and Outcomes Board has specific responsibility around driving improvements in our approach to investigations.

The Service Improvement Team within Analysis & Service Improvement are the owners of the overall HMICFRS action plan which includes recommendations from the 2019 PEEL report and other national recommendations from wider thematic reports.

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 – the force has continued the successful programme established in 2018/19 into 2019/20 to cover Inspector rank. This is now being developed for Sergeants.

The purpose of the group is to develop the capacity and capability of the workforce in a prioritised way, to ensure we:

- Align all existing and new product(s) to strategic drivers of Warwickshire police
- Track assessment, reaccréditation and CPD
- Recognise the current and future skills requirement
- Deliver learning solutions in the most efficient and effective way

Reinforce blended learning and a 70:20:10 approach to learning

Maximising contribution and potential (MAX)

This is our approach to maximising contribution and potential by having regular conversations between staff and their line managers.

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 being 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 have developed a learning passport. Newly promoted officers will be required to collect passport 'stamps' for modules on the programme, they cannot progress to the NPPF step three 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. This is now being used in local succession planning and promotion processes.

As part of the Learning and Leadership Development Strategy Chief Officers want everyone to have access to coaching and mentoring, as traditionally these types of leadership development opportunities were only made available to those in senior police leadership positions. To do this we have recently joined West Midlands Employers coaching and mentoring pool, this gives the workforce access to external coaches and mentors in over 25 public sector organisations of which seven are within Warwickshire. At the same time this platform gives us the opportunity to build our own internal cadre of mentors and coaches to drive the change we want to achieve and further embed our learning culture.

We are in the early stages of developing our Warwickshire coaching and mentoring framework and one of the first steps we need to complete is to build our own internal cadre.

Diversity and Inclusion

The Diversity and Inclusion Board is chaired by the Director of Enabling Services and reports into the People Board. It is attended by all staff associations, Union, support networks and diversity and equality leads. The board ensures any attraction,

recruitment and development of the workforce understands what is needed to ensure diversity and inclusion.

This includes two-way engagement to allow feedback, discussion and decision making around process and practice and culture change to improve the health and wellbeing of staff, ensuring staff feel safe, supported and valued.

The board monitors and responds to equality data and staff surveys ensuring equality analysis is in place to inform decision making. The attendees are the eyes and ears of the workforce enabling a healthy discussions to take place in a safe environment with the aim to educate, improve behavior and the workplace environment.

Staff directions and updates (Force Orders)

Force Orders are published weekly on the 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 force identifies and minimises those issues which may impact on our people's health and wellbeing.

Recognising that demand is one of the most significant influences on workplace wellbeing the force has appointed a role with specific responsibility for delivery of Health and Wellbeing activities alongside identifying opportunities to reduce demand and streamline processes to remove frustrations.

The force has participated in the first national Wellbeing Survey for police forces and will use the results to focus activity for the coming 1-2 years.

Warwickshire has a Wellbeing Board that is chaired by the Director of Enabling Services, which promotes and supports physical health, positive relationships, mental and emotional health and a positive working environment. 2019 was designated the 'Year of Wellbeing' to launch a renewed focus on the force's plans but the continued commitment of the force has been cemented in its workforce promise 'To put your health and wellbeing first' which sits alongside our vision and ambition at the heart of the force strategic plans.

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.

As part of establishing a standalone force a review of all key governance meetings was undertaken to ensure the decision making framework was fit for Warwickshire.

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.

Below Executive Board are a number of key strategic meetings which cover 4 areas of the force

- People
- Operations and Performance
- Planning and Change
- Organisational Enablers

These arrangements ensure that key decisions are taken at the appropriate level and are referred to the PCC when required.

The OPCC holds a monthly performance holding to account meeting with the Chief Constable and wider Chief Officer Team. This is followed by the Force Governance Meeting. Notes from the meetings are published on the PCC's website.

Performance measures and monitoring

Corporate Performance is managed through the Analysis and Service Improvement function. The team provide access to a range of products which cover daily, weekly, monthly and quarterly reporting across key areas of the force in order to inform decision makers and monitor performance trends. .

Warwickshire's performance structure has been reviewed in line with the wider governance review. In addition to the OPCC holding to account meeting performance is a standing item on executive board. Directorate performance meetings on a monthly basis and there is a force wide quarterly Service Quality and Performance group which is chaired by the Deputy Chief Constable. 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.

Following the launch of Fit for the Future strategy, the force is reviewing its performance framework to ensure that it provides the necessary assurance, transparency and accountability to deliver the strategic priorities.

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', Executive and Directorate Risk Maps. The Strategic Risk Map is presented for scrutiny at the Joint Audit Committee.

A review of the policy and procedure for corporate risk management has been undertaken and a new approach developed.

Health and Safety

The governance for health and safety sees the Deputy Chief Constable run the strategic board overseeing the implementation of occupational health and safety policies, procedures and related strategies. This includes keeping under review the Force's legal obligations for occupational health, safety and welfare compliance and the escalation point from the tactical boards.

Two tactical boards sit beneath this, one for Operations and one for Professional Services. These boards manage overall compliance and improvement plans, including the generation of risk assessments and management processes. The boards include representatives from all staff associations/union and business areas so that concerns can be heard and resolved.

Financial Management

The Director of Finance is the Chief Finance Officer (CFO) and has a series of statutory responsibilities. The Financial Management Code of Practice and 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.

One responsibility is to ensure the finance function is resourced and fit for purpose and able to meet legislative requirements. The force participates in the CIPFA Achieving Financial Excellence in Policing (AFEP) programme, which is endorsed by the National Police Chief Council (NPCC) and Police and Crime Commissioner's Treasurers Society (PACCTS). This seeks to improve financial management and sustainability at individual and Force level by assessing performance against best practice. This will enhance decision making and service development through implementing, over time, a series of agreed actions. The Force has fared well, on exiting the alliance with West Mercia Police, in terms of setting up a skilled and experienced Finance Team. The capability of the Finance team, to meet contemporary challenges, will be enhanced through the Business Partnering development arm of the AFEP.

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.

The Finance Directorate will support the development and operation of automated self-service technology to support members of the workforce to undertake HR and financial transactions in line with policy and procedure. This is accompanied by a proportionate framework of checks and balances to support timely and accurate claims and purchasing arrangements.

The relationship between the Treasurer and Director of Finance is critical to ensuring an appropriate and effective finance strategy is developed and implemented. Regular meetings between the two statutory post holders are held to discuss financial performance against the budget, to refresh the MTFP and examine key issues that require strategic financial input to decisions as well as routine matters of governance and audit report findings and recommendations. The relationship is strong built on trust and confidence and the controls adequate.

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 has a dedicated assurance team. The programme of work is agreed annually with the Deputy Chief Constable and ratified by the Joint Audit Committee (JAC) with a focus on crime data integrity. All audit recommendations are reported through the JAC. 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 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.

Due to COVI-19 there was no FMS in 2020 and this has allowed the force to better align the FMS process with the business planning cycle.

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 force by a dedicated team who collate requests for both forces and manage responses back to those who submit requests.

Review of effectiveness

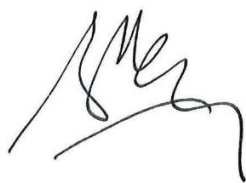
The Chief Constable has responsibility for conducting, at least annually, a review of the effectiveness of the governance framework, including the system of internal control. The review of effectiveness is informed by the work of senior officers and staff who have responsibility for the development and 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.

A handwritten signature in black ink, appearing to read 'M Jelley', with a long horizontal stroke extending to the right.

Signed:

Martin Jelley,

Chief Constable of Warwickshire Police

Strategic Risk

This AGS refers to the latest Strategic Risk Map at the time of writing, published in July 2020. 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 Joint Audit and Standards Committee.

1. Establishing a separate Warwickshire IT structure

This risk focuses on activities to stand up Warwickshire's own ICT separately from West Mercia ready for spring 2021

The ICT programme of work comprises activities to deliver a hosting environment for migrated applications and data, a fully separate voice and data network, establishing the OCC (Operational Communication Centre) and the establishment of Warwickshire's own ICT function and strategic service partner.

2. Financial Impacts – The Medium Term Financial plan

The risk that day to day net expenditure does not balance with the total amount of core government funding and council tax on an ongoing basis, therefore becoming unsustainable.

3. Investigations and Standards

The risk aims to address the capacity and capability to investigate crime effectively, the standards of supervision, and the effective allocation of crime enquiries to appropriately trained and skilled investigators.

4. Detective Capacity and Capability

The risk is a gap in the detective capacity and capability. Whilst recruitment overall has been very positive, there are some gaps in terms of detective roles, which are an organisational risk. This is a recognised national challenge.

5. Transition of existing S22 Services

The risk that the transition of existing shared services included within the Section 22 agreement with West Mercia do not successfully transition to their new state. There is a defined timeline and in the case of two of these services, transactional services and forensics services, these will be delivered through an agreement with West Midlands Police, which adds a further degree of complexity.

6. Business Continuity Planning

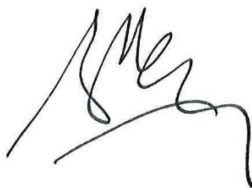
The risk relates to the force having a fully embedded Business Continuity Management programme, to provide its critical functions during times of significant disruption.

7. Coronavirus

This risk relates to the early response to the COVID 19 pandemic and the plans to ensure that the force was able to operate effectively.

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