



Office of the  
Police and Crime  
Commissioner  
for Warwickshire



Warwickshire  
**POLICE**

# Joint Corporate Governance Framework 2024-2025

## 2. Statement and Code of Joint Corporate Governance

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<b>Security Classification</b>	Official
<b>Disclosable under Freedom of Information Act?</b>	Yes

# 1. Statement of Corporate Governance

## 1.1 Context

Corporate governance is the way in which organisations are directed and controlled. Good corporate governance is vital to effective financial and risk management. The purpose of this framework is to give clarity to the way the two organisations as independent corporations sole, Police and Crime Commissioner and Chief Constable, will be governed both jointly and separately, to conduct their affairs in the right way, for the right reason at the right time. The framework also sets out how the Police and Crime Commissioner (PCC) and Chief Constable work together to fulfil their statutory obligations and deliver for their local communities.

This framework sets out the governance arrangements established in legislation, regulations and good practice. It also draws on best practice and good governance principles across the public and private sector.

## 1.2. General Principles

This framework has been established with reference to the **CIPFA publication Delivering Good Governance in Local Government 2016, including the relevant guidance notes for policing bodies** and aims to achieve the highest standards in a measured and proportionate way. The overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, there is sound and inclusive decision making and there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities. The core principles are:

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

The principles of good decision making set out in the PCC Decision Making Policy also apply.

### 1.3. Corporate Governance Framework

The corporate governance framework by which both organisations will be governed, both jointly and separately will consist of:

- Statement of Corporate Governance; which includes the statutory framework of the legislative and regulatory requirements
- Code of Corporate Governance: which explains how the good governance principles will be implemented with transparency and accountability, and including the approaches to audit, risk management and internal control.
- Scheme of Delegation: parameters within which the corporations sole will conduct their business, the organisational hierarchies, approaches to decision making and schemes of delegation.
- Financial Regulations
- Contract Regulations
- Policies and procedures for each corporation sole, with protocols/other governance documents where they operate jointly, each maintained on a register made available to staff on each organisation's intranet. Cooperative arrangements by which the Police and Crime Commissioner and the Chief Constable support the exercise of each other's functions.

The framework will be reviewed annually through the Governance and Performance Board, with findings informing the Annual Governance Statement (AGS) of both corporations sole. The Joint Audit and Standards Committee (JASC) will be given an opportunity to review the draft documents prior to them being formally approved each year by the PCC and Chief Constable.

### 1.4 Decision Making

The PCC publishes a Decision Making Policy that will set out the framework and principles for decision making, and the processes for ensuring decisions are made by the right people in the right way and at the right level within the organisation. It will set out which decisions should be formally recorded and published on a Decision Register. Decisions made using delegated authority should be recorded, and where appropriate published.

The PCC will determine what decisions he will take, in accordance with the Decision Making Policy. The rationale for any PCC decision shall be set out in writing with supplementary information reviewed to ensure the PCC is fully briefed. This will offer a process for ensuring that decision making is transparent and decisions which are of public interest are clearly set out. In determining the extent of information to be published the principles of the Freedom of Information Act 2000 will be applied.

When making decisions, implementing delegations or exercising other functions under this framework the PCC must have regard, where applicable, to the following:

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- The views of the people in their policing area
- Any report or recommendation made by the Police and Crime Panel on the annual report for the previous financial year.
- The Police and Crime Plan and any guidance issued by the Secretary of State.

The PCC shall also publish within this framework a Scheme of Delegation which sets out any delegations of the PCC's powers. The scheme may permit the sub-delegation of powers, but any such sub-delegation shall be notified to the PCC. The PCC may prohibit, vary or make any sub-delegation subject to conditions and limitations. This Scheme of Delegation recognises and reflects there are certain functions prohibited from delegation by legislation.

## 2. Code of Corporate Governance

The Code sets out how the PCC and Chief Constable govern their organisations both jointly and separately in accordance with the Statement, highlighting key enablers for ensuring Good Governance.

### General Principles of Good Governance

The PCC has adopted a Code of Corporate Governance, consistent with the CIPFA/SOLACE Guidance: Delivering Good Governance in Local Government, outlining the systems, processes, culture and values to achieve compliance. It shows the commitment of the PCC and Chief Constable to their statutory obligations and how they discharge their responsibilities. Effective governance relies on public confidence in the PCC and Chief Constable, ensuring the intended outcomes are achieved whilst acting in the public interest at all times.

The PCC has a number of key responsibilities:

- secure efficient and effective police for their area.
- appoint the Chief Constable, hold them to account for running the force, and if necessary, dismiss them.
- set the police and crime objectives for their area through a police and crime plan.
- set the force budget and determine the precept.
- contribute to the national and international policing capabilities set out by the Home Secretary.
- bring together community safety and criminal justice partners, to make sure local priorities are joined up.

In exercising these functions, the PCC is accountable to the public. The PCC is the recipient of all police funding and sets the police budget in consultation with the Chief Constable. The Chief Constable has statutory responsibility for the direction and control of Warwickshire Police and delivery of operational policing services.

## Corporate Governance Arrangements

Governance arrangements for the PCC and force follow the seven principles set out in the revised Delivering Good Governance: Guidance Notes for Policing Bodies in England and Wales (2016). These 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 controls and strong public financial management
- G. Implementing good practices in transparency, reporting and audit to delivery effective accountability

Underneath each principle are behaviours and outcomes demonstrating Good Governance in practice. The Code also applies to all personnel, contractors and agents providing services to the PCC and/or Chief Constable and sits alongside the Code of Practice for Ethical Policing and the non statutory Code of Ethics.

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

The PCC and Chief Constable are accountable for how much they spend and how they use resources under their stewardship. They have an overarching responsibility to serve the public interest, adhering to legislation and government policies. They must demonstrate the appropriateness of their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

The PRSA11 outlines a number of statutory roles. The PCC must have a Chief Executive and Chief Finance Officer, who cannot be the same individual. The Chief Executive will be the Head of Paid service and undertake the responsibilities of Monitoring Officer under the Local Government and Housing Act 1989. The PRSA11 requires the Chief Constable to appoint a Chief Finance Officer.

The Scheme of Delegation highlights the parameters for key roles in the organisations including delegations or consents from the Police and Crime Commissioner and Chief Constable.

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The Decision Making Policy sets out the framework and principles for decision making, and the processes for ensuring decisions are made by the right people in the right way and at the right level within the organisation. It sets out which decisions will be formally recorded and published.

The PCC and Chief Constable have governance structures that assess progress against their objectives. The PCC writes an annual report, and the strategic plans are reviewed annually, along with the Force Management Statement. Key strategies/plans are regularly reviewed. Processes for identification and management of risk are in place and kept under review.

The financial management code of practice and statements of roles<sup>1</sup> set out the responsibilities of Chief Finance Officers for both the PCC and the Chief Constable, and of the Chief Executive. It also ensures that the good governance principles are embedded in the way the organisations operate.

Officers, police staff and OPCC staff will operate within the following frameworks, which will be monitored and reviewed:

- Joint corporate governance framework
- OPCC, Force and Joint policies and procedures
- Conduct regulations and codes of conduct.

Standards of Behaviour are clearly outlined through the PCC and OPCC Code of Conduct, Code of Ethics and communicated organisational values are embedded in both organisations. The PCC and Chief Constable will abide by the Policing Protocol Order 2023 and the seven Nolan principles of public life and these will be central to the conduct and behaviour of all. Those principles are:

- **Selflessness** Holders of public office should act solely in terms of the public interest.
- **Integrity** Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.
- **Objectivity** Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
- **Accountability** Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
- **Openness** Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

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<sup>1</sup> Financial Management Code of Practice for the Police, s4, CIPFA Statement on the Role of Chief Finance Officers, APACE Statement on the Role of the Chief Executive

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- **Honesty** Holders of public office should be truthful.
- **Leadership** Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

The Code of Ethics combines these values with others espoused in policing and sets and provides a framework for upholding high standards of conduct and behaviour. It adds two further principles:

- **Fairness** Holders of public office should treat people fairly.
- **Respect** Holders of public office should treat everyone with respect.

The Policing Protocol also highlights the expectation that the relationship between all parties will be based upon the principles of goodwill, professionalism, openness and trust. The PCC must not restrict the operational independence of the police force and the Chief Constable who leads it. In exercising their functions the Chief Constable must have regard to the Police and Crime Plan issued by the PCC. To enable the PCC to exercise the functions of their office effectively they will need access to information, and officers and staff within their force area. This access must not be unreasonably withheld or obstructed by the Chief Constable, or restrict the Chief Constable's direction and control of the force.

## 2.2 Ensuring openness and comprehensive stakeholder engagement

Policing is run for the public good and the PCC must consult with the public. Activities must be open and transparent. Clear channels of communication and consultation are used to engage effectively with all stakeholders. The PCC produces a community engagement strategy which sets out how he will ensure that local people are involved in decision making, including the setting of the budget.

The publication scheme establishes the means by which information will be made available to the public, with those of greater public interest receiving the highest level of prominence, except where operational and legal constraints exist. Information is also published on OPCC website in accordance with the Publication Scheme and the Elected Local Policing Bodies (Specified Information) Order 2011 and its subsequent amendments.

Data Protection policies are in place and published online.

The Police and Crime Panel is a check and balance on the Police and Crime Commissioner through reviewing and scrutinising their decisions. It is a joint committee of the County Council and the five district and borough councils and their meetings are held in public. They have particular responsibilities to scrutinise decisions about precept setting, the issue of Police and Crime Plans, and the appointment and dismissal of the chief constable and other senior personnel. The PCC fosters constructive working relationships with the Police and Crime Panel, local authorities and other partners in Warwickshire including Community Safety Partnerships (CSPs).

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

The long-term nature and impact of many of the PCC and Chief Constable's responsibilities mean that they should seek to define and plan outcomes and that these should be sustainable. The PCC issues a Police and Crime Plan. It outlines the police and crime objectives and the strategic direction for the policing of the force area. Within that the force has defined their vision as *Protecting People from Harm*. The policing priorities are established through a force strategy with a clearly set out approach and outcomes. The Force Management Statement is a self-assessment that the Chief Constable submit to the HMICFRS annually, which helps to establish areas of greatest risk to the resilience of policing services and may inform future inspections.

A Medium-Term Financial Plan has been developed to support delivery of the Police and Crime Plan and a Commissioning Forward Plan and approach to grant making will be developed by the PCC. Robust processes are in place to determine business development, and business cases are completed for all projects. Processes are in place that allow proper analysis and evaluation of plans including option appraisal, assessing the impact of alternative approaches and benefits realisation.

Collaboration agreements set out those areas of business to be undertaken jointly with other Forces, Fire and Rescue Services and Local Policing Bodies, whether to reduce cost, increase efficiency or increase capability to protect local people. The Register of collaboration agreements will be reviewed in 2024/25, and governance embedded into existing arrangements.

The PCC and Force maintain strategies for Estates, IT, Fleet and People. Sustainability principles are embedded within all of these.

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

The PCC and Force achieve intended outcomes through a mixture of legal, regulatory and practical interventions. Determining the right mix is important and they need robust decision-making mechanisms to ensure outcomes are achieved in a way that provides the best trade-off between resource inputs and effective and efficient delivery. Decisions must be reviewed continually to ensure the achievement of outcomes is optimised. Policy implementation usually involves choice about approach, objectives, priorities and incidence of costs and benefits. The PCC and Chief Constable ensure access to appropriate skills and techniques.

The PCC and Force have governance frameworks and agreements on information shared between them, which are governed by Service Level Agreements or Memoranda of Understanding. The force has a Corporate Planning and Performance Framework and the OPCC will develop an annual delivery plan. These approaches will clarify organisational or individual learning issues or good practice.



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The Police and Crime Plan outlines the PCC's police and crime objectives (outcomes) and the strategic direction for the policing and supporting services of the Force area. The Commissioning Strategy ensures the right interventions are used to achieve the intended outcomes set out in the Police and Crime Plan.

The national decision model<sup>2</sup> is applied to spontaneous incidents or planned operations, by officers and staff within the Force as individuals or teams, and to both operational and non-operational situations. These are applied in the context of the Force vision and values.

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

The PCC and Force need appropriate structures, leadership and people with the right skills, qualifications, and mind-set, to operate efficiently and effectively. This principle is also included within the Police and Crime Plan. Individuals appointed must have the capability to fulfil their mandate, and policies must be in place to guarantee management has the operational capacity for the organisations. They must continually develop capacity and respond to change over time. Leadership is strengthened by the participation of people from different backgrounds, reflecting the structure and diversity of the local community.

The organisations' people strategies establish the climate for continued development of individuals, ensuring that leadership, workforce and professional development takes place. Each organisation undertakes staff surveys and listens to the feedback offered.

The PCC and Chief Constable ensure equality and diversity policies readily set out how each promotes diversity by recognising, valuing and respecting different contributions and needs of communities and staff. The respective performance development review processes will ensure that these strategies are turned into reality for officers and members of staff.

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

Public bodies must ensure the organisations' governance structures include effective performance management systems to facilitate effective and efficient delivery. Risk management, business continuity and internal control are integral parts of a performance management system; and are considered at the Governance and Performance Board. Strong financial management systems are essential for implementation of policies and achievement of intended outcomes, enforcing financial disciplines, strategic resource allocation, efficient service delivery and accountability. Public bodies spend money raised from taxpayers and they are entitled to expect high standards of control and oversight of performance.

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<sup>2</sup> National Decision Model (NDM) for the Police Service, College of Policing

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A joint independent Audit and Standards Committee operates in line with the latest CIPFA guidance and within the overarching Financial Management Code of Practice<sup>3</sup>. The scheme of delegation highlights the parameters for decision making, including the individual delegations, consents, and financial limits. External Audit recently has been recommissioned through the Public Sector Audit Appointments (PSAA). External audit are responsible for undertaking the statutory annual audit and reporting on arrangements for delivering value for money, They work closely with the OPCC and force and provide update reports on their work to each JASC meeting, Both the PCC and force receive annual external audit opinions on their financial statements, and a separate report on their arrangements for delivering value for money. An internal audit service is in place, and a process is established for identifying topics for consideration.

The PCC receives regular budget monitoring reports from the force at the Governance and Performance Board and he in turn provides financial updates to the Police and Crime Panel. Following an annual review, the PCC approves the , budget and medium term financial strategy, reserves strategy capital strategy and treasury management strategy including the investment plan each year.

Each organisation's Risk Management Strategy establishes how risk is managed throughout the various elements of corporate governance of the organisations, whether operating solely or jointly and allows identification and management of operational, strategic and project risks. Each organisation's risk register will be discussed at Governance and Performance Board. The risk registers are also presented regularly to the JASC for their information and comment.

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

Accountability ensures those making decisions and delivering services are answerable for them. Effective accountability reports on actions completed and ensures stakeholders can understand responses as the organisations plan and carry out activities in a transparent manner. External and internal audit contribute to effective accountability. Both organisations will be as open as possible about all their decisions, actions, plans, resource use, forecasts, outputs, and outcomes.

The Policing Protocol highlights that the PCC is accountable to local people and draws on this electoral mandate to set and shape the strategic objectives for the force area in consultation with the Chief Constable. The Police and Crime Plan sets out what the strategic direction and priorities are and how they will be delivered. An annual report is prepared and published by the PCC.

PCC holds the Chief Constable to account on a regular basis via an assurance mechanism – including the Governance and Performance Board and weekly/holding to account meetings. His Majesty's Inspectorate (HMICFRS) supports this in respect

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<sup>3</sup> Financial Management Code of Practice for the Police, s11.1.3

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of Force efficiency and effectiveness. Both organisations have due regard to reviews and inspections from regulatory bodies.

Each organisation publishes a Statement of Accounts and jointly they publish an Annual Governance Statement. Both organisations publish information in accordance with the publication schemes, and the PCC also publishes the Specified Information.

Data Protection Impact Assessments (DPIA) are undertaken, when necessary, to identify the most effective way to comply with data protection obligations and meet individuals' expectations of privacy.

### **2.8 Annual Governance Statement (AGS)**

This Corporate Governance Framework enables the development of local arrangements. Below each of the above mechanisms, the PCC and Chief Constable will build behaviours and outcomes that will demonstrate, good governance in practice. Each year a Governance Statement will be produced to outline the evidence of local arrangements.