

# Annual Governance Review

## April 2014 – March 2015



CORE PRINCIPLE 1	ADEQUACY	GOOD
<p><b>Focusing on the purpose of the Commissioner and the Constabulary, and on outcomes for the community, to create and implement a vision for the local area.</b></p>		
<p><b>To achieve this, the Commissioner and Chief Constable will:</b></p> <ol style="list-style-type: none"> <li>1. Promote their mission, vision and values</li> <li>2. Ensure that when working in partnership with others it is underpinned by a common vision that is understood by all parties</li> <li>3. Decide how the quality of service for users is to be measured and ensure that the information needed to review service quality effectively and regularly is available</li> <li>4. Ensure that the information needed to review performance in achieving value for money effectively and regularly is available</li> <li>5. Consider the environmental impact of policies, plans and decisions</li> <li>6. Put in place effective arrangements to ensure the OPCC and the Constabulary perform to high standards and to identify and deal with failure in service delivery.</li> </ol>		
<p><b>EVIDENCE AND COMMENTS (Chief Officer Lead – Deputy Chief Constable)</b></p>		
<ol style="list-style-type: none"> <li><b>1. Promote their mission, vision and values</b> <ul style="list-style-type: none"> <li>- Police and Crime Plan for Lancashire</li> <li>- PCC's Annual Report</li> <li>- Constabulary Ambition, mission and values</li> <li>- Constabulary Strategic Priorities</li> <li>- Chief Constable's Roadshows</li> <li>- Strategic Policing Requirement (SPR)</li> <li>- Community Engagement Plans</li> <li>- Communications Plans and Strategies</li> <li>- Media Engagement (e.g. outlining the financial challenge)</li> </ul> </li> <li><b>2. Ensure that partnerships are underpinned by a common vision that is understood by all parties</b> <ul style="list-style-type: none"> <li>- Lancashire Community Safety Strategy Group (LCSSG)</li> <li>- Lancashire Partnership Strategic Assessment</li> <li>- Community Safety Partnerships (CSP)</li> <li>- CSP Strategic Assessments</li> <li>- Strategic Partnership Policy and Procedures</li> <li>- Multi Agency Safeguarding Hubs – Operating Policy and Procedures</li> <li>- Public Service Lancashire</li> <li>- Integrated Offender Management</li> <li>- Operation Avert</li> </ul> </li> </ol>		

**3. Decide how the quality of service for users is to be measured and ensure that the information needed to review service quality effectively and regularly is available.**

- Police and Crime Plan
- Constabulary Performance Framework
- Continuous Professional Development Review
- Team and Individual Satisfaction Data
- Confidence and satisfaction surveys
- Crime Data Audit
- HMIC Inspection
- Best Use of Stop and Search compliance
- Complaints Procedures
- Monthly, quarterly and annual performance data
- Constabulary intranet based suite of performance products
- Monthly Management Board performance update
- Quarterly Performance Review
- Quarterly Strategic Scrutiny Meeting
- Joint Management Board
- Joint Audit Committee
- Joint Ethics Committee

**4. Ensure that the information needed to review performance in achieving value for money effectively and regularly is available**

- Annual Accounts
- Medium Term Financial Strategy and Plans
- Devolved financial management (DFM) with clear guidelines and a robust framework for monitoring and managing budgets
- Budget holders have access to specialist financial advice and are held to account for financial performance as part of the QPR process
- Early intervention in the event of overspending, action plans developed and monitored by Head of Management Accounts and Director of Resources
- Financial processes reviewed; process improvement driven
- Regular audit of all financial processes to ensure compliance with regulations
- Financial performance routinely monitored through management boards
- Monthly monitoring reports forwarded to the PCC's Chief Finance Officer and on a regular basis to the PCC
- Organisational review has terms of reference that include comparative benchmarking of services against similar forces and organisations
- Systems thinking and business process re-engineering methodology used to redesign processes and to reduce demand and waste
- Outcomes of reviews are included in the MTFP – savings and implementation costs tracked, budgets adjusted accordingly
- Organisational Review of overheads / non pay costs
- HMIC Value for Money profiles – benchmarking and outliers used as an analytical tool to assist in determining options for identifying further savings.
- HMIC Valuing the Police Inspection Programme findings – five years of positive reports.
- Regional collaboration arrangements across a range of protective services and Air Support.
- Futures Programme collaboration workstream.
- Internal Audit Plan

**5. Consider the environmental impact of policies, plans and decisions**

- Policy Development Framework
- Policy Consultation Group
- General Equality Duty Assessments
- Privacy Impact Assessments
- Standard decision making template requires consideration of impacts
- Organisational review considers and consults upon impact of planned changes
- Policy approval through strategic board following broad consultation
- Governance oversight through Corporate Development SPOC
- Audit Committee review and scrutiny of the Constabulary's policy arrangements
- PCC scrutiny of Constabulary policy arrangements

**6. Put in place effective arrangements to ensure that the OPCC and the Constabulary perform to high standards and to identify and deal with failure in service delivery.**

- Performance Framework and monitoring
- Confidence and Satisfaction surveys
- Complaints and misconduct procedures and processes
- Lessons learnt identified
- Direction and control matters considered for organisational learning
- Audit and inspection findings considered to identify areas for improvement (AFIs) and develop action plans where appropriate
- Benchmarking against College of Policing Capability Frameworks
- Crime Data Audit
- Data handling, information security and assurance processes monitored against MOPI compliance measures, with annual external validation
- Force Action Plan ensures focus on maintaining high level of compliance
- Compliance Audit and external "systems penetration tests" undertaken to audit security arrangements
- Governance through Information Assurance Board (IAB) - ensures the confidentiality, integrity and availability of information gathering, storage and dissemination, in line with the Data Protection Act guidance and the ACPO Community Security and MOPI codes of practice.
- ICT Strategy and prioritisation plan sets out a clear direction for ICT – governed through ICT Strategic Board, Information Assurance Board and SMB.
- Best Use of Stop and Search Scheme
- Ethics Panel
- Joint Ethics Committee
- Review of HMIC Recommendations
- Internal Audit Plan

**Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles.**

**To achieve this, the Commissioner and Chief Constable will:**

1. Appoint the Statutory Officers required under legislation and enable them to effectively carry out their statutory functions and provide appropriate advice on matters within their sphere of responsibility;
2. Ensure there is a clear understanding of the respective roles and responsibilities within each corporation sole and regularly review the effectiveness of these roles and responsibilities;
3. Determine a scheme of consent/delegation, including a schedule of those matters specifically reserved for decision by the Commissioner, taking account of relevant legislation and ensure that it is monitored and updated when required;
4. Work with stakeholders and communities to develop and deliver against clearly defined strategic plans, priorities and measurable outcomes to drive improvements in policing services; and
5. Ensure when working in partnership and in commissioning services that the arrangements for governance and accountability for performance and financial administration are clearly articulated and disseminated.

#### **EVIDENCE AND COMMENTS**

1. **Appoint the Statutory Officers required under legislation and enable them to effectively carry out their statutory functions and provide appropriate advice on matters within their sphere of responsibility.**
  - Constabulary Chief Finance Officer appointed with overall responsibility for efficient and effective management of the Constabulary's finances.
  - The Constabulary CFO provides appropriate advice to the Chief Constable on all financial matters and is responsible for keeping proper financial records and accounts and maintaining an effective system of internal financial control.
2. **Ensure there is a clear understanding of the respective roles and responsibilities within each corporation sole and regularly review the effectiveness of these roles and responsibilities.**
  - Police Reform and Social Responsibility Act 2011
  - Policing Protocol Order
  - CIPFA guidance - The Role of the CFO of the Police and Crime Commissioner and the CFO of the Chief Constable
  - Organisational structure charts
  - Job descriptions and specifications
  - Conditions of employment
  - Organisational review considers the above
3. **Determine a scheme of consent/delegation, including a schedule of those matters specifically reserved for decision by the Commissioner, taking account of relevant legislation and ensure that it is monitored and updated when required.**
  - Suite of governance documents identify levels of authorisation and responsibilities delegated by the PCC
  - Scheme of Governance
  - Standing Orders
  - Financial Regulations
  - Internal scheme of delegation identifies levels and authorisation of responsibilities delegated by the Constabulary DoR.
  - 2014 internal audit of decisions made under delegated authority

**4. Work with stakeholders and communities to develop and deliver against clearly defined strategic plans, priorities and measurable outcomes to drive improvements in policing services.**

- Lancashire Community Safety Strategy Group
- Lancashire Improving Futures Programme (LIFP)
- Multi-Agency Safeguarding Hubs (MASH)
- Lancashire Safeguarding Children Boards
- Lancashire Safeguarding Adults Boards
- Lancashire Domestic Violence Partnership
- Lancashire Partnership for Road Safety
- Strategic Rape Partnership
- MAPPA (Multi Agency Public Protection Arrangements).
- Integrated Offender Management
- Early Action / Operation Avert
- Independent Advisory Groups

**5. Ensure when working in partnership and in commissioning services that the arrangements for governance and accountability for performance and financial administration are clearly articulated and disseminated.**

- Lancashire Community Safety Strategy Group
- Constabulary Strategic Partnership Policy and Procedures
- NW Regional Collaboration Baseline
- MASH Operating Policy and Procedures
- Sec 136 Mental Health Protocols
- LFRS Response Protocols
- NWS Response Protocols

CORE PRINCIPLE 3	ADEQUACY	GOOD
<b>Promoting their values and demonstrating the values of good governance through upholding high standards of conduct and behaviour.</b>		
<p><b>To achieve this, the Commissioner and Chief Constable will:</b></p> <ol style="list-style-type: none"> <li>1. Ensure that their leadership sets a tone for their respective organisations by creating a climate of openness, support and respect</li> <li>2. Ensure that standards of conduct and personal behaviour expected between the Commissioner, Deputy Commissioner, staff of the OPCC, and staff and officers of the Constabulary are defined and communicated through appropriate codes of conduct and protocols</li> <li>3. Put in place arrangements to ensure that the Commissioner's and Constabulary's systems and processes are designed to conform with appropriate ethical standards and monitor their continuing effectiveness in practice</li> <li>4. Put in place arrangements to ensure that the Commissioner, Deputy Commissioner and staff of the OPCC and officers and staff of the Constabulary are not influenced by prejudice, bias or conflicts of interest when dealing with different stakeholders and working in partnership.</li> </ol>		
<b>EVIDENCE AND COMMENTS</b>		
<ol style="list-style-type: none"> <li>1. <b>Ensure that their leadership sets a tone for their respective organisations by creating a climate of openness, support and respect.</b> <ul style="list-style-type: none"> <li>- Constabulary core values</li> <li>- Leadership Commitment (Know Your Staff, Stuff, Self)</li> <li>- Consultation and engagement with the workforce and representative associations</li> <li>- "The Buzz" – engenders open discussion and challenge</li> <li>- The 'Buzzometer'</li> <li>- Cultural change programme</li> <li>- Well-being Strategy, Toolkit, Ambassadors, Big White Wall</li> <li>- People Strategy</li> <li>- Code of Ethics</li> <li>- Ethics Panel</li> </ul> </li>   <li>2. <b>Ensure that standards of conduct and personal behaviour expected between the Commissioner, Deputy Commissioner, staff of the OPCC, and staff and officers of the Constabulary are defined and communicated through appropriate codes of conduct and protocols.</b> <ul style="list-style-type: none"> <li>- Constabulary Values and 'Ten Standards of Professional Behaviour'</li> <li>- Police Officer and Staff Codes of Conduct</li> <li>- College of Policing Code of Ethics</li> <li>- Ethics Panel</li> <li>- Joint Ethics Committee</li> <li>- Constabulary Counter Corruption Strategy</li> <li>- Policies relating to business interests, gifts and hospitality, media relationships, unmanageable debt, reportable associations etc.</li> <li>- Integrity Action Plan</li> <li>- PSD Intranet site</li> <li>- Internal publicity about the work of the Intelligence and Anti-Corruption Team (IACT)</li> <li>- Confidential reporting facility – Safeguard</li> <li>- Risk Management Meetings identify potential vulnerabilities with high risk areas assessed and audited</li> </ul> </li> </ol>		

**3. Put in place arrangements to ensure that the Commissioner's and Constabulary's systems and processes are designed to conform to appropriate ethical standards and monitor their continuing effectiveness in practice.**

- Corporate Credit Card transactions monitored and audited
- Core financial systems including payment of salaries and expenses subject to internal and external audit
- Centralised procurement and contractual arrangements and clear guidelines for appropriate relationships with prospective and existing suppliers
- Routine dip sampling and audit of self-authorising expenses system
- Routine dip-sampling of gifts and hospitality register
- Routine dip-sampling of chief officer expenses
- Internal Audit Plan

**4. Put in place arrangements to ensure that the Commissioner, Deputy Commissioner and staff of the OPCC and officers and staff of the Constabulary are not influenced by prejudice, bias or conflicts of interest when dealing with different stakeholders and working in partnership.**

- General Conditions of Contract and Prevention of Corruption Acts
- Purchasing and Contracts - centralised arrangements
- Electronic bidding process for contracts
- Scheme of delegation for the acceptance of tenders by different levels of management
- A template outlining the costs, risks and benefits, of each contract recommendation ensures that full disclosure is given in all decision making
- Register of business interests
- Gifts and Hospitality Register

**Taking informed and transparent decisions which are subject to effective scrutiny risk management arrangements****To achieve this, the Commissioner and Chief Constable will:**

1. Develop and maintain effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations.
2. Develop and maintain effective arrangements to challenge and scrutinise performance and compliance with other requirements.
3. Ensure that the two corporations sole work together to obtain objective and timely information which is necessary to take balanced and informed decisions.
4. Ensure that risk management is embedded both within the OPCC and Constabulary and is used effectively to inform and focus its decision making, scrutiny and monitoring work.
5. Ensure that both the Commissioner and Constabulary have effective, transparent and accessible arrangements in place for dealing with complaints
6. Actively recognise the limits of lawful activity and ensure that professional advice on matters with legal or financial implications is available and used appropriately and in acting as a Commissioner of services, the Commissioner will agree the priorities or outcomes to be delivered through a contract or grant agreement with each provider.

**EVIDENCE AND COMMENTS****1. Develop and maintain effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations.**

- Standard "Issue Report" template for all tactical and strategic decision making
- Record maintained of all decisions and rationale
- Standard template requires full analysis of the financial and associated implications of any new spending plans for approval by the DoR / PCC
- Effective audit trail of delegated decision making

**2. Develop and maintain effective arrangements to challenge and scrutinise performance and compliance with other requirements.**

- Quarterly Performance Review
- CPD Review
- Performance Improvement Unit
- Scrutiny Plan linked to the Police and Crime Plan Priorities
- Quarterly Strategic Scrutiny Meeting
- Joint Scrutiny Working Group
- Strategic Management Board
- CC and PCC regular informal meetings
- Information Assurance Board
- Diversity and Equality Board
- Strategic People Board



**3. Ensure that the two corporations sole work together to obtain objective and timely information which is necessary to take balanced and informed decisions.**

- OPCC members routinely attend Constabulary strategic meetings and sit on each of the Organisational Reviews.
- Joint Management Board
- Joint Development Group
- Strategic Scrutiny Meeting
- Informal meetings between Constabulary Chief Officers and OPCC
- Budget setting process

**4. Ensure that risk management is embedded both within the OPCC and Constabulary and is used effectively to inform and focus its decision making, scrutiny and monitoring work.**

- Deputy Chief Constable has overall responsibility for risk management
- Risk Management Policy and supporting Procedures
- Risk Management Group
- Strategic Forecast monitored through the SMB
- Register of 'controlled' risks
- Bespoke risk registers for significant projects and programmes
- Business Continuity Management Policy and Plans
- BC Plans routinely tested
- Disaster Recovery (DR) fall-back arrangement for ICT, along with a supporting robust DR plan

**5. Ensure that both the Commissioner and Constabulary have effective, transparent and accessible arrangements in place for dealing with complaints.**

- Professional Standards Department receives and records all complaints
- Electronic recording system for complaints
- Complaints trend / exception data reported to Divisions for action where appropriate
- Complaints data routinely reported to OPCC
- IPCC and OPCC have a level of scrutiny over complaints and receive quarterly reports about the work of PSD, Vetting and Civil Claims
- Organisational and individual learning arising from complaints is identified and addressed

**6. Actively recognise the limits of lawful activity and ensure that professional advice on matters with legal or financial implications is available and used appropriately and in acting as a Commissioner of services, the Commissioner will agree the priorities or outcomes to be delivered through a contract or grant agreement with each provider.**

- Legal Services Department offers advice on legal matters
- Expert legal advice is sought externally where necessary
- Legal and financial implications of all policy and strategic decisions recorded and considered through the SMB

CORE PRINCIPLE 5	ADEQUACY	GOOD
<p><b>Developing the capacity and capability of the Commissioner, Deputy Commissioner and all officers and staff within the OPCC and Constabulary to be effective in their roles.</b></p>		
<p><b>To achieve this, the Commissioner and Chief Constable will:</b></p>		
<ol style="list-style-type: none"> <li>1. Ensure, through effective planning, processes, procedures and appropriate allocation and use of funding, that officers and staff of the OPCC and Constabulary have the skills, resources and support necessary to perform effectively in their roles and functions</li> <li>2. Provide induction programmes tailored to individual needs as well as opportunities for officers and staff of the OPCC and Constabulary to update their knowledge on an on-going basis</li> <li>3. Regularly assess performance, as well as the skills required by officers and staff of the OPCC and Constabulary, and make a commitment to develop those skills to enable roles to be carried out effectively.</li> <li>4. Ensure there are effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in policing.</li> </ol>		
EVIDENCE AND COMMENTS		
<ol style="list-style-type: none"> <li>1. <b>Ensure, through effective planning, processes, procedures and appropriate allocation and use of funding, that officers and staff of the OPCC and Constabulary have the skills, resources and support necessary to perform effectively in their roles and functions.</b> <ul style="list-style-type: none"> <li>- Costed HR Plan</li> <li>- Strategic Resourcing Group and Resource Implications Group</li> <li>- Workforce 'Step-Down' Model</li> <li>- Recruitment and selection processes subject to rigour and oversight by senior HR professionals</li> <li>- People Strategy and Plan</li> <li>- Strategic People Board</li> <li>- HR data scrutinised by the PCC through the SMB, QPR and at the quarterly Strategic Scrutiny Meeting</li> <li>- Consultative approach to organisational review</li> <li>- Wellbeing Strategy</li> </ul> </li> <li>2. <b>Provide induction programmes tailored to individual needs as well as opportunities for officers and staff of the OPCC and Constabulary to update their knowledge on an on-going basis.</b> <ul style="list-style-type: none"> <li>- Learning &amp; Development Performance Framework</li> <li>- Learning &amp; Development Strategy</li> <li>- Learning &amp; Development Annual Training Plan</li> <li>- Leadership Development Framework</li> <li>- Induction and familiarisation programmes</li> </ul> </li> </ol>		

**3. Regularly assess performance, as well as the skills required by officers and staff of the OPCC and Constabulary, and make a commitment to develop those skills to enable roles to be carried out effectively.**

- Job descriptions and role specifications for every role
- Specified competencies and behaviours
- Electronic CPD system incorporates both development and improvement plans
- Performance Improvement Unit
- Talent management programmes
- Leadership development programmes
- L&D Strategy and Plan

**4. Ensure there are effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in policing.**

- Citizens in Policing Programme - cadets, volunteers and Special Constables
- Bespoke plans provide governance around progress in each of the three areas.
- External funding secured
- Citizens in Policing Development Officer
- National Volunteer Police Cadet Development Officer,
- CIP conference,
- National VPC conference July 2013
- Independent Advisory Groups
- Key Individual Networks
- PACT
- In the Know
- Best Use of Stop and Search

CORE PRINCIPLE 6	ADEQUACY	GOOD
<b>Engage with local people and other stakeholders to ensure robust public accountability.</b>		
<p><b>To achieve this, the Commissioner and Chief Constable will:-</b></p> <ol style="list-style-type: none"> <li>1. Make clear to all officers and staff, the community and stakeholders, what they are accountable for and to whom</li> <li>2. Ensure arrangements are in place to enable effective engagement with partners, stakeholders, all sections of the community and victims of crime, recognising that different sections of the community will have different priorities</li> <li>3. Ensure that processes for taking decisions about matters where there are competing demands from different sections of the community openly recognise and address those differences</li> <li>4. Hold meetings in public unless there are good reasons for confidentiality and</li> <li>5. Regularly publish information on the Commissioner's and Constabulary's work, achievements and satisfaction of users, including the publication by the Commissioner of a Police and Crime Plan and an Annual Report.</li> </ol>		
EVIDENCE AND COMMENTS		
<ol style="list-style-type: none"> <li><b>1. Make clear to all officers and staff, the community and stakeholders, what they are accountable for and to whom.</b> <ul style="list-style-type: none"> <li>- Police Reform and Social Responsibility Act 2011</li> <li>- Policing Protocol Order</li> <li>- Police and Crime Plan</li> <li>- Websites</li> <li>- Scheme of Governance</li> <li>- Stage 1 and 2 Transfer</li> <li>- Strategic Scrutiny Plan and Meeting</li> <li>- Lancashire Community Safety Strategy Group</li> <li>- Code of Ethics</li> </ul> </li>   <li><b>2. Ensure arrangements are in place to enable effective engagement with partners, stakeholders, all sections of the community and victims of crime, recognising that different sections of the community will have different priorities.</b> <ul style="list-style-type: none"> <li>- PACT</li> <li>- Street briefings</li> <li>- In the Know</li> <li>- Independent Advisory Groups (IAGs) and Key Individual Networks (KINs)</li> <li>- Local satisfaction and confidence surveys</li> <li>- Digital communications strategy</li> <li>- Website - local neighbourhood pages</li> <li>- Digital Engagement Plan - developing self-service approaches and exploring e-contact, such as 'Apps'.</li> <li>- 'The Buzz'</li> <li>- Best Use of Stop and Search</li> </ul> </li> </ol>		

**3. Ensure that processes for taking decisions about matters where there are competing demands from different sections of the community openly recognise and address those differences.**

- General Equality Duty Assessment
- Policy Consultation
- Independent Advisory Groups and KINs
- Positive action on recruitment
- Evidence based research on VME satisfaction

**4. Hold meetings in public unless there are good reasons for confidentiality.**

- PACT
- Street Briefings
- Social media platforms

**5. Regularly publish information on the Commissioner's and Constabulary's work, achievements and satisfaction of users, including the publication by the Commissioner of a Police and Crime Plan and an Annual Report.**

- ICO Publication Scheme
- Police and Crime Plan
- Annual Report
- National statistical releases
- Crime maps and local policing pages
- Best Use of Stop and Search
- Newsletters
- Facebook and Twitter
- 'In the Know'
- Digital Engagement Plan
- Press Releases
- Advertising campaigns