



# **Sussex Police**

**Serving Sussex**

www.sussex.police.uk

## **Sussex Police Chief Constable's Annual Governance Statement 2014-15**

### **1 Introduction**

- 1.1 This statement sets out how Sussex Police complies with the requirements of the CIPFA/SOLACE Good Governance Framework<sup>1</sup>. It is designed to complement the Statement of the Sussex Police and Crime Commissioner to give the full picture of governance within Sussex Police and the Office of the Police and Crime Commissioner for Sussex.
- 1.2 This Annual Governance Statement provides a summary of the extent to which the aspirations set out in the Code of Corporate Governance<sup>2</sup> (in place from 1<sup>st</sup> April 2014) were being met during 2014-15. This statement is informed by assurance on the six principles of the Code and by on-going audit inspection.

### **2 Scope of Responsibilities**

- 2.1 Sussex Police (hereafter referred to as the Force) and the Sussex Police and Crime Commissioner (Sussex PCC) are responsible for ensuring business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, and appropriately. The Force has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness. In discharging this overall responsibility, the Force is responsible for putting in place proper arrangements for the governance of its affairs and facilitating the exercise of its functions, including a sound system of internal control and management of risk.
- 2.2 The Force continues to follow the principles of the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives and Senior Managers (SOLACE) Framework: 'Delivering Good Governance in Local Government'.
- 2.3 This statement explains how the Force has complied with the principles and also meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit (Amendment) (England) Regulations 2006 in relation to the publication of a statement on internal control. The Force's financial management arrangements conform to the governance requirements of CIPFA's Statement on the Role of the Chief Finance Officer in Local Government (2010) as set out in the Statement on 'The role of the Chief Finance Officer of the Police and Crime Commissioner and the Chief Finance Officer of the Chief Constable (July 2012)'.

---

<sup>1</sup> CIPFA/SOLACE – the Chartered Institute of Public Finance and Accountancy/Society of Local Authority Chief Executives

<sup>2</sup> Code of Corporate Governance

### 3 The Purpose of the Governance Framework

3.1 The governance framework comprises the systems, processes, culture and values by which the Force is directed and controlled and its activities through which it accounts to and engages with the community. It enables the Force to monitor the achievement of its strategic objectives – as set out by the Sussex PCC in the Police and Crime Plan<sup>3</sup> and the Strategic Policing Requirement<sup>4</sup> - and to consider whether those objectives have led to the delivery of appropriate, cost-effective services, including achieving value for money.

### 4 The Governance Framework

4.1 The statutory framework within which the both the PCC and Force operate is as follows:

- Police Reform and Social Responsibility Act 2011
- Policing Protocol Order 2011
- Financial Management Code of Practice
- Strategic Policing Requirement
- The Police and Crime commissioner elections (declaration of acceptance of Office) Order 2012.

4.2 The Chief Constable of Sussex Police is responsible for operational policing matters, the direction and control of police personnel, and for putting in place proper arrangements for the governance of the Force. The Sussex PCC is required to hold him/her to account for the exercise of those functions and those of the persons under his/her direction and control. It therefore follows that the PCC must satisfy herself that the Force has appropriate mechanisms in place for the maintenance of good governance, and that these operate in practice.

4.3 Under the Police Reform and Social Responsibility Act (2011) the Sussex PCC has a statutory function to produce a Police and Crime Plan and the Force supports the Sussex PCC in the delivery of the four priority areas that have been identified:

- Crime and Community Safety
- Victim Focus
- Public Confidence
- Value for Money

4.4 A governance framework, collectively known as the Scheme of Corporate Governance, is in place and includes the Code of Corporate Governance, Memorandum of Understanding, Decision-making Framework, Schemes of Delegation, Financial Regulations and Contract Standing Orders. The Force system of internal control, based on a framework of policies and procedures, is a significant part of the Force governance framework and is designed to manage risk to a reasonable and foreseeable level. The Force cannot eliminate all risk of failure to achieve policies, aims and objectives; it can only provide reasonable but not absolute assurance of effectiveness.

4.5 The Code of Corporate Governance was introduced from 1<sup>st</sup> April 2014 and all strategic governance documents were reviewed in 2014-2015 as part of the annual review of governance documentation. As well as areas for improvement identified through other sources and inspections, the Code of Corporate Governance identifies a diarised

---

<sup>3</sup> [Sussex Police and Crime Plan](#)

<sup>4</sup> [Strategic Policing Requirement](#)

programme for the regular review of policies. A key element of this is the identification and management of risk.

4.6 Governance arrangements for both the Force and the PCC follow the six principles as identified in the revised Delivering Good Governance in Local Government: Guidance Note for Police (2012) detailed below. The joint Code of Corporate Governance provides a summary of governance arrangements and an assurance map setting out responsibilities

4.7 ***Principle 1: Focusing upon the purpose of the Sussex PCC and the Force and on outcomes for the community, and creating and implementing a vision for the local area.***

To achieve this, the Chief Constable has:

- Set out the Force vision and purpose in the Operational Delivery Plan<sup>5</sup> in accordance with the Police and Crime Plan<sup>3</sup> which sets out policing priorities to be delivered and which is reviewed annually;
- Provided a commitment to the public to reduce the risk of crime in Sussex; to improve the experiences and satisfaction of people using Sussex Police services; to increase public confidence and deliver value for money services;
- Engaged with the public to better understand and address issues that have a negative impact on communities;
- Established a Medium Term Financial Plan supported by robust, sustainable multi-year budgets to deliver the vision set out in the Police and Crime Plan;
- Decided how the quality of service for users is to be measured and ensures that the information needed to regularly and effectively review service quality is available;
- Established a robust performance framework that ensures that the Chief Constable is informed of progress against key performance targets;
- Has continued to review the key functions, departments and activities, to ensure that the delivery of all elements of policing are effective and efficient; actively pursued joint working opportunities at a local, regional and national level, which has resulted in a number of policing services being delivered in collaboration with other organisations and bodies, particularly with the Surrey PCC and Surrey Police and other force areas for the delivery of specific services. Her Majesty's Inspectorate of Constabulary (HMIC) in the Sussex Police Effective, Efficiency, and Legitimacy Assessment has assessed the Force as "good" in all areas, where graded judgements were given, except for the way the Force investigates crime where the force was assessed as requiring improvement<sup>6</sup>.
- Ensured that the force has met its Equality and Diversity obligations as set out in the Equality Act 2010 and the Public Sector Equality Duty 2011.

4.8 ***Principle 2: Leaders, officers and partners working together to achieve a common purpose within clearly defined functions and roles.***

To achieve this, the Chief Constable has:

- A detailed organisation structure, with clearly defined responsibilities and terms of reference, as set out in the interim governance assurance map published April 2014<sup>7</sup>;
- Established clear roles and responsibilities for each of the Force's senior officers;
- Undertaken an annual review of the Corporate Governance arrangements, including updating the Financial Regulations and Contract Standing Orders which define the functions and delegated authorities of senior officers and support the Force vision.

---

<sup>5</sup> [Operational Delivery Plan](#)

<sup>6</sup> [Sussex HMIC PEEL Assessment](#)

<sup>7</sup> [Governance Assurance Map](#)

- Promoted an ethos of continuous improvement across the Force in order to reduce organisation costs and improve performance;
- Ensured an effective Personal Development Review process for all staff allowing clear objective setting to support the delivery of the Operational Delivery Plan.

4.9 ***Principle 3: Promoting values for the Force and demonstrating the values of good governance through upholding high standards of conduct and behaviour.***

To achieve this, the Chief Constable has:

- Ensured that officers and staff carry out their respective roles in a climate of openness, support and respect;
- Developed standards of conduct and personal behaviour which are defined and communicated through appropriate codes of conduct and protocols and the Code of Ethics;
- Ensured a policy on counter fraud and corruption is in place which clearly sets out the procedures to be operated and which is designed to encourage prevention, promote detection and identify a clear pathway for the investigation of fraudulent and/or corrupt practices or behaviour, making clear statements to that effect within the Operational Delivery Plan;
- Ensured appropriate and long established whistle-blowing arrangements and processes in place;
- Established procedures for dealing with and investigating complaints which are in line with national guidelines;
- Agreed actions to address recommendations set out in the national and Sussex HMIC reports “Police Integrity and Corruption”<sup>8</sup> (See paragraph 7.5). HMIC found that “Sussex Police has made good progress in communicating to all staff the importance of acting with integrity at all times while fulfilling their duties. The force has implemented systems to prevent and detect corruption effectively”. HMIC also highlighted that there is clear leadership from the chief officer team and stated that “There is a clear ethical foundation within Sussex Police driven by the chief constable’s commitment to embed force values and integrity”.

4.10 ***Principle 4: Taking informed and transparent decisions, which are subject to effective scrutiny and managing risk.***

To achieve this, the Chief Constable has:

- Ensured that all decision making is carried out in accordance with the governance framework as set out in the Scheme of Corporate Governance;
- Continued to work to embed ethical decision making at all levels following the National Decision Making Model, which has at its centre the Code of Ethics.
- Ensured transparency through publishing as much information as possible on subjects where there is known to be public interest. In providing this information the Force follows the legally approved model publication scheme issued by the Information Commissioner.
- Developed and maintained effective arrangements to challenge and scrutinise the Force’s own performance; this includes the development of the Sussex Police dashboard which allows scrutiny of delivery against the Police and Crime Plan by both the Force and PCC.
- Continued to develop and improve the performance management framework, which underpins operational policing delivery of the Police and Crime Plan, allowing the Force and the PCC to look in detail at different crime types and different policing areas across Sussex;

<sup>8</sup> [HMIC Police Integrity and Corruption, Sussex report, Nov 2014](#)

- Compared performance against peer data as provided by HMIC 2014 Value for Money profiles<sup>9</sup> and the HMIC Responding to Austerity<sup>10</sup> report seeking improvement where recommendations and best practice were identified;
- Ensured individual change programmes contain business cases to secure value for money, programme and project plans to evidence effective resources management, quality measures and projected benefits;
- Ensured change programme and project expenditure was scrutinised and challenged by Chief Officers via relevant programme and project boards led by Chief Officers
- Ensured that a risk management strategy is in place, reviewed by the JAC, and that this is embedded in the governance structure and is used effectively to inform and focus decision making;
- Ensured the maintenance of a Corporate Risk Register with the Deputy Chief Constable having formal accountability for the process;
- Ensured that the Force undergoes extensive internal and external inspection and the results of these inspections are published to allow appropriate scrutiny of decision making<sup>11</sup>;
- Continued to support the work of the JAC in its role of scrutiny and monitoring of governance and internal control.

#### 4.11 ***Principle 5: Developing the capacity and capability of all to be effective in their roles.***

To achieve this, the Chief Constable has:

- Ensured a proactive approach to staff development through the implementation of the “Workforce Strategy”;
- Implemented the Sussex Police Leadership Framework. This contains three individual frameworks covering Leadership Behaviours, Professional Skills and Business Skills. These frameworks describe what the Force expects from people who work for it, both staff and officers, at the various different grades and ranks in the organisation;
- Ensured that all officers and staff complete a regular Personal Development Review process with their named line manager, identifying training requirement(s) for individuals where appropriate;
- Implemented an Individual Performance Management Strategy, aimed at enhancing the understanding of the role of leader by developing a culture of effective feedback as a mechanism to achieve continuous improvement;
- Implemented a programme of leadership development;
- Reviewed succession planning of key roles within departments and where necessary put in place new plans to minimise risks;
- Ensured that a programme is in place for senior officers of the Force for their continuing professional development.
- Supported operational debriefs to further organisational learning and promote a culture of appropriate challenge.

#### 4.12 ***Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability.***

To achieve this, the Chief Constable has:

- Held regular meetings with local communities offering local people a chance to be heard, to discuss issues that affect them, to agree local action to tackle these issues and agree priorities;

<sup>9</sup> HMIC Value for Money Profile 2014 - Sussex

<sup>10</sup> HMIC Responding to Austerity, Sussex report, July 2014.

<sup>11</sup> <http://www.sussex.police.uk/policing-in-sussex/transparency/information-rights>

- Worked with partner organisations - through community safety partnerships and a range of others to tackle crime, disorder, anti-social behaviour, and to reduce re-offending;
- Ensured that user satisfaction surveys across a range of victim groups are conducted to a high standard providing the force with information about the quality of service these groups have received from the police service;
- Held regular meetings with the public through Neighbourhood Policing Teams to discuss local policing priorities and activities, with feedback from these meetings included as part of the Force's priority setting process;
- Continued to increase the amount of performance and workforce data available through the Force website to ensure transparency and to encourage increased public accountability;
- Continued to develop a website feedback facility and on-line surveys.

## **5 Review of Effectiveness**

- 5.1 The Force has responsibility for conducting regularly a review of the effectiveness of the governance framework including the system of internal audit and control. This Annual Governance Statement provides a summary of activities undertaken and areas for improvement have been included in the action plan for 2015-16.
- 5.2 These reviews have been informed by the work of the Corporate Services Branch who have the responsibility for the development and maintenance of the governance environment. The Corporate Services Branch has undertaken a self assessment review of the governance arrangements to ensure compliance with the CIPFA guidance. The review took place in March 2014.
- 5.3 The Corporate Services Branch is the Force lead for performance improvement, undertaking and coordinating inspection activity and providing the head of profession function for performance information and analysis, and criminal intelligence analysis.
- 5.4 In addition, regular inspection and assurance activity is undertaken by HMIC with external findings reported to the Sussex PCC. This external inspection activity is also co-ordinated by the Corporate Services Branch.
- 5.5 Assessments and recommendations made by the internal and external auditors and other review agencies and inspectorates have also informed this review. There is a robust mechanism to record and respond to recommendations and findings which is overseen by the Organisation Reassurance Board.
- 5.6 The Joint Audit Committee has been consulted on the development of the Annual Governance Statement. The draft statement is considered by the Committee and the final statement is considered at its meeting in July for recommendation for approval by the Chief Constable. The Committee ensures there is continuous improvement in the process and endorses the resulting action plan annually.
- 5.7 A process is established to ensure the Chief Constable and Sussex PCC, approve and sign off the Annual Governance Statement, in accordance with the CIPFA / SOLACE guidance.

## **6 Governance Issues**

- 6.1 No significant concerns were raised during the internal audit of the governance arrangements; however, a small number of issues were identified as areas for improvement. These improvements, to further enhance our governance arrangements, are identified below together with on-going actions continued from 2013-14.

## **7. Areas for Improvement**

- 7.1 Following the Force self assessment review of compliance with CIPFA guidance and recommendations from internal and external auditors and other review agencies, improvements are being developed to further enhance our governance.

### **Continuing from 2013-14 Annual Governance Statement:**

- 7.2 Following completion of a partnership register, a policy statement will be developed for the Force setting out how all partnership work will deliver the Police and Crime Plan/Operational Delivery Plan, within the context of the Local Policing Model referencing shared values against which decision making and actions can be judged, setting objectives and defining the methodology for monitoring.

### **From internal audit/HMIC:**

- 7.3 The internal audit of Information Management identified 4 recommendations, including a review of the Information Strategy delivery plan, establishment of a performance dashboard review of the Information Security Policy and development of the information asset register. Agreed actions will be overseen by the Force Information Management Strategy Board.
- 7.4 The internal audit of Risk Management identified that monitoring reports should be developed and used to monitor effectiveness of compliance with the completion of risk registers. A process will be implemented to address this recommendation.
- 7.5 HMIC identified five recommendations in the Sussex report on Crime Data Integrity<sup>12</sup> published in November 2014. Actions to address these will be progressed and assurance of completion confirmed to the Organisation Reassurance Board.
- 7.6 HMIC identified two recommendations in the Sussex report on Police Integrity and Corruption. Actions to address these will be progressed and overseen by the force Integrity and Professionalism Group and assurance of completion confirmed to the Organisation Reassurance Board

### **New areas for improvement identified in 2014-15:**

- 7.7 Scrutiny of the Force's Policing Together, Local Policing Programme and other savings plans, beyond 2015, to ensure as far as possible that the significant reduction in funding and police resources over the period does not adversely impact upon the standards and current levels of service delivered by the Force for the residents of Sussex.
- 7.8 The Force will review and develop governance arrangements to monitor the delivery of savings plans to ensure significant budget reductions are achieved over the next five years.

---

<sup>12</sup> [HMIC Crime Data Integrity, Sussex report](#), November 2014

- 7.9 The Force will ensure that there is appropriate oversight and good governance in relation to managing the implementation of the Joint Surrey/Sussex IT Strategy and associated risks.
- 7.10 The Force will ensure that there is appropriate governance in place in relation to the Estates strategy and the decision making process to ensure the most effective provision and maintenance of police resources.
- 7.11 Both Sussex and Surrey Police and Crime Commissioners and forces are committed to greater collaboration. Where agreement and timetabling is reached, it is intended for both forces to align corporate governance and decision-making arrangements in the collaborative space.
- 7.12 In consultation with the Joint Audit committee, work will be undertaken to develop an Assurance Framework including developing the governance assurance map to reflect the Force governance structures in place.
- 7.13 The force will review the information that is made available to the public to ensure that the Force is as open and transparent as possible in its dealings with the public, transparent with regard to the decision making process and consistent with the requirements of the law.

## **8. Certification**

This statement has been prepared on the basis of the review of effectiveness of governance arrangements. Advice and recommendations on the Annual Governance Statement have been received from internal and external auditors and the JAC. It represents a fair and reasonable assessment of current arrangements and plans for improvement within Sussex Police.

**Giles York, Chief Constable – Sussex Police**

**Mark Baker, Director of Finance– Sussex Police**

Contact details:

Mark Baker

Director of Finance

Sussex Police

[mark.s.baker@sussex.pnn.police.uk](mailto:mark.s.baker@sussex.pnn.police.uk)

101 Ext: 44051