



**Sussex Police**  
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## Sussex Police Chief Constable's Annual Governance Statement 2013-14

### 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 2013-14. 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 within the Code and also meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2011 in relation to the publication of an annual governance statement. The Force's financial management arrangements conform to the governance requirements of CIPFA's Statement on the Role of the Chief Financial 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)'.

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<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.
- 3.2 The monitoring of the governance framework through the Joint Audit Committee (hereafter referred to as the JAC) provides additional assurance of statutory compliance and of the effectiveness of the system of internal control and governance to the Chief Constable and the Sussex PCC. The annual review of the the evidence of compliance to the governance framework provides assurances to the Committee that the Annual Governance Statement demonstrates how governance supports the achievements of the Sussex PCC's objectives.

### **4 The Governance Framework**

- 4.1 The statutory framework within which both the PCC and Force operate are 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. The four priority areas that the Sussex PCC will work with Sussex Police, engage with communities and work in partnership to address are:
- Crime and Community Safety
  - Victim Focus
  - Public Confidence
  - Value for Money
- 4.4 The system of internal control is based on a framework of policies and procedures put in place to provide internal control and mitigate any identified risks. The framework includes the Code of Corporate Governance, Schemes of Delegation, Financial Regulations, Contract Standing Orders as well as local processes and procedures specific to the Office of the Police and Crime Commissioner for Sussex. The system of internal control 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

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

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

policies, aims and objectives; it can only provide reasonable but not absolute assurance of effectiveness.

- 4.5 The governance framework has been in place for the year ended 31 March 2014 and a new Joint Code of Corporate Governance has been introduced following its approval by the Sussex PCC in March 2014. All strategic governance documents were reviewed in 2013-2014 as part of the Stage 2 transfer requirements under the Police Reform and Social Responsibility Act 2011. As well as areas for improvement identified through other sources and inspections, the new Code of Corporate Governance identifies a diarised 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 was developed during 2013-2014 to provide 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 Sussex Police 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, as part of the Serving Sussex 2015 change programme, 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.

- 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 which are monitored and updated when required, as set out in the governance assurance map<sup>6</sup>;

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

- Established clear roles and responsibilities for each of the Force's senior officers;
- Undertaken a 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. Changes have been made to reflect Stage 2 transfer requirements under the Police Reform and Social Responsibility Act 2011 and joint working arrangements with Surrey Police.
- 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 Force Values;
- Adopted a policy on counter fraud and corruption 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 2014 Operational Delivery Plan;
- 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;
- Implemented recommendations set out in the Her Majesty's Inspection of Constabulary (HMIC) report "Revisiting Police Relationships" to address national and local issues.

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 recently agreed Code of Corporate Governance;
- Ensured transparency through the publication of minutes of Force meetings on the Sussex Police website.
- Developed and maintained effective arrangements to challenge and scrutinise the Force's own performance and compliance with other requirements – verified by the internal audit review of performance management and the "substantial assurance" opinion given;
- Introduced a the new performance management framework in 2013 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;
- Compared performance against peer data as provided by HMIC 2013 Value for Money profiles<sup>7</sup> and the HMIC Valuing the Police 3<sup>8</sup> report seeking improvement where recommendations and best practice were identified;

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<sup>6</sup> [Governance Assurance Map](#)

<sup>7</sup> [Sussex – 2013 Value for money profile](#)

<sup>8</sup> [Sussex – Response to the funding challenge](#)

- Ensured individual change programmes contain business cases to ensure 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;
- 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”;
- Introduced 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 for individuals where appropriate;
- Implemented a new 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 new 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.

#### 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;
- Worked with partner organisations - through community safety partnerships and a range of other fora - 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 reviewing the effectiveness of the governance framework including the system of internal audit and control. This is done annually through the annual governance formal review processes also throughout the year as part of the challenge and accountability activity. This Annual Governance Statement provides a summary of activities undertaken and areas for improvement have been included in the action plan for 2014-15.
- 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.
- 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. Assurance of compliance has been provided by a comprehensive internal audit of governance processes, undertaken during 2013-14.
- 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 at its meeting in June and the final statement is recommended for approval at its meeting in September. 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 2012-13.

## **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 2012-13 Annual Governance Statement:**

- 7.2 Scrutiny of the Force's Serving Sussex 2015 programme and developing plans, beyond 2015, to ensure as far as possible that the significant reduction in funding over the period does not adversely impact upon the standards and current levels of service delivered by the Force for the residents of Sussex.
- 7.3 Recommendations will be implemented to address issues identified by internal audit as "high priority" and progress reported to the JAC. This will include actions to address the findings from internal audit reports that received "limited assurance". (In 2013-14 Payroll, Accounts Receivable, Special Constabulary and Pensions)

**From internal audit of Corporate Governance Arrangements:**

- 7.4 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, referencing shared values against which decision making and actions can be judged, setting objectives and defining the methodology for monitoring.
- 7.5 The Force will review policies and procedures listed in the Code of Governance annually.
- 7.6 A joint PCC and Force assurance map will be developed.

**New areas for improvement identified in 2013-14:**

- 7.7 The Force will review and implement new governance arrangements to monitor and review the delivery of savings plans to ensure significant budget reductions are achieved over the next four years.
- 7.8 Both Sussex and Surrey Police and Crime Commissioners and forces are committed to greater collaboration. Once agreement over the operating model and timetabling has been reached, it is intended for both forces to align corporate governance and decision-making arrangements. It is currently projected that this process will run concurrently with the development of the target operating model.
- 7.9 The Force will ensure that there is appropriate oversight and good governance in relation to managing the risks of the implementation of the joint IT service provision with Surrey.
- 7.10 The Force will ensure the implementation of additional resources to address the threat of cyber crime. This new ongoing investment, funded through the increased precept, was agreed as part of the 2014-15 revenue budget.
- 7.11 The Code of Ethics for policing will be introduced in accordance with direction provided by the College of Policing and an assessment made of any training requirement/materials produced by the College to ensure that the universal codes of conduct are embedded for all officers and staff.
- 7.12 A review of the Force gifts and hospitality policy contained within the Anti Fraud and Corruption policy will be undertaken during 2014-15 to enable it to be benchmarked against other forces allowing a comparison of the robustness of approaches to the acceptance of gifts and hospitality.

**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.

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