



**Sussex  
Police & Crime  
Commissioner**



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# **Code of Corporate Governance**

For the Sussex Police & Crime Commissioner and  
Chief Constable

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## **Code of Corporate Governance for the Sussex Police and Crime Commissioner and Chief Constable for Sussex Police**

The purpose of this code is to give clarity to the way the two corporations sole, the Police and Crime Commissioner for Sussex (PCC) and the Chief Constable of Sussex Police govern, both jointly and separately.

### **Context**

The principal statutory framework within which the corporations sole operate is:

- Police Reform and Social Responsibility Act 2011;
- Policing Protocol Order 2011;
- Revised Financial Management Code of Practice for the Police Forces of England and Wales and Fire and Rescue Authorities created under section 4A of the Fire and Rescue Services Act 2004 (Home Office 2018)
- Strategic Policing Requirement (Home Office 2015).

The PCC has two key statutory responsibilities:

- To secure the maintenance of an efficient and effective local police force;
- To hold to account the Chief Constable of Sussex Police for the exercise of his/her functions and those of persons under his/her direction and control.

In exercising these functions, the PCC is accountable to the electorate in the Sussex Police area.

The Chief Constable has a statutory responsibility for the control, direction and delivery of operational policing services provided by the Force.

A Joint Audit Committee will operate in line with Chartered Institute of Public Finance and Accountancy (CIPFA) guidance and within the guidance of the Financial Management Code of Practice to provide assurance of effective delivery of good governance.

In accordance with the CIPFA/Society of Local Authority Chief Executives and Senior Managers (SOLACE) guidance on corporate governance the Police and Crime Commissioner and Chief Constable are required to produce separate Annual Governance Statements to show how their respective organisations have complied with this joint code of corporate governance.

### **Seven Principles of Good Governance**

The CIPFA/SOLACE Framework, Delivering Good Governance in Local Government, published in 2007, established the principles and the standard against which all local government bodies, including police should assess themselves. Both corporations sole adopted these principles.

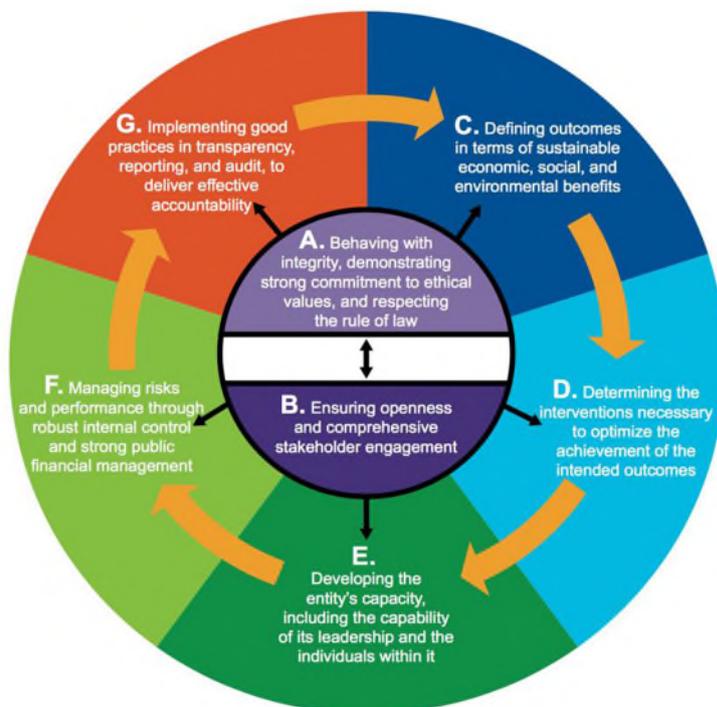
This framework and the additional guidance notes for Policing Bodies in England and Wales<sup>1</sup> was revised in 2016 and includes the seven principles of good governance applicable to local government set out in the

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<sup>1</sup> [Delivering Good Governance Guidance Notes for Policing Bodies in England and Wales 2016 Edition:](#)

International Framework: Good Governance in the Public Sector (CIPFA/International Federation of Accounts 2014)<sup>2</sup>. These principles are detailed in the diagram below:

### Relationships between the Principles of Good Governance in the Public Sector



The principles A and B underpin the whole governance framework and are implicit in the remaining five principles.

### Governance: Definition

Governance is about how organisations ensure that they are doing the right thing, in the right way, for the right people, in a timely, inclusive, open and accountable manner. It comprises the system, processes, culture and values by which organisations are directed and controlled, and through which they account to, engage with and lead their communities.

The 2016 framework uses the definition of governance set out in the International Framework:

*“Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.*

The International Framework also states that:

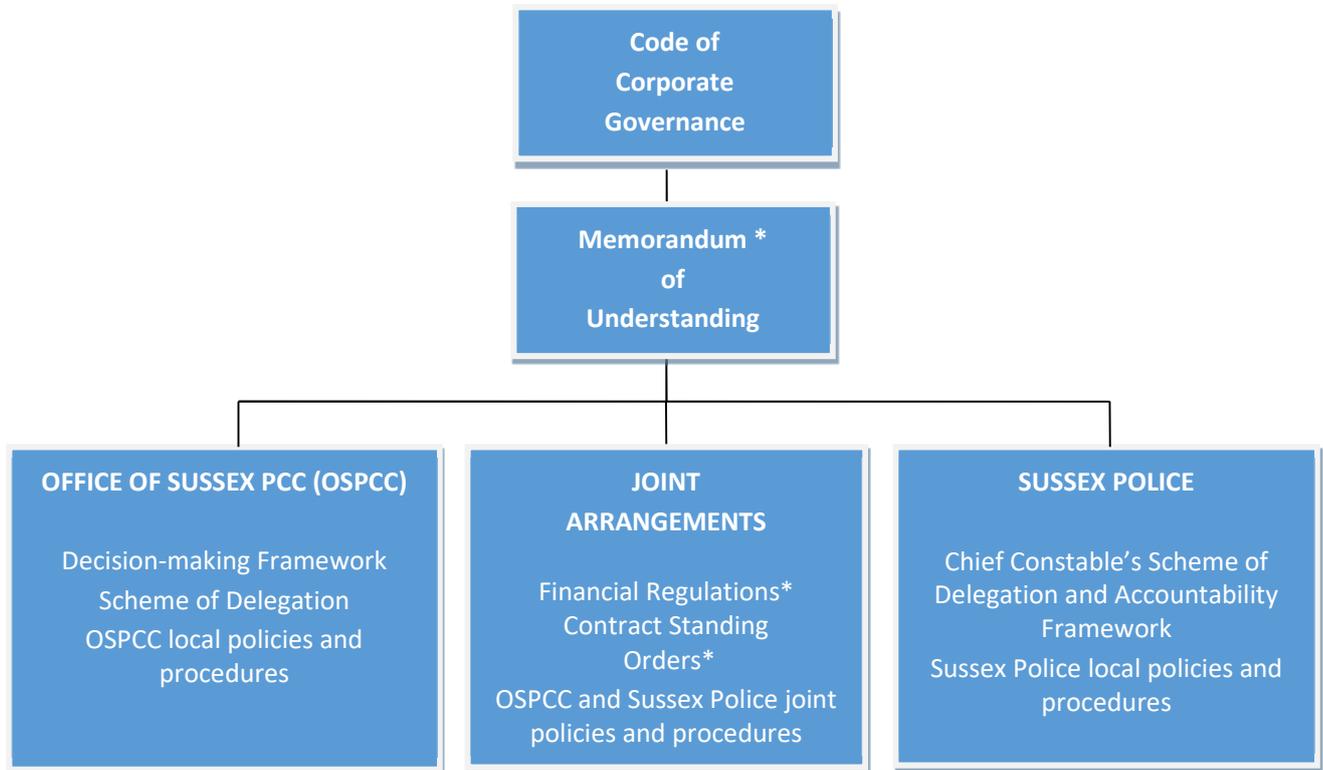
*“The fundamental function of good governance in the public sector is to ensure that entities achieve their intended outcomes while acting in the public interest at all times”.*

This Code of Corporate Governance describes how the Police and Crime Commissioner for Sussex and the Chief Constable of Sussex Police discharge their responsibilities in this respect, reflecting their commitment to the statutory requirements and local policies and procedures. It should be read alongside the memorandum of understanding, schemes of delegations, consents, financial regulations and standing orders relating to contracts.

<sup>2</sup> [International framework: good governance in the public sector](#)

## Governance Framework

The governance framework adopted by the Police and Crime Commissioner and Chief Constable consists of the following high-level documents, collectively known as the “Scheme of Corporate Governance”:



(\*N.B these documents are also joint arrangements with Surrey Police and the Office of Surrey Police & Crime Commissioner)

Details of all other policies within the Governance Framework, including a timetable for review are included in Appendix A to this code.

Throughout this code, the term “employees” refers to all police officers, police support staff, special constables, volunteers and other members of the wider policing family working for Sussex Police and the Office of the Sussex Police & Crime Commissioner (OSPCC) unless specified otherwise.

This code applies to all employees, contractors and/or agents providing a direct service to Sussex Police.

Sussex Police and the OSPCC have a Corporate Governance Working Group which is responsible for reviewing methodology and operation of the corporate governance arrangements and the Joint Audit Committee is included in the consultation process.

The Joint Audit Committee will review the framework and this code annually to ensure compliance with the CIPFA/SOLACE Framework for Delivering Good Governance.

The following paragraphs show how good corporate governance is delivered through each of the seven CIPFA/SOLACE principles.

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

The Policing Protocol 2011 requires all parties to abide by the seven Nolan principles and these will be central to the conduct and behaviour of everyone in the organisation. Those principles are set out in the relevant codes of conduct.

The Financial Management Code of Practice (Home Office, 2013) requires the PCC and Chief Constable to ensure that the good governance principles are embedded within the way that the organisations operate.

The Code of Ethics, produced by the College of Policing (2014), sets and defines the exemplary standards of behaviour for everyone who works in policing. The principles involved (accountability, fairness, honesty, integrity, leadership, objectivity, openness, respect and selflessness) underpin organisational culture.

The PCC and Chief Constable will set out their values in the respective corporate and strategic plans.

The PCC will hold accountability meetings with the Head of Professional Standards to ensure that the PCC has oversight of all integrity matters including complaints and can challenge where appropriate.

The PCC and Chief Constable will ensure that arrangements are in place for confidential reporting to which employees of both the PCC and Sussex and all those contracting with "Sussex Police" have access.

### **B: Ensuring openness and comprehensive stakeholder engagement**

The PCC, accountable to local people, will draw on this mandate to set and shape the strategic objectives for the Force area in consultation with the Chief Constable, taking into account the strategic policing requirement.

The Sussex Police and Crime Panel (PCP) has the power to scrutinise the PCC's activities, including the ability to review the Police and Crime Plan and annual report, request PCC papers and call the PCC to public hearings. The PCP can also veto decisions on the local council tax precept and the appointment of a new Chief Constable.

The PCC will hold the Chief Constable to account through public meetings utilising on-line access to ensure wider public access.

The purpose of the JAC is to provide independent advice and recommendations to the PCC and CC and helps to ensure efficient, effective and adequate assurance arrangements are in place for:

- the risk management framework
- the internal control environment
- financial reporting
- annual governance processes
- internal audit and external audit

The communication and engagement strategies will set out how the people of Sussex will be involved with the PCC and the Chief Constable to ensure they are part of the decision making, accountability and future direction.

Both the PCC and the Chief Constable will use a multi-channel approach to strengthen and build effective relationships with local communities and engage with the public.

The PCC will undertake a wide-ranging public engagement programme in order to reach out to a diverse and representative audience across Sussex.

The PCC and Chief Constable will seek to ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties and that the added value of partnership working is explicit.

Collaboration agreements will set out those areas of business to be undertaken jointly with other forces and local policing bodies, whether it be to reduce cost, increase efficiency or increase capability to protect local people.

The PCC and Chief Constable will provide clear reasoning and evidence for decisions in both public records and explanations to stakeholders and will be explicit about the criteria, rational and considerations used. In due course ensuring that the impact and consequences of those decisions is clear.

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

In each Police & Crime Commissioner election year, the PCC will consult on and publish a Police & Crime Plan. This will be reviewed annually during the four-year term of office. It outlines the police and crime objectives (outcomes) and the strategic direction for policing.

The Sussex Police Delivery Plan 2021 sets out how the Force will operate to support achievement of these objectives, following an assessment of current and future demand, capacity and capability. This strategy is in line with Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services' (HMICFRS) annual requirement for forces to produce a Force Management Statement.

The PCC and Chief Constable will jointly consider how best to achieve value for money and ensure that their agreed approach is reflected in the Police and Crime Plan objectives and associated delivery plans.

The PCC will present an annual report to the Police & Crime Panel setting out achievements against identified priorities.

A medium-term financial strategy will be developed jointly by the PCC and Chief Constable. This will be reviewed and refreshed at least annually to ensure delivery of the priority aims and objectives.

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

The maintenance of a medium-term financial strategy will form the basis of the annual budget and provide a framework for evaluating future proposals.

A process and governance structure is in place for scrutiny, analysis and evaluation of plans which will include option appraisal, techniques for assessing the impact of alternative approaches on the service's outcomes and benefits realisation. The Scheme of Corporate Governance forms a key part of this governance structure.

Effective risk management will support this process and will be regularly reviewed by the Joint Audit Committee.

The PCC and the Chief Constable will maintain effective workforce development and asset management plans.

Processes to monitor efficiency and value for money, including benchmarking of performance and costs will be maintained

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

The functions and areas of responsibility for the OSPCC and Sussex Police are set out clearly in the Memorandum of Understanding, Schemes of Delegation, and Financial Regulations.

The PCC has appointed two statutory officers, Chief Executive & Monitoring Officer and Chief Finance Officer. The Chief Executive will be the head of paid service and undertake the responsibilities of monitoring officer.

The Memorandum of Understanding is a statement of intent between the parties to work in partnership and to define an effective working relationship between the Commissioner and the Chief Constable. The purpose of the Memorandum of Understanding defines the role of the parties and the expectations of how they will work together.

The Schemes of Delegation highlight the parameters for key roles in the organisations including delegations or consents from the PCC or Chief Constable, financial regulations and contract standing orders.

Officers, police support staff and staff of the OSPCC will operate within the Code of Corporate Governance and local policies as set out in Appendix A.

Officers and staff will have job descriptions setting out their responsibilities. The people and personal development strategies of the OSPCC and Force will set the climate for continued development of individuals. The respective performance review processes for the OSPCC and Force will ensure that these strategies are turned into reality for officers and members of staff for both organisations.

The PCC will carry out regular reviews of the performance of the Chief Executive and the Chief Constable.

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

The PCC and Chief Constable will decide jointly how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.

Standards and processes to ensure the quality and accuracy of data used in the decision-making process will be in place.

All decisions will be taken within the principles set out in the decision-making framework.

The PCC and the Chief Constable have separate risk management strategies that establish how risk is managed throughout the various elements of corporate governance of the organisations, whether operating solely or jointly. Risk reports will be submitted to the Joint Audit Committee on a regular basis.

An information scheme will ensure that information relating to decisions will be made readily available to the public, with those of greater public interest receiving the highest level of transparency, except where operational and legal constraints exist.

Effective arrangements for the safe collection, storage, use and sharing of data, including processes to safeguard personal data (compliant with the General Data Protection Regulations) will be maintained. An information sharing policy has been agreed by PCC and the Chief Constable and is in place.

The Police and Crime Panel may challenge the decisions of the PCC in relation to her performance by scrutinising the way she exercises her functions.

The Scheme of Corporate Governance highlights the parameters for decision making, including consents, financial limits for specific matters and standing orders for contracts. Detailed arrangements for financial management and decision making are set out in Financial Regulations.

#### **G: Implementing good practices in transparency, reporting and audit to deliver effective accountability.**

The Scheme of Corporate Governance highlights the parameters for key roles in the corporations sole, including consents from the PCC or Chief Constable, financial regulations and standing orders.

Police officers, police staff and staff of the OSPCC will operate within:

- OPSCC or force policies and procedures;
- The corporate governance framework;
- Disciplinary regulations;
- Codes of conduct;
- Code of Ethics (College of Policing, 2014).

Internal audit reflects published guidance on standards.

The Joint Audit Committee operates within the CIPFA guidance and in accordance with the Financial Management Code of Practice.

#### **Arrangements for review of governance**

The PCC and Chief Constable are committed to a joint local Code of Corporate Governance and have put in place arrangements to annually review the effectiveness of the Code of Corporate Governance.

The PCC and Chief Constable will each produce an Annual Governance Statement (AGS) which will be published online alongside the annual Statement of Accounts. The AGS will include an action plan to rectify any significant areas of weakness in internal control and/or corporate governance.

The Joint Audit Committee will undertake an annual review of the appropriateness and implementation of the corporate governance code and framework through the Annual Governance Statement process and through the regular review of the currency of the key policies, processes and procedures as detailed in Appendix A. ([See Joint Audit Committee Terms of Reference](#)).

Internal audit, as part of their remit, gives assurance to the PCC and Chief Constable on the effectiveness of the controls in place to manage risks and provides an annual opinion on the effectiveness of the controls and provides regular updates to the Joint Audit Committee highlighting any areas of concern.

Internal Audit will from time to time undertake an audit of corporate governance arrangements.

The external auditor audits the financial statements of the PCC and Chief Constable, the Group accounts and the Annual Governance Statements. External audit plans and reports, including the Annual Audit Letter, are considered by the Joint Audit Committee at appropriate times in the annual cycle of meetings.

Her Majesty's Inspectorate of Constabularies and Fire & Rescue Service (HMICFRS) provide reports to the PCC and Chief Constable for consideration and appropriate action. Working alongside external audit, they play a key role in informing the PCC and the public on the efficiency and effectiveness of their forces and, in so doing, will facilitate the accountability of the PCC to the public.

## Appendix A

Overarching strategic documents											
Policy/Procedure/ Process	Last review date	Programmed review date	External review agency	Principle A Behaving with integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and performance	Principle G Implementing Good Practices	Responsibility
Police & Crime Plan	April 2021	April 2022	P&C Panel		✓	✓		✓			PCC
Annual Governance Statement - PCC	Nov 2020	July 2021	JAC Ext. audit		✓			✓		✓	Chief Exec
Annual Governance Statement - CC	Nov 2020	July 2021	JAC Ext. audit		✓			✓		✓	Executive Director of Commercial and Financial Services
Code of Corporate Governance	March 2020	March 2021	JAC Ext. audit		✓			✓		✓	PCC/CC
Memorandum of Understanding	March 2020	March 2021	JAC Ext. audit	✓				✓			Chief Exec
Financial Regulations	March 2020	March 2021	JAC Int. audit	✓				✓	✓		CFO/ Executive Director of Commercial and Financial Services
Financial Statements/Group Accounts	Nov 2020	July 2021	JAC Ext. audit		✓					✓	CFO/ Executive Director of Commercial and Financial Services
Contract Standing Orders	March 2020	November 2021	JAC	✓				✓			CFO/ Executive Director of Commercial and Financial Services
Scheme of delegation from PCC	March 2020	March 2021	Int. audit					✓	✓		Ch Exec
CC Scheme of delegation	March 2020	March 2021	Int. audit					✓	✓		Executive Director of Commercial and Financial Services
Information Sharing Protocol	Oct 2020	Oct2021			✓				✓		Chief Exec/Head of Information Management

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Revenue, Budget and Capital programme	Feb 2021	Feb 2022	PCP/JAC Ext. audit		✓			✓			CFO/ Executive Director of Commercial and Financial Services
Medium Term Financial Strategy	Feb 2021	Feb 2022	PCP JAC		✓	✓	✓	✓			CFO/ Executive Director of Commercial and Financial Services
Treasury Management Strategy	March 2020	March 2021	JAC Ext. audit		✓				✓		CFO
Reserves Policy	March 2020	March 2021	JAC Ext. audit		✓				✓		CFO/ Executive Director of Commercial and Financial Services
Effective Internal Audit (Evidenced by annual report to JAC)	June 2020	June 2021	JAC		✓				✓		PCC
Joint Working Relationship Policy Ref: 1068/2017	June 2019	Policy closed 16.10.20 <sup>3</sup>	Int. audit HMICFRS	✓	✓	✓	✓	✓			PCC/CC
Surrey/Sussex joint working – various S23 agreements		As appropriate	Int. audit HMICFRS	✓	✓	✓	✓	✓			PCC/CC

<sup>3</sup> APP National Guidance followed now replaces the necessity for a stand-alone JWR policy. Each division and department now have responsibility for their own ISA's, SLA's and MOU's in respect of partnership arrangements they have in place. The current JWR policy is therefore a potential cause of confusion and duplication. Executive Director of Commercial and Financial Services approved the decision to archive this policy as of Friday 16.10.2020

**Office of the Police and Crime Commissioner Operational Policies/Processes/Procedures**

<b>Policy/Procedure/ Process</b>	<b>Last review date</b>	<b>Programme d review date</b>	<b>External review agency</b>	Principle A Behaving with integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and performance	Principle G Implementing Good Practices	Responsibility
Workforce and Development plan	Nov 2017	Reviewed as required						✓			Ch Exec
Chief Constable benefits policy	September 2017	Reviewed as required			✓			✓			Ch Exec
Business Continuity plan	September 2017	September 2018						✓	✓		Ch Exec
Complaints policies	September 2017	January 2021		✓	✓	✓		✓	✓		Ch Exec
Code of conduct - PCC	September 2017	March 2021		✓							Ch Exec
Code of conduct - officers	September 2017	March 2021		✓							Ch Exec
Risk strategy	July 2018	March 2021							✓		Ch Exec
Communications and Public Engagement Strategy		Reviewed quarterly			✓	✓					Ch Exec
Confidential reporting policy	September 2017	March 2021		✓							Ch Exec
Decision making framework	September 2017	March 2021							✓		Ch Exec
Freedom of Information	May 2018	March 2021			✓						Ch Exec
Records Management and Disposal	August 2018	March 2021									Ch Exec

Sussex Police Operational Policies/Processes/Procedures											
Policy/Procedure/ Process	Last review date	Programmed review date	External review agency	Principle A Behaving with integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and performance	Principle G Implementing Good Practices	Responsibility
Delivery Plan/ Force Management Statement	May 2019	June 2021	HMICFRS		✓	✓		✓			CC
Organisation Charts	Reviewed as required	N/A	N/A					✓			CC
Job Descriptions for Chief Officers	Reviewed as required	N/A	N/A	✓				✓	✓		ACO, Director People Services
Chief Officers Benefits Policy	Sept 2020	Sept 2022			✓			✓			ACO, Director People Services
Financial/procurement procedures	Individual procedures regularly reviewed as required	N/A	Int. audit					✓	✓		Executive Director of Commercial and Financial Services
Performance Management Arrangements: FOCUS Guidance	February 2021	February 2023	HMICFRS Int. audit			✓		✓	✓		DCC
Workforce Strategy – Joint Surrey/Sussex People Plan	2020	April 2021	HMICFRS					✓			ACO, Director People Services
Force Vetting policy Ref: 592/2020	Feb 2020	Feb 2022	N/A	✓							DCC
Induction Scheme	As required	N/A	N/A	✓							ACO, Director People Services
Code of conduct - contained in employee handbook. The Code of Conduct is directed by the Police	May 2020	Reviewed regularly as required	HMIC	✓							DCC

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Policy/Procedure/ Process	Last review date	Programmed review date	External review agency	Principle A Behaving with integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and performance	Principle G Implementing Good Practices	Responsibility
Staff Council Standards of Professional Behaviour.											
Business interests and additional work policy Ref: 965/2020	March 2020	March 2022	HMICFRS	✓					✓		DCC
Anti-Fraud & Corruption Policy Ref 612/2021	Jan 2021	Jan 2023	HMICFRS	✓					✓		DCC
Whistle Blowing arrangements – as set out un above policy Ref 612/2021	Jan 2021	Jan 2023	HMICFRS	✓							DCC
Register of interests (as set out in above in AF&CP policy) Ref 612/2021	Jan 2021	Jan 2023	JAC Int. audit PCC	✓	✓				✓		DCC
Performance and Attendance policy Ref: 950/2021	April 2019	April 2021	N/A`	✓				✓			ACO, Director People Services
Complaints procedure	Set nationally	Set nationally	PCC/IOPC/JA IOPC	✓	✓					✓	DCC
Risk Management Policy and Strategy Ref:1049/2020	April 2020	April 2022	JAC Int. audit						✓		DCC

Business Continuity management policy Ref: 1057/2020	Sept 2020	Sept 2022	HMICFRS Int. audit					✓	✓		DCC
Surry Police and Sussex Police Information Security Policy Ref: 722/2019	May 2019	May 2021	HMICFRS Int. audit Information Commissioner Office (ICO)						✓		CIO
Health and Safety policy Ref: 1022/2019	March 2019	March 2021	Health and Safety Executive						✓	✓	DCC
Substance Misuse and Testing Policy (including alcohol and drugs) Ref 1070/2019	May 2019	May 2021	HMICFRS	✓							DCC
Freedom of Information compliance Ref: 821/2019	Nov 2019	Nov 2021	Information Commissioner Office (ICO)		✓					✓	DCC
Communications in Sussex Police Policy Ref: 1124/2020	August 2020	August 2022	HMICFRS	✓	✓					✓	DCC
Media Relations and Integrity Policy Ref: 1125/2020	Oct 2020	Oct 2022	HMICFRS	✓	✓					✓	DCC
Social Media policy Ref: 1086/2021	March 2021	March 2023	HMICFRS	✓	✓					✓	DCC