



# Annual Governance Statement (AGS)

**2014/15**

**DRAFT**

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## Scope of responsibility

Nottinghamshire Police (the Force) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Force also 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, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

The Force has approved and adopted a Joint Code of Corporate Governance with the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC), which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*. A copy of the code is available on [the Commissioner's website](#) or can be obtained from the Force by writing to:

Staff Office,  
Nottinghamshire Police Headquarters,  
Sherwood Lodge,  
Sherwood Drive,  
Arnold,  
Nottingham NG5 8PP

This Statement explains how the Force has complied with the code and also meets the requirements of Accounts and Audit (England) Regulations 2011, regulation 4(3), which requires all relevant bodies to prepare an annual governance statement.

## The purpose of the governance framework

The governance framework comprises the systems and processes, culture and values by which the Force is directed and controlled and its activities through which it accounts to, engages with and leads its communities. It enables the Force to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness.

The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of the Force's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place at the Force for the year ended 31 March 2015 and up to the date of approval of the statement of accounts.

## The governance framework

The principles which form the basis of the governance framework, and how they are applied within the Force, are described briefly in the following sections.

### **Principle 1:** Focusing on the purpose of the Force, and on outcomes for the community, and creating and implementing a vision for the local area

- The national Code of Practice for Victims of Crime sets the standards for the police and criminal justice agencies when providing services to victims
- The Home Secretary sets the Strategic Policing Requirement (SPR), which describes the roles and responsibilities of individual forces in preparing for and responding to national risks
- The local direction and priorities for the Force are set in the Commissioner's Police and Crime Plan, which was originally created following a comprehensive multi-agency strategic assessment process coordinated by the Force
- The Force and local partner organisations each complete an annual Local Profile assessment to inform the Police and Crime Needs Assessment (PCNA) and refresh of the Police and Crime Plan
- The current priority themes in the Police and Crime Plan for Nottinghamshire, refreshed for 2015-18 following an updated PCNA are:
  - Protect, support and respond to victims, witnesses and vulnerable people
  - Improve the efficiency, accessibility and effectiveness of the criminal justice system
  - Focus on priority crime types and those local areas that are most affected by crime and antisocial behaviour
  - Reduce the impact of drugs and alcohol on levels of crime and antisocial behaviour
  - Reduce the threat from organised crime
  - Prevention, early intervention and reduction in reoffending
  - Spending your money wisely

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

- The Policing Protocol Order 2011 is the statutory instrument that describes the relationship between the Police and Crime Commissioner and the Chief Constable
- The Chief Constable is accountable to the Commissioner for the delivery of efficient and effective policing in Nottinghamshire, whilst retaining operational independence and direction and control of their officers and staff
- The Force has in place a Working Relationship Agreement with the NOPCC for the sharing of services and information
- Police collaboration agreements, made in accordance with the Police Act 1996, are in place with other forces in the East Midlands for the delivery of a wide range of specialist operational and support services; governance of collaborative functions is achieved through joint management boards involving PCCs and Chief Officers

- Strategic community safety partnerships, established in accordance with the Crime and Disorder Act 1998, are in place with the local authorities in Nottingham City, Nottinghamshire County and district councils
- Nottingham City Division and Nottingham City Council Community Protection prepare a joint annual business plan to facilitate their continued working arrangements
- The Force is a member of the Nottinghamshire Local Criminal Justice Board (LCJB)

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

- The College of Policing has developed a national Code of Ethics for the police service, which applies to all officers and staff within the Force
- The Force has also developed and continues to reinforce its own PROUD values:
  - Professional
  - Respect for all
  - One team
  - Utmost integrity, trust and honesty
  - Doing it differently
- All police officers take the Oath (Attestation) before assuming the office of constable, and are subject to the Police Regulations; all members of police staff are subject to the Force's Police Staff Misconduct Policy

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

- A formal Scheme of Delegation sets out the extent to which the Commissioner has delegated authority to the Chief Constable and officers of the Force to make decisions that fall within the Commissioner's areas of responsibility; decisions made in accordance with the Scheme are published on the Commissioner's website
- The Force Executive Board (FEB) is the senior decision making body within the Force, responsible for formal approval of all capital business cases and organisational change
- The Chief Constable has appointed a suitably qualified Chief Finance Officer (CFO), as required under section 151 of the Local Government Act 1972
- The Chief Constable is the Force's Data Controller for the purposes of the Data Protection Act, with responsibilities of Senior Information Risk Owner (SIRO) assigned to the Deputy Chief Constable (DCC)
- The Force has agreed a joint Risk Management Policy with the NOPCC that is based on the Management of Risk (M\_o\_R) approach; major corporate projects and programmes are managed in accordance with the principles of PRINCE2 project management and Managing Successful Programmes (MSP)

## **Principle 5: Developing the capacity and capability of the Force to be effective**

- The College of Policing is the professional body for policing; the College provides Senior Police National Assessment Centre (PNAC) and Strategic Command Course (SCC) for Chief Officers and access to Authorised Professional Practice (APP) across a wide range of policing functions, amongst its many services
- All new police officers complete the Police Constable Student Officer Learning and Assessment Portfolio (PC-SOLAP) as part of their Initial Police Learning and Development Programme (IPLDP); the Professionalising Investigations Programme (PIP) provides accredited training for the development of investigative skills
- Training services are provided to the Force by the East Midlands Collaborative Human Resources Services – Learning and Development (EMCHRS-L&D); the Force also has a dedicated Leadership and Management Development team within the Human Resources and Organisational Development department
- The National Centre for Applied Learning Technologies (NCALT) Managed Learning Environment (MLE) is used to provide a range of e-learning courses to officers and staff

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

- The Force provides regular performance data to the Commissioner and to the Home Office to enable scrutiny of its effectiveness; in addition, Chief Officers routinely attend public Strategic Resources and Performance meetings chaired by the Commissioner to account for Force performance
- The Commissioner and Force have appointed an independent Joint Audit and Scrutiny Panel, which receives quarterly reports on matters of governance
- The Force is subject to the inspection programme of Her Majesty's Inspectorate of Constabulary (HMIC) and the Criminal Justice Joint Inspectorate (CJJI), with inspection reports published on the Justice Inspectorate website
- The Publication Scheme, available through the Force website, provides a wide range of information about the Force and how it operates; the Force also has a visible online presence, including a website as well as Facebook and Twitter accounts
- A sample of victims of crime are surveyed every quarter to measure satisfaction with the Force's services
- Established community engagement mechanisms include support for Neighbourhood Watch; Neighbourhood Alert; Crimestoppers; Key Individual Networks (KINs); and Independent Advisory Groups (IAGs)
- A wide range of volunteering opportunities are available within the Force, including the Special Constabulary, Police Cadets and police staff volunteers

## Review of effectiveness

The Force has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the Chief Officer Team within the Force who have responsibility for the development and maintenance of the governance environment, the head of internal audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

Specifically, the review of effectiveness of the Force's governance framework for 2014/15 has been based on information from the following sources:

- Internal audits carried out by Baker Tilly LLP, summarised in their annual report to the Joint Audit and Scrutiny Panel *(Not yet received)*
- Annual external audit report to the Joint Audit and Scrutiny Panel by KPMG LLP *(Not yet received)*
- Inspections of the Force by HMIC, as reported to the Chief Constable

We have been advised on the implications of the results of the review of the effectiveness of the governance framework by the Temporary Head of Corporate Development, and that the arrangements continue to be regarded as fit for purpose. The areas already addressed and those to be specifically addressed with new actions planned are outlined below.

## Significant governance issues

The following significant governance issues were identified through audit and inspection of the Force during 2014/15:

### Valuing the Police inspection (HMIC)

- Highlighted the urgent need for the Force to implement its plans for a new and affordable operating model in order to reduce long term risks to policing services
- Steps have been taken to finalise the Delivering the Future Programme to shape the operating model of the Force whilst continuing with its implementation; HMIC's re-inspection recognised the good progress that has been made since the original report was issued

### Crime Inspection (HMIC)

- Expressed concerns about inconsistencies with investigating offending, the importance of supervision and the need for professional training; also highlighted issues of capacity within Public Protection
- An Improving Investigations programme has already been established; reorganisation of the Public Protection department, including the provision of additional resources, has also been approved

### National Child Protection Inspections (HMIC)

- Highlighted the potential for improvements in management oversight of child protection work, including the benefits of service reviews and the use of performance data to improve services and develop work with partner agencies

- A review is to take place, along with childrens social care services, in relation to the safeguarding of children; a child sexual exploitation (CSE) strategy is also being developed by the Force to enhance proactive and responsive work

### **Police Integrity and Corruption (HMIC)**

- Recommended that the Force review its capacity and capability to carry out proportionate investigations into public complaints to minimise delays
- Resources within the Professional Standards Directorate (PSD) are regularly reviewed and fixed term contracts used where necessary to manage workload; recent data from the Independent Police Complaints Commission (IPCC) shows that the Force is now in line with national averages

### **Information Management (Baker Tilly)**

- Recommended the development of a comprehensive information management strategy, which is required within the APP for information management; the strategy should clarify responsibilities and procedures across areas including records management; information security; and data quality
- A thorough review of the Force's information management policies and processes is underway, using the APP as its basis; the Force is also part of a collaborative project to implement the Niche Records Management System (RMS) to manage its crime, intelligence, case and custody records

### **Code of Practice for Victims of Crime (Baker Tilly)**

- *Currently awaiting final report*
- *Draft report has recommended tighter procedures and documenting of actions taken in compliance with the Code*
- *Suitable arrangements have been devised to record actions and also to monitor compliance*

### **Partnerships (Baker Tilly)**

- *Currently awaiting final report*
- *Draft report has highlighted the importance of up to date partnership arrangements and robust performance management*

We propose over the coming year to take necessary steps to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

**Signed:** \_\_\_\_\_

Chris Eyre, Chief Constable

**Signed:** \_\_\_\_\_

Andrea Naylor, Chief Finance Officer