

# Office of the Police and Crime Commissioner for Surrey

## Decision Making and Accountability Framework for the Surrey Police & Crime Commissioner

### Background

The Police & Crime Commissioner (PCC) has in place a framework of governance, underpinned by mechanisms for control and management of risk. This framework enables him to discharge his statutory responsibilities, take decisions and hold the Chief Constable to account. Since his election in May 2016, the PCC has reviewed this system to ensure it remains fit for purpose.

The PCC has a legal duty to hold the Chief Constable to account for the exercise of his functions and for the functions of those staff under his direction and control. He must make decisions that are lawful, fair and proportionate and that abide with the Wednesbury principle of 'reasonableness'. The Police and Crime Panel in turn will also need to be in a position to review and scrutinise decisions made or other action taken by the PCC in connection with his functions. Care is taken to ensure the respective roles of the PCC, the Chief Constable and the Police & Crime Panel are understood and reflected in the governance structures so as to maintain clear and proper lines of accountability and ensure each party is acting within its prescribed powers.

It is a matter for the PCC to decide on the most appropriate governance framework that meets these statutory requirements. This framework concentrates on how the PCC holds the Chief Constable to account and how he communicates key decisions taken.

The PCC is also bound by his statutory responsibilities and the arrangements he has put in place for financial control and risk management such as the Audit Committee, Financial Regulations, a Scheme of Delegation/Consent and Contract Standing Orders.

### Principles of Good Governance

'Good governance' is about public bodies doing the right thing, in the right way, for the right people in a timely, inclusive, open, honest and accountable manner. The PCC's framework for decision-making and accountability enables him to ensure good management, performance, stewardship of public money, public engagement, reasonable decision making and, ultimately, positive outcomes for Surrey residents.

A number of bodies have published guidance on what constitutes 'good governance':

- The Committee on Standards in Public Life defined the 'Nolan Principles' for holders of public office, namely – *selflessness, integrity, objectivity, accountability, openness, honesty and integrity*. The Policing Protocol Order 2011 requires all parties to the Order, which includes the PCC and staff, to abide by these principles.
- The Independent Commission on Good Governance in public services published a set of common principles for all public sector organisations in 2004, building on the Nolan Principles.
- In ~~2007~~2016, the Chartered Institute of Professional Finance and Accounting (CIPFA) ~~and the Society of Local Authority Chief Executives (SOLACE), published~~ updated their 'Delivering Good Governance in Local Authorities'. ~~This has, which has~~ been revised for a policing context and defines good governance as follows:

a. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

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- ~~b. Ensuring openness and comprehensive stakeholder engagement~~
- ~~c. Defining outcomes in terms of sustainable economic, social and environmental benefits~~
- ~~d. Determining the interventions necessary to optimise the achievement of the intended outcomes~~
- ~~e. Developing the entity's capacity, including the capability of its leadership and individuals within it~~
- ~~f. Managing risks and performance through robust internal control and strong public financial management~~
  - ~~i. Implementing good practices in transparency, reporting and audit to deliver effective accountability. Focusing on the purpose of the PCC and the Force, and on outcomes for the community, and creating and implementing a vision for the local area~~
  - ~~ii. Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles~~
  - ~~iii. Promoting values for the PCC and demonstrating the values of good governance through upholding high standards of conduct and behaviour~~
  - ~~iv. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk~~
  - ~~v. Developing the capacity and capability of the PCC, officers of the PCC and the Force to be effective~~
  - ~~vi. Engaging with local people and other stakeholders to ensure robust public accountability~~
- ~~g. The Financial Management Code of Practice for the Police Service specifically highlights the need to embed the principles of good governance into the way the PCC and his office operates.~~

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#### **Decisions: Making and Publicising Key Decisions**

The PCC is required to publish his "key decisions" to the public and needs to be able to demonstrate what decisions he has taken in order that these can then be scrutinised by the Police and Crime Panel (PCP). The PCC publishes a decision log on his website ([www.surrey-pcc.gov.uk](http://www.surrey-pcc.gov.uk)). The PCC will also give advance notice to the public of when certain decisions will be made through the publication of a forward plan.

These key decisions will include:

- Setting an annual Police and Crime Plan
- Setting the police budget and precept requirement
- Appointing, dismissing, disciplining and appraising the Chief Constable
- Holding the Chief Constable to account for the performance of Surrey Police
- Allocating grants for crime reduction or victim support initiatives in the area
- Reporting on police force performance
- Consulting with the public and victims on priorities and budget
- Collaboration with others to achieve efficiency and resilience
- Local input into the national strategic policing requirement

In some instances, the PCC may choose to involve partners or members of the Police & Crime Panel in his governance arrangements to act in an advisory capacity and help shape and inform decision-making. This might be particularly beneficial on community or partnership based matters. It would also assist the Panel with its obligation to 'support' the PCC in the exercise of his functions. However, when involving partners (particularly the Police & Crime Panel or Audit Committee) in governance arrangements, care is taken not to blur lines of accountability by allowing them to deviate into scrutiny of the Chief Constable's functions which remains a role solely for the PCC himself.

### **Accountability: Holding the Chief Constable to Account**

Holding the Chief Constable to account is a key statutory responsibility for the PCC. It is important that both the PCC and the wider public can see how Surrey Police is performing against the Police & Crime Plan and that the Force is rightly and properly subject to oversight, scrutiny and accountability to ensure it is operating efficiently and effectively.

Surrey's PCC discharges this responsibility in an open and constructive way. In holding the Chief Constable to account, the PCC does not fetter his operational independence or undermine his ability to direct and control the Force. Surrey's PCC seeks to strike a balance between effective oversight and scrutiny and allowing the Chief Constable to deliver the 'day job'.

The PCC holds regular (usually monthly), 'performance meetings' with the Chief Constable in order to monitor performance against the Police & Crime Plan and hold the Chief Constable to account for the exercise of his functions. In the spirit of openness and transparency, every third meeting is webcast and papers and minutes put on the PCC's website (although there will be provision for confidential matters to be discussed in a 'part two', private session). These meetings enable him to keep check on the important issues that impact on Surrey residents and provide a means for Surrey Police to share information and give advice to aid the PCC in key decision making. A separate, quarterly meeting will be established to look at trends in complaints matters.

In addition, on a more informal basis, the PCC draws together senior staff and officers from the Office of the PCC and the Force to be briefed on emerging issues or to examine in greater detail any areas where performance may not be progressing as expected or where there has been insufficient time to explore issues in sufficient depth at performance meetings. He will also ensure that relevant Force performance information is published on the website.

### **A responsive approach to decision making and accountability**

The PCC recognises that how he chooses to hold the Chief Constable to account or take a decision might vary depending on the matter in hand. Relatively routine decisions need to be made in a timely way and may not necessarily require public engagement. However, in a matter which is likely to have a significant community impact, the PCC will ensure that decisions are taken in an open and transparent way and that relevant groups can be engaged. Likewise, the arrangements for holding the Chief Constable to account may vary dependent on the issue under scrutiny and the likely impact on community confidence.

### **The Audit Committee**

The PCC, together with the Chief Constable, has established a Joint Audit Committee to provide independent and effective assurance about the adequacy of their financial management and reporting. The Committee helps to raise the profile of internal control, risk management and financial reporting issues within Surrey Police and provide a forum for discussion with auditors.

### **Collaboration Governance**

Surrey's PCC has established a forum to maintain oversight of and take key decisions in relation to collaborative arrangements with other police forces and PCCs. This includes regular meetings with counterparts from Sussex and with others from the south east region as well as with blue-light partners such as fire and ambulance.

### **Partnership Governance**

The PCC has to have a place in the complex partnership landscape in Surrey, particularly given the wider role in community safety and criminal justice. The PCC expects to work closely with statutory bodies such as local authorities, the health sector, probation providers, the Health & Well Being Board, Community Safety Partnerships and the Local Criminal Justice Partnership. He

monitors performance against priorities. There are various partnership boards in place which allow the PCC to progress this work.

**Review**

This Scheme of Decision Making and Accountability will be reviewed on at least an annual basis.