



## Office of the Police and Crime Commissioner for Surrey

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

The Chartered Institute of Public Finance and Accountancy (CIPFA) has identified seven principles of 'good governance' (*Delivering Good Governance– Guidance Note for Policing Bodies, 2016 Edition*). Each of these is set out below in the Code of Corporate Governance, together with an examples of how the PCC and Chief Constable can demonstrate their governance arrangements meet each one.

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

The PCC and Chief Constable are accountable not only for how much they spend, but also for how they use the resources under their stewardship. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. As a whole, they must demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

- *The PCC and CC have signed up to a **concordat**, aligned to the Policing Protocol Order 2011, which requires them to abide by the Seven Principles of Public Life (the Nolan Principles).*
- *The concordat highlights the expectation that the relationship between PCC and Chief Constable will be based on the principles of goodwill, professionalism, openness and trust*
- *The PCC has signed up to a voluntary **Code of Conduct***
- *The **Code of Ethics** is embedded in the organisation, as recognised by the most recent HMIC Legitimacy inspection*
- *Shared values are communicated clearly with staff (e.g. through the Force's '**Plan on a Page**')*
- ***Decision-making practices** are clearly set out in the Framework of Decision-Making and Accountability*
- ***Anti-fraud and corruption policies** are up-to-date and kept under review*
- ***Registers of interests** and records of gifts, hospitalities and expenses for the PCC, Chief Officers and relevant staff are published*
- ***Whistle-blowing** policies are in place and have been recently reviewed*
- *We publish policies on **complaints** on our respective websites*
- *The Force makes use of an **Ethics Committee** to provide an external perspective to some key decision-making*
- *The PCC has in place arrangements for the **oversight of professional standards***
- *The Surrey Police **People Plan** sets out how the Force will lead, develop and support people in the context of a healthy and professional workplace*
- *The PCC and Chief Constable abide by the **CIPFA Financial Management Code of Practice***
- *The PCC has in place a Chief Executive who undertakes the responsibilities of **Monitoring Officer***

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

The Police is run for the public good. We must therefore ensure openness in our activities. Clear channels of communication and consultation should be used to engage effectively with all groups of stakeholders.

- *The **Police & Crime Plan** clearly sets out the strategic direction and objectives for Surrey and how they will be delivered*
- *The PCC and Force's **communication and engagement strategies** set out how local people will be involved to ensure they are part of decision-making, accountability and future direction*
- *The PCC fosters good working relationships with the **Police & Crime Panel**, constituent local authorities and other partners*
- *The Force and OPCC have an up-to-date Freedom of Information Act **Publication Scheme***
- *The Force and OPCC operate accessible and engaging **public websites** and social/digital media channels*
- *The PCC publishes his **key decisions** and records of key meetings*
- *The PCC and Force undertake a number of public and victim **satisfaction surveys***
- *The PCC **consults** in advance of putting forward his precept proposals*
- ***Collaboration agreements** set out those areas of business to be undertaken jointly with other Forces and Local Policing Bodies*
- *The Force operates an effective **Independent Advisory Group***

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

The long-term nature and impact of many of the PCC and Chief Constable's responsibilities mean that they should seek to define and plan outcomes and that these should be sustainable.

- *The Force's **Vision and Mission** document is used as a basis for corporate and service planning*
- *Both the PCC and Chief Constable have established **performance measures** and governance structures that allow them to assess progress against their objectives*
- *The **Medium Term Financial Plan** is kept under regular review*
- *The PCC has developed a **commissioning and award of grants** strategy*
- *Processes are in place and kept under review for the identification and **management of risk***
- *Reviews of **capital investment** plans are undertaken to achieve appropriate lifespans and adaptability for future use*
- *Projects are subject to sound **business cases** with appropriate 'gateway' sign-off points*

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

Local Government, including the Police, achieves its intended outcomes by providing a mixture of legal, regulatory and practical interventions. Determining the right mix of these courses of action is an important strategic choice that local government has to make to ensure outcomes are achieved. They need robust decision making mechanisms to ensure outcomes are achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions need to be reviewed continually to ensure that achievement of outcomes is optimised. Policy implementation usually involves choice about the approach, the objectives, the priorities

and the incidence of the costs and benefits. PCCs and Chief Constables must ensure they have access to the appropriate skills and techniques.

- The PCC and Chief Constable maintain a **Medium Term Financial Strategy**
- Processes are in place to allow proper **analysis and evaluation of plans** including option appraisal, assessing the impact of alternative approaches and benefits realisation
- The PCC and Force maintain **workforce development and asset management plans** (e.g. estates and ICT)
- The PCC and Force have a **framework of corporate governance** and agreements on information to be provided between both parties
- The Force and OPCC have **business plans** in place

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

The PCC and Police force need appropriate structures and leadership, as well as people with the right skills, qualifications and mindset, to operate efficiently and effectively. A public organisation must ensure it has both the capability to fulfil its mandate and to make sure there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. The organisation must continually develop its capacity and respond to change over time. Leadership is strengthened by the participation of people with many different types of background, reflecting the structure and diversity of the community.

- The Force's **People Plan** prioritises:
  - *Leadership: developing leaders who are role models and who enable performance through their people*
  - *Workforce design: a workforce that is capable of meeting current and future challenges.*
  - *Workforce Profile: drawing on our workforce diversity and strengths to meet current and future needs*
  - *Professional development: skilled and competent officers and staff who meet the needs of today and the challenges of tomorrow and who develop future leaders*
- Staff of the Force and OPCC are given access to **learning and development resources** and encouragement to focus on Continuous Professional Development
- **Talent and succession plans** are in place
- Review of individual performance (PDRs) is encouraged to be purposeful and realistic
- **Leadership days** are held regularly
- The Force undertakes and analyses feedback from **staff well-being surveys**
- The Force is committed to embedding a flexible approach to **reward** that attracts and retains the best people with the most appropriate skills
- Briefings are held for **potential PCC candidates** in advance of elections
- The PCC and Chief Constable ensure that their respective policies for **Equality and Diversity** are readily available. These set out how each party promotes diversity by recognising, valuing and respecting the different contributions and needs of both communities and staff

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

Public bodies must ensure that the organisation and governance structures that they oversee have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management,

business continuity and internal control are important and integral parts of a performance management system. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes as it will enforce financial disciplines, strategic allocation of resources, efficient service delivery and accountability. All public bodies spend money raised from taxpayers and the public is entitled to expect high standards of control and oversight of performance.

- *The overarching **Scheme of Corporate Governance** highlights the parameters for decision making, including the arrangements for governance, delegations, consents, financial limits for specific matters and standing orders for contracts.*
- *A joint independent **Audit Committee** operates in line with Chartered Institute of Public Finance and Accountancy (CIPFA) guidance and within the guidance of the Financial Management Code of Practice*
- *The **Risk Management Strategy** allows the Force and OPCC to identify and manage operational, strategy and project risks*
- *The Audit Committee provides **external scrutiny** of strategic risks*
- *Effective **business continuity planning** is in place*
- *External scrutiny of PCC decisions is provided by the **Police & Crime Panel***
- *An effective **internal audit** service has been resourced*
- ***Annual Governance Statements** are produced for the Force and OPCC*
- ***External audit** reports are scrutinised by the Audit Committee*
- ***Data protection** policies are in place and published online*
- *HMICFRS provide assurances around Force **efficiency and effectiveness***
- ***Data quality** is kept under review and assessed by HMIC*
- *The PCC receives regular **budget monitoring** reports*
- *The PCC approves the **treasury management** strategy*
- *The Force and OPCC have received an **unqualified audit opinion***

## **G Implementing good practices in transparency, report and audit to deliver effective accountability**

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed but also ensuring that stakeholders are able to understand a response as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

- *The PCC holds the **Chief Constable to account** on a regular basis and holds some meetings over a webcast so they are publicly available*  
*Information is **published on the OPCC website** in accordance with the Elected Local Policing Bodies (Specified Information) Order 2011*
- *The Force and OPCC publish their respective **Statement of Accounts** and Annual Governance Statements*
- *The Force and OPCC publish (subject to confidentiality tests) reports presented to the PCC and **Police & Crime Panel***
- *The Force and PCC welcome **peer challenge**, reviews and inspections from regulatory bodies and have oversight of recommendations through the Audit Committee*
- *The Force and OPCC make use of standard decision report templates*