

ANNUAL GOVERNANCE STATEMENT 2015/16

1. Scope of Responsibility

- 1.1 The Humberside Police 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. 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.
- 1.2 In discharging this overall responsibility, the Force is responsible for putting in place proper arrangements for the governance of its affairs, including ensuring that there is a sound system of internal control and that arrangements are in place for the management of risk.
- 1.3 The Humberside Police and Crime Commissioner (Commissioner) and the Chief Constable have adopted a common Corporate Governance Framework which is consistent with the principles of the 2007 Chartered Institute of Public Finance and Accountancy / Society of Local Authority Chief Executives (CIPFA/SOLACE) framework document "Delivering Good Governance in Local Government" and the subsequent addendum and guidance note for police issued in 2012.
- 1.4 Good governance arrangements are the foundations on which Humberside Police establishes its policies and the services it delivers to the Community. This Annual Governance Statement is an opportunity for the Force to demonstrate that the fundamentals of good governance are in place, and that they are responsive to internal and external changes.

2. The Purpose of the Governance Framework

- 2.1 Governance is about how organisations ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open and accountable manner. The governance framework comprises the systems, processes, culture and values adopted by the Force in the conduct of its affairs. It enables the Force to monitor the achievement of its strategic objectives and to consider whether appropriate, cost effective services are being delivered.
- 2.2 The system of internal control is a significant part of the framework and is designed to manage risk to a reasonable level. It is a continuous process designed to identify and prioritise risks to the achievement of the Force's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should that happen, and to manage them efficiently, effectively and economically.
- 2.3 The governance framework as set out in this statement has been in place for the year ended 31st March 2016 and up to the date of approval of the Statement of Accounts.

3. The Governance Framework

- 3.1 The scope of the governance and internal control framework spans the whole range of the Force's responsibilities and activities. The Force's compliance with the six core principles determined within the national CIPFA/SOLACE guidance, "Delivering Good Governance in Local Government" is demonstrated below. The same evidence may be applicable to more than one principle. Where this is so, it is recorded under the first principle to which it relates:

3.2 **Focusing on the purpose of the Commissioner and the Force, and on outcomes for the community, and creating and implementing a vision for the local area.**

The chief constable developed a Force ambition after consultation with the Force. The ambition is that by working with partners and communities we will;

- Put victims first by reducing crime, anti-social behaviour and catching criminals,
- Make sure people are at the heart of what we do respecting and promoting diversity,
- Dealing with the present, confidently manage risk and actively shape the future
- Be passionate about protecting, serving and making a difference for our communities,
- And act with integrity and high standards, use professional judgments and do what we say we will

The police and crime commissioner's priorities were contained in the police and crime plan 2013/16 Whilst these priorities were reviewed by the commissioner they remained in force throughout his period of office.

The Commissioner's priorities were:

1. *To reduce crime*
2. *To protect the public and improve safety*
3. *To improve the quality of service for victims*

In order to ensure the Commissioners priorities were delivered the force developed an Operational Delivery Plan. This plan is published on the force website.

The process for reviewing and updating policing objectives is integrated within the overall planning cycle, based on the Commissioner's Police and Crime Plan, which sets out how the Force intends to deliver the Commissioner's priorities. Central to this is a robust financial planning and budgetary control procedure, which reflects the Force's commitment to devolved financial management and is underpinned by a comprehensive Medium Term Resourcing Strategy. The Commissioner and Chief Constable meet to review progress against the Police and Crime Plan objectives.

In working to the Commissioner's priorities, the Force uses a Performance Framework supported by well-established performance management processes to hold commanders and departmental heads to account for the delivery of cost effective service.

Every two weeks the Senior Leadership Group consider performance information at force level, and regular quarterly performance reviews, chaired by the relevant chief officer to support and probe performance issues in all areas of the force. These are brought together at a force performance level in the Reviewing Success meetings which are chaired by the Deputy Chief Constable and held monthly.

Humberside Police undertake a User Satisfaction Survey which is a monthly telephone survey that monitors satisfaction from victims of crime. The survey is a Home Office requirement and the data informs service improvements locally. For example, "Track my Crime" was initially proposed as a successful response to the low 'follow-up' scores in the satisfaction survey

The OPCC manages the public survey process tailoring questions to meet current issues on behalf of both that office and the force. The OPCC engages directly with our communities via Parish Councils and Neighbourhood Watch groups and also attends scrutiny panels and local authority meetings.

The User Satisfaction Survey and the surveys conducted by the OPCC provide an indication as to how the public perceive we treat them. Information is fed into the Assurance and Performance Team (OPCC staff) who disseminate the results to the relevant departments across the force.

The Victim Satisfaction Reporter is a tool held on the Assurance and Performance Team website and gives all staff access to the results from the user satisfaction survey. This is broken down via local authority areas.

Within the Assurance and Performance Team Website there are numerous tools which can provide staff with information about satisfaction. This can be viewed and broken down into many categories, e.g. satisfaction linked to racial incidents broken down via white satisfaction and BME satisfaction.

The user satisfaction survey makes contact with a sample of around 1,600 victims of violent crime, domestic burglary and vehicle crime over the year to establish their views in relation to the service they have received from the police. The survey is mandated and covers the areas of initial contact, actions taken, follow up, treatment and whole experience.

The results are examined and discussed as part of the Reviewing Success meeting (held monthly) and are incorporated into the new force governance structure.

3.3 Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles.

- The Force supports the Commissioner in providing operational and back office functions collaboratively where these are considered appropriate to provide cost effective and efficient services. Such arrangements are largely undertaken with either the other three forces of the Region (West Yorkshire Police, North Yorkshire Police and South Yorkshire Police) or are increasingly being based on a two force collaboration with South Yorkshire. Established collaborations include: Specialist Crime functions, Scientific Support including Crime Scene Investigations, the Underwater Support Unit, Public Order and Firearms Training, Procurement, Information Systems and Human Resources. A “Strategic Partnership” with South Yorkshire Police was agreed towards the end of 2014/15. This is based on a presumption that all services, outside of local policing, will be run collaboratively unless there is a compelling case not to do so.
- By the beginning of the year, corresponding with the end of the Comprehensive Spending Review 2011/12 to 2014/15, the Force had reviewed every significant area of its operations. This has ensured that not only are functions becoming more efficient but also more clearly defined and underpinned by clear organisation charts, detailed governance arrangements and comprehensive and up to date individual job documentation. Year-end Officer Assurance Certificates are obtained from all senior staff, which formally recognise their individual responsibilities and highlight any in year governance issues.
- The Chartered Institute of Public Finance and Accountancy document, “The Role of the CFO of the Police and Crime Commissioner and the CFO of the Chief Constable”, published in 2012, sets out five principles that define the core activities and legislative and professional standards pertaining to the role of the Chief Financial Officer who must, in summary : be a suitably qualified professional accountant, be a key member of the leadership team, be able to influence all material business decisions, lead the delivery of good financial management and work in close liaison with the Commissioner, Chief Executive and the Chief Constable to ensure that the finance

function is resourced to be fit for purpose. The Force fully complies with the requirements of this CIPFA document.

- All posts have appropriate role profiles which detail formal qualification, experience and behavioral requirements and all incumbents are subject to the same, formal, force-wide staff appraisal regime – which, for Finance Function staff is accredited for mandatory, professional Continuing Professional Development purposes by the majority of the accounting institutes including the Association of Accounting Technicians.
- The Commissioner and the Chief Constable jointly employ an internal audit service. This is provided by West Yorkshire OPCC Head of Internal Audit, whose officers have full access to the Force's staff and the appropriate financial documentation of both the Force and its partner bodies. The Service is responsible for testing and compliance work to ensure that management controls are sufficiently effective and robust to prevent, detect and deter error, fraud and corruption and thereby protect the integrity of the officers and staff using the systems and processes. The Head of Audit regularly attends, and reports to, the Joint Independent Audit Committee of Humberside Police, Police and Crime Commissioner and Chief Constable.
- At the present time the membership of the Joint Independent Audit Committee has lapsed and the OPCC is re-establishing it as a joint audit and ethics committee.
- The Commissioner, with the full support of the Chief Constable, is presently establishing a Joint Independent Audit and Ethics Committee to provide independent and effective challenge and assurance about the integrity, standards and ethics of decision-making in policing.
- Force wide Equality and Diversity strategies are in place, supported by Equality Impact Assessments.

3.4 Promoting values for the Commissioner and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

- The Policing Protocol 2011, issued by the Home Secretary, requires forces to abide by the seven Nolan principles which should be central to the conduct and behaviour of all. It highlights the expectation that relationships will be based on the principles of goodwill, professionalism, openness and trust. The Nolan principles are: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.
- The College of Policing's Code of Ethics is a national code of practice which states nine policing principles – accountability, fairness, honesty, integrity, leadership, objectivity, openness, respect and selflessness – and defines ten standards of professional behaviour : honesty & integrity, authority, respect & courtesy, equality & diversity, use of force, orders & instructions, duties & responsibilities, confidentiality, fitness for work, conduct and challenging and reporting improper behaviour. The Force has promoted the Code and is embedding it into its culture, policies and practices.
- The Force has comprehensive and robust internal control policies and procedures in place. Largely, Professional Standards Department led initiatives covering such as Anti-Fraud and Corruption measures, including “whistle-blower” arrangements are in place. They are supported by trained welfare officers. A confidential reporting line, a mechanism for overseeing secondary employment / business interests, gifts, gratuities and hospitality registration arrangements, disclosable associations and media liaison are also well established. In relation to Fraud and Corruption the Commissioner's

Financial Regulations are very clear and detailed with both he and the Chief Constable having a responsibility to foster a culture that will not tolerate fraud and corruption.

- The Force participates in the Cabinet Office's biennial National Fraud Initiative (NFI) which matches electronic data within and between public and private sector bodies to help prevent and detect fraud. The latest exercise was concluded in April, 2016 and uncovered no significant areas of concern.
- Where officers fail to meet professional standards and misconduct hearings ensue then the findings of these are published on the Force's internet site. Conversely, the Organisation has regular cause to celebrate success and recognise performance through awards ceremonies, issuing commendations and publishing letters of appreciation. Humberside Police has recently developed a "good egg" reporting system for members of the public to provide positive feedback on officers and staff which has been commended as good practice.

3.5 **Taking informed and transparent decisions which are the subject to effective scrutiny and managing risk.**

- The Force operates to a comprehensive "Joint Corporate Governance Framework" which applies to decision making by the Commissioner and those exercising delegated authority on his behalf including the Chief Constable and officer of the Force. Unless urgent, decisions are formally considered at the Corporate Governance Group, chaired by the Commissioner, which assists and supports him in decision making and policy direction. This is attended by the Chief Constable and his chief officer colleagues.
- The Commissioner and the Chief Constable have a joint Risk Management Strategy which recognises that it is appropriate for them to have separate risk registers, action plans and procedures in place to identify strategic risks. However, both organisations have a consistent approach to the recording, evaluation and reporting of those strategic risks once identified. All risks common to both the PCC and Force are identified and described using the same terminology within each risk register.
- The Senior Leadership Group, comprising the Chief Constable and chief officer colleagues, oversees compliance with the joint Police Crime Commissioner and Force Risk Management Strategy and ensures that all significant risk are appropriately recorded and managed.
- The Commissioner and Chief Constable have an established Joint Independent Audit Committee which, during 2015/16, operated with four members. This has the objective of challenging and supporting the work of the Commissioner and Force, so enhancing public trust and confidence in their governance. The Committee receives regular reports on internal control and governance related matters including strategic risks such that it may monitor, challenge and review the Force's control measures to ensure their currency, completeness and effectiveness.
- All reports to the SLG and other formal bodies systematically take account of a range of control factors including risks, legal, financial, policy and performance implications. This body reviews all significant reports, emanating from the Force, prior to them being submitted to the Commissioner, where appropriate. The ACO(S) is a full SLG member and, consistent with his statutory responsibilities, ensures that any proposed expenditure is lawful. The Force is, therefore, well placed to ensure that decisions are compliant with relevant laws and regulations, internal policies and procedures, and hence robust.

- As part of its governance remit, the Joint Independent Audit Committee will consider a draft of the Annual Governance Statement and provide comments to the Force as appropriate. In addition, it will monitor the way in which the Force manages the governance issues documented in the Annual Governance Statement and any that emerge throughout the year.
- As part of its performance management regime the Force have a dedicated HMIC liaison post who works with the Deputy Chief Constable to ensure actions arising from audits and inspections are assessed, tasked and actioned appropriately.
- In terms of the on-going provision of services the Force has a dedicated Business Continuity/Contingency Planning Co-ordinator and detailed, individual department business continuity plans.

3.6 Developing the capacity and capability of the Commissioner and the Force to be effective.

- Arrangements are in place to ensure the effective management of change and transformation. In relation to the challenges of reduced funding, these arrangements are now substantially shared with South Yorkshire Police as part of the Strategic Partnership Programme led by Humberside's Assistant Chief Officer under the auspices of the Joint Chief Officer Group. Review implementation is overseen by the Change Programme Board chaired by the Chief Constable, savings monitored on a monthly basis and the outcome of individual reviews is subject to a robust regime of closure reporting to ensure that all anticipated benefits are achieved before formal sign-off. Overall progress in this area is under regular review by Her Majesty's Inspectorate of Constabulary (HMIC), most recently as part of the Police Efficiency, Effectiveness and Legitimacy (PEEL).
- Outside of inter-force collaboration the Organisation participates in a large and diverse range of joint working arrangements including partnership work, local businesses and charities.
- Arrangements exist to identify the development needs of officers so that they may be addressed by appropriate training. Role profiles, person specifications and schedules of main duties exist for all posts which identify post holder responsibilities and corresponding skills requirements. The performance of officers within roles is managed by a well established, personal development review (PDR) mechanism, which has been redesigned effective from the beginning of 2016/17. The Force has a "Health and Wellbeing Strategy" to further support officers impacted by current organisational change and the on-going investigation of legacy related issues. HP has developed a series of expectations documents for each rank that lay out what is required from those promoted to that rank. These documents are available via the force intranet.
- Leadership Learning Groups were established by the Chief Constable, during the year, to involve the whole of the SLG in directly supporting senior managers within the Organisation. These are joint groups across the two forces (Humberside and South Yorkshire).

3.7 **Engaging with local people and other stakeholders to ensure robust public accountability.**

- The Force has arrangements to establish clear channels of communication with all sectors of the community and other stakeholders, ensuring accountability and encouraging open consultation. Service quality is monitored through county-wide consultation processes and by the direct engagement of members and officers in Community Safety Partnerships (CSP). The results of this activity are notified to the Commissioner for his consideration.
- The Force publishes significant amounts of information in compliance with the Freedom of Information Act model publication scheme in relation to such as the Force structure, employee numbers, senior staff profiles, contact details, statutory accounts and budgets as well as making available full details of all expenditure in excess of £500 as required by transparency regulations.
- “Track My Crime” is another means by which the Force seeks to be transparent and accountable. Track my Crime went live this year in Humberside Police. This is an on-line service that enables victims of crime to access the progress of the investigation at their convenience.
- For 2014/15 the External Auditors, in their annual audit letter, issued an unqualified opinion on the Organisation’s statutory accounts in relation to its financial statements and a clean value for money opinion.

4. **Review of Effectiveness**

- 4.1 The Force has a responsibility for conducting, at least annually, a review of the effectiveness of its governance framework. This review is informed by the work of senior officers and bodies within the Force which have a responsibility for the development and maintenance of the governance environment, the Head of Internal Audit’s annual assurance opinion and the comments made by the external auditor and other review agencies and inspectorates.
- 4.2 The information provided by the following has contributed to the review of arrangements in 2015/16 and to the identification of those governance improvements required for 2016/17.

Police and Crime Commissioner; the Commissioner is responsible for determining the overall governance framework for his Office and for the Force.

Chief Constable; the Chief Constable is responsible for maintaining the corporate governance arrangements for the Force. He is assisted in this by National Police Chief Council colleagues sitting as the Strategic Leadership Group (SLG). The Chief Constable personally signs the Annual Governance Statement and, with SLG assistance, monitors progress throughout the year, primarily by reviewing and agreeing as appropriate, all Action Plan reports as they are addressed through the force governance processes.

Strategic Leadership Group; rather than operate a separate Governance Board the Chief Constable has chosen to oversee governance and leadership arrangements using the weekly meeting of the Strategic Leadership Group which considers operational, governance and leadership matters.

Corporate Governance Group; this body, chaired by the Commissioner, comprises the chief officers of both the Force and the Office of the Police and Crime Commissioner. Meetings are

held every six weeks and it is used by the Commissioner to hold the chief constable to account.

Assistant Chief Officer (Support): this post holder is the Chief Constable's Chief Financial Officer, has a statutory responsibility to ensure the proper financial administration of the Force and takes the lead on governance related matters including agreeing all reports prior to their submission to the Chief Constable and SLG. The ACO(S), together with the Chief Constable, personally signs the Annual Governance Statement.

Senior Officers: Force chief officers, commanders and heads of department are formally required to complete a "Officer Assurance Certificate" which provides a commentary on their activities and responsibilities in implementing and maintaining systems of internal control operating within their area of responsibility. Any concerns are fully and formally considered by the SLG and, if considered appropriate, reflected in the "Significant Governance Issues" part of the Annual Governance Statement.

Joint Collaboration Board: this body comprises the two PCCs, of Humberside Police and Humberside Police and the Chief Constables, Deputy Chief Constables, Chief Executives and Chief Finance Officers. It is this body that steers the work of the Strategic Partnership and its programme of work, the latter having its own risk register. A particular success has been the introduction of the Joint Special Operations Unit, and its associated governance arrangements, created to provide services including counter terrorism, roads policing, public order, firearms, operational planning and other specialist services including horses and dogs.

Joint Independent Audit Committee of Humberside Police's Police and Crime Commissioner and Chief Constable: the Commissioner and the Chief Constable established a Joint Independent Audit Committee. It received regular reports from the External Auditor, Head of Internal Audit and other senior OPCC and Force officers. In particular, each meeting was presented with an Annual Governance Statement Action Plan report.

Internal Audit: in line with the Home Office "Financial Management Code of Practice for the Police Forces of England and Wales" document of October 2013, the Force and the Office of the Police and Crime Commissioner operate with a shared internal audit service. These services were provided throughout 2015/16 by the Internal Audit team from West Yorkshire OPCC. The annual report from the Head of Internal Audit indicated that the level of audit coverage during the year was considered sufficient to be able to offer an opinion on the overall adequacy of the organisation's control environment. Based on his knowledge of the systems and procedures in place, the extent of work undertaken by Internal Audit, and as a result of the responses to recommendations contained in Action Plans, the overall assessment was that Internal Audit could provide reasonable assurance that the PCC and the Chief Constable had adequate control and governance arrangements in place. It must be acknowledged however that this statement is given to provide reasonable and not absolute assurance of the effectiveness of the system of control.

Her Majesty's Inspectorate of Constabulary (HMIC); this body determines those areas of the Force that it will inspect based on what it judges to be in the public interest. The responsibility for responding to issues raised in HMIC inspections lies with the Force. The SLG delegates the delivery of actions to a PEEL working group chaired by the Deputy Chief Constable. SLG in reviewing HMIC reports, will determine which matters, if any, need to be captured as part of the governance process. As part of its national inspections into police Effectiveness, Efficiency and Legitimacy (PEEL), HMIC visited the Force in June 2015 to address the question, "how efficient is the Force at keeping people safe and reducing crime?" They determined that the Force was "inadequate". The Chief Constable's response is published on the Force web site.

External Audit: KPMG are the external auditors for both the Commissioner and the Force. In their Annual Audit letter 2014/15 they issued an unqualified opinion on the Commissioner's and Force's financial statements in the statutory accounts and a positive opinion in relation to the responsibility to secure value for money.

5. Significant Governance Issues

5.1 The following actions scheduled in the Annual Governance Statement 2014/15 were closed during 2015/16.

- Risk Management
- Sickness Absence Reporting
- Force Operating Model

5.2 The actions still open are:

- **CSR & further budget reductions:**
The CSR announced by the Chancellor of the Exchequer in November 2015 was considerably better than had been previously predicted. This has allowed the Force to begin recruiting police officers to increase the overall establishment in the Force and to explore options to further increase numbers to 1600. Recurrent savings are still to be found given the current Medium Term Resourcing Strategy of between £3.6 and £8.8m from 2017/18 to 2021/22. This continuing challenge is being met by savings activity in partnership with South Yorkshire Police through the Strategic Partnership Programme and in-Force programmes of work focussed in particular on non-pay related spending.

- **Force Collaboration and Local Partnerships:**
2015/16 was the first year of operation of the new joint venture company created by the Force and Humberside Fire and Rescue Service to deliver joint fleet maintenance services. The operational performance of Emergency Services Fleet Management Ltd has been highly encouraging and strong governance arrangements, which are fully Companies Act compliant, are in place. These have been recently reviewed by internal auditors who have declared themselves satisfied with the arrangements established. The scope of the partnership will be extended to cover a full joint fleet procurement and management service and work between the two Chief Officer teams is also underway to examine what additional services, such as a joint estate and facilities management team, could come under the ambit of EFSM Ltd.

The Strategic Partnership Programme with South Yorkshire Police continues to examine the scope for creating shared services across the two forces building on the partnership established with IS/IT and Human Resources. Shared services also include a Joint Special Operations Unit which went live on 1/4/2016 and estate and facilities management. The latter may also span the two fire and rescue services in Humberside and South Yorkshire. Work is in train looking at joint criminal justice services, performance management, business change and cyber-crime. Strong governance arrangements are in place for all of these programmes involving Police and Crime Commissioners and Chief Officers in key gateway meetings and decision making boards.

- **IT Environment:**
Underpinning much of the activity outlined above and below is the fast developing Information systems environment. This is both through the implementation of new IT platforms such as CONNECT for criminal justice and intelligence services, Contact

Management for communications centres and the new Enterprise Resource Planning platform supporting financial, human resources and duties planning services and modernising the underlying technical infrastructure on voice and data networks. This is a very significant programme of work that is highly governed but on which depends significant business changes to both improve services and bring cost reductions to help meet the financial challenge.

5.3 In the course of preparation of this statement a number of issues have been identified which are worthy of mention. These are:

- The work in train to re-establish the Audit committee which will be in place as a combined Audit and Ethics Committee in the autumn of 2016. The 2015/16 Accounts, together with the accompanying notes, financial and narrative statements were extensively scrutinised by the South Yorkshire Police Audit Committee whose suggestions for improvement have been acted upon.
- Very significant work has been put into stabilising and improving the performance of our contact management centre, known as The Hub. This remains a work in progress but performance levels are improving and the capacity and capability of the Hub to meet the very high and sustained demands because of the volume of calls received, together with the capability to effectively triage this demand and engage operational resources to respond effectively has much improved over the course of 2015/16 and continues to do so.
- The governance of the shared IS/IT programme between Humberside and South Yorkshire forces has been considerably strengthened both at an individual project and programme level. Chief Officers either formally as senior responsible officers and/or in their roles as senior executives in forces are involved in all projects. Work continues to provide accurate and timely financial information across the programme that can be explicitly matched to medium term resource planning and budget monitoring systems in the Force.
- The capabilities of all the new IS/IT platforms are being harnessed and allied to Business Intelligence reporting tools to provide a data rich environment across key operational and enabling services to better underpin evidence based decision-making across the Force.

6. Statement of the Chief Constable and Assistant Chief Officer (Support)

6.1 We propose over the coming year, 2016/17, to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements identified in the review of effectiveness, and we will monitor their implementation and operation during the course of the year through the Senior Leadership Team and feed this into the next annual review.

Signature

Signature

Justin Curran
Chief Constable

Phil Goatley BA CPFA
Assistant Chief Officer (Support)

Date :

Date :

