



OFFICE OF THE POLICE & CRIME COMMISSIONER FOR NORFOLK

ORIGINATOR: PCC CFO

DECISION NO. 2013/14

REASON FOR SUBMISSION: FOR DECISION

SUBMITTED TO: PCC

SUBJECT: Code of Corporate Governance

SUMMARY:

The Norfolk Police Authority had a Code of Corporate Governance which was reviewed annually. With the transition to the OPCCN this required updating to reflect the changed accountability and governance operated by the PCC.

RECOMMENDATION:

It is recommended that the PCC endorsed attached Code of Corporate Governance.

OUTCOME/APPROVAL BY: Approval by the PCC

A.W. Bett

Signature

Date

28/5/13

DETAIL OF THE SUBMISSION

1. **KEY ISSUES FOR CONSIDERATION:** The Code of Corporate Governance previously adopted by the Norfolk Police Authority has been changed to reflect the accountability and governance arrangements of the PCC.

2. **FINANCIAL IMPLICATIONS:** N/A

3. **OTHER IMPLICATIONS AND RISKS:** As outlined in the Code.

PUBLIC ACCESS TO INFORMATION: *Information contained within this submission is subject to the Freedom of Information Act 2000 and wherever possible will be made available on the OPCC website. Submissions should be labelled as 'Not Protectively Marked' unless any of the material is 'restricted' or 'confidential'. Where information contained within the submission is 'restricted' or 'confidential' it should be highlighted, along with the reason why.*

ORIGINATOR CHECKLIST (MUST BE COMPLETED)	PLEASE STATE 'YES' OR 'NO'
Has legal advice been sought on this submission?	Yes
Has the PCC's Chief Finance Officer been consulted?	Yes
Have equality, diversity and human rights implications been considered including equality analysis, as appropriate?	Yes
Have human resource implications been considered?	N/A
Is the recommendation consistent with the objectives in the Police and Crime Plan?	Yes
Has consultation been undertaken with people or agencies likely to be affected by the recommendation?	N/A
Has communications advice been sought on areas of likely media interest and how they might be managed?	N/A
In relation to the above, have all relevant issues been highlighted in the 'other implications and risks' section of the submission?	Yes

APPROVAL TO SUBMIT TO THE DECISION-MAKER

Chief Finance Officer

I am satisfied that relevant advice has been taken into account in the preparation of the report and that this is an appropriate request to be submitted to the PCC.



Signature:

Bob Summers

Date 23/05/2013



OFFICE OF THE POLICE & CRIME COMMISSIONER FOR NORFOLK

CODE OF CORPORATE GOVERNANCE

1. Introduction

- 1.1. Governance is about ensuring that the right things are done in the right way, for the right people, in a timely, inclusive, open and accountable manner. It comprises the systems, processes, culture and values by which organisations are directed and controlled, and through which they account to, engage with and, where appropriate, lead their communities.
- 1.2. This Code of Corporate Governance describes how the Office of the Police and Crime Commissioner for Norfolk (OPCCN) discharges its responsibilities in this respect, and particularly its two overarching statutory responsibilities:
 - To secure an efficient and effective local police service;
 - To hold to account the Chief Constable for the exercise of his functions and those of persons under his direction and control.
- 1.3. The Chief Constable has statutory responsibility for the control, direction and delivery of operational policing services.
- 1.4. The CIPFA/SOLACE Framework *Delivering Good Governance in Local Government* which also applies to PCCs, sets out six core principles on which effective governance should be built:-
 - Focusing on the purpose of the PCC and on outcomes for the community and creating and implementing a vision for the local area;
 - Working together to achieve a common purpose with clearly defined functions and roles;
 - Promoting values for the PCC and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
 - Developing the capacity and capability of the PCC and Officers to be effective;
 - Engaging with local people and other stakeholders to ensure robust public accountability.

1.5 To achieve this, a framework has been formulated which ensures that these principles are fully integrated in the conduct of the PCC's business as well as establishing a means of demonstrating compliance.

1.6 The PCC should also demonstrate that systems and processes in place are:

- Monitored for their effectiveness in practice;
- Subject to annual review to ensure they remain up-to-date.

2. **The Code of Corporate Governance**

2.1. This Code of Corporate Governance incorporates the core good governance principles, develops these in a local context, and sets out the arrangements for reviewing their effectiveness.

2.2. The way in which each of the core principles of good governance is put into practice is set out below:

2.2.1. Focusing on the purpose of the PCC and on outcomes for the community and creating and implementing a vision for the local area;

To achieve this, the PCC will:

- Ensure that the role and functions of the PCC are clearly understood by all, including the Norfolk Constabulary, commissioned service providers, contractors, receivers of grants and partner organisations;
- Ensure that all decisions made and actions taken are directly related to the PCC's functions;
- Secure the provision of an efficient, effective and sustainably funded Police Service for Norfolk, ensuring that value for money opportunities are fully identified and implemented;
- Ensure that the work the PCC and Constabulary undertake in partnership with others is underpinned by a common vision of their work and is endorsed by all parties;
- Ensure that collaborative and similar arrangements for working with others, in partnership, are identified, examined and implemented.
- Decide how the quality of service for users is to be measured and ensure that the information needed to review service quality effectively and regularly is available;
- Ensure that the information needed to review performance in achieving value for money effectively and regularly is available;
- Consider the environmental impact and sustainability of policies, plans and decisions;
- Put in place effective arrangements to ensure that the Constabulary performs to a high standard.

- Consult and engage with the community to determine outcomes and a local vision.

2.2.2 Working together to achieve a common purpose with clearly defined functions and roles;

To achieve this, the PCC will:-

- Ensure there is a clear and common understanding of the respective roles and responsibilities and regularly review the effectiveness of these roles and responsibilities;
- Regularly review delegations to ensure that the way it does business is fit for purpose;
- Set out a clear statement of the role and responsibilities of OPCCN staff;
- Regularly review and update the job descriptions to ensure that they are clearly related to the PCC's aims and objectives and to their way of working.

2.2.3 Promoting values for the PCC and demonstrating the values of good governance through upholding high standards of conduct and behaviour;

To achieve this the PCC will:-

- Ensure that the OPCCN carries out duties in a climate of openness, support and respect;
- Ensure compliance with equalities and Human Rights Act requirements;
- Ensure that standards of conduct and professional behaviour expected between OPCCN staff, and the Constabulary are defined and communicated through appropriate codes of conduct and protocols;
- Regularly review, maintain and update this Code of Corporate Governance and those policies and other documents which give effect to it;
- Regularly review its Code of Conduct for OPCCN Staff and consider whether any locally determined provisions are required in addition to the mandatory provisions prescribed by legislation;
- Promote an understanding of the Code of Conduct and the Principles of Conduct in Public Life through leadership, example, training and guidance;
- Ensure rigorous enforcement of the Codes.

2.2.4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;

To achieve this, the PCC will:-

- Continue to develop and maintain effective arrangements to scrutinise and challenge Constabulary performance;
- Ensure that it works with the Constabulary to obtain objective and timely information which is necessary to balanced and informed decisions;
- Ensure that decisions are evidence-based, costed, lawful, assessed for risk and accurately recorded;
- Develop and maintain effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations;
- Ensure that risk management is embedded both within the OPCCN and Constabulary and is used effectively to inform and focus its decision making, scrutiny and monitoring work;
- Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints against the PCC;
- Ensure that meetings are publicly accessible and that agendas and minutes are published.
- Work with the Constabulary as well as its stakeholders and communities to develop and deliver against clearly defined strategic plans, priorities and where appropriate targets;
- Ensure when working in partnership that the arrangements for governance and accountability for performance and financial administration are clearly articulated and disseminated.

2.2.5 Developing the capacity and capability of OPCCN staff to be effective;

To achieve this, the PCC will:-

- Appoint officers with qualifications, experience and potential appropriate to their roles;
- Provide officers with training appropriate to their roles and opportunities for personal development;
- Ensure that officers provide practical and knowledge-based support.

- 2.2.6 Engaging with local people and other stakeholders to ensure robust public accountability.

To achieve this, the PCC will:-

- Provide stakeholders with budgetary and other information necessary for them to make informed responses to consultation;
- Promote a wider understanding of the role and functions of the PCC;
- Consult widely with appropriate stakeholders including hard to reach and other under represented groups on matters relating to policing in Norfolk and have regard to their views.
- Ensure that information on PCC meetings and other information relating to the work of the PCC is accessible to the community through the PCC's website and other means.

3. Governance Review Arrangements

The PCC has put in place the following arrangements to review the effectiveness of the Code of Corporate Governance.

The Office of the Police and Crime Commissioner for Norfolk

- 3.1 The PCC is responsible for approving the Code of Corporate Governance and for carrying out an annual review of its effectiveness. The PCC will receive and approve the Annual Governance Statement (AGS) at the same meeting at which it approves the Annual Statement of Accounts. The AGS, which will include an action plan to rectify any significant areas of weakness in corporate governance, will be signed jointly by the PCC, and the Chief Constable.
- 3.2 Effective consultation and engagement is essential in enabling the PCC to perform their role to hold the Chief Constable to account on behalf of local people. Through the Norfolk Independent Advisory Group, Norfolk Police Independent LGBT Advisory Forum and Norfolk Police Disability Advisory Forum, the PCC engages with stakeholders on policing issues, including matters in relation to police performance. Consultation allows the opinions, needs and experiences of the public to inform strategy and policy development.

The Constabulary

- 3.3 The Chief Constable is responsible for corporate governance issues affecting the Constabulary, ensuring that appropriate reviews are carried out into key areas including:-
- Optimisation of operational delivery, with adequate service, governance and financial controls
 - Professional standards and performance
 - Management of information, including security and data protection
 - Strategic co-ordination of service and financial planning, including risk management
 - The processes for evaluation, and achievement of value for money

Audit Committee

3.4 The Committee's terms of reference include the following key requirements in respect of corporate governance:

- To provide proactive and effective advice on audit and governance issues and champion both audit and the embedding of risk management.
- To be assured as to the adequacy of financial and other controls, corporate governance (including an anti-fraud and corruption strategy), financial regulations, contract standing orders and risk management arrangements, and ensure that they are reviewed and revised.
- To examine and consider the draft Annual Governance Statement, and to make any recommendations to the PCC and CC in this respect.

Internal Audit

3.5 The role of internal audit is to give assurance to the PCC, through the Audit Committee, on the effectiveness of the controls in place to manage risks. To this end, Internal Audit reports to the Committee on a quarterly basis, highlighting any major control weaknesses identified.

3.6 Corporate Governance and risk management arrangements periodically feature in the annual audit plan which is subject to approval by the Audit Committee. Corporate governance and risk management issues may arise through other reviews carried out by Internal Audit. In this case, the issues will be raised through the relevant audit report.

External Audit

3.7 External Auditors audit the PCC's financial statements, Annual Governance Statement and provide a value for money assessment. The External Auditors' plans and reports, including the Annual Audit Letter, are considered by the Audit Committee at appropriate times in the annual cycle of meetings.

Her Majesty's Inspectorate of Constabulary

3.8 The role of HMIC is to promote the efficiency and effectiveness of policing in England, Wales and Northern Ireland through inspection of police organisations and functions to ensure agreed standards are achieved and maintained, good practice is spread and performance is improved. It also provides advice and support to the tripartite partners (Home Secretary, PCCs and forces) and plays an important role in the development of future leaders.

3.9 HMIC reports are sent to the Chief Constable and PCC for consideration and appropriate action.