



Lancashire
POLICE AUTHORITY
Your County, Your Police, Your Say

Code of Corporate Governance
2008 ~ 2011

INTRODUCTION

Governance is a phrase used to describe how the Police Authority ensures it is doing the right things, 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 control what they do. For the Police Authority this also includes how it relates to the communities that it serves.

Lancashire Police Authority is committed to demonstrating that it has the necessary good governance practices to excel in the public sector. This Code of Corporate Governance describes how Lancashire Police Authority discharges its responsibilities in this respect, and particularly its two overarching statutory responsibilities to:

- Secure an efficient and effective local Police service.
- Hold to account the Chief Constable of Lancashire Constabulary for the exercise of his functions and those of persons under his control.

The Chief Constable has a statutory responsibility for the control, direction and delivery of operational policing services.

The Code is based upon the following six principles:-

- Focusing on the purpose of the Authority, the outcomes for the community and creating and implementing a vision for the local area.
- Having clear responsibilities and arrangements for accountability.
- Good conduct and behaviour.
- Taking informed and transparent decisions which are subject to effective scrutiny and risk management.
- Developing the capacity and capability of Members and Officers to be effective.
- Engaging with local people and other stakeholders to ensure robust public accountability.

Each of these Principles is an important part of Lancashire Police Authority's governance arrangements. This statement describes how the Authority will meet and demonstrate its commitment to good governance.

Also described in this document is how and by whom the Authority's Governance arrangements will be monitored and reviewed.

THE POLICE AUTHORITY'S CORPORATE GOVERNANCE PRINCIPLES

Focusing on the purpose of the Authority, the outcomes for the community and creating and implementing a vision for the local area

1. The Authority will explain and report regularly on activities, performance and its financial position. Timely, objective and understandable information about the Authorities activities, achievements, performance and financial position will be provided. The Authority will do this by publishing:
 - Information which promotes its Ambition and objectives.
 - An annual policing plan which tells local people what they can expect from their Police Service.
 - An annual local Policing Summary which reports on performance achieved.
 - Externally audited annual accounts.
 - A three year corporate plan setting out the Authority's mission and priority objectives over the period.
 - Strategies relating to consultation, communication and marketing to ensure the Authority reaches out effectively to the people and communities of Lancashire.
 - Equality Schemes showing how the Authority intends to fulfil its general and specific duties under each of the six strands of diversity.

2. The Authority will aim to deliver high quality services that are value for money. The Authority will do this by:
 - Consulting and engaging with the people of Lancashire about policing, anti-social behaviour and the prevention of crime.
 - Setting local policing priorities and challenging targets for achievement by the Constabulary.
 - Monitoring and scrutinising local policing performance.
 - Directing resources to those that need services most.
 - Developing effective relationships and partnerships with other public sector agencies and the private and voluntary sectors.
 - Responding positively to the findings and recommendations of external auditors and statutory inspectors and putting in place arrangements for the implementation of agreed actions.
 - Collaborating with other Police Authorities where this is in the interests of efficient and effective Policing.

- Comparing information about policing services with services provided by similar organisations and assessing why levels of efficiency, effectiveness and quality are different elsewhere.
- Overseeing complaints made against the Police.
- Carrying out its responsibilities having due regard to the equality duties.
- Considering the environmental impact of policies, plans and decisions.

Having clear responsibilities and arrangements for accountability

3. The Authority will ensure that the necessary roles and responsibilities for the governance of the Authority are identified and allocated so that it is clear who is accountable for decisions that are made. The Authority will do this by:

- ensuring there is a clear understanding of the respective roles and responsibilities of the Authority, its members and officers and regularly reviewing the effectiveness of these roles and responsibilities, including;
 - Appointing a Chair and Vice-Chair of the Authority.
 - Annually appointing Committees to discharge the Authority's responsibilities.
 - Annually reviewing areas of special responsibility and appointing a member to oversee each of these areas.
 - Providing statements clearly setting out Member's roles in relation to: their basic duties as a Member, undertaking a special interest role and representing the Authority on a Crime and Disorder Reduction Partnership.
 - Providing Officers with job descriptions clearly defining their role and duties within the Office structure.
- Maintaining and updating Constitutional and Procedural Standing Orders that include a formal schedule of those matters specifically reserved for the collective decision of the Authority.
- Operating a scheme of delegated responsibilities to Chief Officers and regularly reviewing the operation of the Authority's Scheme.
- Appointing statutory officers that have the skills, resources and support necessary to perform effectively in their roles and ensuring that these roles are properly understood throughout the Authority.
- Publishing and reviewing a Members' Allowance Scheme, developed taking into account recommendations of the Association of Police Authorities Independent Remuneration Panel.

- Ensuring that work the Authority and Constabulary undertake in partnership is underpinned by a common vision which is understood by all parties.
- Working with the Constabulary, stakeholders and communities to develop and deliver against clearly defined strategic plans, priorities and targets to drive improvements in policing services.
- Having in place effective and comprehensive arrangements for the scrutiny of services and for holding the Constabulary to account.

Good Conduct and Behaviour

4. The Authority will foster a culture of behaviour based on shared values, ethical principles and good conduct. To achieve this, the Authority will:
 - ensure that Members and Officers of the Authority carry out their respective roles in a climate of openness, support and respect.
 - ensure that standards of conduct and personal behaviour expected of Members, Authority staff and staff and officers of the Constabulary are defined and communicated through appropriate codes of conduct and protocols.
5. The Authority will also appoint an Audit & Standards Committee with responsibilities for promoting and monitoring the application of ethical governance amongst Authority Members.
6. The Authority will oversee good ethical governance within the Constabulary and monitor complaints made against the Police through the work of the Authority's Professional Standards Committee.

Taking informed and transparent decisions which are subject to effective scrutiny and risk management.

7. The Authority will ensure that appropriate legal, financial and other professional advice is considered as part of the decision-making process.
8. The Authority will be transparent about how decisions are taken and recorded. The Authority will do this by:
 - ensuring that all decisions made by the Authority and its Committees are made in public and that information relating to those decisions is made available to the public¹.
 - Recording all decisions that are made by Committees and making the details publicly available.
 - Having rules and procedures which govern how decisions are made.

¹ Except where that information is exempt under the provisions of the Freedom of Information Act or determined as being confidential by Government or otherwise exempt by the Authority under Access to Information rules.

- Publishing Agendas and Minutes on the Authority's website.
9. The Authority will develop and maintain effective arrangements to challenge and scrutinise force performance and compliance with other requirements.
 10. The Authority will work with the Constabulary to obtain objective and timely information which is necessary to take balanced and informed decisions.
 11. The Authority will ensure that risk management is embedded within the Authority and Constabulary by operating a risk management system that aids the achievement of strategic objectives, protects its reputation and other assets and is compliant with statutory and regulatory obligations. The Authority will ensure that the risk management system:
 - formally identifies and manages risks
 - involves Authority members in the risk management process
 - maps risks to financial and other key internal controls
 - incorporates service continuity planning; and
 - reviews and, if necessary, updates its risk management processes at least annually

Developing the capacity and capability of Members and Officers to be effective.

12. The Authority will ensure that those charged with the governance of the Authority have the skills, knowledge and experience they need to perform well. The Authority will do this by:
 - providing induction programmes tailored to individual needs and opportunities for Members and Officers to update their knowledge on a regular basis.
 - assessing the skills required by Members and Officers and making a commitment to develop those skills to enable roles to be carried out effectively.
 - developing skills on a continuing basis to improve performance.

The Authority will support these activities by:

- Implementing annual performance development review systems for both Members and Officers.
- Supporting Officers in obtaining professional qualifications which will enhance the Authority's skill base and add value to the organisation.
- Developing and implementing a Member Training and Development Plan which includes a set of core competencies for Authority Members.

- Achieving and maintaining the North West Member Development Charter.
- Regularly cascading information to Members and Officers.

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

13. The Authority will seek and respond to the views of stakeholders and the community. The Authority will do this by:-

- Forming and maintaining relationships with the leaders of other organisations.
- Having strategies for consultation, communication and marketing.
- Providing a range of accessible community engagement activities to enable residents to become involved.
- Undertaking specific research/ engagement activity focused on reaching hard to reach communities especially in relation to experience of policing service delivery (e.g. stop and search, diversity).
- Provision of communication material outlining decisions taken, consultation opportunities and information documents.
- Providing and supporting ways for citizens to present community concerns to the Authority through the use of new media alongside traditional contact methods.
- Using a Citizens' Panel.
- Utilising the Authority's website as an online consultation portal.

Monitoring and Review

14. The Authority has two Committees that are jointly responsible for monitoring and reviewing the Authority's Governance arrangements.

The Resources Committee is responsible for the Authority's governance arrangements relating to:

- Approving the Authority's Annual Statement of Accounts.
- Making recommendations concerning the Authority's Standing Orders, Scheme of Delegation and Financial Regulations to ensure they are designed to secure the proper administration of the Authority's financial affairs.

The Audit and Standards Committee is responsible for the Authority's Governance arrangements relating to:

- Overseeing the implementation of Member and Officers Codes and protocols regarding probity and conduct.
 - Internal and External Audit.
 - Making recommendations on the effectiveness of Internal Control Systems and matters relating to risk management and corporate governance.
15. Through these Committees the Authority will ensure that these arrangements are kept under continual review by:
- the work of Internal Audit.
 - Reports prepared by managers with responsibility for aspects of this Code.
 - External Audit opinion.
 - Other review agencies and Inspectorates.
 - Opinions from the Authority's Statutory Officers.
16. 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.
17. Internal audit's primary role is to give assurance to the Authority, through the Audit and Standards Committee, on the effectiveness of the controls in place to manage risks. To this end, the Internal Auditor reports to the Committee on a quarterly basis, highlighting any major control weaknesses identified.
- The review of both corporate governance and risk management arrangements periodically feature in the annual audit plan which are subject to approval by the Audit Committee. Corporate governance and risk management issues may arise through other reviews carried out by the Internal Audit team. In this case the issues will be raised through the relevant audit report.
18. The External Auditors audit the Authority's financial statements, Police Use of Resources assessment (PURE), Annual Governance Statement and performance management arrangements, as well as undertaking a number of thematic based reviews. 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.

19. Her Majesty's Inspectorate of Constabulary's role 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, police authorities and forces) and plays an important role in the development of future leaders.

HMIC reports are sent to the Chief Constable and Police Authority for consideration and appropriate action. HMIC is expected to play a key role in the future inspection of Police Authorities.

The Annual Governance Statement

20. Each year the Authority will publish an Annual Governance Statement. This will provide an overall assessment of the Authority's Corporate Governance arrangements and an appraisal of the key controls in place to manage the Authority's principal governance risks. The Statement will also provide details of where improvements need to be made.²
21. The Annual Governance Statement will be published as part of the Authority's Annual Statement of Accounts and will be audited by our External Auditors.

² This is in accordance with the Authority's duty to publish an Annual Governance Statement as set out in Regulation 4(2) of the Accounts and Audit (Amendment) (England) Regulations 2006.