

# Dorset Police



## Annual Governance Statement 2019/2020

Approved May 2020



## Scope of Responsibility

The Chief Constable is accountable in law for the exercise of police powers and to the Police & Crime Commissioner for the delivery of efficient and effective policing, management of resources and for ensuring the public money allocated to Dorset Police is safeguarded, properly accounted for, and used economically, efficiently and effectively. He is accountable for the functions of officers and staff under his employment, direction and control.

The Police and Crime Commissioner has responsibility for the totality of policing in Dorset and is held to account by the Dorset Police and Crime Panel, which consists of representatives from the local authorities.

In discharging their overall responsibilities the Police and Crime Commissioner and the Chief Constable are responsible for maintaining proper arrangements for the governance of their affairs, facilitating the effective exercise of their functions, ensuring there is a reliable system of internal control and arrangements for managing risk.

Their respective legal duties and responsibilities are clearly defined within the following:

[Police Reform and Social Responsibility Act 2011](#)

[Policing Protocol Order 2011](#)

[Financial Management Code of Practice for the Police and Fire & Rescue Services 2018](#)

[Strategic Policing Requirement 2015](#)



To support the delivery of their legal responsibilities the Chief Constable and Police & Crime Commissioner have established a Corporate Governance Framework that includes the Code of Corporate Governance. The code is consistent with the CIPFA SOLACE [Framework for Delivering Good Governance Guidance Notes for Policing Bodies 2016](#).

This statement explains compliance to the code and the [Accounts and Audit \(England\) Regulations 2016](#) requirement that all relevant bodies prepare an Annual Governance Statement.

A copy of the Code of Corporate Governance is available on the Police & Crime Commissioners website at [www.dorset.pcc.police.uk](http://www.dorset.pcc.police.uk) or can be obtained from the Head of Audit, Insurance and Risk, Dorset Police, Force Headquarters, Winfrith, Dorchester, Dorset DT2 8DZ.

The Code of Governance sets out the principles of good governance and describes the arrangements that the Chief Constable and Police & Crime Commissioner have put in place to meet each of these principles.

A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law		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 the individuals within it
F. Managing risks and performance through robust internal control and strong public financial management		G. Implementing good practices in transparency, reporting, and audit, to deliver effective accountability

## The Purpose of the Corporate Governance Framework

The Corporate Governance Framework sets out the systems and processes, culture and values by which the Chief Constable manages Dorset Police. This includes the leadership arrangements, methods of engagement and accountability to the communities the Force serves. This enables the Chief Constable to monitor the achievement of strategic objectives and to consider whether appropriate, cost effective services have been delivered.

The Framework establishes a system of internal control that is designed to manage risk to an acceptable level in accordance with the "risk appetite". It cannot entirely eliminate the risk of failure to achieve strategic objectives but seeks to provide reasonable rather than absolute assurance of effectiveness. The system of internal control is based on an on-going process designed to identify, prioritise and manage the risks to the achievement of all aims and objectives.

In addition the Scheme of Corporate Governance and Scheme of Delegation details arrangements for decision making which uphold the principles of the Policing Protocol Order, designed to ensure an effective and constructive working relationship between the Chief Constable and the Police & Crime Commissioner.

## Key Elements of the Governance Framework

Whilst the Chief Constable and the Police & Crime Commissioner are two separate legal entities with separate statutory responsibilities, they work together to ensure Dorset Police is working effectively and is held accountable for the standard of service delivered to the public. The framework sets out the strategic and operational controls designed to facilitate the delivery of the objectives set out in the Police & Crime Plan to local communities. The structures, processes, risk management and other internal control systems, such as codes of conduct, form part of the framework designed to manage the barriers to the achievement of the strategic plan.

The Chief Constable is responsible for putting in place proper arrangements for the governance of affairs and the stewardship of resources. This is achieved through the Force Executive, which includes the Deputy Chief Constable, Assistant Chief Constables and the Section 151 Officer. The Force Executive also meets on a regular basis with the Police and Crime Commissioner and his Strategic Management Team, of his Section 151 Officer, Chief Executive, who is also the Monitoring Officer and Director of Operations to review progress and the use of resources, through the Joint Leadership Board.

The Force Executive and the Joint Leadership Board are supported by a variety of other Boards, some of which include representatives from the Office of the Police and Crime Commissioner. These Boards deal with such things as innovation, change and operations.

Governance arrangements are regularly reviewed by the Independent Audit Committee.

To achieve their objectives the Chief Constable and the Police & Crime Commissioner have designed systems and processes to regulate, monitor and control their activities. The Corporate Governance Framework sets out the controls in full.

The financial management arrangements are compliant with the governance requirements set out in the [CIPFA Statement of the Role of the Chief Financial Officer in Local Government \(2015\)](#) and the CIPFA SOLACE Delivering Good Governance in Local Government: Framework (2016 Edition).

## The Governance Framework

### The Annual Governance Statement

#### INDEPENDENT AUDIT COMMITTEE

(Challenge the draft AGS and supporting evidence & agree the final AGS)

#### THE CHIEF CONSTABLE

(Challenges the draft AGS and supporting evidence and signs the final AGS)

#### DEPUTY CHIEF CONSTABLE

(Supports robust governance arrangements)

#### CHIEF FINANCE OFFICER

(Supports effective financial management)

**THE CHIEF EXECUTIVE & MONITORING OFFICER  
ASSISTANT CHIEF CONSTABLES**  
(Supports operations)

### The Code of Corporate Governance

#### LEGITIMACY & CONSTITUTION

Codes of Conduct  
Scheme of Delegation  
Complaints & Misconduct  
Anti-Fraud & Corruption

Independent Office  
for Police Conduct

Professional  
Standards Unit

Ethics Committee

Public Engagement  
& Consultation

Complaints  
Resolution

Whistleblowing &  
Confidential  
Reporting

College of Policing  
Code of Ethics

#### STRATEGIC PLANNING

Business Analysis,  
Development &  
Planning  
Performance  
Risk Management  
Business Continuity  
Partnership Working  
Equality & Diversity  
Policy & Procedure

Annual Report

Force Management  
Statement

Performance  
Reports

Independent Audit  
Committee

Scrutiny Panels

Internal Audit  
Programme &  
Opinion

Risk & Assurance  
Framework

#### FINANCIAL MANAGEMENT FRAMEWORK

Budget Setting &  
Monitoring

Financial Regulations  
& Practice

Treasury &  
Investment Strategy

Medium Term  
Financial Strategy

Statement of  
Accounts

External Audit Letters  
& Opinion

South West Police  
Procurement &  
Contract Monitoring

#### HR POLICIES

Terms & Conditions  
Remuneration

Establishment  
Controls

Recruitment &  
Retention

Training &  
Leadership

Sickness  
Management

Personal Appraisals



## Review of Effectiveness

The Chief Constable and Police & Crime Commissioner have responsibility for conducting an annual review of the effectiveness of the governance framework, including the system of internal control.

The review is completed by the Audit, Insurance and Strategic Risk Department and informed by the annual internal audit opinion, comments made by the external auditor, the opinion of the HMICFRS which graded Dorset Police as “good” and the Independent Audit Committee who review elements of the framework for effectiveness throughout the year.

The review of effectiveness for 2019/20 concluded there is substantial evidence of good governance against each of the seven CIPFA principles as recorded in the chart below.

The internal audit definition of “substantial” assurance is as follows: The areas reviewed are adequately controlled. Internal controls are in place and operating effectively. Risks against the achievement of objectives are well managed.

The internal auditors completed an annual programme of risk-based audits. The plan is flexible and is adjusted to cover emergent risks as they arise. As part of this plan all key financial systems are audited with reports which include recommendations for improvement provided to the relevant manager and the Independent Audit Committee.

Based on the assurance work undertaken the Head of Internal Audit has predicted a “reasonable” opinion based on the adequacy of the control environment.

The external auditor delivers an audit opinion based on their verification of the financial accounts and the delivery of value for money. The opinion is published within the [Joint Annual Audit Letter](#). External audit provided “unqualified” assurance on the value for money and financial management arrangements provided by Dorset Police for the 2018/19 accounts. The opinion for the 2019/20 accounts is still awaited

During 2019/20 the Independent Audit Committee has challenged and monitored financial management, performance and policies on an on-going basis. The Committee Chair has kept issues under review through meetings with the Executive and senior managers. The members of the Committee have worked together, developing and using their knowledge and expertise, and that of others to the best effect. They have adopted a non-political, evidence based approach that has been instrumental in achieving good results. This year all Committee Members received treasury management training to support them in their roles. Risk management arrangements are also a standing agenda item for the Committee and a separate Risk & Assurance Board has met on a regular basis and, during 2019/20, provided regular reports on risk, business continuity and ICT disaster recovery arrangements.

## Review of Effectiveness continued

The Ethics Committee chaired by the Director of Legal Services and Reputational Risk meets monthly and is designed to provide advice and support to leaders and decision makers on ethical and moral issues.

The internal audit providers assessed the corporate governance arrangements operated regionally by the Police and partner agencies. The review assessed the sources of assurance contained within each organisation's Annual Governance Statement and concluded that the Dorset Police statement is compliant with CIPFA standards for the seven principles of good governance in policing. The report also identified areas of good practice in Dorset when compared to the other public sector organisations reviewed.

The annual review of police effectiveness, efficiency, legitimacy and leadership (PEEL) conducted by Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) has graded Dorset Police as 'good' in all areas inspected. The report found that the Force has a good understanding of the nature and scale of vulnerability throughout the county and works well with partner organisations, such as local authorities, health and education services, and victim support groups. It further recognised Dorset Police's dedication to protecting vulnerable people, stating that staff across the Force knew how to recognise vulnerability. The force was also found to be "good" in terms of its legitimacy and how it treats the public and its workforce, stating it treats the public fairly with officers making fair and ethical decisions.

The Chief Constable and the Commissioner are dedicated to ensuring that resources are utilised in the most effective and efficient manner. The Resource Control Board meets monthly to ensure oversight of the management of resources including land, property, finance, projects and people. The Board receives regular reports on workforce supply, litigation, capital health checks and group financials. This has supported the achievement of the strategic objectives as recorded in the Commissioners Annual Report. Some of which are recorded below:

- Increased recruitment and uplift in Police Officer numbers
- Investment in technologies including ANPR (automated number plate recognition)
- Roll out of Body Worn Video
- Improvements to CCTV coverage and additional road safety cameras
- Purchase of the "Bobby Van" to help vulnerable and older people
- Launch of the Cadet Scheme for the benefit of young people

The Chief Constable is a member of the National Police Chiefs Council (NPCC) which brings forces together to coordinate operations, reform, improve and provide value for money. The Dorset Chief Constable is the national policing lead for Forensic Procurement and Market Development.

During early 2020 the Chief Constable delivered a series of face to face meetings with all members of Dorset Police. Supported by the Commissioner, the roadshow endorsed the Chiefs aim to deliver an outstanding service to the people of Dorset while actively supporting the health and wellbeing of its operational officers and support staff. The programme of meetings was suspended by the outbreak of Covid-19 when operational delivery became the prioritisation.

## Review of Effectiveness continued

The principle decision-making forum for operational policing is the Business Board which considers ideas for improvement and change to ensure maximum efficiency. Meetings are held bi-monthly with attendees from all aspects of the organisation. The Board considers operational requirements and receives updates from all support services, including business change and risk management. Once a quarter the Board focuses on the monitoring and review of Force performance. To support this senior managers across the organisation have completed Force Management Statements to evaluate and predict future demand. This informs financial planning for strategic and, sustainable resourcing.

The Joint Leadership Board meets twice a month to review the organisations financial affairs and strategies. The Chief Constable and Commissioner meet with the executive and senior managers to provide leadership, set strategic direction and monitor the co-ordination required to achieve objectives. The board is also responsible for financial planning and reviews the position statements provided by the executive team to ensure oversight across the portfolio areas.

Key projects designed to deliver continuous improvement are managed through the Transformation Board. This board drives change activity to ensure the delivery of predicted benefits and outcomes through a single overview of all transformation and change across Dorset and Devon & Cornwall Forces. Financial reports are reviewed alongside local, regional and national programme updates. This includes the assessment of risks and timelines.

The Deputy Chief Constable and the Police & Crime Commissioner jointly chair the Dorset Strategic Performance Board to consider overall Force performance against service delivery. The Corporate Development Department analyse demand and performance data to assess capacity and capability. The Force Strategic Assessments and the Control Strategy determine operational priorities and requirements to inform organisational design and effective financial planning. The Force financial strategies support the provision of a sustainable workforce taking into account the requirements for recruitment, training and succession planning. The organisation monitors activity towards equality objectives, and delivery of the public sector equality duty. The Force aims to create a diverse and inclusive workforce that represents the communities it serves. During 2019/20 Recruitment has worked to achieve the promised increase in Police Officer numbers and will continue to support the national programme for the uplift of Police Officers.



The Legitimacy Board meets every quarter with representation from the Force and OPCC. It holds those working for the Force to account for their ethical values and behaviours and provides the public with confidence that the Force works fairly and in within the law. Professional standards, corporate development, equality and diversity, resources and development and operational representatives from OPCC led scrutiny panels provide information and data that evidence high standards of behaviour and decision making.

The Board supports the Chief Constable with his engagement with local people and helps to ensure the legitimacy of the Force by understanding and reporting on the views of members of the public. It also provides information to the public on Force performance and drives activity to increase public and staff confidence in the Force.

The Board holds departments accountable for their responsibilities under the Equality Act 2010 and supports delivery of the public sector equality duty.

## Review of Effectiveness continued

The Chief Constable has worked closely with the Commissioner to put in place fast-paced contingency plans for the effective delivery of policing in the light of the Covid-19 pandemic. All operational units and departments have tested business continuity plans designed to support emergency service response and these were immediately activated. A COVID -19 Gold, Silver, and Bronze Command structure was created that has provided advice and guidance to all staff and operational officers who have proved adaptable and willing to accept additional responsibilities. Agile and flexible working arrangements have also supported the continuous delivery of effective policing to local communities.

The Joint Leadership Board meets twice a month to review the organisation's financial affairs and strategies. The Chief Constable and Commissioner meet with the executive and senior managers to provide leadership, set strategic direction and monitor the co-ordination required to achieve objectives. The Board is also responsible for financial planning and reviews the position statements provided by the executive team to ensure oversight across the portfolio areas.

## Key Governance Principles

Each year the Chief Constable and Police & Crime Commissioner review governance arrangements against delivery of service. The assessment of governance arrangements against the seven CIPFA principles of good governance conducted by the Audit, Insurance and Strategic Risk department considers the effectiveness of a range of evidence from strategies, policies and procedures to independent reviews, audits and inspections.

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

The Professional Standards department monitors conduct and standards of behaviour. There is a robust complaints' handling process with significant cases referred to the Independent Office of Police Conduct for independent review and an appeals process handled by the Office of the Police and Crime Commissioner. The Whistle Blowing Policy supports the confidential reporting processes and any conflicts of interest are formally managed.

Compliance to laws, regulations, policies and procedures are evidenced by the relatively low level of liability claims and legal challenge against the Force. The joint Legal Services Department provides support and advice on legal matters.

The OPCC Chief Executive has responsibilities as the Monitoring Officer for ensuring the Force and OPCC remain compliant to laws and regulations. They are also responsible for advising the Commissioner on policy and strategy and for the commissioning and delivery of contracted services.

The OPCC Treasurer and the Force Chief Finance Officer (CFO) work closely together to ensure compliance with the governance requirements set out in the CIPFA Statement on "[The Role of the CFO of the OPCC and the CFO of the Chief Constable](#)". A series of executive level meetings are held between the Force and OPCC to secure the most efficient use of public funds. The principles of goodwill, professionalism, openness and trust underpin their relationship.

The Force Chief Finance Officer is responsible for the integrity of financial controls and securing compliance with the Financial Regulations agreed with the OPCC Treasurer.

The Force website provides the public with full details of how to best contact the Force according to their need. The website supports openness and transparency relating to all Force activities and provides links to the Dorset OPCC website and other multi-agency partnerships that provide direct or indirect services to the public.

Public consultation and surveys are undertaken to assess victim satisfaction and public confidence. This data is analysed and reported to the Strategic Performance Board where it is used to inform strategic operational plans and support the achievement of the Police and Crime Plan objectives. Survey results are monitored quarterly and considered against the achievement of local and strategic plans.

**Ensuring openness and comprehensive stakeholder engagement**

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

The annual Force Strategic Assessment evaluates overall Force capacity and capability through demand and performance analysis. This supports the development of sustainable operational plans that deliver effective policing over the longer term.

Corporate Governance arrangements set out the decision making framework for the organisation. Details of strategic decisions jointly made by the Chief Constable and the Commissioner are published on the OPCC website.

The Commissioner's Police and Crime Plan is the strategic plan that sets clear objectives for service delivery. The Chief Constable directs and monitors the effective delivery of operational policing whilst mindful of the long term objectives set out by the Commissioner. Information on the achievement against the strategic objectives are available to the public on the OPCC website.

The Commissioner and the Deputy Chief Constable jointly chair the Dorset Strategic Performance Board to consider overall Force performance against service delivery. Commanders, senior managers and business leads are accountable for the performance of their respective business areas.

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

The achievement of strategic organisational objectives are benchmarked against progress on the national and regional programmes to ensure timescales and financial costs are managed to completion. Change is managed centrally by the Business Change Department which considers ideas for improvement and creates a structured programme for delivery.

The recommendations identified by Her Majesty's Inspectorate of Constabulary (and the Fire and Rescue Service) are developed into action plans. Any Lessons learnt are recorded and improvements implemented to increase performance and maximise the use of resources.

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

Strategic plans for the training of leadership and senior officers are developed which are supported by sound financial planning and decision making. To support this all roles have job descriptions that clearly define their responsibilities, with appraisals completed annually to assess individual performance and to identify any personal development training requirements. Regular assessments are completed to ensure future resources are well equipped to meet predicted demand.

The roles and responsibilities of senior management, officers and staff are matched to required skills within the organisations structure. Training and recruitment plans are then developed to ensure that the right skills are available in the right place at the right time.

**Managing risk and performance through robust internal control and strong public financial management**

Dorset Police complete the mandatory National Fraud Initiative set by the Home Office. All irregularities are investigated and reported to the Independent Audit Committee. No incidents of fraud or corruption were detected from the matches created from the last data submission in 2018/19.

There are effective counter fraud and corruption procedures in place across both organisations with cohesive working arrangements between Professional Standards, Audit, Finance and Legal Services. Regular reports are provided to the executive on the effectiveness of arrangements with independent scrutiny provided by the independent internal auditors on any weaknesses identified. This includes regular review of the controls in place to prevent financial error or fraud.

Strategic risks are managed through an effective risk management framework designed to provide assurance reports to the executive.

Internal audit provides objective scrutiny and assurance on the controls in place that prevent error, fraud or corruption. The service is provided in line with the requirements of the CIPFA statement on the Role of the Head of Internal Audit. The Chief Constable and Commissioner are required to provide adequate resources and open access to any information requested by the auditors.

**Implementing good practices in transparency, reporting and audit to deliver effective accountability**

The Independent Audit Committee is a key component of corporate governance. Its purpose is to review the Corporate Governance Framework and provide independent assurance on the adequacy of internal controls and financial management.

The external auditors are responsible for the scrutiny of financial arrangements and the audit of the annual accounts prior to publication. The auditors then form and deliver an opinion on the provision of “value for money” by the Force.

## Significant Governance Issues

This statement is intended to provide reasonable assurance on governance arrangements. It is stressed that no system of control can provide absolute assurance.

In conclusion, no significant governance issues have been identified during this year's review. For completeness the minor issues identified recorded below will be addressed to ensure continuous improvement.

### ACTIONS 2018-19

PRINCIPLE	ACTION	PROGRESS
Defining outcomes in terms of sustainable economic, social and environmental benefits.	The decision not to proceed with the proposed merger between Devon & Cornwall and Dorset Police has required a review of governance and reporting arrangements that support effective planning and decision making. The proposed governance structure is being considered and implemented as agreed but has not yet had time to embed or be reviewed for effectiveness.	Complete: The Chief Constable and Police & Crime Commissioners of Devon & Cornwall and Dorset Police pledged a commitment to continued working together. Governance arrangements continue to embed and have been assessed as effective during this review.
Developing the entity's capacity including the capability of its leadership and the individuals within it.	Over the eight years of austerity the reduction in central funding and precept has forced a reduction in Force capacity. Robust financial planning and transformational change programmes like the Strategic Alliance with Devon & Cornwall Police and the PRISM programme have increased efficiencies and improved the capability of the Force. There have been significant investments in talent, leadership and wellness to enhance both capacity and capability. The Force continues to review its financial position while planning for an effective	Complete: The increase in precept and the governments mandate to significantly increase officer numbers have enabled plans to be implemented that will increase both capacity and capability.



## MINOR ACTIONS IDENTIFIED 2019-20

PRINCIPLE	ACTION	PROGRESS
Defining outcomes in terms of sustainable economic, social and environmental benefits.	Delays to the review of the Code of Corporate Governance.	The Executive and Independent Audit Committee will agree the reviewed terms of the Corporate Governance Framework, including the Schemes of Delegation and Consent.
Determining the interventions necessary to optimise the achievement of intended outcomes	Managing the long term effects of the COVID-19 outbreak.	Monitoring lessons learnt so that identified opportunities are realised and business continuity arrangements reviewed to ensure the delivery of sustainable services.
Developing the entity's capacity including the capability of its leadership and the individuals within it.	To consider the position and portfolio responsibilities of the Chief Finance Officer.	This will be considered as part of the wider review of governance and the executive portfolios prior to the recruitment process for the role.
Implementing good practices in transparency, reporting and audit to deliver effective accountability	That shared decision-making meets the needs of both Forces.	The review of governance for shared functions.

### Opinion and signature

The Corporate Governance Framework adopted by the Chief Constable and the Police & Crime Commissioner demonstrates all the elements required to support effective governance. The annual assessment of arrangements during 2019/ 2020 has provided an overall assurance opinion of substantial.

**Chief Constable  
James Vaughan**

**Dated:**

**Chief Finance Officer  
Steven Mackenzie**

**Dated:**