

Police and Crime Commissioner for Gloucestershire

Chief Constable of Gloucestershire Constabulary

Joint Annual Governance Statement

1 April 2020 to 31 March 2021

**Police and Crime Commissioner for Gloucestershire
Chief Constable of Gloucestershire Constabulary**

Joint Annual Governance Statement

There is a statutory requirement to prepare an Annual Governance Statement which sets out the internal controls in place to ensure proper practices and good governance arrangements in accordance with the CIPFA/SOLACE Delivering Good Practice in Local Government: Framework (2016). The Annual Governance Statement is one way in which public sector bodies can assess and demonstrate that they are taking a responsible and informed approach to governance arrangements.

The CIPFA Code of Practice on Local Authority Accounting in the United Kingdom (CIPFA/LASAAC 2017) states that:

The preparation and publication of an Annual Governance Statement in accordance with Delivering Good Governance in Local Government: Framework (2016) would fulfil the statutory requirement in England, Scotland, Northern Ireland and Wales for a local authority to conduct a review at least once in each financial year of the effectiveness of its system of internal control and to include a statement reporting on the review with its Statement of Accounts.

Therefore local authorities in England shall provide this statement in accordance with Delivering Good Governance in Local Government: Framework (2016) and this section of the Code

This Governance Statement is based on the seven principles of the framework. The content of this document provides some detail on the systems, processes, culture and values throughout the Organisation. The content reflects major areas and is not an exhaustive list of all control issues in place.

The seven principles are:

1. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law
2. Ensuring openness and comprehensive stakeholder engagement
3. Defining outcomes in terms of sustainable economic, social and environmental benefits
4. Determining the interventions necessary to optimise the achievement of the intended outcomes
5. Developing the entity's capacity, including the capability of its leadership and the individuals within it
6. Managing risks and performance through robust internal control and strong public financial management
7. Implementing good practices in transparency, reporting and audit to deliver effective accountability.

Scope of Responsibilities

This statement is written on behalf of both the Police and Crime Commissioner for Gloucestershire (PCC) and the Chief Constable of Gloucestershire Constabulary, and is included with the accounts for both the PCC and the Chief Constable.

The PCC is elected locally and is required to hold the Chief Constable to account for the exercise of their function. The Chief Constable provides overall direction and control of police personnel and operational matters. The Chief Constable is responsible for delivering policy in line with the PCC's Police and Crime Plan.

For the purposes of this document reference is made to 'the organisation' which includes the Constabulary (under the direction and control of the Chief Constable) and the Office of the Police and Crime Commissioner (OPCC), under the leadership of the PCC's Chief Executive.

The PCC is responsible for ensuring that his office ('the OPCC') and the Constabulary operate in accordance with the law and proper standards. The Chief Constable is responsible for ensuring that policing in Gloucestershire is conducted in accordance with the law and proper standards. Both the PCC and the Chief Constable must ensure that public money is safeguarded, properly accounted for and used economically, efficiently and effectively.

The PCC and Chief Constable must put in place proper arrangements for the governance of their affairs and for facilitating the exercise of their function and ensure that a sound system of control is maintained within the organisation through the year. In exercising his responsibility, the PCC places reliance on the Chief Constable to support the governance risk management processes.

To do this, the PCC and the Chief Constable operate within a joint Corporate Governance Framework which provides clarity on the way the two bodies will be governed. The Corporate Governance Framework incorporates the principles of the CIPFA / SOLACE Framework: Delivering Good Governance in Local Government. The framework was last reviewed and approved at PCC's Governance Board in June 2019. A copy of the current version of the Corporate Governance Framework is available on the website for the OPCC.

From August 2016 the Chief Finance Officer for the Chief Constable (CCCFO) took on the role as joint Chief Finance Officer for the PCC (PCCCFO). Following his retirement, the PCC and the Chief Constable each appointed their own CFO on an interim basis. John Jones was appointed as the Chief Finance Officer to the PCC (PCCFO), and Jane Heppel was appointed as the CCCFO. The two CFOs have responsibility for providing advice on all financial matters, maintaining financial records and accounts and ensuring an effective system of financial control is in place.

The purpose of the Governance Framework

The governance framework in place throughout the financial year covers the period from 1 April 2020 to 31 March 2021, and up to the date of approval of the annual Statement of Accounts.

The framework sets out the systems and processes and the culture and values by which the organisation is directed and controlled, and the activities through which it engages with its communities. It enables the organisation to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of the framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives. It can therefore only provide a reasonable and not an absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of policies, aims and objectives, to evaluate the likelihood and the potential impact of those risks being realised, and to manage them effectively, efficiently and economically.

Covid-19 has significantly impacted on organisational operations during 2020 and in some areas changes were required to the standard systems of internal controls, but in all cases a robust approach to managing the individual risks is considered to have been maintained.

Organisation changes

Within the Constabulary the following significant changes took place during the period since 31 March 2020:

- Martin Surl left his office as Police and Crime Commissioner on 12 May 2021
- Chris Nelson took up his role of Police and Crime Commissioner on 13 May 2021, after being elected on 6 May 2021
- Chris Brierley left his office as the Deputy Police and Crime Commissioner on 7 June 2021
- Nick Evans was appointed as Deputy Police and Crime Commissioner on 15 July 2021
- Peter Skelton left his role as joint Chief Finance Officer on 31 March 2021
- John Jones was appointed as Interim Chief Finance Officer, OPCC, on 31 March 2021
- Jane Heppel was appointed as Interim Chief Finance Officer, Constabulary, on 6 April 2021

- Alix Garfath-Cox was appointed as Head of Finance on 23 November 2020
- Tracey Webb left her role as Temporary Head of HR on 22 August 2020
- Emma McShane was appointed as Head of HR Services on 16 November 2020
- Victoria Rodriguez was appointed as Recruitment and Talent Acquisition Manager on 19 October 2020
- Craig Guthrie was appointed as Temporary Head of Learning and Development on 17 August 2020
- Matt Stiff left his role as Head of Analysis Research and Planning on 21 September 2020
- Ryan Hartley was appointed as Temporary Head of Analysis, Research and Planning on 1 October 2020
- Chief Superintendent Joanna Smallwood retired on 26 October 2020
- Assistant Chief Constable Richard Berry retired on 7 July 2020
- Detective Superintendent Julie MacKay retired on 28 April 2020.

Police and Crime Commissioner Elections

On Friday, 13 March 2020, the Government announced that all local, mayoral and Police and Crime Commissioner Elections that were due to take place in May 2020 would be postponed until 6 May 2021. The decision was taken following advice from the Government's medical experts in relation to the response to the Covid-19 virus and the advice of those delivering elections.

Five candidates stood for election, including the incumbent PCC, Martin Surl, (Independent candidate).

Chris Nelson, (Conservative candidate) won the election and took office as the Police and Crime Commissioner for Gloucestershire on 13 May 2021, for three years to 2024.

PCC Nelson is working on his Police and Crime Plan. His manifesto commitments centred on tackling anti-social behaviour and neighbourhood crime, recruiting more officers and members of the Special Constabulary to work on local priorities, reducing scamming, empowering communities and adopting a public health approach to crime, making contact with the police easier for people, and fighting rural crime.

To establish how these may be achieved, the PCC has written to the Chief Constable asking a series of questions and for financial information to be supplied. He has also stated his intention to be evidence-led and amend some of his commitments accordingly, and should this happen, to explain this to local communities.

The PCC's work to develop his Police and Crime Plan (PCP) will result in a new Medium Term Financial Plan being produced. This will be undertaken in line with the normal planning cycle.

Principle one: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

- The PCC and the Chief Constable have jointly developed and approved a Corporate Governance Framework which clarifies the working relationship between the PCC, the Chief Constable and their staff. This includes the scheme of delegation and financial regulations. The Framework is informed by the requirements of the Good Governance Statement for Public Services and is consistent with the seven Nolan principles for standards in public life.
- The Constabulary has adopted the College of Policing's Code of Ethics for all officers and staff. The Code includes the nine policing principles and the 10 standards of professional behaviour. It includes use of the National Decision Model to help officers and staff to make decisions which are consistent with these principles and expected behaviours.
- The 2018 HMICFRS Legitimacy inspection stated that the Constabulary was rated 'Good' at ethical and lawful workforce behaviour, stating in its summary that 'Gloucestershire Constabulary's leaders act as positive ethical role models.'
- Officers and staff understand the Constabulary's values. Leaders use these values when they make decisions".
- In 2020, HMICFRS changed the inspection methodology for its PEEL programme (Police Effectiveness, Efficiency and Legitimacy) to become a continual assessment process, with forces having a rolling timeframe of formal assessment, supported by ongoing monitoring.
- Between November 2020 and June 2021 the Constabulary was subject to the formal assessment part of the programme. The outcome is expected to be received in September 2021.
- On 21 July 2020, the Constabulary launched a Community Legitimacy Panel. The panel consists of members of the county's ethnically diverse communities. It looks at areas such as recruitment and promotion, as well as helping the Constabulary develop policies around stop and search and use of force.
- The Constabulary has in place an independently chaired Ethics Committee, to consider ethical dilemmas which officers and staff have to take into account when making decisions. Staff contribute

ethical dilemmas for discussion at the meeting, including financial matters. The committee links to the PCC's Ethics Panel.

- The Constabulary has a Legitimacy and Learning the Lessons meeting. Its prime purpose was to broaden awareness of where 'Every Contact Counts' on our service delivery as per the previous PCC's Police and Crime Plan. The focus of the meeting is to understand our activity in relation to legitimacy and learning.
- The PCC and Chief Constable have transparent and accessible arrangements for dealing with complaints received from the public. The Constabulary has a Professional Standards Department (PSD) and an Anti-Corruption Unit which undertake investigations in relation to complaints made by members of the public and internal misconduct matters. Complaints against the Chief Constable are dealt with by the PCC. The Independent Police and Crime Panel handles complaints made against the PCC.
- A policy is in place for whistle-blowing. The organisation has a Fraud and Anti-Corruption Policy and participates in the National Fraud Initiative.
- Policies and procedures provide a framework that sets out expectations and working practices for the conduct and behaviour of all officers and staff. The Police Staff Disciplinary Policy details arrangements for police staff. Each member of staff has been issued with the Staff Code of Conduct, and staff who hold accreditation to professional bodies are also subject to the codes of conduct associated with those bodies.
- In house legal advice (supplemented by external solicitors and counsel) is used to ensure that the organisation acts legally in discharging its functions and also provides advice on new legal developments.
- The organisation is committed to open and accountable decision-making. To meet this commitment, there are procedures to be followed for decision-making. These are designed to ensure that all decisions are made in accordance with the following principles:
 - Significant decisions will be publicly reported unless it is inappropriate to do so
 - Decisions must be lawful
 - Decisions should take account of consultation with the public and advice from officers and staff
 - Decisions will respect human rights
 - The desired outcomes should be clear
 - Decisions should be properly reasoned and where appropriate the reasons for rejecting alternatives should be explained.
- The governance structure is based around a joint decision making

approach wherever possible, with attendees from both the Constabulary and the OPCC attending boards, including the Constabulary Governance Board (CGB). The ultimate decision-making board within the organisation is the PCC Governance Board, which is attended by the PCC and the Chief Constable, and their officers. Decisions made at this forum are publicly available on the OPCC's website.

- Members of the public can make complaints to the Chief Finance Officers regarding the proper administration of financial affairs. If the relevant Chief Finance Officer considers there is a need to report this, they are required by legislation to prepare a report and send a copy to the PCC, the Chief Constable and the external auditor. The relevant Chief Finance Officer should also inform members of the Audit Committee, the Police and Crime Panel and the internal auditor.

Principle two: Ensuring openness and comprehensive stakeholder engagement

Police and Crime Plan

The Police and Crime Plan for 2017-2021 took into account the views of local communities in Gloucestershire, partners and the Constabulary. The Plan's priorities until the change of PCC in May 2021 were:

- Accessibility and accountability
- Older but not overlooked
- Young people becoming adults
- Safer days and nights
- Safe and social driving
- Safer cyber

A priority lead was appointed for each priority to work with the relevant police lead to ensure that delivery plans were developed for each one.

Two commitments were included in the Police and Crime Plan:

- A green and pleasant county for now and in the future, ensuring that the Constabulary operates in as responsible and sustainable a way as possible
- A compassionate approach, extended to animals and their ability to enjoy a life free of cruelty.

Following the election, work has begun on developing the new Police and Crime Plan and this will be produced later in the year.

Budget consultation

The PCC, together with the Chief Constable, develops a Medium Term Financial Plan on an annual basis. This plan is informed by internal discussions as well as external stakeholder engagement, including a budget consultation exercise.

The Provisional Police Grant Report is usually published by the Home Office in December. This provides information on grant funding and the precept referendum limit. Due to the General Election in December 2019, the grant announcement was delayed until 22 January 2020. The Report proposed to empower PCCs to increase their Band D precept by up to £10 in 2020/21 without the need to call for a local referendum.

The Police and Crime Panel meeting to discuss the budget was on 3 February 2020. There was therefore no time to carry out as much formal budget consultation on the funding options announced by the Home Office as the PCC, Martin Surl, would have liked. He felt that he could not go out to full consultation, without knowing what his options were. However, at the end of January 2021, he wrote to all households in Gloucestershire to explain the budget and to seek people's views on any potential increase.

During the previous 12 months PCC Surl and his Deputy had met with the public on many occasions, both on a one to one basis and in public meetings. During the summer, the PCC and his Deputy undertook an extensive tour of the county utilising the Neighbourhood Engagement Vehicle (NEV) and the Community Engagement Vehicle (CEV). A series of 'Meet the Police' events had been held across the county. These were joint events between the Commissioner's and the Chief Constable's offices. The PCC took the feedback from these consultations and from responses to his letter to households into account when setting the Budget for 2020/2021.

The response to the Covid-19 public health challenge will have wide reaching economic impact. This increases the risks created by funding uncertainty and also the pressure on costs (e.g. inflationary pressures, pension deficit recovery). We will closely monitor these financial challenges to ensure we maintain effective cost control whilst continuing to plan for an uncertain future.

Police and Crime Panel

The Police and Crime Panel maintains a regular check and balance on the performance of the PCC. The Panel is under a duty to support, as well as challenge, the PCC. It meets regularly to review and scrutinise the decisions and actions of the PCC and his delivery of the priorities within the Police and Crime Plan. The Panel also meets specifically to consider the PCC's proposed annual precept and any proposed appointments to the roles of Chief Constable, Chief Executive and Chief Finance Officer for the PCC.

The Constabulary also carries out the following surveys which ensure stakeholder engagement for the organisation.

Local Policing Survey

Every year the Constabulary consults with members of the public to gather opinions about the public's trust and confidence in the police. The survey is carried out randomly with members of the public who live within the county; are policed by Gloucestershire Constabulary; and who may or may not have had direct contact with the Constabulary.

The survey assesses:

- Perceptions of levels of crime and anti-social behaviour
- Perceptions of the police, i.e. are they doing a good job and tackling local issues, trust and confidence
- Likelihood of reporting and providing information to the police
- Cohesion, wellbeing and life satisfaction of communities and groups they are involved in in their area
- Police activity they have seen in the area, if they have had contact with the police and any opinion changes.

The survey is being used to gain a greater understanding of the public's perception

of the police, to inform the Neighbourhood Policing plan, and gain a greater understanding of our communities. Results are distributed to senior officers and local Inspectors.

User Satisfaction Survey

Each month, a sample of victims of burglary, violent and hate crimes are invited to take part in a user satisfaction survey. This survey is conducted over the telephone, which asks victims to rate their satisfaction or dissatisfaction with various elements of the service they received, including: ease of contact, actions taken, follow up, treatment and overall service. It also invites respondents to suggest improvements, or to alert the organisation to failures in service. The Constabulary also conducts surveys of victims of vehicle crime and anti-social behaviour following their initial contact with the Force Control Room.

The results are presented in various ways within the organisation to monitor performance. The survey is no longer mandated by the Home Office, but HMICFRS looks into how the Constabulary gathers and proactively uses the feedback of victims to improve service delivery.

The Home Office requires surveys of domestic abuse victims and these are carried out for the Constabulary by Leicestershire Police. On average 10 surveys are completed each month (although this number does vary greatly), and the reports are distributed to relevant members of the Constabulary.

Staff Survey

A staff survey is carried out by Durham University as part of a national arrangement. The survey was introduced in 2014, with surveys also completed in 2016, a pulse survey in 2017 and 2018. The latest staff survey was open between April to June 2021, with results being collated by the University and a report expected later in 2021.

Results have been used to inform and evaluate our Supportive Leadership and Wellbeing programme. The results from the 2021 survey will continue to feed into the Supportive Leadership and Wellbeing programme and high level findings disseminated across the organisation.

At the end of 2019/ beginning of 2020, the Constabulary took part in the first National Wellbeing, Diversity, Equality and Inclusion survey. The aim was to assess the current state of wellbeing, inclusivity and workplace culture from the perspective of the policing workforce. Responses were collected over an eight-week period between November 2019 and January 2020. In total, the national survey received 34,529 responses (16.6% response rate). The data has been analysed and two national reports created, one which details the findings specific to wellbeing, and the other specific to diversity, equality and inclusion. In late 2020, local Constabulary results were released, with findings disseminated across Constabulary boards.

In the early summer of 2020, an internal staff survey went to all staff in the Constabulary to gather their views and experiences of the Constabulary's approach to Covid-19. The aim of this was to identify good practice, opportunities

to improve our approach and ensure the learning of how the Constabulary responded. The findings of this were fed back to relevant boards.

In April 2021, an internal wellbeing survey was commissioned to raise awareness of Mental Health and understand the scale and causation of it. A quarter of the Constabulary completed the survey, with findings fed back to Executive Board, People Development Board and other relevant stakeholders.

Engagement has continued throughout our response to the COVID-19 public health crisis. Throughout the next financial year the OPCC will ensure this important stakeholder engagement can continue in a way compatible with the restrictions placed on us by COVID-19.

Other staff and community engagement

Due to the COVID-19 pandemic, a number of internal and external events, including the Constabulary's and OPCC's Open Day, Long Service and Good Conduct Awards and Impact Awards, had to be cancelled in 2020 or were delivered online. We will be resuming these events later this year and in the spring of 2022. From September this year, PCC Chris Nelson and the Chief Constable will be embarking on a series of roadshows to meet and engage with local people across the county.

'Click.Call.Connect'

A major publicity campaign - 'Click.Call.Connect' - to help local communities know about the many ways in which they can contact the organisation for help or advice or to communicate with us, was paused at times during 2020 due to COVID-19. In January 2021, the Chief Constable wrote to all households to let them know more about this and what the Constabulary was trying to do to improve public contact. To achieve value for money, the letter was sent in the same envelope as the one used by PCC Martin Surl to let households know about budget consultation. The Chief Constable's letter included a 'tear off and keep' guide to contacting the police, and received many favourable comments from the public.

Principle three: Defining outcomes in terms of sustainable economic, social and environmental benefits

The Police and Crime Plan is set by the PCC and the main responsibility for delivering the outcomes within the Plan rests with the Chief Constable and the Constabulary. Police leads were appointed for each of the six priorities, to work with the priority leads to develop delivery plans for their priority. Progress on each of the priorities was monitored through the PCC's Governance Board. PCC Martin Surl made funds available for priority leads to support delivery of their plans.

The Medium Term Financial Plan is developed jointly between the PCC and the Chief Constable and considers a four year planning horizon. This is reviewed regularly to ensure resources are available to progress the Police and Crime Plan and to ensure financial sustainability over the short and medium term. HMICFRS stated in 2019 that the Constabulary is good at planning for the future and its future plans are realistic, and that the Medium Term Financial Plan has a good balance between savings and investment in important areas. Results from the HMICFRS 2021 PEEL inspection are expected in October.

Commissioner's Fund

PCC Martin Surl introduced the Commissioner's Fund in 2012, to award community grants to support safer communities and reduce crime. The fund was available to the wider communities of Gloucestershire to support projects or initiatives to help deliver one or more of the six priorities within the Police and Crime Plan. The Commissioner's Fund was also available for the additional two commitments in the Police and Crime Plan for 'A green and pleasant county' and for 'A compassionate approach.'

Since 2012 around £11 million has been invested in more than 470 projects across the county. An independent review of that work and the approach showed that the investment generated more than 72,000 hours of volunteering time and has probably resulted in an additional £1 million worth of extra investment in the local economy each year.

The Commissioner's Fund comprised the following funds:

- Community Fund
- Priority Leads Fund
- Ministry of Justice grant – to commission victims services in Gloucestershire.
- Speed Enforcement Camera System (SPECS) Fund.

Covid-19

The pandemic has had a significant impact on operations and in particular, the uncertainty of the situation allowed some flexibility in how the Commissioner's Fund was able to react to the needs of local voluntary and community groups. One example was awarding £5,000 to the Gloucestershire Bike Project to continue helping nurses and other key workers get to and from work safely. To support the county, it joined other funding bodies to form Gloucestershire Funders, a new collaboration to help keep charities, people and groups afloat amid cancelled fundraising events and similar challenges.

PCC Chris Nelson is developing his approach to the Commissioner's Fund.

Environmental Standards

PCC Martin Surl's Police and Crime Plan included a section on 'A green and pleasant county for now and in the future.' This required the Constabulary to seek opportunities to reduce waste and pollution, audit its environmental footprint, develop a plan to work towards a paperless environment and continue the electrification of the vehicle fleet. The main responsibility for delivering the outcomes of the Plan rested with the Chief Constable and the Constabulary.

The Constabulary is fully committed to the protection of the environment and recognises the need for the principles of environmental management and sustainable development to become an integral part of day-to-day activities and future planning. In order to achieve this, it has developed and implemented an environmental management system (EMS) externally audited against the ISO 14001 standard. This first achieved ISO 14001 certification in 2006, and the most recent recertification was achieved in January 2019, which last for three years, making the next one due in January 2022. The Constabulary is the only police force to achieve this certification.

The carbon management plan is used to quantify carbon emissions and to identify and integrate energy and fuel saving projects into a clear strategy. The carbon management plan has been reviewed, updated and relaunched using the baseline year 2016/17. The plan is to reduce the carbon footprint by a further 15% by 2021. By reducing carbon emissions through saving energy, the Constabulary can potentially realise significant cost savings, support the government drive towards a low carbon economy and contribute to the need to avoid climate change.

Collaboration and partnerships

The PCC and the Constabulary are committed to working collaboratively with others where this:

- supports delivery of the Police and Crime Plan
- builds resilience, capability and capacity to provide the best possible overall service to our communities
- enables longer-term operational effectiveness and economy through greater interoperability, integration and/or joint working of policing and public services
- achieves value for money through economies of scale, increased efficiency, greater effectiveness or improved potential for sustainable delivery.

In developing its significant partnerships, the organisation has ensured that it has in place a framework to maximise benefits from partnership working and that its risks are mitigated to an acceptable level. Statutory partnerships are subject to either contractual agreements or are governed by legislation.

Both the PCC and the Chief Constable are members of the South West Police Collaboration Strategic Board, with other PCCs and Chief Constables in the region.

Principle four: Determining the interventions necessary to optimise the achievement of the intended outcomes

Performance monitoring is undertaken through a series of boards and meetings which report into the Executive Board. The Chief Constable will report significant performance issues to the monthly PCC's Governance Board and the PCC may request information on perceived performance issues to come to that meeting.

The PCC and his Chief Executive have a weekly holding to account meeting with the Chief Constable and his Chief of Staff, and there are regular meetings between the OPCC and the Executive Board, both to review matters and to plan.

Regular financial monitoring reports are presented to the Finance Panel, attended by both the PCC and the Chief Constable. These reports monitor the progress of actual expenditure against budget and the projected outturn for the year. Regular reports are also presented on the budget setting for the following year and the preparation of the next Medium Term Financial Plan. The PCC's and Chief Constable's Chief Finance Officers meet regularly which ensures that consistent financial information and advice is presented to all meetings.

As part of its Corporate Strategy 2017-2021 the Constabulary developed seven strategic objectives, based around the priorities in the Police and Crime Plan:

- To reduce the number of crimes which have the greatest harm and impact on our communities
- To provide services that are valued and supported by our communities
- To develop our capability to deliver consistently high

standards of investigation

- To develop collaborative problem solving with communities supported by integrated and sustainable relationships with private, public and voluntary sectors
- To recruit, train and retain sufficient, capable and motivated people, with the right skills and capabilities to deliver our services
- To deliver data and information which is accurate, available and accessible, enabling staff to perform their jobs effectively
- To modernise our functions, processes and supporting technology to optimise the delivery of efficient and effective services.

In early 2021, the Corporate Strategy was refreshed to cover the period April 2021 to 2025, with three new strategic objectives replacing the seven previous ones:

Making our communities safer - We will reduce the number of crimes which have the greatest harm and impact on our communities, working collaboratively with private, public and voluntary partners

High professional standards - We will serve our communities with pride and care. We will maintain high standards of professional and operational practices, and investigative excellence, ensuring evidence informs our decision making and that we are accessible to all who need us. Our increased range of digital services will keep us connected

People are our greatest asset - We will be renowned for recruiting, developing and retaining a motivated and diverse workforce that has the right skills and capabilities to provide an efficient and effective service. We will work in a positive, data driven, digitally equipped environment which recognises the unique pressures of policing and the value of supportive leadership and wellbeing.

The Constabulary's structure works to keep people in Gloucestershire safe from harm. Through these areas:

- Crime Command: Forensic Services, Intelligence, Covert Policing, Special Branch, Serious Organised Crime, Local Investigations, Serious Crime, Major Crime Investigation Team, Public Protection Unit and Multi-Agency Safeguarding Hub (MASH)
- Local Policing: Criminal Justice, Custody, Neighbourhood Policing, Force Control Room, Community Harm Reduction, Operations Planning and Specialist Operations, Force Response Unit, Police Staff Volunteers, Cadets and Special Constabulary
- Enabling Services: Change Team, Communications and Engagement, Analysis Research and Planning. Digital and Data Services, Estates and Support Services, Finance and Procurement, Fleet and Transport Services, Governance and Compliance, Legal Services, People Services (includes training, learning and development)
- Professional Standards and Anti-Corruption

Principle five: Developing the entity's capacity, including the capability of its leadership and the individuals within it

The PCC and the Chief Constable recognise that the people within the organisation deliver the service. To be effective in meeting the needs of the communities of Gloucestershire, the organisation must ensure that there are enough people with the right skills to meet changing demands. Officer recruitment took place again during 2020/21, building on recruitment seen in 2019/20.

The increase in police officer numbers is due to the national Uplift funding, to recruit to the numbers seen nationally in 2010. The incoming PCC has a manifesto commitment to increase the numbers of police Officers, PCSOs and Special Constables numbers over the term of his office, with details being developed.

The PCC has a staffing structure in the OPCC to provide necessary capability and capacity to support delivery of his statutory functions, which includes commissioning services for victims and witnesses. The Chief Executive manages the OPCC and reviews workload and capacity of the office.

The Constabulary has developed 'Our approach to people' based upon five strands:

- Supportive leadership and wellbeing
- Better together – ensuring the team is diverse, representative and inclusive
- Workforce development
- Recognition and appreciation
- An employer of choice

The organisation has made a commitment to all staff to make 'supportive leadership and wellbeing' central to everything that it does:

- A Supportive Leadership course has been developed
- The Constabulary has a Wellbeing Board, chaired by the Chief Constable
- An external assistance programme, including counselling services, is provided for all officers and staff
- All officers and staff in the Constabulary and OPCC have personal development reviews (PDRs). The process has been reviewed and PDRs are now used for internal candidates within the promotion process. The software for PDRs has been upgraded to support better engagement between managers and staff and provide additional features to help users.

In its report in May 2019, HMICFRS stated that senior leaders support the workforce and encourage a culture of continuous improvement and ethical behaviour.

The staff survey conducted in 2018 saw an improvement across nearly all measures. The results showed that levels of public service motivation are high,

there is a strong sense of collective identity, and that levels of organisation support have improved.

There was a significant improvement in fairness perceptions, so that individuals are more likely to consider that decisions made across the organisation are fair. Levels of emotional energy have declined and initiatives to improve emotional energy will feature heavily in future planning.

The outcome of the 2021 staff survey is expected later in 2021.

In October 2020, Crime and Policing Minister, Kit Malthouse, visited our state of the art Learning and Development facility, The Sabrina Centre, to meet new recruits and to get an understanding of the environment in which our people learn and develop.

Principle six: Managing risks and performance through robust internal control and strong public financial management

All strategic decision making is carried out in accordance with the Corporate Governance Framework.

- The main decision-making meeting for the PCC is the PCC's Governance Board. All significant decisions by the PCC are made at this meeting, and are recorded and published. The Chief Constable, the Chief Executive, the Deputy PCC, the Deputy Chief Executive, the Deputy Chief Constable, the PCC's Chief Finance Officer and the joint Head of Public Affairs attend. At each meeting an updates have been provided by the Constabulary on progress on priorities in the Police and Crime Plan. Since the election of PCC Chris Nelson, the meetings consider his manifesto pledges, as well as updates on performance in areas where issues have been identified.
- The main decision making meeting for the Constabulary is the Constabulary Governance Board (CGB) which meets monthly and is chaired by the Chief Constable. The Board receives business cases for all projects initiating significant change and reports on the financial position of the organisation. These arrangements ensure that key decisions are taken at the appropriate level and are referred to the PCC when required.

The PCC and the Chief Executive hold a weekly one to meeting with the Chief Constable and his Chief of Staff.

The joint Finance Panel meets monthly and is attended by the PCC, the Chief Constable, the Deputy PCC, the Deputy Chief Constable, the Chief Finance Officers and the Chief Executive. The meeting is held to discuss and review financial matters and financial decisions are referred to the PCC's Governance Board.

There are a number of Constabulary Boards that have aspects of performance included within their terms of reference, including:

- Performance Improvement Meeting
- Operational Policing Board
- Information Governance Board
- Transformation Delivery Board
- Strategic Development Forum
- People Development Board

Joint Audit Committee

The PCC and the Chief Constable have established a Joint Audit Committee. Its purpose is to provide independent assurance to the PCC and the Chief Constable of the adequacy of the risk management framework and the associated control environment, and to provide independent scrutiny of the financial and non-financial performance to the extent that it affects exposure to risk and weakens the control environment. The Committee receives reports from the internal auditor and the external auditor, and other reports as required.

The Committee's terms of reference include the following:

- Consider the Corporate Governance Framework and make recommendations as appropriate
- Keep under review the effectiveness of the internal control systems and seek assurances regarding the systems
- Consider the effectiveness of the risk management policy and arrangements and regularly review the corporate risk register
- Keep under review the effectiveness of internal audit, advise on the appointment of internal auditors and the annual plan and receive and review audit reports, and monitor the progress on high priority recommendations
- Keep under review the effectiveness of external audit, consider the external audit plan and receive and review reports from the external auditor
- Keep under review anti-fraud and anti-corruption arrangements
- Review the annual statement of accounts
- Recommend approval of the Annual Governance Statement.

The members of the Audit Committee are Chris Marshall (Chair), Mike Nadin and Sally-Anne Barnes.

Financial Management and Control

Financial control has been maintained and operated in respect of the resources under the control of the PCC and the Chief Constable. The system of internal financial control provides assurance that assets are safeguarded, that transactions are authorised and properly recorded, and that material errors or irregularities are either prevented or should be detected within a timely period.

The organisation's financial management arrangements conform to the five principles in the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2015):

1. The Chief Finance Officers of the PCC and of the Chief Constable are keymembers of the Leadership Team helping the organisation to develop and implement strategy and to resource and deliver the PCC's strategic objectives sustainably and in the public interest

2. The Chief Finance Officers must be actively involved in, and able to bring influence to bear on, all material business decisions (subject to the operational responsibilities of the Chief Constable) to ensure immediate and longer term implications, opportunities and risks are fully considered, and align with the overall financial strategy
3. The Chief Finance Officers must lead and encourage the promotion and delivery of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively
4. The Chief Finance Officers must lead and direct a finance function that is resourced to be fit for purpose
5. The Chief Finance Officers must be professionally qualified and suitably experienced.

From August 2016, the PCC and the Chief Constable shared a Chief Finance Officer. From 31 March 2021, this has reverted to two separate roles with John Jones being appointed as the Chief Finance Officer (PCCFO) to the PCC and Jane Heppel to the role of Chief Finance Officer to the Chief Constable. All relevant financial information held by the Constabulary is available to the Chief Finance Officer for the PCC and all significant decisions and commitments, with financial implications, are reported to the OPCC.

Risk Management Processes

Mechanisms for the management of risk are embedded in the operational and organisational activities of the organisation. The primary objective of the risk management process is to manage threats in a way that reduces the likelihood of them occurring and minimises their impact should they materialise.

The Strategic Risk Register is developed through the analysis of risks held on the Constabulary's, the OPCC's, departmental, operational and functional delivery plans.

The Strategic Risk Register is presented for scrutiny at the Joint Audit Committee. As part of the process:

- There is a Standard Operating Procedure for Risk Management
- An embedded culture where everyone is aware of the approach to risk and their responsibilities in relation to it
- Police officers and staff are encouraged to raise potential risks that may concern them.

The Risk Review Group, chaired by the Deputy Chief Constable regularly considers the Corporate Risk Register and high risks within the departmental risk registers.

A "snap shot" of six significant risks currently on the Strategic Risk Register, includes:

1. ICT - The loss of ICT systems and / or loss of force data due to a compromise from malware, viruses or an insider threat. There is a risk relating to the disruption or loss of the Gloucestershire police network because of malware infection. This can lead to the loss or compromise of data or the denial of service (no network). Controls in place to mitigate this risk but the risk is still scored high. The ICT team has implemented full protective monitoring and increased security on the network, and all staff have been alerted to the issue and issued with security education. There is a new account manager in place at the Home Office and good relationship is being built.
2. ICT - End of support for the Windows operating system in use on Force devices will result in loss of support, security breach, inability to run Office 365 and associated applications. The organisation currently has a number of IT devices that are no longer capable of being upgraded to the latest operating systems. Eventually these devices will become end of life and will no longer be supported. This will could result in security concerns and difficulties in running the latest software. A programme of works is in place to upgrade to a later version which will mitigate this risk.
3. Force Control Room - Faults with the FCR telephone system and call recording mean 999 calls are not received and recording of calls are lost. The Force Control Room (FCR) telephone system has faults which have the potential to miss calls or fail to record them. New equipment has been acquired and the system will be upgraded during the summer of 2021.
4. HMICFRS - There is a risk that being graded as inadequate will cause reputational damage to the organisation because we have failed to identify and record crimes reported to the constabulary.
5. Vulnerability identification screening tool (VIST) There is a backlog due to a lack of automation within the VIST process, therefore we could fail to protect vulnerable children and adults, engage with partners statutorily. The Constabulary uses a form to assess the vulnerability of victims, known as a VIST (Vulnerability Identification Screening Tool). This system provides limited automation which could potentially delay the assessment and management process. A revised system is currently in development.
6. There was a Legal/Financial Claim against the Constabulary (and all forces nationally) in relation to Pension Scheme discrimination on the grounds of age, equal pay, indirect race and sex discrimination. The Home Office has now published its remedy to the claim and the effect of this has been included in the accounts on the advice of the scheme actuaries. Claimants have now lodged claims for compensation. Test cases for these claims are due to be heard by the Employment Tribunal in December 2021. Claims for financial losses are currently stayed as consideration is given to the HM Treasury consultation response. As at 31 March 2021, it is not possible to reliably estimate the extent or likelihood of these claims being successful, and therefore no liability in respect of compensation claims is recognised in these accounts.

Risk Management processes are also embedded in the operational and organisational activities of the organisation, including:

- Health and Safety Assessments.
- Environmental ISO14001 Assessment.
- Insurance Policies.
- Major projects, which use the Prince 2 project management methodology, and the associated risk assessment and management disciplines. Major projects are supported by project and programme boards which receive risk registers and highlight reports throughout the duration of the projects.

The primary objective of the risk management process is to manage threats in a way that reduces the likelihood of them occurring and minimises their impact should they materialise. Associated objectives are to:

- integrate risk management into the planning and performance frameworks
- ensure that activities are undertaken in conjunction with sound principles of corporate governance
- improve strategic, operational and financial management
- prevent or reduce events that could damage reputation and public confidence
- improve service delivery and value for money.

Prior to COVID-19, the financial outlook, particularly for policing, was becoming more positive. COVID-19 however, has brought significant economic and operational uncertainty. It is not yet fully understood how this will impact grant funding and local council tax funding, nor how it will affect immediate and longer-term costs. As far as possible, our financial planning will take into account the expected medium and longer-term consequences of COVID-19.

Principle seven: Implementing good practices in transparency, reporting and audit to deliver effective accountability

The PCC and the Constabulary are committed to ensuring they are open and transparent in the way that they conduct business, and have effective working relationships with the internal auditor, the external auditor and HMICFRS.

Internal Audit

The South West Audit Partnership (SWAP) acts as the organisation's internal auditors. SWAP's work complies with the International Professional Practices Framework of the Institute of Internal Auditors, further guided by interpretation provided by the Public Sector Internal Audit Standards (PSIAS) and the CIPFA Local Government Application Note. The work of the team is guided by the Internal Audit Charter which is reviewed annually.

The PCC and the Chief Constable commissioned the services of SWAP for 2020/21 and an annual plan was developed in conjunction with the Joint Audit Committee to audit a range of business areas during the year. The reports from these audits were scrutinised at the Joint Audit Committee.

COVID-19 has presented additional challenge, and in some cases our internal audit timetable has been delayed or deferred. We recognise the critical importance of this function, and the progress of internal audit in the coming year will be monitored closely to ensure the impacts of COVID-19 do not have a permanently adverse effect.

The Head of Internal Audit is required, under the Public Sector Internal Audit Standards (PSIAS) and linked in with the Chartered Institute of Internal Audit IPPF Standard 2450, to provide an annual opinion on the overall adequacy and effectiveness of the of the organisation's framework of governance, risk management and internal control.

The internal audit annual opinion is a balanced reflection rather than a snapshot in time. Information to support the assessment is obtained from multiple engagements and sources (including advice/ consultancy work). The results of these engagements, when viewed together, provide an understanding of the organisation's risk management processes and their effectiveness.

The following Internal Audit Opinion was provided:

“On the basis of the assurance opinions resulting from Internal Audit work completed in 2020/21, and giving consideration to the adequacy and effectiveness of the wider governance and risk management arrangements at the Constabulary and OPCC, overall I am pleased to be able to offer a Reasonable Annual Opinion. There are currently no significant issues that Internal Audit is aware of which would require inclusion within the Annual Governance Statement.”

External Auditors

Grant Thornton is the independent external auditor for the PCC and the Chief Constable. Its work programme is set in accordance with the Code of Audit Practice and includes nationally prescribed and locally determined work. The Code requires the external auditor to give an opinion on the accounts of the PCC and the Chief Constable and to issue a value for money conclusion.

For the audit of the 2019/20 accounts, signed off in January 2021, Grant Thornton provided an unqualified opinion in respect of the PCC's financial statements, including the group financial statements, and the Chief Constable's financial statements. It also reported that in all significant respects the PCC and the Chief Constable had proper arrangements in place to secure economy, efficiency and effectiveness in the use of their resources.

The External Audit of the 20/21 accounts is in progress and should be completed by the end of September 2021.

Following a tender process run by Public Sector Audit Appointments Limited (PSAA) nationally, Grant Thornton were re-appointed as the organisation's external auditor from 2018/19 for five years.

HMICFRS

The Constabulary was last subject to review by HMICFRS in October 2018 under the Police Effectiveness, Efficiency and Legitimacy (PEEL) inspection and their report was published in May 2019. The following outcomes for 2018 were reported as:

- **Effectiveness**
The Constabulary was assessed as good in respect of its effectiveness. The overall judgement for the previous year was 'requires improvement.' The Constabulary was graded as good for preventing crime and tackling anti-social behaviour, investigating crime and protecting vulnerable people. The Constabulary has made good progress but must do more to increase its understanding of serious and organised crime and target its resources where harm is most likely. The Constabulary was graded as requiring improvement in this area.
- **Efficiency**
The Constabulary was assessed as good in respect of how efficient it is in keeping people safe and reducing crime, the same as the previous year.

The Constabulary was judged to be good at meeting current demand and using resources, and at planning for the future.
- **Legitimacy**
The Constabulary was assessed as good in respect of legitimacy with which it keeps people safe and reduces crime. The Constabulary was inspected for ethical and lawful workforce

behaviour and rated good. It was not inspected for the fair treatment of the public and the fair treatment of the workforce, and retains the good scores from 2017.

In 2020 HMICFRS changed the inspection methodology for its PEEL programme (Police Effectiveness, Efficiency and Legitimacy) to become a continual assessment process, with forces having a rolling timeframe of formal assessment, supported by ongoing monitoring.

Between November 2020 and June 2021, the Constabulary has been subject to the formal assessment part of the programme. The outcome is expected to be received in September 2021.

The new framework has 12 Police Assessment Framework questions and looks at:

Service User Assessment

- Providing a service to victims of crime
- Treating the public fairly

Operational Assessment

- Preventing crime and anti-social behaviour
- Responding to the public
- Investigating crime
- Protecting vulnerable people
- Managing offenders and suspects
- Disrupting serious organised crime
- Meeting the Strategic Policing Requirement
- Protecting the public against armed threats

Organisational Assessment

- Building, supporting and protecting the workforce
- Strategic planning, organisational management and value for money

The Constabulary prepared its Force Management Statement (FMS) for HMICFRS, which was submitted in October 2020. The FMS is a self-assessment that Chief Constables (and London equivalents) prepare and give to HMICFRS each year.

It is the Chief Constable's statement and explanation of:

- The demand the Constabulary expects to face in the foreseeable future
- The current performance, condition, capacity, capability, serviceability and security of supply of its workforce and the extent to which current Constabulary assets will be able to meet expected future demand
- How the Constabulary will change and improve its workforce, policies, practices and other assets to cope with future demand
- The impact you expect those changes to have and the effect of any residual risk of service failure
- The money the Constabulary expects to have to do all this.

The FMS helps to identify which areas of a force's activities present the greatest risks of harm to the public due to service failure or inadequacy. This will in turn inform the focus and depth of inspections undertaken by HMICFRS.

Police Pensions Board

A South West Police Pensions Board has been set up which covers the five forces in the region. The Board is established by the Scheme Managers (Chief Constables) for the five forces under the powers of Section 5 of the Public Service Pensions Act 2013 and has an independent chair. Its purpose is to assist the Scheme Managers in their duty to ensure compliance with scheme regulations and the requirements of the Pensions Regulator. The Chief Constable's Chief Finance Officer represents the Chief Constable and the PCC at the meeting.

Review of effectiveness

The PCC and the Chief Constable have responsibility for conducting, at least annually, a review of the effectiveness of the governance framework, including the system of internal control. The review of effectiveness is informed by the work of senior officers and staff who have responsibility for the development and maintenance of the governance environment, the annual report from the Internal Auditor, and by comments made by the external auditors and other review agencies and inspectorates.

In compiling this statement the current governance arrangements have been reviewed and the PCC, the Chief Constable, the Chief Executive and the Chief Finance Officer are satisfied that the arrangements for governance, risk management and control are adequate and effective.

Significant governance issues

There are no significant governance issues.

Signatories

C NELSON

Christopher Nelson
Police and Crime Commissioner

R HANSEN

Rod Hansen
Chief Constable

R BRADLEY

Richard Bradley
Chief Executive

J JONES

John Jones
Chief Finance Officer for the PCC

J HEPPEL

Jane Heppel
Chief Finance Officer for the CC

Date: 25 October 2021