Mapping of Governance Framework Key Elements / Governance Dashboard – 2017/18 – Applying CIPFA's Seven Principles of Good Governance in Policing

PRINCIPLE A - BEHAVING WITH INTEGRITY, DEMONSTRATING STRONG COMMITMENT TO ETHICAL VALUES, AND RESPECTING THE RULE OF LAW

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Behaving with Integrity • Ensuring that the PCC, chief officers and staff behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby promoting and upholding the reputation of the organisation among its stakeholders. • Ensuring the PCC and chief officers lead in establishing specific standard operating principles or values for their organisations and staff and that they are communicated and understood. The values should build on the Nolan Principles and the Code of Ethics. • Leading by example and using above standard operating principles or values as a framework for decision making and other actions. • Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed	• PCC code of conduct • Standards of professional behaviour, Force policy • Performance appraisal process in place for all staff across the PCC and Force • Evidence of communicating shared values with staff, the community and partners. This is through the Police and Crime Plan, Force strategies etc. • Establishment of a Standards and Employee Relations subgroup at the Force • Decision making policies in place. Scheme of governance details the requirements around decisions • Police and Crime Plan developed in consultation with partners, including local authorities, Police and Crime Panel. Police and Crime Plan the	Maintaining	Green

on a regular basis to ensure that they are operating effectively.	driver for decisions. • HMICFRS police effectiveness, efficiency and legitimacy programme (PEEL) assessments. Effectiveness 2017 rating requires improvement, Efficiency 2017 rating good and Legitimacy 2017 requires improvement • Professional Standards Dept, reports to Strategic Police and Crime Board and Joint Audit Committee on fraud and corruption • Anti-fraud and corruption policy reviewed regularly and communicated with board and Force Executive Team • Co-operation with the National Fraud Initiative • Up-to-date register of interests for PCC, chief officers and their respective staff. In addition the Force maintains a Business Interest Register • There is up to date lists register of gifts and hospitality across the Force and PCC • There are Whistleblowing and Confidential reporting policies in place and protect individuals raising concerns. These are well understood and communicated across the organisation • The Force's People Deal • Force and PCC have a complaints policy in place. Force complaints are monitored and reported against through performance reports to Force Executive Team and PCC's Board. Also complaints reported and monitored to West Midlands Police and Crime Panel • There is evidence of changes/improvements as a result of complaints received and acted upon • There are policies and procedures in place across the organisations setting out the expectations for staff to meet the required standards • The expectations the organisations place on suppliers is set out in tender and contract documentation		

Demonstrating strong commitment to ethical values • Seeking to understand, monitor and maintain the organisation's ethical performance. • Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation. • Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values. • Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation.	• Policy in place for declaring interests for board members, police officers and staff. • Code of conduct in operation • Professional standards monitoring • The standards of professional behaviour also reflect relevant principles enshrined in the European Convention on Human Rights and the Council of Europe Code of Police Ethics. • Major PCC decisions consults with Board members • The policies and procedures of the organisation set out the expectations to meet the required standards • Procurement strategy in place and was revised in 2017. The strategy includes requirements relating to Social Value • Appraisal approach includes expected behaviours	Maintaining	Green
Respecting the rule of law • Ensuring the PCC, chief officers and staff demonstrate a strong commitment to the rule of law as well as adhering to relevant laws and regulations. • Creating the conditions to ensure that statutory chief officers, other key post holders and (where appropriate) statutory committees are able to fulfil their responsibilities in accordance with best practice. • Striving to use full powers for the benefit of citizens, communities and other stakeholders. • Dealing with breaches of legal and regulatory provisions effectively. • Ensuring corruption and misuse of power are dealt with effectively.	• Police and Crime Plan in place following extensive consultation • Policies reviewed in 2018 and kept up to date • Scheme of governance • Compliance with CIPFA statements of the role of statutory finance officers • Effective anti-fraud and corruption policies • Internal Audit function, delivery of a risk based plan • Legal implications considered as part of decision making process	Maintaining	Green

PRINCIPLE B - ENSURING OPENNESS AND COMPREHENSIVE STAKEHOLDER ENGAGEMENT

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Openness • Ensuring that the PCC, chief officers and staff behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby promoting and upholding the reputation of the organisation among its stakeholders. • Ensuring the PCC and chief officers lead in establishing specific standard operating principles or values for their organisations and staff and that they are communicated and understood. The values should build on the Nolan Principles and the Code of Ethics. • Leading by example and using above standard operating principles or values as a framework for decision making and other actions. • Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	• Annual report produced • Up to date publication scheme • Precept leaflet produced • Effect PCC website and Force website revised and improved • Record of PCC decisions published on website • Established PCC processes and procedures for decisions in relation to grant funding activity (including victims fund etc). This includes publication on website • Strategic Police and Crime Board and Joint Audit Committee meetings held in public with papers published on website with live webcasting • PCC decision making policy published on website • Reports include legal and financial comments • Decision making reports produced for PCC decisions • Forward plan of PCC decisions and workplan for Strategic Police and Crime Board • Precept survey undertaken • Active Citizens programme • Cybercrime survey	Maintaining	Green

		Maintaining	Amber (area for improvement collaboration agreements)
Engaging comprehensively with institutional stakeholders • Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably. • Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively. • Ensuring that partnerships, including collaborations, are based on trust, a shared commitment to change, and a culture which promotes and accepts challenge among partners and that the added value of partnership working is explicit.	• Communication strategy for the PCC and Force developed and implemented • Collaborations agreements in place with neighbouring PCCs • Collaboration with the West Midlands Combined Authority • Partnerships developed for particular priorities for example gangs and violence • Community Safety partnerships both with the 7 local authorities and the creation of a West Midlands wide Community Safety partnership • Leading on national procurement initiatives		
Engaging with individual citizens and service users • Establishing a clear policy about the type of issues on which the organisation will meaningfully consult with, or involve, individual communities, citizens, service users and other stakeholders to ensure that a service (or other) provision is contributing towards the achievement of intended outcomes. • Ensuring that communication methods are effective and that the PCC and officers are clear about their roles with regard to community engagement. • Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs. • Implementing effective feedback mechanisms for those consultees in order to demonstrate how their views have been taken into account.	• Record of public consultations • Community safety plans developed in line with the police and crime plan • Police and PCC attendance at local community safety partnership forums to understand issues at a local level • Policing strategic assessment • Police and Crime Plan • Force's Ambition Plan • Medium Term Financial Plan • Recognition of the strategic policing requirement • Active Citizen Programme	Maintaining	Green

• Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity. • Taking account of the interests of future generations of taxpayers and service users.			

PRINCIPLE C: DEFINING OUTCOMES IN TERMS OF SUSTAINABLE ECONOMIC, SOCIAL AND ENVIRONMENTAL BENEFITS

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Defining outcomes • Having a clear vision – an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators which provides the basis for the organisation's overall strategy, planning and other decisions. • Specifying the intended impact on, or changes for, stakeholders including individual citizens and service users. It could be immediately or over the course of a year or longer. • Delivering defined outcomes on a sustainable basis within the resources that will be available, while recognising that changing and unforeseen demands will place additional pressure on financial resources. • Identifying and managing risks to the achievement of outcomes as part of delivering goods and services. • Managing expectations effectively with regard to determining priorities and making the best use of the resources available.	• Police and crime plan used as a basis for planning • Community engagement and involvement in the development of the service plan • Police and Crime Plan delivery plan, linked to workplan • Chief Constables ambition and delivery plan • Chief Constables vision document • Progress reports against police and crime plan • Performance reports considered by the Commissioner's board • Established performance measures and report regularly • Medium term financial plan • Strategic policing requirement • Acting on HMICFRS assessments and recommendations. Recommendation tracker in place • Established risk management strategy and monitor of risks	Maintaining	Green
Sustainable economic, social and environmental benefits • Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about services. • Taking a longer term view with regard to decision	• Capital programme aligned to WMP2020 transformation programme • Information and briefings provided to PCC to enable effective briefings • Record of decisions made	Maintaining	Green

making, taking account of risk and acting transparently where there are potential conflicts between the PCC and the chief officer's intended outcomes and short term factors such as the political cycle or financial constraints • Ensuring fair access to services.	• WMP2020 governance arrangements including appropriate gateways, outline business case, detailed business cases and other gateways where necessary • PCC economic strategy		

PRINCIPLE D: DETERMINING THE INTERVENTIONS NECESSARY TO OPTIMISE THE ACHIEVEMENT OF THE INTENDED OUTCOMES

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Determining interventions • Ensuring that decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring that best value is achieved however services are provided. • Considering feedback from citizens and service users when making decisions about service improvements, or where services are no longer required, in order to prioritise competing demands within limited resources available including people, skills, land and assets, and bearing in mind future impacts.	• Decision making framework in place • Framework of corporate governance in place • WMP2020 change programme agreed information requirements in place for project sign off and commencement • Scheme of delegation sets out the requirements around appropriate authorisation • Formal recording of decisions takes place	Maintaining	Green
Planning interventions • Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets. • Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered. • Considering and monitoring risks facing each partner when working collaboratively, including shared risks. • Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances. • Establishing appropriate performance measures as part of the planning process in order to assess and inform how the performance of the services and	• Medium term financial plan in the process of being updated • Annual financial strategy • Plans in the place across the Force and PCC. This is for specific priorities within the police and crime plan • Performance reports highlight areas where corrective action is necessary. These areas are followed up and reported on • Performance targets are detailed in the police and crime plan • Risk and Organisational Learning Board established by the Force • Communication and engagement strategies developed for sub plans that reflect the nature of the initiative	Maintaining	Amber – medium term financial plan being updated in June 2018

projects is to be measured. • Ensuring capacity exists to generate the information required to review service quality regularly. • Preparing budgets in accordance with government funding announcements, organisational objectives, strategies and the medium term financial plan. • Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure, together with estimates of grant, precept, and other income streams, aimed at developing a sustainable funding strategy.	• Budgets are aligned to specific priorities • Risk strategy in place and the management of risk is aligned to the strategy		
Optimising achievement of intended outcomes • Ensuring the medium term financial strategy integrates and trades off service priorities, affordability, and other resource constraints. • Ensuring that the budgeting process is all inclusive, taking into account the full cost of operations over the medium and longer term. • Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for the outcomes to be achieved while optimising resource usage. • Ensuring the achievement of 'social value' through service planning and commissioning.	• Medium term financial plan and annual budget aligned to police and crime plan and other strategies • Invest to save proposals developed to achieve the priorities of the police and crime plan • Evidence available of results; for example investment in police officers, decision around Police Community Support Officers • Scheme of delegations in place • Medium Term Financial Plan is discussed at Police and Crime Panel • Surveys completed by force on residents • Strategic policing requirement and strategic assessment completed and presented to Strategic Policing and Crime Board • Updated procurement strategy includes social value. Also work ongoing to embed social value further • Each district has a CSP plan. Attendance by force and PCC representatives	Maintaining	Green

PRINCIPLE E: DEVELOPING THE ENTITY'S CAPACITY, INCLUDING THE CAPABILITY OF ITS LEADERSHIP AND THE INDIVIDUALS WITHIN IT

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Developing the entity's capacity • Reviewing operations, performance and asset management on a regular basis to ensure their continuing effectiveness. • Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how policing resources are allocated so that defined outcomes are achieved effectively and efficiently. • Recognising and promoting the benefits of collaborative working where added value can be achieved through partnerships. • Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	• Workforce plan in place and being developed further • Recruitment of additional officers and staff taking place • HMICFRS police effectiveness, efficiency and legitimacy programme (PEEL) assessments. Effectiveness 2017 rating requires improvement, Efficiency 2017 rating good and Legitimacy 2017 requires improvement • WMP2020 has introduced significant change with Transition State 1 introduced from November 2016. External and internal assurance work was undertaken • WMP2020 Blue Print and Target Operating Model (TOM), review of TOM • Project being undertaken by Force on change programme beyond 2020 • Performance monitoring of operations and activities ongoing • Collaboration arrangements in place with neighbouring forces for significant services areas • Benchmarking activity being undertaken with Audit Committee by the Force • Increased investment in Human Resources function • Partnership approach to sharing assets	Declining	Amber

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Developing the capability of the entity's leadership and other individuals • Developing protocols to ensure that elected and appointed leaders negotiate their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained. • Publishing a statement that specifies the types of decisions delegated and those reserved for the collective decision making of the governing body. • Ensuring the PCC and chief officers have clearly defined and distinctive leadership roles within a structure whereby the chief officers lead by implementing strategy and managing the delivery of services and other outputs set by the PCC and/or chief constable, and each provides a check and balance for each other's responsibility. • Developing the capabilities of the PCC and chief officers to achieve effective shared leadership where appropriate, and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks. • Ensuring the PCC, chief officers and staff receive appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged. • Ensuring that the PCC, chief officers and staff have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their	• Job descriptions in place • PCC, Chief Executive and Chief Constable have established communication processes in place • Scheme of governance in place across both corporations that is reviewed annually • Respective roles clearly defined • Staff appraisals process in place that identifies training requirements • Staff appraisal includes review of staff performance • Investment in the People and Organisational Development department • Strategic Policing and Crime Board • Register of interests • The website of the PCC and Force are reviewed for effectiveness. Force website was relaunched 2017 to and includes additional functionality. • Staff survey regularly completed • Briefings undertaken for prospective candidates • Induction processes • People Deal • Health and wellbeing agenda	Maintaining	Green

knowledge on a continuing basis.			
• Ensuring personal, organisation and system-wide development through shared learning, including lessons learnt from governance failures both internal and external.			
• Ensuring the PCC is independent of management and free from relationships that would materially interfere with its role.			
• The OPCC, in conjunction with the force, should ensure that appropriate information is available for potential PCC candidates.			
• Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.			
• Holding staff to account through regular performance reviews which take account of training or development needs.			
• Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.			

PRINCIPLE F: MANAGING RISKS AND PERFORMANCE THROUGH ROBUST INTERNAL CONTROL AND STRONG PUBLIC FINANCIAL MANAGEMENT

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Managing risk • Recognising that risk management is an integral part of all activities and must be regarded as a continuous process. • Implementing robust and integrated risk management arrangements and ensuring that they are working effectively. • Ensuring that responsibilities for managing individual risks are clearly allocated. • Ensuring that the organisation is risk aware and that its risk appetite is defined and communicated clearly to those responsible for making decisions.	• Approved risk strategies in place • Risks managed through agreed risk processes • Risk registers reviewed on a regular basis • Risk strategy and registers scrutinised by Audit Committee • Business continuity plans in place • Forces revised approach to risk management • WMP2020 programme risk framework	Maintaining	Green
Managing performance • Monitoring service delivery effectively including planning, specification, execution and independent post implementation review. • Making decisions based on relevant, clear, objective analysis and advice, pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook. • Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible. • Providing the PCC and chief officers with regular	• Oversight and ownership by PCC and/or chief officers of the performance of organisations • Regular performance reports to Strategic Police and Crime Board • Regular reporting to the independent audit committee • Publication of relevant reports from the force to the PCC, supported by minutes of public forums attended by both the PCC and the chief constable • Reports and minutes of the force chief officer board or equivalent • Performance management systems, targets	Maintaining	Green

reports on service delivery plans and on progress towards outcome achievement. • Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).	• and reports • Benefits realisation plans and monitoring reports • Grant monitoring returns and assessment meetings • HMICFRS reports • External scrutiny of performance by bodies such as the police and crime panel • The budget and medium term financial planning processes • Business plans		
Robust internal control • Aligning the risk management strategy and policies on internal control with achieving the organisation's objectives. • Evaluating and monitoring the organisation's risk management and internal control on a regular basis. • Ensuring effective counter fraud and anti-corruption arrangements are in place. • Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor. • Ensuring an independent audit committee or equivalent group or function, which is independent of the executive and accountable to the PCC and chief constable, provides a further source of effective assurance regarding arrangements for managing risks and maintaining an effective control environment and that its recommendations are listened to and acted upon.	• Framework of corporate governance, including contract standing orders and financial regulations • Fraud and corruption policy that is reviewed on a regular basis • Regular reporting to Audit Committee by professional standards department on cases of any fraud • Commissioner's Strategic Policing and Crime Board receives regular reports on the Professional Standards Department • Financial standards guidance • Risk management strategy • Risk management strategy/policy has been formally approved and adopted and is reviewed and updated on a regular basis • Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)	Maintaining	Green

	• Effective internal audit service is resourced and maintained		
	• Independent audit committee complies with best practice as outlined in Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013) including terms of reference, membership and training		
	• Annual assurance statement produced by audit committee		
	• External audit reports		
	• Internal audit charter, planned external inspection of Internal Audit – International Internal Audit Standards		
Managing data • Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data. • Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies. • Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	• Role of the chief information officer defined • Data protection policies and strategies in place • Compliance with policies and strategies including the specified information requirements • Publication strategies including • Information sharing protocols • Reports on the activity of the force crime registrar • Freedom of Information Act 2000 arrangements • Complaints received records • Partnership protocols and agreements. • Project plans and implementation plans for General Data Protection Regulations	Maintaining	Amber
Strong public financial management • Ensuring financial management supports both	• HMICFRS assessments and recommendations	Maintaining	Green

long term achievement of outcomes and short term financial and operational performance. • Ensuring well developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	• Internal audit reports • Annual financial strategy • Budget monitoring reports • Annual statement of accounts • Treasury management strategy and monitoring reports • Annual audit letter • Receipt of unqualified audit opinion and VfM conclusion • Plans in place to implement improvements in system effectiveness		

PRINCIPLE G: IMPLEMENTING GOOD PRACTICES IN TRANSPARENCY, REPORTING, AND AUDIT TO DELIVER EFFECTIVE ACCOUNTABILITY

Expected Behaviours & Outcomes	How the Requirements Are Met	Direction of Travel	RAG Status
Implementing good practice in transparency • Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring they are easy to access and interrogate. • Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.	• Annual report • Standard decision report template is used consistently • Information published on the website in accordance with the Elected Local Policing Bodies (Specified Information) Order 2011 • Statement of accounts and AGS • Reports to the police and crime panel • Publication (subject to confidentiality tests) of force board papers • Publication (subject to confidentiality tests) of reports presented to the PCC's board • PCC received an award for transparency	Maintaining	Green
Implementing good practices in reporting • Reporting at least annually on performance, value for money, and the stewardship of resources to stakeholders in a timely and understandable way. • Ensuring the PCC and chief officers own the results. • Assessing the extent to which the organisation is applying the principles contained in the Framework and publishing the results of this assessment including an action plan for improvement and evidence to demonstrate good governance in action (the AGS). • Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar entities. • Ensuring that the Framework is applied to jointly	• Formal annual reports • Annual financial statements • Appropriate approvals • HMICFRS assessments and responses • The external auditor's annual letter • Action plans to deal with specific matters • Annual governance statement • The PCC and force websites • Reports to the police and crime panel.	Maintaining	Green

managed functions as appropriate.			
Assurance and effective accountability • Ensuring that recommendations for corrective action made by external audit are acted upon. • Ensuring an effective internal audit service, with direct access to the PCC, chief constable and audit committee, provides assurance with regard to the organisation's governance arrangements, and produces recommendations which are acted upon. • Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations as appropriate. Gaining assurance on risks associated with delivering services through third party suppliers and that this is evidenced in the AGS. • Ensuring that when working in partnerships, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.	• External Audit recommendations implemented • Evidence that recommendations have informed positive improvements • Compliance with the CIPFA Statement on the Role of the Head of Internal Audit (2010) • Publication of responses to HMICFRS assessments and recommendations • Community engagement strategy • Collaboration agreements, including effective governance arrangements • External audit reports including the annual letter • Blue print for WMP2020 • Organisational Change Board, Design Authority etc • Pillars of WMP2020 • Internal Audit's charting setting out reporting lines across the PCC and WMP • Annual Internal Audit report giving opinion on risk governance and control	Maintaining	Green