



**HEDDLU
GOGLEDD CYMRU
NORTH WALES
POLICE**

Code of Corporate Governance

**North Wales Police & Crime Commissioner
North Wales Police Chief Constable**

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1. INTRODUCTION

- 1.1 Governance is about how organisations ensure they are doing the right thing, in the right way, for the right people, in a timely, inclusive, open and accountable manner; and comprises the systems, processes, culture and values by which organisations are directed and controlled, and through which they account to, engage with and lead their communities.
- 1.2 The *Code of Corporate Governance* seeks to provide clarity on how the Police and Crime Commissioner and Chief Constable will govern their organisations, both jointly and separately, in accordance with their statutory functions and responsibilities. The Code forms part of the *Manual of Governance* and should be read alongside the *Scheme of Consent*, *Financial Regulations* and *Standing Orders for Contracts*.
- 1.3 The Code is based on the seven core principles of good governance as outlined in the *Delivering Good Governance in Local Government Framework* published by CIPFA / SOLACE in 2016, and supported by the *Nolan Principles of Public Life*. This Code uses the core principles of governance as the structure for setting out the statutory framework and local arrangements that are in place to achieve them.

2. STATUTORY FRAMEWORK

- 2.1 The statutory framework setting out the responsibilities, powers and duties of Police and Crime Commissioners and Chief Constables is continually developing and includes:
 - The Police Reform and Social Responsibility Act 2011
 - The Policing Protocol Order 2011
 - The Strategic Policing Requirement 2015
 - The Anti-Social Behaviour, Crime and Policing Act 2014
 - The Policing and Crime Act 2017
 - The Revised Financial Management Code of Practice 2018 (issued under Section 4A of The Fire and Rescue Services Act 2004)
- 2.2 The Police and Crime Commissioner for North Wales ('the Commissioner') and the Chief Constable of North Wales Police ('the Chief Constable') are established in law as *Corporations Sole*. Both the Commissioner and the Chief Constable, therefore, are enabled by law to employ staff and hold funds.
- 2.3 The public accountability for the delivery and performance of the Police Force is placed into the hands of the Commissioner on behalf of his electorate. The Commissioner draws on his mandate to set and shape the strategic objectives of the Police Force in consultation with the Chief Constable. The Commissioner is accountable to the electorate; the Chief Constable is accountable to the Commissioner. The North Wales Police & Crime Panel maintains a regular check and balance on the performance of the Commissioner in that context.
- 2.4 The two overarching statutory responsibilities of the Commissioner are:
 - To secure and maintain an efficient and effective local police service for North Wales;
 - To hold to account the Chief Constable for the exercise of his functions and those of persons under his direction and control.

2.5 The Commissioner is the recipient of all funding, including the government grant and precept and other sources of income related to policing and crime reduction, and all funding for the Force must come via the Commissioner. How this money is allocated is a matter for the Commissioner in consultation with the Chief Constable, or in accordance with any grant terms. The Chief Constable provides professional advice and recommendations.

2.6 The Commissioner also has the legal power and duty to:

- Set the strategic direction and objectives of North Wales Police through the Police and Crime Plan;
- Provide the local link between the Police Force and communities, working to translate the legitimate desires and aspirations of the public into action;
- Scrutinise, support and challenge the overall performance of North Wales Police, including against the priorities agreed within the Police and Crime Plan;
- Set the precept for the Force area;
- Decide the budget and allocate assets and funds to the Chief Constable;
- Appoint and remove, if necessary, the Chief Constable.
- Monitor all complaints made against Police Officers and Police Staff, whilst having responsibility for complaints against the Chief Constable.

The Commissioner also has wider responsibility for community safety, enhancing criminal justice and supporting victims in North Wales. The legal powers and duties of the Commissioner are set out in more detail the Policing Protocol Order 2011 and other laws, orders, rules or regulations.

2.7 The Chief Constable is responsible for maintaining the Queen's Peace and has a statutory responsibility for the control, direction and delivery of operational policing services provided by the Force. The Chief Constable holds office under the Crown, but is appointed by the Commissioner. The Chief Constable, therefore, is responsible to the public and accountable to the Commissioner for:

- Leading the Force in a way that is consistent with the attestation made by all constables on appointment and ensuring that it acts with impartiality;
- Appointing and dismissing the Force's Police Officers and Police Staff (after consultation with the Commissioner in the case of Police Officers above the rank of Chief Superintendent and Police Staff equivalents);
- Supporting the Commissioner in the delivery of the strategy and objectives set out in the Police and Crime Plan;
- Assisting the Commissioner in planning the Force's budget;
- Providing the Commissioner with access to information, Police Officers and Police Staff as required;
- Being the operational voice of policing in the Force area and regularly explaining to the public the operational actions of Police Officers and Police Staff under his command;
- Managing all complaints against the Force, its Police Officers and Police Staff (except in relation to the Chief Constable), and ensuring that the Commissioner is kept informed in such a way as to enable the Commissioner to discharge their statutory obligations in relation to complaints in a regular, meaningful and timely fashion.
- Having day-to-day responsibility for financial management of the Force within the framework of the agreed budget allocation and levels of authorisation issued by the Commissioner.

The legal powers and duties of the Chief Constable in relation to the Commissioner are set out in the Policing Protocol Order 2011 and other laws, orders, rules or regulations.

- 2.8 The operational independence of the police is a fundamental principle of British policing. The Commissioner and Chief Constable, therefore, are required to work together to safeguard the operational independence of the Force, while ensuring that the Commissioner is not fettered in fulfilling his statutory role.
- 2.9 The Commissioner and Chief Constable are responsible for ensuring their business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for and used effectively, efficiently and economically. They also have a duty to make arrangements to secure continuous improvement in the way in which their functions are exercised.
- 2.10 In discharging their responsibilities, the Commissioner and Chief Constable are responsible for putting in place proper arrangements for governance, which includes maintaining a sound system of internal control and ensuring that arrangements are in place for the management of risk.
- 2.11 The *Joint Audit Committee* provides independent advice and recommendations to the Commissioner and Chief Constable on the adequacy of their governance and risk management frameworks, the internal control environment, and financial reporting.

3. PRINCIPLES OF GOOD GOVERNANCE

- 3.1 The *Delivering Good Governance in Local Government Framework* (CIPFA / SOLACE, 2016) sets out seven principles of good governance, which are:

- 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 first two principles underpin the whole framework and are implicit in the remaining five principles.

- 3.2 The 7 Principles of Public Life (the *Nolan Principles*) were introduced in 1995 and apply to the Commissioner, the Chief Constable and their staff. They are:

Selflessness

Holders of public office should act solely in terms of the public

interest.Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty

Holders of public office should be

truthful.Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

- 3.4 The Commissioner and Chief Constable have adopted the principles of good governance and are bound by the Nolan Principles as holders of public office. This Code, therefore, describes how the Commissioner and Chief Constable will discharge their responsibilities and govern their organisations, separately and jointly, in accordance with these principles.
- 3.5 The Commissioner and Chief Constable have a responsibility to produce an *Annual Governance Statement* (AGS). The AGS reviews the effectiveness of their governance arrangements, assesses the extent to which they have complied with this Code, and identifies areas requiring improvement.

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

4.1 The Commissioner and Chief Constable are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

4.2 Behaving With Integrity and Demonstrating Strong Commitment to Ethical Values

The governance and decision-making arrangements of the Commissioner and Chief Constable are based on a culture of ethics, integrity and acting in the public interest. This is demonstrated and communicated through a number of codes, policies and procedures that set out the standards of conduct and personal behaviour expected of the Commissioner, the Chief Constable and their employees, specifically:

- The [Oath of Office](#) (also known as the *Declaration of Acceptance of Office*) sworn by the Commissioner following his election in 2021.
- The [Code of Conduct - PCC and DPCC](#) which sets out the standards of behaviour expected of the Commissioner and Deputy Commissioner.
- The [Code of Conduct - OPCC Staff](#) which sets out the standards of behaviour expected of staff employed by the Commissioner.
- The [Code of Ethics](#), produced by the College of Policing in 2014, which sets out the principles and standards of conduct and personal behaviour expected of everyone in policing. The principles are based on the Nolan Principles and the standards originate from the Police (Conduct) Regulations 2012 (for Police Officers) and the Police Staff Council Joint Circular 54 (for Police Staff). Members of the Joint Audit Committee, the Commissioner's Strategic Executive Board, the Chief Constable's Strategic Management Board and other strategic Force-wide Boards are also required to have due regard to the Code of Ethics and abide by its principles.
- The *anti-fraud and counter corruption policies and procedures* adopted by the Commissioner ([OPCC Anti-Fraud and Corruption Policy](#)) and Chief Constable ([NWP Counter Corruption Policy](#)) which allow them to manage effectively the risk of fraud and corruption within their respective organisations. The policies and procedures, which embody the values of the Code of Ethics, encourage prevention, outline the arrangements for confidential and anonymous reporting / whistleblowing (via Safecall), promote detection and provide clear pathways for the investigation and prosecution, where relevant, of fraudulent and / or corrupt activities or behaviour. The [Financial Regulations](#) and [Standing Orders for Contracts](#) also reinforce the anti-fraud and counter corruption policies and procedures. The Commissioner and Chief Constable also ensure the OPCC and Force participate fully in the *National Fraud Initiative*, a biennial data- matching exercise that helps detect and prevent fraud and overpayments from the public purse across the UK.

- The policies and procedures adopted by the Commissioner and Chief Constable relating to *gifts, gratuities and hospitality* which provide an ethical framework for employees of the Office of the Police and Crime Commissioner (OPCC), Police Officers and Police Staff to determine the boundaries of acceptability around gifts, gratuities and hospitality. Registers of gifts, gratuities and hospitality are maintained by the OPCC and the Force, as well as registers of all interests declared by the Commissioner, the Chief Constable, other senior personnel in both organisations, and members of the Joint Audit Committee. These registers are publically available on the OPCC website ([OPCC Lists and Registers](#)) and Force website ([NWP Lists and Registers](#)). Members of the Police & Crime Panel and Joint Audit Committee are required to declare the existence and nature of any personal interests at the start of each meeting.
- The arrangements the Commissioner and Chief Constable have put in place for *handling complaints* and *learning from complaints* which reinforce their commitment to upholding the highest ethical standards.

The Commissioner is responsible for investigating complaints about the Chief Constable. Complaints are recorded in accordance with the Police Reform Act 2002 and Police Reform and Social Responsibility Act 2011 and statistics are published on an annual and quarterly basis by the Independent Office for Police Conduct. The Commissioner's Chief Executive is responsible for investigating complaints about OPCC employees and Independent Custody Visitors. Complaints about the Commissioner and Deputy Commissioner are handled by the *North Wales Police & Crime Panel's Complaints Sub Committee*, which is administered by Conwy County Borough Council. The arrangements for making a complaint are clearly set out on the OPCC website ([How to Complain](#)).

Complaints against Police Officers and Police Staff are managed by the Force's *Professional Standards Department* (which reports to the Deputy Chief Constable) in line with the *Complaints Against the Police Policy and Procedure*. The arrangements for making a complaint are clearly set out on the Force's website and comply with the new Complaints and Conduct Regulations which were introduced in February 2020. The main features of the new regulations are:

- *Forces are encouraged to be reasonable and proportionate* – This reduces the need for unnecessary investigations into public complaints, reduces the time Forces spend on such complaints and focusses on resolving them to the public's satisfaction.
- *The threshold for misconduct is increased* – Only the most serious breaches constitute misconduct, meaning Reflective Practice is to become common practice within policing. Police Officers will be supported to reflect, develop and learn from their mistakes rather than be penalised for low level matters.
- *A focus on organisational learning* – The public can now complain about the way the organisation acts – not just a member of staff. This will drive Forces to consider and act on opportunities for organisational learning.
- *Improvements to timeliness* – Forces will need to write to the Commissioner or Chief Officer where any investigation takes more than 12 months to explain the reasons and set out what they plan to do to conclude the investigation. This will be required every 6 months thereafter.

The Commissioner meets with the Deputy Chief Constable and representatives from the Professional Standards Department on a quarterly basis to scrutinise the manner in which complaints and misconduct allegations are dealt with by the Force.

- The national [Competency and Values Framework](#) which upholds the principles of the Code of Ethics by setting out the values and competencies required of everyone working in policing. The framework provides the foundation for many of the Force's HR policies, processes and procedures, such as recruitment, performance reviews and continuous professional development. Furthermore, all new recruits to the Force and OPCC are subject to rigorous *Recruitment Vetting* to prevent infiltration and corruption as well as recruitment of individuals who may cause harm or damage to the reputation of both organisations.
- The *Force's Values*, which are based on the national Competency and Values Framework, reinforce the importance of behaving with integrity and demonstrating strong commitment to ethical values. The values are:
 - *Impartiality* - We will be impartial, fair and understanding in all our dealings with members of the public, colleagues and partners.
 - *Integrity* - We will be professional in all that we do, upholding these values and the standards of behaviour set out in the Code of Ethics. We will challenge and be accepting of challenge.
 - *Public Service* - We will act in the best interests of our public, providing high quality services which instil their confidence. We will engage, listen and be respectful of others.
 - *Transparency* - We will be open and honest in what we do, what we say and what we decide. We will do what we say we are going to do.

The Force's rigorous approach to policy management, as set out in the *Assurance Document Standards Framework* and overseen by the *Assurance Board*, ensures the Code of Ethics (as well as other matters, such as equality) is fully considered during the course of commissioning and creating new policies. The Force reviews its policies on a cyclical basis in accordance with the Assurance Document Standards Framework to ensure they are operating effectively, remain fit-for-purpose and continue to reflect the Code of Ethics. Any policies that are no longer required are decommissioned accordingly. All current policies are available to Police Officers, Police Staff and OPCC employees via the *Force Policy Library*.

The Force produces *Need to Know* briefings on a regular basis to raise awareness of Force codes, policies and procedures as well as to outline the desired conduct and standards of behaviour required of Police Officers and Police Staff in certain situations.

The *National Decision Model*, which places the Code of Ethics at the centre, has been adopted by the Force thereby ensuring the Code's principles and standards inform decision-making at all levels of the organisation. The Commissioner also adopts rigorous standards in his decision-making. All decisions are taken solely in the public interest in line with the *Decision Making Policy* that sets out the parameters and the application of a set of principles that guides the Commissioner's decision making (see Chapter 5 for further details).

The Force has established an *Ethics Committee* as a core component of its governance structure to enhance trust and confidence in the ethical governance and actions of the Force and OPCC. The Committee promotes and supports the highest standards of ethical behaviour and conduct by considering ethical dilemmas submitted by members of staff and recommending actions for consideration by the Force and Office of the Commissioner. The Committee, which is chaired by an independent member of the public, comprises 10 members of the public and 10 members of the Force and Office of the Commissioner. The committee meets on a quarterly basis and publishes its considerations and recommendations on the Force's intranet.

4.2 Respecting the Rule of Law

In fulfilling his duty to maintain the Queen's Peace, the Chief Constable recognises the importance of ensuring the Force operates as an organisation which is able to demonstrate respect for the law. The *Head of Legal Services*, who is a qualified solicitor, provides professional advice to the Force on all legal matters and is consulted on all strategic decisions to ensure that laws are not contravened. The Force's Professional Standards Department also plays an important role in promoting proper standards of conduct and monitoring compliance with all relevant legislation, regulations and codes.

The Commissioner's Chief Executive is the Commissioner's *Monitoring Officer* with responsibility for ensuring that the Commissioner and his employees do not contravene any rule of law or engage in any activity that constitutes maladministration or injustice.

5. **PRINCIPLE B: ENSURING OPENNESS AND COMPREHENSIVE STAKEHOLDER ENGAGEMENT**

5.1 The Office of the Police and Crime Commissioner for North Wales and the North Wales Police Force are run for the public good. Therefore, it is essential that the Commissioner and Chief Constable promote a culture of openness and transparency throughout their respective organisations and maintain clear, trusted channels of communication and consultation to engage effectively with all groups of stakeholders.

5.2 Ensuring Openness

The Commissioner and Chief Constable operate in accordance with the Freedom of Information Act 2000 and guidance issued by the Information Commissioner. The Commissioner and Chief Constable have adopted the Information Commissioner's model *Publication Scheme*, and the OPCC and Force ensure that up-to-date information relating to the structure, activities, finances, plans, policies, performance and governance of both organisations is openly available to the public and wider stakeholders via the Publication Schemes on their respective websites. The papers and minutes of all public meetings (Police & Crime Panel, Joint Audit Committee and Strategic Executive Board) are published on the Commissioner's website.

The [*Manual of Governance*](#) (which comprises the Scheme of Consent, Financial Regulations, and Standing Orders for Contracts) provides for proper arrangements for the management of activities on behalf of the Commissioner and Chief Constable by ensuring all officers and staff have a shared understanding of their roles, responsibilities and decision-making authority within both organisations.

The Commissioner adopts rigorous standards in his decision-making and all decisions are taken solely in the public interest. This is achieved by adherence to a [Decision Making Policy](#) that sets out the parameters and the application of a set of principles that guides decision making. All decisions are recorded and published on the Commissioner's website for public scrutiny. The Police & Crime Panel has an important role to play in reviewing, supporting and / or scrutinising the decisions made by the Commissioner.

The Chief Constable also adopts rigorous standards in his decision-making and all decisions are taken solely in the public interest and to maintain the Queen's Peace. All significant strategic decisions affecting the Force (other than those which can only be made by the Commissioner) are made either by the *Strategic Management Board* or the *Strategic Leadership Team*, both of which are chaired by the Chief Constable. The Force also has several other strategic boards in place which enable Chief Officers to direct and oversee business activities within their respective areas of responsibility. All boards have clear terms of reference and membership which are consistent with best practice.

All key decisions taken by the Commissioner and Chief Constable include, where relevant, a detailed financial impact, a legal impact, an equality impact and a risk assessment. Business Cases are prepared and provided for all major programmes and projects. There are arrangements in place to receive and record professional advice that is required by the Commissioner and Chief Constable for specialist areas.

5.3 Engaging Comprehensively with Institutional Stakeholders

The Commissioner and Chief Constable recognise the importance of comprehensive stakeholder engagement and effective collaborative working with communities and partner agencies in developing and delivering priorities for the future direction of policing, crime and disorder reduction, community safety, and supporting victims in North Wales.

Indeed, working effectively in partnership enables better, more sustainable services to be delivered by all partners involved and can lead to improved services being delivered more cost effectively. The Commissioner and Chief Constable, therefore, utilise existing networks (particularly in the Third Sector and Business Sector) and partnership structures and arrangements across North Wales wherever possible, such as the local Community Safety Partnerships. This enables the Commissioner, the Chief Constable and partners to build commitment to their shared priorities and to exercise oversight of the delivery of shared outcomes.

The Financial Regulations and *Joint Partnerships and Collaboration Framework* provide clear guidance and principles for establishing and managing partnerships, collaborations and other joint-working arrangements. Significant partnership working arrangements are underpinned by robust written agreements and protocols which clearly state the respective roles, responsibilities and expectations of each partner.

The Commissioner and Chief Constable also recognise the importance of ensuring and maintaining meaningful staff engagement in developing and sustaining an effective, efficient and productive workforce. Indeed, the OPCC and Force utilise a range of approaches to ensure effective staff engagement including Staff Consultation Groups, 'Fy Llais' (My Voice) (an online forum which gives everyone a voice and an opportunity air their views and share their suggestions), and commissioning Durham University to undertake a Staff Survey to better understand the impact of workplace factors on employees and how this affects service delivery for the public.

5.4 Engaging Comprehensively with Individual Citizens and Service Users

The Commissioner and Chief Constable recognise the importance of effective and meaningful engagement with citizens and service users in shaping the priorities and provision of policing activity for North Wales. Indeed, maintaining effective and ongoing engagement with the people and communities of North Wales increases public trust and confidence in policing activity and enhances the legitimacy of both organisations.

The Commissioner and Chief Constable have adopted *Engagement and Consultation Strategies* aimed at establishing clear channels of communication and engagement with all sections of the community. Both organisations use a wide range of communication tools to achieve open and transparent communication with people and communities across North Wales, including publishing information on their respective websites and using a mix of traditional and non-traditional channels, including Social Media, to provide accurate messages and reassurance and to highlight the impact of policing on the people and communities of North Wales.

The Commissioner and Chief Constable actively listen, consider and effectively use the views of the people of North Wales to shape policing priorities and services. Both the OPCC and Force use a wide range of engagement approaches for obtaining the views of the people of North Wales on policing thus ensuring that community priorities, concerns and areas for improvement are identified and addressed, for example:

- The Commissioner and Chief Constable jointly commission a *Public Confidence Survey* on an annual basis to understand the public perception of policing in North Wales. This includes questions specifically aimed at identifying public priorities for policing. These directly relate to the priorities in the Commissioner's Police and Crime Plan.
- The Commissioner has established a *Youth Commission* - the first of its kind in Wales - to ensure young people aged between 14 and 25 years old are able to have their say on a wide range of matters relating to policing, crime and disorder, community safety and criminal justice in North Wales.
- The Force hosts every other year an *Open Day* at Force Headquarters to give members of the public the opportunity to find out more about the work of the Force across North Wales, watch different Police Teams in action and speak to Police Officers and Police Staff from various departments.
- The Force regularly *surveys victims of crime* to ensure compliance with the Victims' Code of Practice and to use the feedback to improve the experience of victims and the services provided.

- The Commissioner regularly seeks views on policing, his priorities and the annual precept via *online surveys*.
- The Commissioner and Chief Constable regularly attend *public meetings and events* to speak directly to communities and individuals across North Wales.
- The Force also engages with local communities on an ongoing basis through the work of its *Neighbourhood Policing Teams*.

The complaints process and quality of service procedure provide clarity on the arrangements to respond to the breadth of concerns raised by local people. If trends are identified, these are used to improve customer service from the Force and influence the decisions of the Commissioner.

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

6.1 The long term nature and impact of many of the responsibilities of the Commissioner and Chief Constable mean that they should seek to define and plan outcomes and that these should be sustainable. Decisions should contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

6.2 Defining Outcomes

The Commissioner has prepared and issued a [Police and Crime Plan](#) in line with his statutory duties. The plan sets out the vision and strategic direction for policing and crime reduction for North Wales. The plan also outlines the Commissioner's police and crime objectives as well as his priorities and outcomes for policing and victims. The plan is prepared following an extensive analysis of:

- Crime and disorder data;
- Consultation with the public and partners on their priorities and needs;
- Consultation with the Chief Constable;
- Audits and reviews undertaken by external bodies such as the Wales Audit Office and Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS);
- Strategic risks and opportunities.

Key performance indicators (including measures on User Satisfaction) are set to support the objectives within the Police and Crime Plan, which allow the Commissioner to hold the Chief Constable to account for the performance of the Force and its efficiency and effectiveness. The [Strategic Executive Board](#) is the forum for scrutiny of the Chief Constable by the Commissioner. Performance is reported within the Commissioner's [Annual Report](#), [Statement of Accounts](#) and annual [Council Tax Leaflet](#).

A [Commissioning Framework](#) supports the delivery of the Commissioner's wider duties and responsibilities and the priorities, objectives and outcomes set out in the Police and Crime Plan. The framework details how the Commissioner works with partners, including community and voluntary sector groups, to deliver activity and interventions that will support victims, improve community safety, reduce crime and enhance criminal justice. The strategy is underpinned by a commissioned services budget and programme.

The Chief Constable is responsible for setting the strategic direction of the Force. In developing the Force's vision and strategic priorities, the Chief Constable takes into consideration his statutory responsibilities for maintaining the Queen's Peace, the Commissioner's Police and Crime Plan, the Home Secretary's Strategic Policing Requirement, the Force's Management Statement, and the views of a range of stakeholders including the community, staff and partners. Performance outcomes, operational intelligence, strategic risks and the results of internal and external audits and inspections are also taken into consideration when setting strategic priorities.

The Force has prepared a [Delivery Plan](#), which highlights its operational priorities for the forthcoming year in delivering the Chief Constable's vision of making North Wales the safest place in the UK. The Delivery Plan, which is available on the Force's website, is summarised on the *Plan on a Page* which provides a concise and easily understood overview designed to focus Police Officers and Police Staff on the Chief Constable's vision and priorities. The *Strategic Management Board*, which is chaired by the Chief Constable, is responsible for monitoring progress against the Delivery Plan.

The Police and Crime Plan and Force Delivery Plan are developed alongside a [Financial Strategy and Medium Term Financial Plan](#) which ensures funding is aligned to the resources needed to deliver priorities and outcomes.

Risks to the achievement of the Police and Crime Plan and Force Delivery Plan are identified and managed through the Force's *Risk Management and Assurance Mapping Framework* (see Chapter 9 for further details).

6.3 Sustainable Economic, Social and Environmental Benefits

A wide range of information and stakeholder opinions are taken into consideration in the course of preparing the Police and Crime Plan and Force Delivery Plan. This ensures that balanced and comprehensive consideration is given to all aspects of the potential impact of policing policy decisions on the local community.

All decisions by the Commissioner and Chief Constable are taken in the public interest. To manage risk and ensure transparency of interest in decision-making, OPCC employees, Police Officers and Police Staff are required to make declarations where a conflict of interest or a perceived conflict interest exists.

The process for making decisions, particularly those that involve expenditure, includes an assessment of the longer term impact of proposals to ensure sustainability. Decisions on human resource planning, the most significant factor influencing the delivery of sustainable economic, social and environmental benefits, take account of the longer term financial outlook alongside projections of future turnover. This enables workforce planning and recruitment in a way that supports the economic management of training and supervision requirements and maximises the benefits to both organisations.

The Commissioner and Chief Constable have adopted a [Social Value Policy](#) which commit the OPCC and Force to ensuring that social, economic and environmental issues are considered at all stages of the commissioning and procurement processes of the OPCC and Force, and as part of the whole life cost of a contract. By adopting this policy, the Commissioner and Chief Constable aim to:

- Create sustainable and safer communities, build a stronger economy, reduce energy consumption and create a vibrant and responsible North Wales.
- Secure greater Social Capital (the goodwill created from social relations), such as citizenship, neighbourliness, social networks and civic participation.

The Commissioner and Chief Constable also ensure compliance with the *Equalities Act 2010*. In doing so, all policies, strategic decisions, functions and practices are assessed against the general and specific duties of the Act with the aim of ensuring that the OPCC and Force evaluate, document and foster good relations and advance equality of opportunity. The Commissioner and Chief Constable have also put arrangements in place to ensure compliance with the *Welsh Language Standards* published by the Welsh Language Commissioner, thus ensuring the Welsh Language is not treated any less favourably than the English language.

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

7.1 The Commissioner and Chief Constable achieve their intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice, and the Commissioner and Chief Constable have to make sure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.

7.2 Determining Interventions

The Commissioner sets the strategic direction for policing and wider interventions within the Police and Crime Plan which is prepared following an extensive analysis of a wide range of information, including the priorities and needs of the public and partners. The Plan is reviewed annually to ensure decision making on activity and outcomes remains robust. The Commissioner's *Decision Making Policy* adopts a set of principles to ensure all decision making is well informed, that options are rigorously considered and information is provided on potential risks.

The Force is the primary provider of policing services and the recipient of the substantial proportion of funding from the Commissioner to deliver the Police and Crime Plan through the Force Delivery Plan, which is also reviewed annually. Decisions are made annually on the level of resources and how they should be directed as part of the Commissioner's budget setting process to support the delivery of priorities and outcomes.

All key decisions taken by the Commissioner and Chief Constable include a detailed financial impact, a legal impact, an equality impact and a risk assessment, where relevant. Business Cases are prepared and provided for all major programmes and projects. Business Cases are subject to review by the relevant Thematic Boards, Programme Boards and Project Boards in the Force before they're presented to the Commissioner and Chief Constable for a decision.

The performance, outcomes and costs of the Force are monitored through a framework that includes external comparators (HMICFRS Value for Money Profiles), HMICFRS Inspection Reports (e.g. annual Police Effectiveness, Efficiency and Legitimacy Assessments), Internal Audit Reports and the Annual Audit Letter issued by the Wales Audit Office. Recommendations arising from these reports are used to review decisions in-year on resources and to determine whether interventions are needed to respond to inspection findings and recommendations.

The Financial Regulations and Standing Orders provide a framework for commissioning and procurement activity that support the achievement of best value and practical interventions to support the priorities and outcomes of the Police and Crime Plan and Force Delivery Plan within wider commissioned services.

7.3 Planning Interventions

The *Financial Strategy and Medium Term Financial Plan* is an important component of the integrated corporate planning process of the Commissioner and Chief Constable. It provides a strategic approach to linking operational planning with financial and resource planning to ensure that all resources are directed towards supporting the priorities, objectives and outcomes set out in the Police and Crime Plan.

The Financial Strategy sets out the financial direction and its objectives are to:

- Prioritise resources to align spending plans with the vision and strategic objectives of the Commissioner and Chief Constable;
- Maintain a balanced budget position and to set a Medium Term Financial Plan maintaining and strengthening that position;
- Deliver value for money for local taxpayers;
- Exercise probity, prudence and strong financial control;
- Provide a robust framework to assist the decision making process;
- Manage risk, including strengthening reserves and sustainable levels of debt;
- Continually review budgets to ensure that resources are targeted on key objectives;
- Maximise income raised from sponsorship, grants and trading activities.

The Medium Term Financial Plan reviews the finances over the medium-term and aims to provide resources to enable the priorities, objectives and outcomes of the Police and Crime Plan to be met and to allow for funding to be aligned with emerging priorities. The plan also includes provision to fund a capital programme aligned to plans for ICT, the estate and fleet thus ensuring resources are balanced in the medium- and longer-term to meet the requirements of the Force.

The Force has adopted *Priority Resource Planning (PRP)* as one approach to ensure a proportion of the resources allocated by the Commissioner support the Chief Constable's vision of making North Wales the safest place in the UK. PRP enables the Force to review, refocus and realign a proportion of its resources to the areas of highest harm, to improve services that are most important to the community, and to create opportunities for Police Officers and Police Staff to contribute to the process of improving the efficiency and effectiveness of the Force on an ongoing basis.

The outcomes of PRP inform the allocation of budgets to each business area. Each budget holder is required to manage their allocation in accordance with the financial authority and responsibility delegated to them by the Chief Constable as set out in the annual *Budget Letter* and *Budget Guidance*.

The Force's Strategic Boards, which are chaired by Chief Officers, ensure a co-ordinated approach to planning, delivery, performance management and decision-making across the Force. The Force's Thematic Boards, Programme Boards and Project Boards ensure that specific priorities and objectives are delivered. Members of these boards include Police Staff and Police Officers from all ranks and levels, representing decision-makers and practitioners, as well as representatives of the relevant Staff Associations.

7.4 Optimising Achievement of Intended Outcomes

The Medium Term Financial Plan integrates the budget and funding arrangements for the Force with the Commissioner's directly managed budgets. The totality of estimated funding forms the basis for considerations regarding the trade-off between resources for commissioning and resources for policing to optimise outcomes within the Police and Crime Plan.

The Medium Term Financial Plan includes information on national financial settlements for policing and what is known about settlements in future years. It also sets out the key financial risks that could impact on funding and expenditure nationally and locally. Sensitivity analysis provides information on the potential impact of changes to assumptions. Collectively, this supports decisions on resources, services, performance and outcomes and ensures the business has a robust understanding of risks to the affordability of future plans.

The budget process is based on a proposal from the Force.

The Commissioner's *Commissioning Framework* ensures that commissioning objectives and outcomes align with the needs of the local community, create opportunities for providers to innovate and achieve social value. The OPCC manages and monitors three funding programmes on behalf of the Commissioner:

- *The Commissioner's Fund* - This fund aims to support effective partnership working to deliver solutions for the people of North Wales by tackling issues identified throughout North Wales in assessing crime and disorder.
- *The Commissioner's Community Focused Funding* - This fund aims to provide funding that is accessible to communities to support the delivery of community-based solutions to reduce crime.

- *The Victims Commissioning Funding* - This fund aims to deliver services throughout North Wales to support the victims of crime.

Commissioning locally based providers ensures the economic, social and environmental well-being of the wider community.

The Commissioner and Chief Constable have adopted a *Social Value Policy* which commit the OPCC and Force to ensuring that social, economic and environmental issues are considered at all stages of the commissioning and procurement processes of the OPCC and Force, and as part of the whole life cost of a contract.

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

8.1 The OPCC and Force need appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind sets, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. The OPCC and Force must ensure they have both the capacity to fulfil their own mandates and to make certain that there are policies in place to guarantee that their management has the operational capacity for the organisation as a whole. Both the individuals involved and the environment in which the OPCC and Force operate will change over time, and there will be a continuous need to develop their capacity as well as the skills and experience of the leadership and individual staff members. Leadership in the police service is strengthened by the participation of people with many different types of background, reflecting the structure and diversity of communities.

8.2 Developing the Entity's Capacity

The *Strategic Planning Unit* ensures the Force has a clear and detailed understanding of the demands and capabilities across the organisation to inform financial planning and workforce transformation in the short- and medium-term. The Force has a number of multi-disciplinary boards in place that deal with workforce transformation, workforce planning and workforce movement and mobilisation to meet operational needs and achieve strategic priorities and objectives.

The Force's services are subject to independent review by HMICFRS and internal audit, which is provided by TIAA. The *Force's Strategic Planning and Organisational Learning Board* ensures a co-ordinated approach to organisational learning and continuous improvement by reviewing, monitoring, and scrutinising the performance of the Force in relation to implementing recommendations and areas for improvement arising from external inspections.

The Commissioner and Chief Constable are committed to pursuing opportunities to collaborate with other Forces and organisations as a means of delivering more efficient services. The *Financial Regulations* and *Joint Partnerships and Collaboration Framework* provide clear guidance and principles for establishing and managing partnerships, collaborations and other joint-working arrangements. Significant partnership working arrangements are underpinned by robust written agreements and protocols which clearly state the respective roles, responsibilities and expectations of each partner.

8.3 Developing the Entity's Leadership

The key functions and roles of the Commissioner and Chief Constable are set out in the Police Reform and Social Responsibility Act 2011 (the 2011 Act), the Policing Protocol Order 2011 (the 2011 Order) and the Financial Management Code of Practice (FMCP). These functions and roles define the responsibilities for leadership and are codified in the *Manual of Governance*, specifically the *Scheme of Consent* which formalises the functions and delegations between the Commissioner and Chief Constable.

The Commissioner and Chief Constable have adopted *Schemes of Delegation* that provide a clear framework for ensuring the business of their respective organisations is carried out lawfully, efficiently and effectively by setting out who has authority within the OPCC and Force to exercise certain powers and functions on their behalf. These schemes ensure that decisions are not unnecessarily delayed and are taken at the appropriate level.

The 2011 Act, the 2011 Order and FCMP also set out the key functions and roles of other statutory officers, including:

- *The Chief Executive of the OPCC* - The Chief Executive is the Commissioner's lead advisor. Key responsibilities include working with the Commissioner to enable delivery against his vision, strategy and identified priorities, and facilitating the accurate and appropriate scrutiny of the Force's activities. The Chief Executive is also the Commissioner's statutory *Monitoring Officer*, providing support to ensure the Commissioner's functions are carried out and has specific legal, financial and governance duties in addition to those which derive from statutory responsibilities. The Chief Executive operates in accordance with professional standards and the legislative and fiduciary responsibilities of the statutory office.
- *The Chief Finance Officer of the OPCC* - The Chief Finance Officer is the lead financial advisor to the Commissioner and has statutory responsibility to ensure that the financial affairs of the Commissioner are properly administered. The Chief Finance Officer, therefore, is responsible for overseeing all revenue and capital budgets under the strategic management and control of the Commissioner, including budgets delegated to the Chief Constable. The Chief Finance Officer provides all financial advice, provides a statutory report on the robustness of the budget and ensures systems of internal financial control are effective. The Chief Finance Officer operates in accordance with professional standards and the legislative and fiduciary responsibilities of the statutory office.
- *The Chief Finance Officer of the Force* - The Director of Finance & Resources, as the Force's Chief Finance Officer, is the lead financial advisor to the Chief Constable and has a statutory responsibility to ensure that the financial affairs of the Chief Constable are properly administered. The Director of Finance & Resources, therefore, is responsible for overseeing the expenditure budget delegated by the Commissioner to the Chief Constable. The Chief Finance Officer provides all financial advice, provides a statutory report on the robustness of the budget and ensures systems of internal financial control are effective. The Director of Finance & Resources operates in accordance with professional standards and the legislative and fiduciary responsibilities of the statutory office.

The 2011 Act also requires the Chief Constable to appoint a *Deputy Chief Constable* and an *Assistant Chief Constable*, after consultation with the Commissioner. In North Wales Deputy Chief Constable is responsible for the proper management and efficient delivery of the *corporate functions* of the Force such as: Strategic Planning; Corporate Improvement and Business Change; Business Intelligence and Organisational Performance; Policy Process; Risk Management and Business Continuity; Audit, Inspection and Organisational Learning; Professional Standards; Corporate Communications; Human Resources, Organisational Development and Well-being; Equality and Diversity; and Welsh Language Standards and Services.

The Assistant Chief Constable is responsible for the proper management and efficient delivery of the *operational policing functions* of the Force such as Local Policing; Crime Investigation; Policing Operations and Operational Support; Public Protection; Community Safety; Firearms; Criminal Justice; Custody; and Victims Services.

The four Chief Officers are supported by a wider team of senior Police Officers and Police Staff, who collectively form the Force's *Senior Leadership Team*. All senior Police Officers and Police Staff have clear and accurate Post Profiles and are recruited on the basis of relevant knowledge, experience and qualifications. The Force utilises the College of Policing's leadership programmes to develop its senior Police Officers and Police Staff.

The arrangements which the OPCC and the Force have in place for staff appraisal provide the opportunity to discuss and review the individual performance and training and development needs of senior leaders across both organisations.

Members of the [Joint Audit Committee](#) are recruited for their specific skills and experience to fulfil the role of the committee. Role profiles include a person specification that requires applicants to demonstrate a sound understanding and relevant professional experience. The Committee has clear Terms of Reference that is consistent with the requirements of the FCMP and relevant CIPFA Guidance. Committee members are supported in their professional development through the provision of briefing, training and networking events and opportunities.

8.4 Developing the Capability of Individuals Within the Entity

The Commissioner and Chief Constable share a range of *human resources strategies, policies, plans and procedures* which provide a comprehensive framework for all issues relating to employee management and employee terms and conditions. All strategies, policies, plans and procedures are prepared in accordance with employment legislation and are reviewed on a regular basis to ensure they remain fit-for-purpose, reflect best practice, support managers to fulfil their human resource management responsibilities, and ensure employees are treated in a fair and transparent way. Terms and conditions of employment are approved nationally for Police Officers via Police Regulations and locally for Police Staff, in conjunction with employee representatives. The pay scales of Police Officers and Police Staff are set nationally.

The OPCC and Force have well-defined *organisational structures* with clear reporting lines. All OPCC employees, Police Officers and Police Staff have clear and accurate Post Profiles and reporting lines based on the roles and the functions for which they are accountable, to ensure responsibilities are clear and can be monitored. All posts are recruited to on the basis of clear and accurate Post Profiles, which specify appropriate essential and desirable skills, experience and qualifications to ensure that employees are able to deliver their responsibilities effectively. The Commissioner and Chief Constable are committed to the principles of equal opportunities in relation to the recruitment of OPCC employees, Police Officers and Police Staff. Promotion and appointments, therefore, are undertaken in an open and transparent way in accordance with all relevant human resources policies and procedures. An extensive range of recruitment techniques and succession planning approaches are utilised to ensure the OPCC and Force appoint the right people with the right skills, experience and qualifications into the right roles within both organisations.

The Commissioner and Chief Constable are committed to ensuring that the capacity and capability of OPCC employees, Police Officers and Police Staff are developed to enable them to operate effectively. The individual capabilities, performance and development requirements of OPCC employees, Police Officers and Police Staff are assessed annually through a comprehensive Personal Development Review (PDR) process. The PDR process enables training and development requirements to be identified and managed, which are aligned to the role or agreed objectives and actions. The budget setting process of the Commissioner and Chief Constable provides for training and development budgets to support the mandatory and discretionary training and development requirements of staff across the OPCC and Force.

The Commissioner and Chief Constable recognise the importance of supporting the health and well-being of OPCC employees, Police Officers and Police Staff in contributing to an effective workforce. All human resource management policies and procedures take account of employee welfare. OPCC employees, Police Officers and Police Staff have access to a range of resources, services and opportunities relating to health and well-being, such as Occupational Health which provides advice and support to managers and staff in relation to specific psychological and physiotherapy issues. The Force has appointed a dedicated *Wellbeing Lead* to co-ordinate its approach to promoting the health and well-being of Police Officers and Police Staff in line with the agreed *Health and Wellbeing Strategy*.

Staff Associations are represented on various Force-wide Boards and Committees which ensures that they are consulted on all strategic developments and decisions.

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

- 9.1 The Commissioner and Chief Constable need to ensure that the entities and governance structures that they oversee have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management, business continuity and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. They consist of an ongoing process designed to identify and address significant risks involved in achieving outcomes. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

9.2 Managing Risk

The OPCC and Force have adopted a *Risk Management and Assurance Mapping Framework* which is underpinned by the ten risk principles published in the College of Policing's Authorised Professional Practice on Risk and reflects the ISO's international standards on risk management (ISO 31000).

The Framework describes how risk is embedded throughout the OPCC and Force by designating clear roles and responsibilities for risk management at all levels and providing mechanisms for the identification, evaluation, scoring, mitigation and management of risks. The Framework also articulates the Force's overall *risk appetite* as well as its risk appetite on a range of different risk areas, such as public safety and finance. The Force's appetite for financial risk is also set out in the Financial Strategy and the Medium Term Financial Plan. Identified risks are logged on the *Force Risk Register* with clear ownership and are reviewed regularly.

The Force is also in the process of rolling out *Assurance Mapping* as a means of understanding and confirming the main sources and types of assurance across the Force. Assurance Mapping will allow the Force to identify and address any gaps or vulnerabilities. By managing long term risks which are controlled, through assurance mapping, the Force will be able to focus time and effort on the live management of dynamic risks.

The risk management arrangements of the OPCC and Force are subject to review by the *Joint Audit Committee*. The Force Risk Register is presented to the Joint Audit Committee at each meeting for review, thus ensuring transparency and openness.

Comprehensive *Business Continuity Plans* are maintained by the OPCC and Force for all service areas, which aim to ensure that critical activities are maintained in a range of adverse scenarios.

The Force's risk management and business continuity arrangements are supported and co-ordinated by the Force's *Risk and Business Continuity Lead*.

9.3 Managing Performance

Clear lines of accountability and processes are in place within the OPCC and Force to monitor, manage and scrutinise the delivery of strategic, operational and business objectives and performance targets, including:

- *The Police & Crime Panel (PCP)* – The PCP is the statutory body that provides the public accountability checks and balances in relation to the performance of the Commissioner and scrutiny of any decision made. The Panel receives an Annual Report setting out what has been achieved in respect of delivery of the Police and Crime Plan objectives, and a financial outturn report comparing actual expenditure against the budget and including summary financial statements.

- *Strategic Executive Board (SEB)* – Through the SEB, the Commissioner scrutinises performance against the Police and Crime Plan, monitors policing performance and the policing budget. The SEB is chaired by the Commissioner and attended by the Deputy Commissioner, the Chief Constable, the Deputy Chief Constable, the Assistant Chief Constable, the Director of Finance & Resources, and the Commissioner’s Chief Executive and Chief Finance Officer.
- *Strategic Management Board (SMB)* – The SMB monitors and reviews progress against the Force Delivery Plan, the performance of the Force against a suite of local and national indicators, and expenditure against revenue and capital budgets. The SMB is chaired by the Chief Constable and attended by the Deputy Chief Constable, the Assistant Chief Constable, the Director of Finance & Resources, Chief Superintendents, Superintendents, and Assistant Directors (Service Leads).
- *Senior Leadership Team (SLT)* – The SLT regularly considers and reviews the performance of the Force. The SLT, which meets on a fortnightly basis, is chaired by the Chief Constable and attended by the other Chief Officers, Chief Superintendents and Assistant Directors (Service Leads) as required.
- *Monthly Operational Performance Meeting* – This meeting, which is chaired by the Assistant Chief Constable and attended by Service Leads and the Head of Business Intelligence, considers the latest management information and performance measures in relation to the Force Delivery Plan. The Operations Committee maintains an operational overview of the Force performance in the key operational areas.
- *People Priority Performance Meetings* - This meeting, which is chaired by the Deputy Chief Constable, manages all people related performance matters as defined in the Force Delivery Plan.
- *Service Area Performance Meetings* – Service Leads maintain their own processes to support the delivery of strategic and business objectives in line with their own portfolio.
- *Individuals* – Managers are provided with information and support to enable them to have meaningful conversations with their staff around performance. The Force encourages managers to ensure that staff objectives, set via the PDR process, are aligned with the Chief Constable’s vision and priorities.

Reports are produced with the aim of providing appropriate information to inform discussion and decision-making, including a detailed financial impact, a legal impact, an equality impact and a risk assessment where relevant.

There are arrangements in place to receive and record professional advice that is required by the Commissioner, Chief Constable and members of the above boards for specialist areas. The papers and minutes of all public meetings are published on the Commissioner’s website to ensure transparency and openness.

Going forward, the Force has agreed to use a *Balanced Scorecard* methodology to manage performance. This will form the basis of the Force performance framework using the four domains of Public, Operational, Learning and Development, and Financial. Each domain will contain a number of objectives supported by appropriate outcome and leading performance measures. This will produce a Force level Scorecard, and seven Service Area Scorecards which will be used to monitor and manage performance across the Force.

HMICFRS also continuously monitors the performance of the Force against other Forces via the annual overarching Police Effectiveness, Efficiency and Legitimacy (PEEL) Inspection and other thematic inspections which are agreed with the Home Secretary. All inspection reports are made publically available by HMICFRS via its website and are considered by all relevant boards. Action plans are prepared by the Force in response to inspections and are approved and reviewed by the relevant boards on a regular basis, including the Joint Audit Committee. The Force's Strategic Planning and Organisational Learning Board ensures a co-ordinated approach to organisational learning and continuous improvement by reviewing, monitoring, and scrutinising the performance of the Force in relation to implementing recommendations and areas for improvement arising from these inspections.

9.4 Robust Internal Control

The Commissioner and Chief Constable are responsible for reviewing the effectiveness of the corporate governance framework of the OPCC and Force, including the system of internal control. This work is informed by the work of OPCC Senior Managers and Force Chief Officers who undertake an overarching review of key controls and governance arrangements in support of the key principles in this Code.

The arrangements of the Commissioner and Chief Constable for risk management, internal control and anti-fraud and corruption are reviewed on a cyclical basis.

The Commissioner and Chief Constable jointly commission an *Internal Audit Service*, which is provided by TIIA. This service provides assurance in relation to the internal control environment, arrangements for risk management and governance of both the OPCC and Force. The Internal Audit Plan is developed on a risk basis following consultation with all relevant stakeholders and covers all areas of operation. The Head of Internal Audit provides annually an overall opinion of the adequacy, effectiveness and robustness of the internal framework of governance, risk management and control.

External audit is provided by the Wales Audit Office. The Wales Audit Office is responsible for examining and certifying whether the financial statements of the Commissioner and Chief Constable are 'true and fair'; and for assessing whether the Commissioner and Chief Constable have made proper arrangements for securing economy, efficiency and effectiveness in the use their resources. The Joint Audit Committee receives a copy of all Internal Audit Reports and the Annual Audit Letter issued by the Auditor General for Wales.

The *Joint Audit Committee* provides independent advice and recommendations to the Commissioner and Chief Constable on the adequacy of their governance and risk management frameworks, the internal control environment, and financial reporting, thereby supporting the OPCC and Force to ensure efficient and effective assurance arrangements are in place. To this end, the Committee is enabled and required to have oversight of, and to provide independent review of, the effectiveness of the OPCC's and Force's governance, risk management and control frameworks, the financial reporting and annual governance process, and internal and external audit. The Joint Audit Committee operates in line with the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice and the Home Office Financial Management Code of Practice. The Joint Audit Committee prepares an [Annual Report](#) detailing the work it has undertaken over the year. The Annual Report is submitted to the Commissioner and Chief Constable and published on the OPCC website.

9.5 Managing Data

The Force has adopted an *Information Management Strategy* to ensure that:

- Information is managed within a framework for identifying, considering and owning information and information risk;
- Information is managed consistently across the organisation;
- Information is managed to support policing objectives by providing reliable information at the point of need;
- Information is managed in compliance with relevant legislation concerning the handling and use of data. For example, the General Data Protection Regulations;
- Data is only collected or held for either 'lawful policing purposes' as defined by the Management of Police Information (MOPI) Code of Practice (2005) or to support administrative functions;
- Police Officers and Police Staff use data correctly, share it lawfully, and protect it from compromise.

The Force maintains appropriate physical and digital safeguards to protect data from unauthorised access and misuse. An *Information Security Board*, which is chaired by the Force's Chief Information Officer, meets regularly to oversee information security and respond to emerging issues and threats in relation to the management and sharing of data.

The accuracy of police data is critical to the achievement of policing objectives and maintaining public confidence. To ensure that data is managed in an accurate and timely manner, the Force maintains a number of specialist units, including:

- A *Force Crime Registrar*, supported by a team, whose role is to ensure that crimes are recorded in compliance with National Crime Reporting Standards.
- *Justice Services* whose role is to support the criminal justice process and to ensure the timely and effective progression of criminal cases through the criminal justice system meeting the evidential requirements of both Magistrates and Crown Courts.
- The *Chief Information Officer's Department* which brings together a number of critical business areas within the Force in relation to the management of police information, such as the Data Protection Unit, the Freedom of Information Unit, and the Records Management Unit.
- A *Business Intelligence Team* that ensures performance data is collated and reported on a consistent basis.

- A *Support Services Facility* which manages transactional data in relation to Finance, Training and HR.

The OPCC also operates within the parameters of legislation and regulation relating to the management of information and data. The OPCC ensures that all data, including personal data, is appropriately stored and shared where necessary. Data is held in accordance with the OPCC's Retention Schedule, removed or destroyed appropriately and access to information is restricted where appropriate to relevant members of staff. Data is not held for longer than is necessary. Appropriate security measures are taken for both electronic and physical data. All OPCC employees are aware of their responsibilities when handling and storing both electronic and physical data.

There are *Information Sharing Protocols* between the Commissioner and Chief Constable, and also between the OPCC and Force with partner agencies.

9.6 Strong Public Financial Management

The Commissioner, Chief Constable, OPCC employees, Police Officers and Police Staff have a clear duty to abide by the highest standards of probity in dealing with financial matters.

Robust arrangements for financial management enable the Commissioner and Chief Constable to deliver priorities, achieve outcomes and realise strong operational and financial performance by ensuring that resources are used in accordance with approved plans for service delivery and investment.

The arrangements for financial management, which are codified within a suite of financial governance documents, set out the financial consents and responsibilities for financial management between the Commissioner and Chief Constable. The financial governance documents, which include the *Manual of Governance* (which comprises the *Scheme of Consent*, *Financial Regulations*, and *Standing Orders for Contracts*), comply with the Home Office Financial Management Code of Practice and relevant CIPFA Codes of Practice. The financial governance documents also set out the role and responsibilities of OPCC Senior Managers and Force Chief Officers for financial management and governance. They also include financial management standards to be adhered to by all staff across the organisation and the wider framework of controls, including the arrangements for the statement of accounts.

The OPCC and Force have access to a full spectrum of financial management services, including budget planning, budget monitoring, preparation of the statutory financial statements and treasury management. There is financial representation at all relevant decision-making boards, and reports and business cases incorporate the financial implications of proposals.

The management of all Force budgets are assigned to named budget-holders, who are required to formally accept their responsibilities including any arrangements for sub-delegation. These responsibilities require regular monitoring and reporting of financial information, enabling early identification of variances. Each budget-holder has access to support, advice and guidance from their respective Business Manager and designated Support Accountant.

Financial risks and mitigations are set out within the Financial Strategy and Medium Term Financial Plan and are managed within the overall framework for managing risk. The Commissioner's Chief Finance Officer and the Chief Constable's Director of Finance & Resources take ownership of all financial risks and report to the Joint Audit Committee on the management of strategic financial risks.

Arrangements for financial management are cyclically reviewed by Internal Audit Service for assurance and form part of the arrangements reviewed by the Wales Audit Office in forming their conclusions on the financial statements and value for money of the OPCC and Force.

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

10.1 Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

10.2 Implementing Good Practice in Transparency

The Commissioner and Chief Constable are committed to open and transparent governance.

The OPCC and Force operate in accordance with the *Freedom of Information Act 2000* and guidance issued by the Information Commissioner. The OPCC and Force have adopted the Information Commissioner's model *Publication Scheme*, and they ensure that up-to-date information relating to the structure, activities, finances, plans, policies, performance and governance of both organisations is openly available to the public and wider stakeholders via the Publication Schemes on their respective websites.

In all communications to the public, the OPCC and Force seek to ensure that the content and reporting style are as clear and easily understandable as possible. A number of different forms of media are utilised to maximise public engagement, such as Facebook, Twitter and Instagram. All public documents are published on the OPCC and Force websites and are available in accessible formats. The Commissioner has been awarded the *Transparency Quality Mark* by the Comparing Police and Crime Commissioners organisation (CoPaCC) in recognition of the level and breadth of information contained on the OPCC website

Arrangements for financial reporting aim to ensure the accessibility of financial information for readers and users of financial reports. The OPCC and Force comply with the Government's transparency agenda in respect of publishing details of all expenditure over £500.

The OPCC and Force have robust arrangements in place for dealing with requests for information submitted under the Freedom of Information Act 2000 and Subject Access Requests under the Data Protection Act 2018. The OPCC and Force also publish *Disclosure Logs* which provide details of all requests received under the Freedom of Information Act and the responses provided.

10.3 Implementing Good Practice in Reporting

The Commissioner publishes an *Annual Report*, scrutinised by the Police & Crime Panel, to communicate his activities, achievements and performance and that of the Chief Constable and the Force. The Annual Report presents the performance outcomes achieved against an agreed framework of targets and measures.

The Commissioner and Chief Constable prepare and publish single entity *Statements of Accounts* in accordance with the CIPFA / LASAAC Code of Practice on Local Authority Accounting. The Commissioner also prepares and publishes a *Group Statement of Accounts* in accordance with the same Code of Practice.

Compliance with the Code of Practice ensures the comparability of financial information within the accounts with other similar entities and their publication in accordance with statutory timeframes. The Statements of Accounts include comprehensive income and expenditure statements, which are aligned to in-year financial reporting and monitoring. Narrative statements by the Commissioner's Chief Finance Officer and the Chief Constable's Director of Finance & Resources set out the overall financial and business performance for the year within an accessible summary statement. The Statements of Accounts include the *Independent Report of the Auditor General for Wales* which set out the external auditor's overall opinion and conclusions on value for money in accordance with the Public Audit (Wales) Act 2004.

The Commissioner and Chief Constable review their overall arrangements for governance annually against this Code of Corporate Governance. The outcomes of their review are outlined in an Annual Governance Statement (AGS) which is published alongside their Statements of Accounts. The AGS includes an Action Plans setting out the work that will be undertaken over the following year by the OPCC and Force to support continuous improvement in line with the principles of this Code and the CIPFA / SOLACE CIPFA *Delivering Good Governance in Local Government Framework*.

The Statements of Accounts and AGS are reviewed by the Joint Audit Committee.

10.4 Assurance and Effective Accountability

External audit is provided by the Wales Audit Office. The Wales Audit Office is responsible for:

- Examining and certifying whether the financial statements of the Commissioner and Chief Constable are 'true and fair';
- Assessing whether the Commissioner and Chief Constable have made proper arrangements for securing economy, efficiency and effectiveness in the use their resources.

The external auditor's overall opinion and conclusions on value for money are published in the Statements of Accounts of the Commissioner and Chief Constable and reviewed by the Joint Audit Committee.

Further accountability is provided through the arrangements for internal audit. The Commissioner and Chief Constable jointly commission an Internal Audit Service, which is provided by TIIA. The service is provided in accordance with an Internal Audit Charter which ensures compliance with the Public Sector Internal Audit Standards. This service provides assurance in relation to the internal control environment, arrangements for risk management and governance of both the OPCC and Force. The Internal Audit Plan is developed on a risk basis following consultation with all relevant stakeholders and covers all areas of operation. The Head of Internal Audit provides annually an overall opinion of the adequacy, effectiveness and robustness of the internal framework of governance, risk management and control. The Joint Audit Committee reviews the annual Internal Audit Plan, considers the Head of Internal Audit's annual opinion, considers summaries of internal audit reports, and monitors the implementation of audit recommendations.

The four Commissioners and Chief Constables in Wales also jointly commission TIIA to undertake Collaborative Reviews on areas of common interest and partnership working between and across all four Forces. These reviews provide a further level of assurance as well as valuable opportunities to share learning and best practice

The arrangements for accountability further incorporate assessments and reports from HMICFRS. All forces are subject to an annual overall assessment of their efficiency, effectiveness and legitimacy (PEEL) by HMICFRS. HMICFRS also undertakes thematic reviews and has a rolling programme of inspection (e.g. custody). Action plans are prepared by the Force in order to ensure improvements following HMICFRS recommendations. The plans are approved and reviewed by the relevant governance meetings on a regular basis, including the Joint Audit Committee. The Force's Strategic Planning and Organisational Learning Board ensures a co-ordinated approach to organisational learning and continuous improvement by reviewing, monitoring, and scrutinising the performance of the Force in relation to implementing recommendations and areas for improvement arising from external inspections.

11. ANNUAL REVIEW

- 11.1 This Code will be reviewed annually by the Commissioner and Chief Constable as part of a wider review of their governance arrangements which informs the Annual Governance Statement.
- 11.2 This Code, therefore, will be updated to reflect any changes introduced to the governance arrangements of the OPCC and Force in light of the annual review.

APPENDIX A

Overarching Strategic Documents							
Name of Document	Principle A Behaving with Integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the Interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and Performance	Principle G Implementing Good Practices
Strategic Documents							
Police and Crime Plan		✓	✓		✓		
Force Delivery Plan		✓		✓	✓	✓	
Strategic Documents – Governance and Assurance							
Manual of Governance:							
Code of Corporate Governance	✓	✓			✓		✓
Scheme of Consent					✓	✓	
Financial Regulations	✓				✓	✓	✓
Standing Order for Contracts		✓					
Risk Management and Assurance Mapping Framework	✓			✓		✓	
CC's Scheme of Delegation					✓	✓	
Strategic Documents – Finance and Performance							
Medium Term Financial Plan		✓	✓	✓	✓		
PCC's Annual Report		✓	✓				
PCC's Financial Statements / Group Accounts		✓					✓
CC's Financial Statements		✓					✓
PCC's Annual Governance Statement		✓			✓		✓
CC's Annual Governance Statement		✓			✓		✓

Overarching Strategic Documents (Continued)							
Name of Document	Principle A Behaving with Integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the Interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and Performance	Principle G Implementing Good Practices
Other Strategic Documents							
Children and Young People Strategy 2019			✓				
Citizens in Policing Strategy 2015	✓		✓				
Crime Prevention Strategy		✓		✓	✓	✓	✓
Digital Transformation Strategy		✓		✓	✓	✓	
Digital Workplace Strategy		✓		✓	✓		✓
Engagement Strategy		✓		✓	✓		
Estate Strategy		✓		✓	✓	✓	
Fleet Strategy		✓		✓	✓	✓	
Force Management Statement		✓				✓	
Information Sharing Protocol					✓	✓	
IT Strategy		✓		✓	✓	✓	
Joint Welsh Language Scheme 2018			✓		✓		✓
Social Value Policy 2017			✓		✓		✓
Strategic Assessment		✓				✓	

Office of the Police and Crime Commissioner – Policies, Procedures, Guidance, Frameworks							
Policy / Procedure / Guidance / Framework	Principle A Behaving with Integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the Interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and Performance	Principle G Implementing Good Practices
Anti-fraud and Corruption Policy	✓					✓	
Code of Conduct - PCC and DPCC	✓						
Code of Conduct - OPCC Staff	✓						
Commissioning Framework 2017			✓	✓	✓		
Correspondence Policy							✓
Decisions Policy	✓						✓
Digital and Social Media Policy							✓
Freedom of Information Procedure				✓			✓
Privacy Policy				✓			
Records Management Policy		✓					
Retention and Destruction Policy							✓

North Wales Police - Force Policies, Procedures, Guidance, Frameworks							
Policy / Procedure / Guidance / Framework	Principle A Behaving with Integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the Interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and Performance	Principle G Implementing Good Practices
Access Control List (RMS) Policy							✓
Accommodation and Home Ownership Policy							✓
Agile and Homeworking Guidance							✓
Airwave Policy	✓						✓
ANPR Policy							✓
Anti-Social Behaviour Policy				✓			✓
Armed Force Reservist Policy							✓
Attendance Management Policy			✓			✓	✓
Body Worn Video Policy		✓		✓			✓
Business Continuity Management Policy				✓	✓	✓	
CADRE (Silver) Policy					✓		✓
CCTV Policy	✓					✓	✓
Communications Data Policy	✓						✓
Complains Against the Police Policy	✓						
Contingency Plan Policy							✓
Counter Corruption Policy	✓	✓					✓
Counterfeit Currency Policy							✓
Covert Human Intelligence Sources (CHIS) Policy	✓						✓
Credit Card Policy	✓						✓
Crime Management Practice Guide						✓	✓
Crime Recording Policy	✓			✓			✓
Criminal Cases Review Commission Policy							✓
Criminal Intelligence Policy				✓			✓
Custody Policy						✓	✓
Dangerous Dogs Policy							✓
Defensive Equipment Policy						✓	✓
Detective Inspector CADRE Policy					✓		
Domestic Abuse Policy				✓			✓

North Wales Police - Force Policies, Procedures, Guidance, Frameworks (Continued)							
Policy / Procedure / Guidance / Framework	Principle A Behaving with Integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the Interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and Performance	Principle G Implementing Good Practices
Duties and Leave Police Officer Policy					✓		✓
Expenses and Allowances Policy	✓	✓	✓				✓
Explosives, Mines and Ammunition Policy						✓	✓
Extended Policing Family Policy	✓				✓		✓
Family Liaison Policy					✓		✓
Fatal Incidents Protocol						✓	✓
Financial Assistance for Study Policy							✓
Financial Investigation Policy							✓
Firearms Licensing Policy							✓
Fitness Assessment Policy					✓	✓	✓
Flexible Working Policy					✓		✓
Force Assurance Document Standards Framework							✓
Force Communications Centre Policy			✓	✓	✓	✓	
Force Information Standards Policy	✓					✓	
Foreign Nationals Policy							✓
Fraud Policy							✓
Grievances and Appeals Policy							✓
Hard to Fill Posts Practice Guide					✓		✓
Health and Safety Policy						✓	
ICAD Policy							✓
Intelligence De-briefs with Persons in Custody Policy							✓
Interview DVD Handling Guidance							✓
Learning Policy					✓		✓
Threat Management and Threat to Life Management Policy							✓
Managing the Performance and Development of Officers in the Probationary Period Policy							✓
Mental Health Policy							✓

North Wales Police - Force Policies, Procedures, Guidance, Frameworks (Continued)							
Policy / Procedure / Guidance / Framework	Principle A Behaving with Integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the Interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and Performance	Principle G Implementing Good Practices
Offender Management Policy							✓
Personal Issue Vehicle and Essential User Allowance Policy							✓
Police National Computer (PNC) Policy							✓
Police Use of Vehicles and the Management of Road Risk Policy						✓	✓
Policing Events Policy		✓					✓
Policing Public Sex Locations Policy							✓
Politically Restricted Posts Policy	✓						✓
Post Sentence Interviews Policy	✓			✓			
Pre-Election Period Policy	✓						✓
Professionalising the Investigation Programme Policy	✓				✓		
Property and Exhibit Management Policy	✓					✓	✓
Protecting Vulnerable People Policy							✓
Purchasing Policy	✓						✓
Recruitment Policy					✓		✓
References Policy							✓
Reward, Recognition and Engagement Policy							✓
Rewards for Information Policy							✓
Ride Along Scheme Policy		✓				✓	✓
Risk Management Plan Guidance						✓	✓
Smartphone and Mobile Data Device Policy	✓						✓
Section 135 / 136 Mental Health Act 1983 Protocol	✓	✓				✓	✓
Sports Policy							✓

North Wales Police - Force Policies, Procedures, Guidance, Frameworks (Continued)							
Policy / Procedure / Guidance / Framework	Principle A Behaving with Integrity	Principle B Ensuring Openness	Principle C Defining Outcomes	Principle D Determining the Interventions	Principle E Developing the Entity's Capacity	Principle F Managing Risks and Performance	Principle G Implementing Good Practices
Stop / Search Policy	✓	✓				✓	✓
Sudden, Unexplained and Suspicious Deaths Policy							✓
Surveillance Policy	✓			✓			
Technical Surveillance Unit (TSU) Policy	✓			✓			
Voluntary Attendee Policy						✓	✓
Welsh Language Skills Policy					✓		✓
Working with a Disability Policy					✓		✓