CODE OF CORPORATE GOVERNANCE
(Annotated Copy)
FOR

CHIEF CONSTABLE OF LINCOLNSHIRE

1. **Introduction**

1.1. Governance is about how organisations ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open and accountable manner. It comprises the systems, processes, culture and values by which organisations are directed and controlled, and through which they account to, engage with and, where appropriate, lead their communities.

1.2. This Code of Corporate Governance describes how the Chief Constable of Lincolnshire discharges his responsibilities in this respect, and particularly his overarching statutory responsibilities.

The CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*[1] sets out seven core principles on which effective governance should be built:-

- Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
- Ensuring openness and comprehensive stakeholder engagement.
- Defining outcomes in terms of sustainable economic, social and environmental benefits.

[1] CIPFA 'Delivering Good Governance in Local Government' guidance notes for Policing Bodies in England and Wales (2016).

- Determining the interventions necessary to optimise the achievement of the intended outcomes.

- Developing the Force's capacity, including the capability of its leadership and the individuals within it.

- Managing risks and performance through robust internal control and strong public financial management.

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

The first two principles underpin the whole 2016 Framework and are implicit in the remaining five principles. The Framework also emphasises that local government organisations must try to achieve their objectives while acting in the public interest at all times.

1.3. To achieve this, a framework has been formulated locally which ensures that these principles are fully integrated in the conduct of the Chief Constable's business as well as establishing a means of demonstrating compliance.

1.4. The Chief Constable can also demonstrate that the systems and processes in place are:

- Monitored for their effectiveness in practice;
- Subject to annual review to ensure they remain up-to-date.

2. The Code of Corporate Governance

2.1. Accordingly, the Chief Constable has developed a Code of Corporate Governance which incorporates the core good governance principles, develops these in a local context, and sets out the arrangements for reviewing their effectiveness.

2.2. The way in which each of the core principles of good governance is put into practice by the Chief Constable is set out below:

2.2.1. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

The Chief Constable will achieve this through:

Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.	
BEHAVIOURS	SOURCES OF EVIDENCE
• Ensuring that the Chief Constable, 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 Force among its stakeholders.	• Commitment to Code of Ethics • Force code of conduct • Staff Induction programme • Performance appraisals • Decision making processes / practices • Conduct at external meetings • Commitment to PRIDE

• Ensuring the Chief Constable and chief officers lead in establishing specific standard operating principles or values for the Force and staff and that they are communicated and understood. The values should build on the Nolan Principles and the *Code of Ethics*.	• Commitment to Code of Ethics • Force code of conduct • Performance appraisals • Governance structure • Conduct at external meetings • HMIC inspection findings
• Leading by example and using above standard operating principles or values as a framework for decision making and other actions.	• Commitment to PRIDE • Register of Interests • Governance structure • Equality and diversity policy / practices • Professional standards
• 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.	• Commitment to Code of Ethics • Force code of conduct • Staff Induction programme • Performance appraisals • Decision making processes / practices • Conduct at external meetings • Commitment to PRIDE • Governance structure • Register of Interests / gifts and hospitality (Force)
• Seeking to understand, monitor and maintain the Force's ethical performance.	• Complaints management processes • HMIC PEEL Inspection findings • Governance structure • Equalities monitoring & Policy • Professional standards
• Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the Force's culture and operation.	• Commitment to PRIDE • Commitment to Code of Ethics • Governance structure • Decision making processes
• Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	• Commitment to Code of Ethics • Force code of conduct • Decision making processes / practices • Commitment to PRIDE • Anti-fraud and corruption policy (joint)
• Ensuring that external providers of services on behalf of the Force are required to act with integrity and in compliance with ethical standards expected by the Force.	• Procurement policies • Decision making processes • Governance processes / structure
• Ensuring the Chief Constable, chief officers and staff demonstrate a strong commitment to the rule of law as well as adhering to relevant laws and regulations.	• Internal Audit • Financial regulations and a scheme of delegation • Statutory guidance followed • Equalities monitoring / Policy • Tender and contract documentation / processes / Policies
• Creating the conditions to ensure that statutory chief officers, other key post	• Governance structure • Audit processes / practices

holders and (where appropriate) statutory committees are able to fulfil their responsibilities in accordance with best practice.	• Transparency agenda • Terms of reference • Decision making processes
• Striving to use full powers for the benefit of citizens, communities and other stakeholders.	• Police and Crime Plan 2017-21 • Operational delivery plan monitoring
• Dealing with breaches of legal and regulatory provisions effectively.	• Anti-fraud and corruption Policy • Whistle blowing policy / process • Professional standards
• Ensuring corruption and misuse of power are dealt with effectively.	• Anti-fraud and corruption Policy • Whistle blowing policy / process

2.2.2 Ensuring openness and comprehensive stakeholder engagement

The Chief Constable will achieve this through:

Ensuring openness and comprehensive stakeholder engagement	
BEHAVIOURS	SOURCES OF EVIDENCE
• Ensuring an open culture through demonstrating, documenting and communicating the Force's commitment to openness. The presumption is for openness. If this is not the case, a justification for the reasoning for keeping a decision confidential should be provided.	• Lincolnshire Police Website • Commitment to Consultation (multiple channels) • Register of interests • Decision notices • Published meeting minutes • Annual Report • FOI Scheme
• Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes.	• Lincolnshire Police Website • Commitment to Consultation (multiple channels) • Register of interests • Decision notices • Published meeting minutes • Public meetings
• Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions is clear.	• Decision reports / notices • Governance structure (stakeholders / partners) • Lincolnshire Police website • Commitment to Consultation (multiple channels) • Annual Report
• Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.	• Commitment to Consultation (multiple channels) • Annual Report • Victims surveys

	• Citizen Surveys • Workforce surveys
• 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.	• Governance structures • Collaborative agreements • Partnership framework • Medium Term Financial plans • Strategic Policing Requirement (SPR) • Community Safety Partnership Plans (CSP)
• Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	• Governance structures • Collaborative agreements • Commercial partnership arrangements
• 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.	• Governance structures • HMIC inspection findings
• Establishing a clear policy about the type of issues on which the Force 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.	• Engagement / consultation plan • Quarterly operational monitoring
• Ensuring that communication methods are effective and that the Chief Constable and officers are clear about their roles with regard to community engagement.	• Engagement / consultation plan
• Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	• Consultation exercises (multiple channels) • Chief Constable attendance at public events • Engagement / consultation plan • User Satisfaction Survey • Victim Satisfaction Survey
• Implementing effective feedback mechanisms for those consultees in order to demonstrate how their views have been taken into account.	• Police and Crime Plan 2017-21 • Lincolnshire Police website • Engagement Plan
• Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	• Independent advisory group (IAG) • National Stop & Search (BUSS) scheme
• Taking account of the interests of future generations of taxpayers and	• Engagement / consultation plan

service users.	• Horizon Scanning • Change Programme

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

The Chief Constable will achieve this through:

Defining outcomes in terms of sustainable economic, social and environmental benefits	
BEHAVIOURS	SOURCES OF EVIDENCE
• Having a clear vision – an agreed formal statement of the Force's purpose and intended outcomes containing appropriate performance indicators which provides the basis for the Force's overall strategy, planning and other decisions.	• Police and Crime Plan 2017-21 • Quarterly operational monitoring
• 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.	• Police and Crime Plan 2017-21 • Quarterly operational monitoring
• 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.	• Performance measurement & reporting mechanisms • Medium term financial plans
• Identifying and managing risks to the achievement of outcomes as part of delivering goods and services.	• Medium term financial plans • Risk register / Risk management strategy • Risk management processes
• Managing expectations effectively with regard to determining priorities and making the best use of the resources available.	• Medium term financial plans • Project Business cases • Benefits realisation plans & measurement • Governance framework
• Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about services.	• Decision making processes / protocols • Project Business cases • Benefits realisation plans & measurement • Governance framework
• Taking a longer term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between	• Medium term financial plans • Risk management processes / strategy • Decision making processes / protocols • Project Business cases (staged)

the Chief Constable and the chief officer's intended outcomes and short term factors such as the political cycle or financial constraints	• Benefits realisation plans & measurement • Governance framework / management boards
• Ensuring fair access to services.	• Risk management processes / strategy • Decision making processes / protocols • Project Business cases • Benefits realisation plans & measurement. • Project management protocols • Engagement and Consultation plans

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

The Chief Constable will achieve this through:

Determining the interventions necessary to optimise the achievement of the intended outcomes.	
BEHAVIOURS	SOURCES OF EVIDENCE
• 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.	• Governance framework • Decision making protocols • Recording of decisions taken • Risk register / risk management strategy • Business cases • Formal project management processes
• 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.	• Engagement / consultation plan • Consultation exercises
• Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.	• Performance measurement and monitoring / reporting regime. • Governance framework
• Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	• Engagement / consultation plan • Meetings structure • Governance framework
• Considering and monitoring risks facing each partner when working collaboratively, including shared risks.	• Risk management strategy • Risk registers - multiple (internal / joint / partner / regional) • Joint Assurance Map
• Ensuring arrangements are flexible and agile so that the mechanisms for	• Project management protocols • Change manual

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 projects is to be measured.	• Benefits realisation plans • Project management protocols • Business cases • Change manual
• Ensuring capacity exists to generate the information required to review service quality regularly.	• Established analytical capacity
• Preparing budgets in accordance with government funding announcements, organisational objectives, strategies and the medium term financial plan.	• Medium term Revenue and Capital spending plans (Inc regular monitoring performance against plans)
• 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.	• Budget Holder involvement by completing profomas for a three year period. • Formal updates on the MTFP at PCSB Sep to Feb. • Workforce planning spans the MTFP period. • National progress on funding streams is monitored and engaged with.
• Ensuring the medium term financial strategy integrates and trades off service priorities, affordability, and other resource constraints.	• Priority Based Budget review to set out the possible varying service levels.
• Ensuring that the budgeting process is all inclusive, taking into account the full cost of operations over the medium and longer term.	• Budget Holder involvement - (completion of pro forma for a three year period). • Budget setting process includes identifying cost pressures.
• 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.	• Financial Strategy is updated annually and published in February. • MTFP accompanies the PCC's budget decision for the subsequent year.
• Ensuring the achievement of 'social value' through service planning and commissioning.	• Commissioning documents / plans • Consultation / engagement plans • Business plans • Project management protocols • Change manual • Benefits realisation measurement / monitoring

2.2.5 Developing the Forces capacity, including the capability of its leadership and the individuals within it

The Chief Constable will achieve this through:

Developing the entity's capacity, including the capability of its leadership and the individuals within it.	
BEHAVIOURS	SOURCES OF EVIDENCE
• Reviewing operations, performance and asset management on a regular basis to ensure their continuing effectiveness.	• Governance framework • Performance framework / reporting
• 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.	• Research, performance and benchmarking resource in place (including Internships) • HMIC VFM Profiles • CIPFA Police back office benchmarking club
• Recognising and promoting the benefits of collaborative working where added value can be achieved through partnerships.	• Commercial partnership (G4S) • Collaboration Agreements (National & Regional) • Governance framework – formal meetings structure
• Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	• Force Establishment report (monthly) • Force Volunteers Establishment report (monthly)
• Developing protocols to ensure that appointed leaders negotiate their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained.	• Transition plans in place • Formal scheme of delegation • Schedule of internal meetings
• Publishing a statement that specifies the types of decisions delegated and those reserved for the collective decision making of the governing body.	• Chief Constable Scheme of delegation
• Ensuring the Chief Constable 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.	• Governance framework • Scheme of delegation • Schedule of internal Meetings
• Developing the capabilities of the Chief Constable and chief officers to achieve effective shared leadership where appropriate and to enable the	• Training and development processes in place. • Formal PDR process in place.

organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks.	
• Ensuring the Chief Constable, 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.	• Induction process • Written explanatory briefings • Training & Development protocols • Personal Performance and Development Review process (PDR) • HR policy
• Ensuring that the Chief Constable, 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 knowledge on a continuing basis.	• Training & Development protocols • Personal Performance and Development Review process (PDR)
• Ensuring personal, organisation and system-wide development through shared learning, including lessons learnt from governance failures both internal and external.	• Assurance map • JIAC reporting / actions arising • Personal Performance and Development Review process (PDR) • Governance framework - meetings
• Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.	• Internal audit process • JIAC reporting / actions arising • Schedule of internal meetings
• Holding staff to account through regular performance reviews which take account of training or development needs.	• Personal Performance and Development Review process (PDR) • Schedule of routine meetings (Line management)
• 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.	• Wellbeing board • Intranet resource dedicated specifically to workforce wellbeing issues

2.2.6 Managing risks and performance through robust internal control and strong public financial management

The Chief Constable will achieve this through:

Managing risks and performance through robust internal control and strong public financial management.	
BEHAVIOURS	SOURCES OF EVIDENCE
• Recognising that risk management is an integral part of all activities and must be regarded as a continuous process.	• Assurance mapping • Risk management processes / registers / strategy. • Project management protocols (inc specific risk registers)

• Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	• Assurance Mapping • Risk management processes / registers / strategy. • Internal Audit programme • JIAC reporting / actions arising
• Ensuring that responsibilities for managing individual risks are clearly allocated.	• Risk management processes / strategy • Risk registers (departmental, project / programme / corporate / confidential) • Assurance map • Specified roles / job descriptions in place
• Ensuring that the Force is risk aware and that its risk appetite is defined and communicated clearly to those responsible for making decisions.	• Risk management strategy • Risk management processes / protocols • Risk registers (multiple) • Schedule of Internal management meetings – routine agenda item • Specified roles / job descriptions in place
• Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.	• Consultancy services - examples of independent advice taken / evidence sought. • HMIC inspection findings • Internal audit programme • Operational delivery monitoring plan • Performance monitoring / reporting framework • Governance framework
• Making decisions based on relevant, clear, objective analysis and advice, pointing out the implications and risks inherent in the Force's financial, social and environmental position and outlook.	• Business cases • Decision making protocols • Research and benchmarking activity (Including specific Internship roles) • Relevant Job roles / job descriptions in place
• 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 Force's performance and that of any organisation for which it is responsible.	• Governance framework • Decision making protocols • Business cases • Research and benchmarking activity • Joint Independent Audit Committee • Schedule of meetings (e.g. PCSB/ resource and performance governance boards)
• Providing the Chief Constable and chief officers with regular reports on service delivery plans and on progress towards outcome achievement.	• Performance framework • Assurance reporting / briefings (written & oral) • Governance framework • Schedule of meetings (e.g. PCSB/ resource and performance governance boards)
• Ensuring there is consistency between specification stages (such as budgets)	• Financial Statements include budget set compared to outturn.

and post implementation reporting (e.g. financial statements).	• Scheduled Resource Governance Meetings review the ongoing budget monitoring and outturn. • Service heading format is consistent from budget setting to reporting.
• Aligning the risk management strategy and policies on internal control with achieving the Force's objectives.	• Risk management strategy • Force risk register • Risk Management Board • Assurance mapping (Jointly PCC/Force) • Audit planning process
• Evaluating and monitoring the Force's risk management and internal control on a regular basis.	• Assurance map • Governance framework • Risk Management Board • Risk management processes • JIAC reporting • Internal audit programme / process
• Ensuring effective counter fraud and anti-corruption arrangements are in place.	• Anti-fraud and corruption policies in place • Confidential reporting (Whistleblowing) process • Governance framework • Joint Force and OPCC Anti-fraud and corruption group in place (actions arising)
• Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	• Audit review meetings • Audit planning process • Governance structure • Joint Independent Audit Committee • Annual auditors report • Specific audit reports – assurance opinions
• 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.	• Joint Independent Audit Committee (JIAC Minutes of meetings and actions arising are recorded)
• Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.	• Dedicated Information Management Unit in place • Compliance with MOPI standards • Technical information management audits & reports (internal and independent / external) • HMIC inspection findings. • Information management related policies
• Ensuring effective arrangements are in place and operating effectively when	• Formal Information sharing agreements in place.

sharing data with other bodies.	• Information sharing protocols • Information security policies
• Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	• Internal and External Audit • HMIC Inspections
• Ensuring financial management supports both long term achievement of outcomes and short term financial and operational performance.	• Medium term financial plan (MTFP) • Treasury management strategy • Value for Money & Efficiency Plan • Business cases • Project management protocols
• Ensuring well developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	• Governance framework • Monitoring officer provisions

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

The Chief Constable will achieve this through:

Implementing good practices in transparency, reporting and audit to deliver effective accountability.	
BEHAVIOURS	SOURCES OF EVIDENCE
• 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.	• Annual report • Annual Governance Statement • Annual Financial report • Annual Financial Governance report
• 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.	• Lincolnshire Police Website
• Reporting at least annually on performance, value for money, and the stewardship of resources to stakeholders in a timely and understandable way.	• Annual report • Annual Governance Statement • Annual Auditors report • Annual Financial Governance report
• Ensuring the Chief Constable and chief officers own the results.	• Governance framework
• Assessing the extent to which the Force 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	• Chief Constable Code of Corporate Governance 2017 - copy annotated with sources of evidence of compliance with Framework i.e. this document. • Published *AGS* • JIAC reporting / actions arising

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.	• Annual Auditors report
• Ensuring that the Framework is applied to jointly managed functions as appropriate.	• Partnership governance structure
• Ensuring that recommendations for corrective action made by external audit are acted upon.	• Annual Auditors report
• Ensuring an effective internal audit service, with direct access to the Chief Constable, chief constable and audit committee, provides assurance with regard to the Force's governance arrangements, and produces recommendations which are acted upon.	• Audit plan review meetings • Published audit plans • Governance framework • Joint Independent Audit Committee • Annual auditors report • Specific audit reports – containing assurance opinions • Audit Action plans – systematic review of actions taken.
• 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.	• Assurance map • Risk registers • Service delivery contract / agreement (G4S) • Strategic partnership issues referenced in AGS • Governance framework
• Ensuring that when working in partnerships, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.	• Partnership governance structures • Service delivery contract – G4S • Formal collaboration agreements

3. **Arrangements for Review of Governance**

3.1. The Chief Constable has put in place the following arrangements to review the Code of Corporate Governance and its effectiveness.

3.1.1. The Chief Constable will regularly test the structure by carrying out a thorough and wide ranging self-assessment.

3.1.2. The Chief Constable will conduct an annual review of this code and the practices, policies, procedures and guidance which give effect to it through its Audit Committee.

3.1.3. The Chief Constable will prepare an annual governance statement in compliance with the audit regulations having regard to the recommendations of its audit committee.

3.1.4. The Chief Constable will respond to and where appropriate implement any recommendations of its internal and external auditors relating to governance.