



CORPORATE GOVERNANCE FRAMEWORK

CONTENTS

Statement of Corporate Governance	3
Code of Corporate Governance	4
Annual Governance Statements	7
Scheme of Delegation	8
Financial Regulations and Contract Standing Orders	11
- Section A: Financial Management Framework	16
- Section B: Financial Planning and Control	17
- Section C: Management of Risk and Resources	22
- Section D: Systems and Procedures	32
- Section E: External Arrangements	34
- Section F: Contract Standing Orders	37
- Section G: Guidance Notes on Delegated Limits	37
- Section H: Breach of Standing Orders or Financial Regulations	40
- Section I: Anti-Fraud and Corruption Strategy and Fraud Response Plan	41

Updates:

Various updates made between July-November 2025 following consultation with Force and OPCC representatives.
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Modern Slavery Statement added in January 2026.

STATEMENT OF CORPORATE GOVERNANCE

This framework provides an integrated scheme of governance to clarify the way the two corporations sole, Police and Crime Commissioner (PCC) and Chief Constable (CC) of Humberside Police, govern both jointly and separately. It also sets out how we work together to fulfil our statutory obligations and deliver for local people.

CONTEXT

The principal statutory legal framework within which the corporations sole will operate is:

- Police Reform and Social Responsibility Act 2011 ('the Act').
- Policing Protocol Order 2023 (updated from the original 2011 protocol).
- Financial Management Code of Practice for the Police (Home Office, 2018).
- Strategic Policing Requirement 2023.
- Various conduct and transparency legislation (e.g. Code of Ethics and Victims' Legislation).

Operating within this framework, the PCC and CC build upon governance arrangements established in legislation, regulation, and good practice, as well as good governance principles and experience across the public and private sector.

PRINCIPLES

The core adopted principles are highlighted by the International Framework for Good Governance in the Public Sector. These 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 controls and strong public financial management.

G: Implementing good practices in transparency, reporting and audit to delivery effective accountability.

The principles of good decision-making also apply, and these are set out in our respective governance arrangements.

INSTRUMENTS OF GOVERNANCE

The corporate governance framework within which both organisations are governed, both jointly and separately, consists of:

- Statement of Corporate Governance: statutory framework and local policy.
- Code of Corporate Governance: how good governance and decision-making principles will be implemented.
- Scheme of Corporate Governance: parameters within which the corporations sole will conduct their business.
- Separate policies/procedures for each corporation sole, with protocols/other governance where they operate jointly.

LEADERSHIP

Effective governance demands ongoing adaptation and development. This framework is reviewed annually utilising a checklist and reporting through the OPCC Accountability Board, with findings informing the Annual Governance Statement (AGS) and Annual Reports of both corporation's sole. The Joint Independent Audit Committee (JIAC) advise both organisations according to Good Governance principles, providing independent assurance on the adequacy and effectiveness of internal controls and risk management. This ensures an up-to-date, effective, and compliant approach.

RECORD OF DECISIONS

Significant decisions by the PCC are set out in a Decision Record and published in a timely manner on the OPCC website. The extent of information published is dependent on the application of the Freedom of Information Act 2000.

The PCC has a decision-making template in place which sets out the process to follow for ensuring decisions are made by the right people, in the right way, and at the right level. It sets out which decisions are formally recorded and published.

The PCC also publishes a Scheme of Delegation, as part of this Corporate Governance Framework, setting out any delegation of their powers. The scheme clarifies permissions for sub-delegation of powers, with such permissions being notified to the PCC. The PCC may prohibit, vary, or make any sub-delegation subject to conditions and limitations. This scheme also recognises that certain functions are prohibited from delegation due to legislation.

The Code sets out how the PCC and Chief Constable govern their organisations both jointly and separately in accordance with the Statement, highlighting key enablers for ensuring Good Governance.

GENERAL PRINCIPLES OF GOOD GOVERNANCE

The PCC has adopted a Code consistent with the International Framework for Good Governance in the Public Sector (IFAC and CIPFA 2014) outlining outlines systems, processes, culture and values to achieve compliance. It shows the commitment of the PCC and CC to their statutory requirements and how they discharge responsibilities. Effective governance relies on public confidence in the PCC and CC, ensuring intended outcomes are achieved whilst always acting in the public interest.

The Police Reform and Social Responsibility Act 2011 (PRSRA 2011 s5-8) sets out the functions of the PCC and CC, and the Policing Protocol Order 2023 sets out how these functions will be undertaken to achieve the outcomes of the Police and Crime Plan and assist the Chief Constable in delivery their role and outlining the expected relationship between them.

CORPORATE GOVERNANCE ARRANGEMENTS

Governance arrangements for the PCC and force follow the seven principles set out in the revised Delivering Good Governance: Guidance Notes for Policing Bodies in England and Wales (2016). These 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 controls and strong public financial management.*
- G: Implementing good practices in transparency, reporting and audit to delivery effective accountability.*

Underneath each principle are behaviours and outcomes demonstrating Good Governance in practice. The Code applies to all personnel, contractors and agents providing a direct service to the PCC and/or Chief Constable.

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

The PCC and CC are accountable for how much they spend and use resources under their stewardship, with an overarching responsibility to serve the public interest, adhere to legislation and government policies and demonstrate appropriateness of their actions, with mechanisms to encourage and enforce adherence to ethical values and respect for rule of law, including:

- PCC and CC abide by the Policing Protocol Order 2023, which outlines the expected relationship between them.
- PCC has appointed a Chief Executive (CEO) (head of paid service and monitoring officer – Local Government and Housing Act 1989 s5) and Chief Financial Officer (PRSRA 2011 sch 1 p6).
- CC has appointed a Chief Finance Officer (PRSRA 2011 sch 2 p4).
- Chief Finance Officers (CFOs) understand their responsibilities as set out in the Financial Management Code of Practice for the Police (s4) (CIPFA Statement on the Role of Chief Finance Officers)
- CEO understand their responsibilities as set out in the APACE Statement on the Role of the Chief Executive.
- People in key roles within both organisations understand the parameters including delegations or consents from the PCC and CC, financial regulations and contracts as set out in our scheme of delegation.
- Decision Record templates set out the framework for decision making, and the process for ensuring decisions are made by the right people, in the right way, and at the right level in both organisations. It sets out which decisions are formally recorded and published. Force decision-making is taken through Chief Officer Group (COG). OPCC decision-making is set out on the OPCC website.

In relation to officers, police staff, and staff of the OPCC, they operate within their respective policies and procedures, corporate governance frameworks, and conduct regulations and code of conduct. This includes (but is not exhaustive):

- PCC Code of Conduct.
- Code of Ethics embedded in both organisations – this combines the seven principles of public life (see below) with others espoused in policing through two further principles of fairness and respect.
- Police and Crime Plan aims.
- Shared values communicated clearly with staff (e.g. through the Force's 'Plan on a Page').
- Up-to-date anti-fraud and corruption policies which are kept under review.

- Registers of interests/records of gifts/hospitalities/expenses published for PCC, Chief Officers, and relevant staff.
- Whistle-blowing policies.
- Policies on complaints published on our respective websites.
- Independent Ethics and Scrutiny Board that provides external perspective to some key decision-making.
- PCC arrangements for oversight of Professional Standards.
- Force HR Plan showing how they lead/develop/support people via a healthy and professional workplace.

Both organisations abide by the seven principles of public life outlined in the Policing Protocol Order 2023.

B: Ensuring openness and comprehensive stakeholder engagement

We must ensure openness in our activities, with clear channels of communication and consultation used to engage effectively with all stakeholder groups. We have established means by which information relating to decisions will be made available. Our publication scheme establishes how information relating to decisions will be made available to people, except where operational and legal constraints exist. Mechanisms to ensure this include:

- Police and Crime Plan/Force Plan on a Page set out the strategic direction and objectives, and how they will be delivered.
- PCC and Force communication and engagement strategies set out how local people will be involved to ensure they are part of decision-making, accountability, and future direction.
- PCC fosters good working relationships with the Police and Crime Panel, local authorities and other partners including Community Safety Partnerships (CSPs). Police and Crime Panel provides a check and balance on the PCC, reviewing or scrutinising their decisions, as well as responsibilities to scrutinise decisions around precept setting, and appointment and dismissal of the CC, CEO and s151 officer.
- Force and OPCC have Freedom of Information Act Publication Schemes.
- Force and OPCC operate accessible/engaging public websites and social/digital media channels.
- PCC publishes key decisions and diary.
- PCC and Force utilise My Community Alert and other methods to communicate with/gather community views.
- PCC consults in advance of putting forward precept proposals.
- Collaboration agreements are published for areas of business undertaken jointly with other Forces/Local Policing Bodies.
- Force operates Independent Advisory Groups.
- OPCC has independent scrutiny with a diverse group of local people assisting the PCC in holding the Force to account.

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

The long-term nature and impact of many of the PCC and Chief Constable's responsibilities mean that they should seek to define and plan outcomes and that these should be sustainable.

- Police and Crime Plan, OPCC Delivery Plan, Force Plan on a Page, Force Management Statement (FMS), Medium Term Resource Strategy (MTRS) and Force Corporate Planning/Performance Framework are in place.
- Annual Reports and mid-term reports communicate Force and PCC/OPCC achievements. Key strategies/plans regularly reviewed.
- PCC and Chief Constable have governance structures that assess progress against their objectives.
- PCC has developed a commissioning and grant award approach.
- Collaboration agreements set out those areas of business to be undertaken jointly with others, whether to reduce cost, increase efficiency, or increase capability to protect local people.
- Processes for identification and management of risk are in place and kept under review.
- Capital investment plan reviews are undertaken.
- Projects are subject to sound business cases.

D: Determining the interventions necessary to optimise the achievement of the intended outcomes

The PCC and Force achieve intended outcomes through legal, regulatory, and practical interventions. Determining the right mix is important and they need robust decision-making mechanisms to ensure achievement in a way that provides the best trade-off between resource inputs while enabling effective and efficient operations. Decisions must be reviewed continually to ensure achievement of outcomes is optimised. Policy implementation usually involves choice about approach, objectives, priorities and incidence of costs and benefits. The PCC and CC must ensure access to appropriate skills and techniques.

- PCC and CC maintain a Medium-Term Resourcing Strategy (MTRS).
- Processes are in place that allow proper analysis and evaluation of plans including option appraisal, assessing the impact of alternative approaches and benefits realisation.

- National Decision-making Model (NDM) for the police service is applied to spontaneous incidents or planned operations, by officers and staff within the force as individuals or teams.
- Police and Crime Plan outlines the objectives and strategic direction for policing and supporting services.
- PCC commissioning approach ensures the right interventions achieve the intended Police and Crime Plan outcomes.
- PCC and Force maintain workforce development, estates, IT, and other management plans.
- PCC and Force have governance frameworks and agreement on information provided between them.
- Force has a Corporate Planning and Performance Framework and the OPCC has an Annual Delivery Plan in place.
- PCC assurance structure clarifies responses organisational or individual learning issues or good practice.
- PCC annual Police and Crime Plan survey ensures understanding of the areas of greatest concern to the public and helps inform our decision-making.

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

The PCC and Force need appropriate structures, leadership and people with the right skills, qualifications, and mind-set, to operate efficiently and effectively. They must ensure capabilities to fulfil their mandate and policies to guarantee management has operational capacity. They must develop capacity and respond to change over time. Leadership is strengthened by participation of people from different backgrounds, reflecting the structure and diversity of the community.

- Force HR Plan prioritises leadership, workforce, and professional development.
- Respective PDR processes ensure training strategies are turned into reality for officers and staff.
- Force and OPCC undertake and analyse feedback from staff surveys.
- Force and OPCC are committed to flexible approaches to reward that attract/retain the best and appropriately skilled.
- Force and OPCC have 'Employer of Choice' schemes and approaches in place to develop people.
- Briefings are held for potential PCC candidates in advance of elections.
- PCC and Chief Constable ensure equality and diversity policies readily set out how each promotes diversity by recognising, valuing, and respecting different contributions and needs of communities and staff.

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

Risk management, business continuity and internal control are integral parts of a performance management system. Strong financial management systems are essential for implementation of policies and achievement of intended outcomes, enforcing financial disciplines, strategic resource allocation, efficient service delivery and accountability. Public bodies spend money raised from taxpayers and they are entitled to expect high standards of control and oversight of performance.

- Overarching Scheme of Corporate Governance highlights parameters for decision-making, including arrangements for governance, delegations, consent, specific financial limits and standing orders for contracts.
- Joint Independent Audit Committee (JIAC) uses CIPFA guidance and Financial Management Code of Practice (as set out in the Financial Management Code of Practice for the Police, s11.1.3).
- Risk Management Strategy establishes how risk is managed throughout the various elements of corporate governance or the organisations, whether operating solely or jointly.
- Accountability Board provides scrutiny of Force strategic risks by the PCC.
- Effective business continuity planning is in place.
- External scrutiny of PCC decisions is provided by the Police and Crime Panel.
- Internal Audit is provided through TIAA Limited and External Audit reports are scrutinised by the JIAC.
- Annual Governance Statements (AGS) are produced by the Force and OPCC.
- Data Protection policies are in place and published online.
- His Majesty's Inspectorate (HMICFRS) provide assurances around Force efficiency and effectiveness.
- Data quality is constantly kept under review by the Force and assessed by HMICFRS.
- PCC receives regular budget monitoring reports to the Accountability Board and Police and Crime Panel.
- PCC approves the Treasury Management Strategy.
- Force and OPCC receive annual external audit opinions.

G: Implementing good practices in transparency, report and audit to deliver effective accountability

Accountability ensures those making decisions/delivering services are answerable for them. Effective accountability reports on actions completed, ensuring stakeholders understand responses as the organisations plan and carry out activities in a transparent manner. External/internal audit contribute to effective accountability. Both organisations are as open as possible about all their decisions, actions, plans, resource use, forecasts, outputs, and outcomes.

- PCC holds the CC to account on a regular basis via an assurance mechanism.

- Information published on OPCC website following Elected Local Policing Bodies (Specified Information) Order 2011.
- Force and OPCC publish their respective Annual Reports for presentation to the Police and Crime Panel.
- Force and OPCC publish their respective Statement of Accounts and Annual Governance Statements (AGS).
- OPCC believes transparency is very important to the way it works.
- Police and Crime Plan sets out the strategic direction and priorities, and how they will be delivered.
- Communications and engagement strategies set out how local people are involved with the PCC and Chief Constable to ensure they are part of decision-making, accountability, and future direction.
- PCC and Chief Constable have effective engagement arrangements with key stakeholders, through approaches including My Community Alert, Humbertalking, Independent Advisory Groups (IAGs), and scrutiny arrangements.
- Police and Crime Panel provides checks and balances in relation to PCC performance and publish reports from OPCC.
- Internal Audit is provided by TIAA and External Audit reports are scrutinised by Joint Independent Audit Committee (JIAC).
- His Majesty's Inspectorate (HMICFRS) provide assurances around Force efficiency and effectiveness.
- Force and PCC welcome reviews/inspections from regulatory bodies and have oversight of recommendations JIAC.
- Use is made of standard decision reporting templates.
- Data Protection Impact Assessments (DPIA) are undertaken to identify the most effective way to comply with data protection obligations and meet individuals' expectations of privacy.
- PCC and Chief Constable to ensure that arrangements are in place for whistleblowing.

ANNUAL GOVERNANCE STATEMENTS (AGS)

This framework enables development of local arrangements. The PCC and Chief Constable build behaviours and outcomes demonstrating, through the AGS, good governance in practices. The AGS outlines the evidence of local arrangements.

SCHEME OF DELEGATION

This scheme sets out delegations from the PCC and CC to staff, incorporating instruments such as financial regulations/standing orders relating to contracts. It clarifies powers which, for good business practice, are given to statutory officers. The PCC and CC may limit powers and/or remove delegation. The approach also details the key roles of the PCC, CEO, CC, and Chief Constable's Chief Finance Officer (CCCFO), and of those who support them. It provides a framework to ensure business is carried out lawfully and efficiently, that decisions are not unnecessarily delayed and taken at an appropriate level. It forms part of the Corporate Governance Framework. Powers are given to the PCC and CC by laws, orders, rules or regulations. National conditions of employment give powers to the PCC and CC or (in the case of police regulations) the Secretary of State for the Home Department. Any powers or duties placed on other statutory officers should be exercised lawfully in accordance with respective delegations of the PCC and CC, standing orders and financial regulations, relevant policies, procedures, plans, strategies, and budgets. It does not identify all statutory duties which are contained in specific laws and regulations.

Persons appointed as CEO (also Monitoring Officer) and CFO (under Schedule 1, paragraph 6(1) (b) of the PRSR Act 2011) for the PCC have statutory powers and duties relating to their positions and do not rely on certain matters being delegated to them to carry out those specific powers and duties. This scheme provides persons with legal authority to carry out appropriate duties of the PCC and/or CC, and aims to clarify those powers which, for the benefit of good business practice, are given to statutory officers. The PCC may limit these powers and/or withdraw delegation, as may the CC in relation to these delegations. Similarly, any sub-delegations by Statutory Officers may be limited or withdrawn by those Statutory Officers. The PCC may impose reporting arrangements on any authorised powers.

Powers are given to the CC by laws, orders, rules, or regulations. National conditions of employment give powers to the PCC, the CC, and in the case of police regulations, the Secretary of State for the Home Office. The powers given to officers and staff should be exercised in line with these delegations, the law, financial regulations, and policies, procedures, plans, strategies, and budgets.

Whilst the CC has statutory power to enter into contracts for goods or services with consent of the PCC, to simplify systems of internal control, contracts should **always** be issued in the name of the PCC. There are delegations in place for the CC to proceed at certain financial thresholds (see elsewhere). PCC requires regular reporting on all contracts entered into by the CC, and all contracts should be reported to the OPCC Accountability Board within the Procurement Update report. This does not preclude the PCC from providing consent to the CC to enter into contracts for goods and services on a case-by-case basis.

They must comply with all other statutory and regulatory requirements and relevant professional guidance including:

- Police and Social Responsibility Act 2011 and relevant legislation issued under this Act.
- Financial and Contract Regulations.
- Home Office Financial Management Code of Practice.
- CIPFA Statement on the role of CFO of the PCC and CFO of the CC.
- PCC and CC's governance frameworks.
- PCC and Humberside Police policies and procedures.
- Data Protection Act 2018/General Data Protection Regulation (GDPR) and Freedom of Information Act 2000.
- Health and Safety at Work legislation and codes.

This Scheme is a record of formal delegations in effect at time of publication. The PCC and CC's governance framework will be reviewed annually. Except for those matters listed above, any person to whom a power is delegated under this scheme may sub-delegate that power as they deem appropriate. Formal responsibility and accountability for effective discharge of sub-delegated powers legally remains with persons to whom powers were delegated by the PCC or CC.

The PCC/CC may ask for specific matters to be referred to them for decision and not dealt with under powers of delegation.

The scheme does not attempt to list all matters which form part of everyday management responsibilities and does not identify all the statutory duties which are contained in specific laws and regulations. Giving delegation to persons under this scheme does not prevent referral of any matter to the PCC and/or CC for decision if felt appropriate. The PCC and CC may set out reporting arrangements on actions undertaken by staff in respect of the use of powers delegated to them.

KEY ROLES

ROLE AND PRIMARY RESPONSIBILITIES OF THE PCC

- Holding the CC to account for performance of the Force.
- Appointing the CC (and dismissal when necessary).
- Setting out the Force's budget.

- Providing a link between the police and the community, obtaining, and representing the views of local people, local authorities, and criminal justice organisations.
- Working with partner agencies.
- Providing an efficient and effective Criminal Justice System.
- Setting local strategic policing/crime priorities and objectives through publication of a Police and Crime Plan.
- Setting the policing and crime precept.
- Overseeing community safety, reduction of crime and value for money in policing.
- Commissioning victim and witness services, including restorative justice.
- Preparing and publishing an Annual Report on progress in delivery of the Police and Crime Plan.
- Owning all land/buildings and will sign contracts in accordance with the requirements of financial regulations.
- Approving the annual Treasury Management Strategy and borrowing limits.
- Receiving government grants and the council tax precept.

When exercising duties and functions, the PCC must have regard to (not exhaustive list):

- Views of the people in the Humberside Police area, including victims of crime.
- Any report or recommendation made by the Police and Crime Panel in respect of the Police and Crime Plan, the proposed annual precept, and the Annual Report for the previous financial year.
- Police and Crime Plan and guidance issued by the Secretary of State, including Strategic Policing Requirement.

PCC may arrange for any person (but not a police officer) to exercise any functions, with the following exceptions:

- Determining the policing and crime objectives in the Police and Crime Plan.
- Issuing the Police and Crime Plan.
- Calculation of the budget requirement.
- Appointing or suspending the Chief Constable or calling upon the Chief Constable to retire or resign.
- Attendance at the Police and Crime Panel in compliance with a requirement by the Panel to do so.
- Attendance at, and presenting the Annual Report to, the Police and Crime Panel.

The Police and Crime Panel exercise checks and balances on the PCC through reviewing and/or scrutinising their decisions and actions, but not those of the Chief Constable.

The PCC is responsible for handling complaints and conduct matters about the CC, monitoring their handling and investigation of complaints against police officers, staff, and the wider service, and complying with Independent Office for Police Conduct (IOPC) requirements. Under the Policing and Crime Act 2017, the PCC is responsible for reviews of recorded complaints handled under Schedule 3 of the Police Reform Act 2002. Delegation of the appropriate authority for CC complaints and complaints reviews is delegated to the OPCC Statutory Operations Manager.

Where legal services are provided to the PCC under Section 2(5) PRSRA 2011, the matter or transaction requires specific authorisation by the PCC. The settlement of claims is subject to Paragraph 8 Schedule 2 of the Police Reform and Social Responsibility Act 2011.

In addition, the PCC is charged with appointing both a Chief Executive and Chief Finance Officer.

ROLE OF THE PCC'S CHIEF EXECUTIVE

The PCC must appoint a person (referred to as the 'Chief Executive' or 'CEO') to act as the Head of the body's paid service under Section 4 of the Local Government and Housing Act 1989. The Chief Executive is Head of the PCC's staff, and Monitoring Officer for the PCC. Formal delegations from the PCC to the Chief Executive are listed in Appendix 1.

ROLE OF THE PCC'S CHIEF FINANCE OFFICER (PCCFO)

The PCC must appoint a person responsible for proper administration of their financial affairs, in accordance with the Financial Management Code of Practice. As Chief Finance Officer to the PCC (PCCFO), they have statutory responsibility for the PCC's financial affairs in accordance with s.112 and 114 of the Local Government Finance Act 1988, and Accounts and Audit Regulations 2003 (as amended). Detailed financial management responsibilities of the PCCFO, including delegated powers, are set out in Financial Regulations. Formal delegations the PCCFO are listed elsewhere in this document.

ROLE OF THE CC

The CC is responsible for maintaining the King's peace and direction and control of the Force. The CC is accountable to the law for exercise of police powers, and to the PCC for delivery of efficient and effective policing, management of resources and expenditure

by the Force. Delegations from the CC to key Force Personnel are contained elsewhere in this document and the CC shall appoint suitably qualified and experienced Chief Officers and Heads of Department.

ROLE OF CC'S CHIEF FINANCE OFFICER (CCCFO)

The CC must appoint a person to be responsible for proper administration of the Force's financial affairs, in accordance with the Financial Management Code of Practice, as issued by the Home Office. As Chief Finance Officer (CCCFO) appointed by the CC, there is a statutory responsibility for the post-holder to manage the Force's financial affairs, in accordance with s.112 and 114 of the Local Government Finance Act 1988, and the Accounts and Audit Regulations 2003 (as amended). Detailed financial management responsibilities of the CCCFO, including delegated powers, are set out elsewhere in this document.

URGENT MATTERS

a) PCC

If any urgent matter normally referred to the PCC (or Deputy PCC where in place) for decision arises and cannot be delayed, in the absence of the PCC (or Deputy PCC where in place), it may be decided by an appropriate chief officer:

- CEO (all issues other than Force operational matters).
- PCCCFO (financial and related issues).
- CC (operational and financial issues affecting the police service).

Urgent decisions taken must be reported to the PCC as soon as practicably possible and published where relevant.

b) Humberside Police

If any urgent matter normally referred to the Chief Constable (or Deputy Chief Constable) for decision arises and cannot be delayed, in the absence of the Chief Constable or Deputy Chief Constable, it may be decided by an **appropriate** member of the Chief Officer Group. Urgent decisions taken must be reported to the Chief Constable as soon as practicably possible and published where relevant.

SECTION A: FINANCIAL MANAGEMENT FRAMEWORK	16
A1: Financial Management Standards	16
A2: Accounting Systems, Records and Returns	16
A3: Annual Statement of Accounts	17
A4: Financial Monitoring and Reporting	17
SECTION B: FINANCIAL PLANNING AND CONTROL	17
B1: Financial Planning	17
B2: Budgetary Control	19
B3: Medium Term Capital Programme and Annual Capital Budget	21
B4: Maintenance of Balances and Reserves	22
SECTION C: MANAGEMENT OF RISK AND RESOURCES	22
C1: Risk Management and Business Continuity	22
C2: Internal Controls	23
C3: Audit Requirements	24
C4: Preventing Fraud and Corruption	24
C5: Assets	26
C6: Treasury Management and Banking Arrangements	28
C7: Staffing	30
C8: Administration of Seized and Found Property (Evidential and Non-Evidential)	30
C9: Police Property Act	30
C10: Trust Funds	31
C11: Proceeds of Crime Act (POCA)	31
C12: Gifts, Loans and Sponsorship	31
SECTION D: SYSTEMS AND PROCEDURES	32
D1: General	32
D2: Income	32
D3: Ordering and Paying for Work, Goods and Services	33
D4: Payments to Employees	33
D5: Taxation	34
D6: Corporate Credit Cards (Non-covert)	34
D7: Ex Gratia Payments	34
SECTION E: EXTERNAL ARRANGEMENTS	34
E1: External Funding	34
E2: Working for External Bodies	35
E3: Joint Working Arrangements	36
SECTION F: CONTRACT STANDING ORDERS	37
F1: Procurement Policy	37 (AND 48)
SECTION G: DELEGATED LIMITS	37
SECTION H: GUIDANCE NOTES ON BREACH OF STANDING ORDERS OR FINANCIAL REGULATIONS	40
SECTION I: ANTI FRAUD AND CORRUPTION STRATEGY AND FRAUD RESPONSE PLAN	41
APPENDIX 1: DELEGATIONS TO THE CHIEF EXECUTIVE	42
APPENDIX 2: SUMMARY OF PCC/FORCE APPROVAL LEVELS AND OTHER FINANCIAL LIMITS	43
APPENDIX 3: ANTI FRAUD AND CORRUPTION STRATEGY	45
APPENDIX 4: PROCUREMENT POLICY	48
APPENDIX 5: MODERN SLAVERY STATEMENT	63

OVERVIEW

This section sets out Financial Regulations that apply to the PCC, OPCC staff, the CC and police officers and staff, having due regard to the overall regulatory framework of their approach to financial management. Public sector accounting is covered by a range of government legislation and accounting standards designed to ensure proper accountability for public funds. The PCC and CC are established in law as corporations sole within the 2011 Act, with both enabled by law to employ staff and hold funds in their official capacity. The CC is charged with impartial direction and control of all constables and Force staff.

Financial Regulations should not be seen in isolation, but part of an overall regulatory and governance framework including the Policing Protocol, codes of conduct and the Corporate Governance framework. Financial Regulations explain the working financial relationship between the PCC, CC, and chief financial officers, having regard to the role played by the PCC's CEO.

The PCC and CC are both required to appoint CFOs. To conduct business effectively, the PCC and CC need to ensure sound financial management policies are in place and strictly adhered to. Part of this requires adoption and implementation of Financial Regulations. The Regulations ensure that financial matters of the PCC and CC are conducted properly and in compliance with all necessary requirements. The Regulations are designed to establish overarching financial responsibilities, to confer duties, rights and powers upon the PCC, CC, and their officers, and provide clarity about the financial accountabilities of groups or individuals. They apply to every member and officer of the service and anyone acting on their behalf. However, under the terms of the Police Reform and Social Responsibility Act, the PCC cannot delegate to a Constable and these regulations reflect this.

All staff and officers are expected to understand the Financial and Contract Regulations and any related documents, seeking clarification on any areas they do not understand with their line manager or relevant person.

The PCC, CC and employees have a general duty to take reasonable action to provide for security of assets under their control and ensure the use of resources is legal, properly authorised, and achieves best value. The PCC is responsible for approving or amending Financial Regulations after consultation with the CC. The PCCCFO and CCCFO are jointly responsible for maintaining a review of Financial Regulations and submitting additions or amendments to the PCC/CC, after consulting with the CEO. Detailed financial instructions to supplement these Regulations shall be issued by the CCCFO after consultation with the PCCCFO and CEO.

Chief Officers are responsible for ensuring all employees, contractors and agents are aware of the existence and content of these Financial Regulations and that they are complied with. Breaches of Financial Regulations may result in disciplinary proceedings and, potentially, criminal action. Such cases shall be reported to the PCCCFO and/or CCCFO who shall determine, after consulting the Monitoring Officer, whether matters shall be reported to the PCC and/or CC.

The PCC, CC and all employees have a duty to abide by the highest standards of probity (i.e., honesty, integrity and transparency) in dealing with financial issues.

These regulations should be reviewed on an annual basis to ensure they are up to date.

Financial Regulations are divided into sections, each with detailed requirements. References are made throughout individual sections to delegated limits of authority. These are also summarised in the summary of delegated limits (see later).

SECTION A:	FINANCIAL MANAGEMENT FRAMEWORK
SECTION B:	FINANCIAL PLANNING AND CONTROL
SECTION C:	MANAGEMENT OF RISK AND RESOURCES
SECTION D:	SYSTEMS AND PROCEDURES
SECTION E:	EXTERNAL ARRANGEMENTS
SECTION F:	CONTRACT STANDING ORDERS
SECTION G:	DELEGATED LIMITS
SECTION H:	BREACH OF STANDING ORDERS AND FINANCIAL REGULATIONS
SECTION I:	ANTI-FRAUD AND CORRUPTION STRATEGY AND FRAUD RESPONSE PLAN

Regulations may be supplemented by more detailed Financial Instructions issued by the CC after consultation with the CCCFO. Financial Instructions should be made available on the Force Intranet.

DEFINITIONS WITHIN THE REGULATIONS

- 'OPCC' refers to the PCC, Deputy PCC (if appointed) and staff employed by the PCC providing core democratic support commissioning, community engagement and other services, and volunteers providing scrutiny support.
- 'Force' refers to the CC, police officers, police staff, Police Community Support Officers (PCSOs), special constabulary, volunteers, and other members of the wider police family under their direction and control.
- 'Chief Officers' when referred to generically means CC, CEO, PCCCFO, CCCFO, Assistant Chief Officer (Resources) and all other members of the Chief Officer Group.
- 'Employees' when referred to generically means police officers/staff including OPCC staff, and other members of the wider police family including contractors or agents.
- 'Authorised Officer' refers to employees authorised through the Scheme of Delegation.
- 'Contract' refers to any commitment (Purchase Orders/MOUs/SLAs/Leases) to acquire/purchase/sell goods, services or building works on behalf of the PCC, Force or affiliated bodies.
- 'Value for money' refers to most cost-effective means of meeting needs and takes account of whole-life costs.
- CC, CEO, PCCCFO and CCCFO includes any member of staff, contractors or agents to whom particular responsibilities may be delegated. Levels of delegated responsibility must be evidenced clearly, made to an appropriate level, with sufficient authority, training and resources given to undertake the duty.
- Medium Term Resource Strategy (MTRS) is a five-year strategic financial planning summary containing forecasted annual income and expenditure budget estimates. It is approved by the PCC.

In these Regulations, most references are made for CC responsibilities, since most day-to-day financial management is vested in them. Duties, rights and powers for resources controlled by the CEO or PCCCFO, shall apply equally to them.

FINANCIAL MANAGEMENT – KEY ROLES

Police and Crime Commissioner (PCC)

- Ensures, through statutory duty and electoral mandate, an efficient and effective police service, and holds CC to account on behalf of public. PCC is recipient of funding relating to policing and crime reduction, including government grant, council tax precept and other sources of income. How this money is allocated is a matter for PCC in consultation with CC, or in accordance with any grant terms. Statutory officers of CC and PCC will provide professional advice and recommendations.
- Appoints a Chief Financial Officer (PCCCFO) to be responsible for proper administration of the Commissioner's financial affairs. The PCC appoints a CEO (who acts as Monitoring Officer and Head of Paid Service).
- Approves policy framework and budget, monitors financial outcomes and approval of MTRS in consultation with the CC. They are responsible for approving the overall framework of accountability and control, and monitoring compliance, including: (a) Police and Crime Plan, (b) MTRS, (c) Annual Revenue Budget, (d) Capital Programme, (e) Treasury management strategy, annual investment strategy, minimum revenue provision (MRP) policy, (f) Estate Strategy, IT/IS, other key strategies and asset management plans, (g) Risk Management strategy, and (h) Local governance policies.
- Approves procedures for recording/reporting decisions and monitoring policy compliance and related executive decisions.
- Approves procedures for agreeing variations to approved budgets, plans and strategies in the policy framework.
- Provides PCCCFO with staff, accommodation, and resources sufficient to allow their duties to be performed.
- Appoints a Deputy PCC (if required) and arranges carrying out of appropriate functions delegated to them.

Deputy Police and Crime Commissioner (DPCC) (if appointed)

- Exercises functions conferred on them by the PCC. The PCC cannot delegate their powers in respect of issuing the Police and Crime Plan, appointing/suspending/calling for the resignation/retirement of a Chief Constable, calculating budget requirements, or dismissing a Chief Constable. The PCC has delegated their powers for decision records in their absence.

Chief Constable

- Responsible to the public and accountable to the PCC for the delivery of efficient and effective policing, management of resources and expenditure by the police force.
- Responsible for day-to-day financial management of the force within the framework of the agreed budget allocation and levels of authorisation issued by the PCC.
- Ensures that financial management of the Force's allocated budget remains consistent with the objectives and conditions set by the PCC and will be held to account for effective financial management of the Force. This is discharged through the CCCFO who leads for the Force on financial management.
- Hold the CCCFO to account in ensuring all financial processes are appropriately documented and communicated.
- Seek PCC approval when they intend to make changes of policy with financial implications or seeks to move sums in excess of £250,000.

Joint Independent Audit Committee

Home Office Financial Management Code of Practice states the PCC and CC should establish a Joint Independent Audit Committee (JIAC), a combined body which considers internal and external audit reports of both the PCC and CC. In establishing the JIAC, the PCC and CC shall have regard to CIPFA Guidance on Audit Committees and good practice principles set out in HM Treasury Audit Committee Handbook.

- Advise PCC and CC according to good Governance principles, ensuring appropriate risk management arrangements in accordance with proper practices are in place and operating.
- Composed of at least five members who are independent of PCC and Force.
- Establish terms of reference, covering its core functions (formally adopted and reviewed at least annually).
- PCC and CC shall be suitably represented at all JIAC meetings.

Police and Crime Commissioner's Chief Finance Officer (PCCCFO)

PCCCFO is responsible for proper administration of PCC's financial affairs and has personal fiduciary responsibility to local council taxpayers. Their statutory responsibilities are set out in:

- Paragraph 6 of Schedule 1 to the Police Reform and Social Responsibility Act 2011.
- Section 114 Local Government Finance Act 1988 (powers to safeguard lawfulness and propriety in expenditure).
- Accounts and Audit Regulations 2011 as amended from time to time.
- Home Office Financial Management Code of Practice.
- Section 151 Local Government Act 1972.

PCCCFO is PCCs professional adviser on financial matters and shall:

- Ensure PCC's financial affairs are properly administered and Financial Regulations observed and up-to-date.
- Ensure regularity, propriety and Value for Money (VfM) in the use of public funds.
- Ensure funding required to finance agreed programmes is available from Central Government, council tax precept, other contributions and recharges.
- Report to PCC, Police and Crime Panel and external auditor: (a) unlawful, or potentially unlawful, expenditure by PCC or PCC officers, or (b) when it appears any expenditure is likely to exceed resources available to meet that expenditure.
- Advise PCC on robustness of estimates and adequacy of financial reserves.
- Prepare and publish PCC's annual statement of accounts in accordance with appropriate accounting codes of practice and reporting standards, including an Annual Governance Statement.
- Ensure statement of accounts for PCC and PCC Group are produced and published in accordance with appropriate codes of practice and reporting standards.
- Ensure provision of effective internal audit service, in conjunction with CCCFO.
- Secure a treasury management function, including loans and investments.
- Advise and consult with CEO on safeguarding of assets, including risk management and insurance.
- Arrange for determination and issue of precept.
- Liaise with external auditor.

- Advise PCC on application of value for money principles by Force to support PCC in holding CC to account for efficient and effective financial management.
- Nominate a person to deputise should they be unable to perform their duties (Deputy s151 officer).

PCCCFO, in consultation with the CEO, CCCFO and/or CC as appropriate, shall be given powers to institute any proceedings or take necessary action to safeguard the finances of the OPCC and Force. They have certain statutory duties which cannot be delegated, namely reporting potentially unlawful decisions by the PCC on expenditure and preparing each year in accordance with proper practices in relation to accounts, a statement of the PCC's accounts, including group accounts.

To fulfil these duties and ensure PCC is provided with adequate financial advice, PCCCFO must:

- Be a key member of PCC Leadership Team, work closely with CEO, help the team develop and implement strategy, resource/deliver PCCs strategic objectives sustainably and act in public interest.
- Be actively involved in, and bring influence to bear on, all PCC strategic business decisions, and ensure financial aspects of immediate/longer-term implications, opportunities and risks are fully considered and aligned with PCCs financial strategy.
- Lead promotion and delivery by PCC of good financial management, ensuring public money is always safeguarded and used appropriately, economically, efficiently, and effectively.
- Ensure finance function is resourced and fit for purpose.

Financial Regulations cannot foresee every eventuality. PCCCFO, in consultation with CCCFO, is responsible for reviewing, maintaining, and interpreting these Regulations to ensure efficient and effective operation of services.

Chief Constable's Chief Finance Officer (CCCFO)

CCCFO is responsible for proper financial administration and has personal fiduciary responsibility to local council taxpayers. They are also responsible to CC for all financial activities within Force or contracted out under supervision of the Force.

CCCFO's responsibilities are set out in:

- Paragraph 4 of Schedule 2 and paragraph 1 of Schedule 4 to the Police Reform and Social Responsibility Act 2011.
- Section 114 Local Government Finance Act 1988 (powers to safeguard lawfulness and propriety in expenditure).
- Accounts and Audit Regulations 2011 as amended from time to time.
- Section 151 Local Government Act 1972.

CCCFO shall:

- Ensure Force financial affairs are properly administered, and Financial Regulations are observed and kept up-to-date.
- Prepare revenue/capital budgets and medium-term resource forecasts for CC, or potentially unlawful, expenditure by CC or officers of CC, or (ii) when it appears any expenditure of CC is likely to exceed resources available to meet that expenditure.
- Advise CC on value for money in relation to all aspects of Force's expenditure.
- Advise CC and PCC on soundness of budget in relation to Force.
- Prepare/ensure CC statement of accounts produced/published and prepare PCC/PCC Group accounts with PCCCFO.
- Prepare and publish CC's Annual Governance Statement.
- Ensure effective internal audit service in conjunction with PCCCFO.
- Liaise with external auditor.
- Nominate a deputy should they be unable to perform their duties (Deputy s151 officer).

CCCFO has certain statutory duties which cannot be delegated, namely reporting potentially unlawful decisions by Force on expenditure and preparing each year (in accordance with proper practices in relation to accounts) a statement of CC's accounts. CCCFO will need to observe locally agreed timetable for compilation of Group accounts by PCCCFO. To enable them to fulfil these duties they must:

- Be a key member of the CC's Management Team, helping develop and implement strategy and resource to deliver PCC's and CC's strategic objectives sustainably and in public interest.
- Be actively involved in, and able to bring influence to bear on, all strategic business decisions of CC to ensure immediate and longer-term implications, opportunities and risks are fully considered.
- Lead promotion and delivery by CC of good financial management so public money is always safeguarded and used appropriately, economically, efficiently, and effectively.
- Ensure finance function is resourced to be fit for purpose.

Financial Regulations cannot foresee every eventuality. CCCFO, in consultation with PCCCFO, shall be responsible for interpreting these Regulations to ensure efficient and effective operation of services.

PCC Chief Executive and Monitoring Officer

CEO is responsible for leadership and general administration of PCC's office. They are also designated Monitoring Officer, appointed under section 5(1) of Local Government and Housing Act 1989, to:

- Ensuring legality of actions of PCC and their officers.
- Ensuring procedures for recording and reporting key decisions are operating effectively.
- Advising PCC and officers about who has authority to take a particular decision.
- Advising PCC about whether decisions are likely to be contrary or not wholly in accordance with policy framework.
- Advising PCC on matters relating to standards of conduct.

SECTION A: FINANCIAL MANAGEMENT FRAMEWORK

A1 FINANCIAL MANAGEMENT STANDARDS

PCC, Chief Constable and all employees have a duty to abide by the highest standards of probity, i.e. honesty, integrity and probity, in dealing with financial issues. This is facilitated by ensuring everyone is clear about the standards to which they are working and the controls in place to ensure these standards are met.

PCC shall receive updates on financial performance of the Force and OPCC through regular budget monitoring and outturn reports from the PCCCFO and CCCFO, and the Annual Audit Letter provided by the external auditor.

Joint Responsibilities of the PCCCFO and CCCFO

- Ensure proper administration of the financial affairs of the OPCC and Force.
- Ensure proper practices are adhered to.
- Advise on key strategic controls necessary to secure sound financial management.
- Ensure financial information is available to enable accurate and timely monitoring and reporting of comparisons of national and local financial performance indicators.
- Ensure officers and staff are aware of/comply with proper financial management standards, including Financial Regulations.
- Ensure staff are properly managed/developed/trained/supported to carry out their financial duties effectively.
- Ensure appropriate accounting policies are in place and applied consistently.

Responsibilities of the Chief Constable

- Ensure specific duties/responsibilities in financial matters are clear to individual officers and properly recorded.

A2 ACCOUNTING SYSTEMS, RECORDS AND RETURNS

Maintaining proper accounting records is one way PCC and CC discharge their responsibility for stewardship of resources. They have statutory responsibility to prepare annual accounts to present a true and fair view of their operations in the year. These are subject to external audit, providing assurance that separate accounts are prepared properly, proper accounting practices have been followed and adequate arrangements to secure economy, efficiency, and effectiveness in the use of resources.

Joint Responsibilities of the PCCCFO and CCCFO

- Determine accounting policies and procedures to be adopted, in accordance with recognised accounting practices, and approve strategic accounting systems and procedures employed by the Chief Constable. All employees shall operate within required accounting policies and published timetables.
- Make proper arrangements for audit of the PCC, Force and the Group accounts in accordance with the Accounts and Audit Regulations 2011 as amended from time to time.
- Ensure all claims for funds including grants are made on a timely and accurate basis.
- Ensure all statutory returns and relevant statistical returns are accurate and returned by the due date.
- Ensure bank reconciliations and other key control accounts are reconciled on a timely and accurate basis.
- Prepare and publish audited accounts in accordance with the statutory timetable.
- Observe principles for segregation of duties in allocation of accounting duties to provide adequate control arrangements.
- Ensure financial records are retained and disposed of in accordance with agreed policies and procedures.

Responsibilities of the CCCFO

- Obtain approval of PCCCFO before making fundamental changes to accounting records/procedures or accounting systems.
- Ensure all transactions, material commitments and contracts and other essential accounting information are recorded completely, accurately and on a timely basis.

- Maintain adequate records to provide a management trail leading from source of income and expenditure through to accounting statements.

A3 ANNUAL STATEMENT OF ACCOUNTS

PCC and CC have statutory responsibility to prepare their own accounts to present true and fair view of operations during the year. They must be prepared in accordance with proper practices as per Code of Practice on Local Authority Accounting in UK. Accounts will comprise separate statements for PCC, CC and Group accounts covering both entities. PCC and CC are responsible for approving their own annual accounts. Accounts are subject to detailed independent review by the external auditor. This provides assurance that the accounts are prepared correctly, proper accounting practices have been followed, and adequate arrangements have been made for securing economy, efficiency, and effectiveness in the use of resources.

Joint Responsibilities of the PCCCFO and the CCCFO

- Agree/publish final accounts preparation timetable in consultation with external auditor, sharing with appropriate employees.
- Select suitable accounting policies and apply them consistently.
- Make judgements and estimates that are reasonable and prudent.
- Comply with the Code of Practice on Local Authority Accounting.
- Prepare, sign and date separate statements of accounts, including Group accounts, stating they present true and fair view of financial position of the PCC/Force/Group at accounting date and their income and expenditure for financial year just ended.
- Publish the approved and audited accounts each year, in accordance with the statutory timetable.

Joint Responsibilities of the PCC and the Chief Constable

- Consider and approve their annual accounts in accordance with statutory timetable.

A4 FINANCIAL MONITORING AND REPORTING

Accurate and timely monitoring and reporting is essential to ensure actions can be taken to address potential overspends and to reallocate underspends to ensure resources are used to best effect in support of the Police and Crime Plan and Force priorities.

Responsibilities of the CCCFO

- Agree and publish a timetable for reporting to the Chief Officer Group.
- Ensure the process and resources are in place to deliver accurate and timely reports.
- Prepare reports, in consultation with the PCCCFO, providing projections to the relevant boards.
- Ensure all virements between Business Areas, and all virements above £250,000 are reported to PCC and CC through agreed financial and budget reporting process.

Responsibilities of the PCCCFO

- Prepare reports in respect of PCC.

SECTION B: FINANCIAL PLANNING AND CONTROL

B1 FINANCIAL PLANNING

Financial planning process should be directed by approved policy framework, business planning process, and need to meet key objectives. Planning process is continuous and covers a five-year period – MTRS. Process includes more detailed annual plan - budget, covering forthcoming financial year, allowing PCC and Force to plan, monitor and manage way funds are allocated and spent, including use of the Force Management Statement to assist with planning. Impact of financial planning is constrained by quality of information made available by central government on resource allocation. Appropriate budget delegation enables effective management of resources and protect public purse.

MEDIUM TERM RESOURCE STRATEGY (MTRS)

PCC and CC share responsibility to provide effective financial planning, through preparation of MTRS including financial projections for five years with capital programme covering same period. This explains how PCC and CC will structure and manage finances to support delivery of Police and Crime Plan outcomes and ensure sound financial management and good stewardship.

Responsibilities of the PCC

Agree, in consultation with CC and other partners and stakeholders, a medium-term financial plan including funding, revenue and capital spending plans. When agreeing the plan, PCC shall have due regard to:

- Police and Crime Plan
- Policy requirements approved by the PCC as part of the policy framework
- Strategic Policing Requirement
- Unavoidable future commitments, including legislative requirements
- Initiatives already underway
- Capital programme revenue implications and CIPFA's Prudential Code for Capital Finance in Local authorities
- Proposed service developments and plans which reflect public consultation
- Need to deliver efficiency/productivity savings, affordability, impact on multiple years
- Potential implications for local taxpayers and Government grant allocations
- Risk management and the use of reserves

Joint Responsibilities of the PCCCFO and CCCFO

- Determine format (with legal requirements) and timing of medium-term financial plans to be presented to CC/PCC.
- Prepare medium-term financial plan in consultation with CC, PCC and stakeholders/partners.
- Prepare and monitor medium-term forecast of potential resources, including options for use of general balances, reserves and provisions, and assumptions about future levels of government funding.

Gaps may be identified between available and required resources. CC should prioritise requirements so PCC can make informed judgements on future funding levels and planning use of resources.

ANNUAL REVENUE BUDGET PREPARATION

- Revenue budget provides estimates of annual income/expenditure requirements for the police and crime/community safety and sets out financial implications of the PCC's strategic policies. It provides authority to Chief Officers to incur expenditure and a basis to monitor financial performance of the PCC and Force.
- PCC should consult public, CC and other relevant partners/stakeholders in planning overall annual budget, including separate force budget. This takes into consideration funding from Government and other sources, balancing expenditure needs of the policing service, community safety and PCC against the level of local taxation. This should meet statutory requirements to achieve a balanced budget (Local Government Act 2003) and be completed in accordance with statutory timeframes.
- Annual budget should be prepared in context of the medium-term financial plan, representing first year of the plan. Impact of annual budget on priorities/funding of future years as per Police and Crime Plan and MTRS should be clearly identified.

Responsibilities of the PCC

- Agree planning timetable with the CC.
- Obtain views of local community on proposed spending plans (including capital expenditure) for the financial year to which proposed expenditure relates.
- Present proposed budget and precept recommendations to the Police and Crime Panel for consideration in accordance with legislative requirements and agreed timetable.
- Approve annual revenue budget including any contribution to or from reserves.
- Determine, if required, establishment of annual ring-fenced or cash limited revenue budgets for specific purposes such as for one or more departments, services, local policing areas, or specific projects. The OPCC is working towards the launch of a POCA submission process for the Force to bid for funds. Such funds will require sign-off from Chief Officers.

Responsibilities of the PCCCFO

- Determine format of revenue budget to be presented to the PCC in consultation with CC, to comply with legal requirements and latest CIPFA guidance.
- Obtain timely and accurate information from billing authorities on the council tax base and latest surplus/deficit position on collection funds to inform budget deliberations.
- Advise PCC on appropriate level of general balances, earmarked reserves or provisions to be held.
- Submit report to PCC on (i) robustness of estimates and adequacy of reserves, and (ii) suite of prudential indicators for next three years, arising from Prudential Code. These indicators will be consistent with annual revenue budget and capital programme approved by PCC. Report to be published on PCC's website with agreed budget.
- Upon approval of the annual budget, to submit council tax requirement return to Central Government and precept requests to appropriate bodies in accordance with legal requirements.
- Produce and publish on the website, in accordance with statute and best practice, council tax information.

Responsibilities of the CCCFO

- Prepare detailed budget estimates and medium-term resource plans for forthcoming financial year and next four years in accordance with timetable agreed with PCCCFO, including resources sufficient to finance foreseeable operational needs without having to request additional approvals.
- Submit draft budget proposals to CC and Chief Officer Group for approval by CC.
- Submit estimates in agreed format to PCC for approval.
- Put in place delegation of Force budgets as directed by CC.

B2 BUDGETARY CONTROL

Budget management ensures once the PCC has approved the budget, resources allocated are used for their intended purpose and properly accounted for. Budgetary control enables the Chief Constable and PCC to review and adjust budget targets during the financial year, and a mechanism to call managers to account for defined budget elements.

Key controls for managing/controlling revenue budget: (i) nominated budget manager for each cost centre heading accountable for all employees, assets, spending, income, and contracts associated with budgets under their direct control; and (ii) management of budgets must not be seen in isolation. It should be measured in conjunction with service outputs and performance measures.

Revenue Budget Monitoring

By continuously identifying and explaining variances against budgetary targets, PCC and CC can identify trends and resource requirements at earliest opportunity. PCC, and CC through the CCCFO, operate within annual expenditure limits, approved when setting annual budget. To ensure budget is not overspent in total, CC and CCCFO, Chief Executive and PCCCFO manage expenditure within their budget allocations, subject to rules of virement and as reported through to the Accountability Board.

Responsibilities of the CCCFO

- Provide appropriate, accurate and timely financial information to enable budgets to be monitored effectively.
- Ensure income/expenditure elements have nominated budget managers to take responsibility. Budget responsibility should be aligned as closely as possible to the decision-making process that commits expenditure.
- Ensure total spending for operational policing remains within overall resource allocation and takes corrective action where significant variations forecast. Where total projected expenditure exceeds total allocation of resources due to circumstances beyond control of CC and CCCFO, both PCCCFO and PCC shall be alerted immediately, and remedial proposals put forward as part of regular reporting process to the PCC. The same applies to CEO and PCCCFO for budgets under their control.
- Ensure relevant spending remains within annual ring-fenced/cash limited revenue budgets the PCC has established.
- Submit budget monitoring report to Chief Constable's Chief Officer Group and PCC on a regular basis throughout the year, containing recently available financial information, in a format agreed with the PCC and PCCCFO.

Responsibility of the PCCCFO

- Co-ordinate joint monthly budget monitoring report to CEO, containing most recently available OPCC financial information.
- Co-ordinate a joint budget monitoring report for presentation to the Police and Crime Panel, as necessary, containing most recently available financial information in a format agreed with CCCFO.

Joint Responsibilities of the Chief Executive and PCCCFO

- Manage budget allocated for PCC's Office.
- Ensure total spending for OPCC remains within overall allocation of resources and take corrective action where significant variations from approved budget are forecast. Where total projected expenditure exceeds total allocation of resources due to circumstances beyond control of CEO, the PCC shall be alerted immediately along with proposals to remedy the situation as part of regular reporting to PCC.

Responsibility of Budget Holders

- Ensure awareness and compliance with financial management standards, including these Financial Regulations.
- Ensure total spending remains within overall allocation of resources received and take corrective action where significant variations are forecast.
- Ensure relevant spending remains within any annual ring-fenced or cash limited revenue budget which they are responsible and accountable for.

VIREMENT

Virement is an approved reallocation of resources between approved budgets or heads of expenditure. Budget head is a line in the approved budget report. PCC's consents in respect of scheme of virement is intended to enable proper financial management at service and organisational level, with a degree of flexibility within overall policy framework determined by the PCC and provide opportunity to optimise use of resources to emerging needs.

CCCCFO should seek approval of PCC through PCCCFO where:

- Virement might create a significant additional future year or continuing commitment. Revenue expenditure can only be funded from revenue funding.
- Change in policy would create an additional financial liability beyond the level of the current budget.
- Virement changes a public facing or politically sensitive element of the service.
- Virement is undertaken for the purpose of outsourcing to a third-party.
- Virement is more than £250,000.

Key controls for the scheme of virement are:

- Administered by the PCCCFO/CCCCFO in accordance with limits set out in Financial Regulations. Any variation from this scheme requires approval of PCC.
- No virement may reduce the budget in a service forecast to overspend nor where the proposed virement would create an overspend. This applies at each level in Force and OPCC.
- Overall budget is agreed by PCC. Financial managers are only authorised to incur expenditure in accordance with estimates that make up the budget.
- Virement does not create an additional overall budget liability.
- PCCCFO/CCCCFO shall ensure virement is undertaken as necessary to maintain accuracy of budget monitoring.
- Virements can be approved by PCCCFO/CCCCFO where additional expenditure is fully reimbursed by another body.
- No virements are permissible from capital to revenue or from revenue to capital.
- Virements to annual ring-fenced or earmarked revenue budgets can only be agreed by PCC.

Responsibilities

- PCC shall approve scheme of virement and note/approve reports on virement submitted by CC and their officers and staff.
- PCC has consented to allow virements between budget headings if they operate within limits defined in Section G.

Exceptions to the above framework are:

- Virement is not permitted in relation to financing items such as asset charges or where a proposal would adversely affect long-term revenue commitments of the Force and PCC.
- When virement is between an income and expenditure budget line which is directly related, approval is sought from PCCCFO and/or CCCFO and income/expenditure budgets will be increased for budget monitoring purposes.

Budget lines will be cash-limited and defined each year as part of budget approval. All requests for virement must be made in a format prescribed by PCCCFO and/or CCCFO and information on virements within limits set out in Section G will be available to support budget monitoring report information. Approval of PCC shall be required if virement involves either a substantial change in policy, or a significant addition to commitments in future years.

TREATMENT OF YEAR END BALANCES

Carry forward of underspent budgets is permitted only within delegation limits.

Carry forwards are to be subject of a report to the PCC as part of the year end outturn report. Budget Managers will be required to satisfy the CC and CCCFO that expenditure proposed against carry forward underspending is in accordance Police and Crime Plan priorities and non-recurrent in nature.

Responsibilities of the CCCFO

- Ensure Budget Managers report any overspend on their budgets in any financial year.
- Consider reducing budgets for the following financial year where overspending has/is expected to occur.
- Consider requests from Budget managers who identify planned underspends in any financial year for budget provision to be carried forward to the following financial year, subject to limits indicated in Section G.
- Refer all carry forwards outside of parameters stipulated in these Regulations to the PCC and COG for approval.

Responsibilities of the PCC

- Consider whether arrangements for carrying forward underspends are appropriate/affordable when considering levels of reserves and balances as part of development of a sustainable MTRS.

B3 MEDIUM TERM CAPITAL PROGRAMME AND ANNUAL CAPITAL BUDGET

Capital expenditure involves acquiring, enhancing, or disposing of assets with a long-term value, such as land, buildings, major items of plant, equipment, or vehicles. Capital planning supports the way services are delivered in long-term and may create financial commitments in the form of financing costs and revenue running costs. Capital investment can be undertaken providing spending plans are affordable, prudent, and sustainable. CIPFA's Prudential Code sets out framework under which Force and PCC will consider their spending plans.

Capital programme is linked to the Estates Strategy, IS, Fleet and other key strategies involving proposals for significant investment in capital assets that must be included within the approved MTRS.

Responsibilities of the Chief Constable

- Develop asset management plans for all assets other than land, buildings and significant building components.
- Ensure accountability of budget managers for capital spend under their control.
- Prepare project appraisals for all schemes to be included in the capital programme for submission to the PCCCFO and PCC for consideration and scheme approval. This will include all additional revenue and capital costs.
- Ensure each capital project has a named officer responsible for sponsoring the scheme, monitoring progress, and ensuring completion of the scheme.

Responsibilities of the PCC

- Be consulted on Estate, IT and Fleet Strategies and asset management plans together with other key strategies involving proposals for significant investment in capital assets.
- In the absence of the PCC, the CEO has the power to sign and execute and where required to affix the official corporate seal of the PCC to all documentation in relation to effective acquisition or disposal of land, buildings and significant building components.
- Approve all relevant strategies including Estates Asset Management Plan, Joint Estates Strategy, ICT Strategy, and so on.
- Approve the annual capital budget and medium-term capital programme and how it is to be financed.

Responsibilities of the CCCFO

- Prepare five-year rolling programme of proposed capital expenditure in accordance with agreed finance strategy for initial consideration by the CC's Chief Officer Group and presentation to/approval by the PCC. Each scheme shall identify the total capital cost of the project and any additional revenue commitments.
- Identify, in consultation with the PCCCFO, available sources of funding the capital programme, including identification of potential capital receipts from disposal of property or other assets.
- Prioritise requirements, so if gaps are identified between available resources/required capital investment, the CC can advise the PCC so they can make informed judgements over which schemes to include in the capital programme, minimum levels of funding required and potential phasing of capital expenditure.
- Not incur capital expenditure unless scheme is part of PCC approved Capital Programme except professional fees.

Responsibilities of the PCCCFO

Make recommendations to PCC on most appropriate level of revenue support and appropriate levels of borrowing, under the Prudential Code, to support the capital programme.

ANNUAL CAPITAL PROGRAMME

Responsibilities of the PCC

- Agree annual capital programme, and how it is to be financed.

Responsibilities of the PCC CEO

- Ensure property leases, finance leases or other credit arrangements with the value or term above the limits set out in Section G are not entered into without prior approval of the PCCCFO.

Joint Responsibilities of the Chief Constable and CCCFO

- Ensure incurred expenditure, providing project appraisal has been approved in the capital programme and provided cost variations, does not exceed the sum contained in the approved programme.
- Ensure that the value of property leases, finance leases or other credit arrangements are received from the Force.

MONITORING OF CAPITAL EXPENDITURE

Responsibilities of the Chief Constable

- Ensure adequate records are maintained for all capital contracts.
- Prepare business cases for new capital schemes and consult with the PCC, subject to Joint Financial Regulation Thresholds.
- Prepare business cases for new capital schemes relating to land, buildings and significant building components for submission to the PCC for consultation and approval.

Responsibilities of the CCCFO

- Monitor progress of capital programme and expenditure throughout the year against approved programme.
- Submit capital monitoring reports to both Chief Constable's COG and PCC monthly throughout the year. Reports should be based on most recently available financial information and in a format agreed by PCC and PCCCFO.
- Amendments to the programme increasing its overall cost must demonstrate how such changes are to be funded.

Joint Responsibilities of the PCCCFO and the CCCFO

- Report on outturn of capital expenditure as part of the annual report on statutory accounts.
- Review funding proposals for the capital programme (as part of medium-term financial planning process) to take account of current economic circumstances and if necessary, make revised funding proposals to the PCC.

B4 MAINTENANCE OF BALANCES AND RESERVES

PCC must decide levels of general reserves they wish to retain before deciding level of council tax precept. Reserves are maintained as a matter of prudence, and all are owned by PCC. They enable the organisation to provide for cash flow fluctuations and unexpected costly events and thereby help protect it from overspending the annual budget, should such events occur. Reserves and provisions for specific purposes may also be maintained where it is likely a future spending requirement will occur. Proposed use of reserves and provisions will be specified in the budget and form part of regular budget monitoring reports.

Responsibilities of PCC

- Approve a policy on balances, reserves, and provisions.
- Approve creation of each earmarked reserve – purpose/usage/basis of transactions should be clearly identified for each reserve established.
- Approve allocation of monies to/from general and earmarked reserves, as part of annual budget setting process.

Responsibilities of the PCCCFO

- Advise PCC on appropriate levels of balances, reserves, and provisions to reflect long-term financial risks faced.
- Prepare a reserves strategy for approval by the PCC and review on an annual basis.
- Report to PCC on adequacy of balances/reserves/provisions before they approve the annual budget and precept.
- Approve appropriations to/from each earmarked reserve, separately identified in Annual Statement of Accounts.

Responsibilities of the CCCFO

- Present business cases to PCCCFO/PCC for one-off expenditure items to be funded from earmarked and/or general reserves, and provide sufficient information to the PCCCFO/PCC to enable planning and ensure sufficient reserves for legal and other claims.

SECTION C: MANAGEMENT OF RISK AND RESOURCES

C1 RISK MANAGEMENT AND BUSINESS CONTINUITY

Risk is the chance/possibility of loss, damage, injury or failure to achieve objectives caused by unwanted or uncertain action or event – it cannot be eliminated altogether. Risk management is planned and systematic approach to identification, evaluation, and control of risk. Objectives are to secure assets of the PCC/Force and ensure continued corporate and financial wellbeing of PCC and CC. It is an integral part of good business practice and a core element of our Corporate Governance Framework.

Joint Responsibilities of the PCC and CC

Code of Corporate Governance highlights importance of risk management being embedded throughout Governance arrangements in both organisations, whether operating jointly or separately. PCC and CC are jointly responsible for approving their respective risk management policy statements and strategies, reviewing effectiveness of risk management, defining risk appetite/tolerance, and providing information and assurances to the Joint Independent Audit Committee (JIAC).

Responsibilities of the CC

- Prepare risk management policy statement and promote risk management awareness/reviewing risk as ongoing process.
- Implement procedures to identify, assess, prevent, or contain material known risks, with a monitoring process in place to regularly review effectiveness of risk reduction strategies and operation of these controls. Risk management process should be formalised and conducted on a continuing basis.
- Ensure appropriate business continuity plans are developed, implemented, and tested on a regular basis.
- Make appropriate employees aware of their responsibilities for managing relevant risks.
- Ensure employees, or anyone covered by our insurance, are instructed not to admit liability, or make any offer to pay compensation that may prejudice the assessment of liability in respect of any insurance claim. Motor claims below £500k are effectively self-insured and the cost borne by the Force.
- Ensure comprehensive risk register is produced for OPCC and Force and updated regularly, and corrective action is taken at the earliest possible opportunity to either transfer, treat, tolerate or terminate identified risk.
- Regularly report risk registers to the Joint Independent Audit Committee (JIAC).
- Regularly review the risk management process and risk register.
- Settle civil claims and employment claims/disputes in accordance with arrangements for delegation set out in Section G.

Joint Responsibilities of the PCCCFO and the CCCFO

- Advise PCC and CC on appropriate arrangements for insurance. Acceptable levels of risk should be determined and insured against where appropriate. Activities leading to levels of risk assessed as unacceptable should not be undertaken.
- Arrange for an actuary to undertake regular review of the self-insurance fund and, following review, to recommend to the CC and PCC a course of action to ensure, over the medium-term, the fund can meet all known liabilities.
- Ensure appropriate insurance cover is provided and claims against insurance policies are made promptly.
- Undertake regular review of self-insurance and recommend a course of action.

C2 INTERNAL CONTROLS

The PCC and CC face wide range of financial, administrative, and commercial risks, from internal and external factors, which threaten achievement of objectives. Systems of internal control are necessary to manage risks, and these provide achievement of: (a) efficient and effective operations, (b) reliable financial information and reporting, (c) compliance with laws and regulations, and (d) risk management.

Responsibilities of Chief Officers

- Implement effective systems of internal control, in accordance with advice from PCCCFO and CCCFO. Arrangements shall ensure compliance with applicable statutes, regulations and other relevant statements of best practice, and that public resources are properly safeguarded and used economically, efficiently, and effectively.
- Ensure effective key controls exist and operate in managerial control systems, including defining policies, setting objectives/plans, monitoring financial/other performance information, and taking appropriate anticipatory/remedial action where necessary. Key objective of these systems is to define roles/responsibilities.
- Ensure effective key controls are operating in financial, operational systems/procedures, including physical safeguard of assets, segregation of duties, authorisation/approval procedures, and robust information systems.

Responsibilities of the PCCCFO and CCCFO

- Produce Annual Governance Statements (AGS) for consideration and approval by PCC and CC. Following approval, both AGSs should be signed by the CEO, CC, and PCC.

Responsibilities of the CEO, PCCCFO, CC and CCCFO

- Ensure governance, risk and internal control systems of the organisations are reviewed at least annually. All senior officers are required to complete annual assurance statements, setting out governance/internal control issues identified within their area of responsibility as evidence for the review.
- Ensure review of governance and internal controls (AGSs) is carried out for consideration by JIAC.
- Ensure AGSs approved by PCC and CC in line with CIPFA/SOLACE code, published alongside financial statement of accounts.

PCCCFO and CCCFO will ensure preparation and submission of signed annual letters of representation to the external auditor.

Joint Independent Audit Committee (JIAC)

Provide those charged with Governance (PCC and CC) an independent assurance on adequacy of risk framework, internal control environment, integrity of financial reporting, and annual governance processes.

C3 AUDIT REQUIREMENTS

Internal Audit

Requirement for an internal audit function for authorities is either explicit or implied in relevant local government legislation (section 151 of the Local Government Act 1972), which requires authorities *“make arrangements for the proper administration of their financial affairs”*. PCC and CC are required to maintain an effective audit of their affairs by virtue of the Accounts and Audit Regulations 2011 (as amended) which state a *“relevant body must maintain an adequate and effective system of internal audit of its accounting records and of its system of internal control in accordance with the proper practices in relation to internal control”*. In fulfilling this requirement, the PCC and CC should have regard to Public Sector Internal Audit Standards and associated Local Government Application Note. The Statement on the Role of Head of Internal Audit in Public Service Organisations issued by CIPFA sets out best practice and should be used to assess arrangements to drive up audit quality and governance arrangements.

In addition to enabling the PCC and CC to fulfil their requirements in relation to the relevant Accounts and Audit Regulations, Internal Audit is needed to satisfy the PCC and CC that effective internal control systems are in place and satisfy the external auditor that financial systems and internal controls are effective and that the Police Fund is managed to secure value for money.

Responsibilities of the Joint Independent Audit Committee

- Consider (i) the internal audit plan (and any proposed revisions), (ii) regular progress reports, and (iii) the Head of Internal Audit’s annual report and opinion and the level of assurance it can give over corporate governance arrangements and the effectiveness of internal controls.
- Consider summaries of internal audit reports and such detailed reports as JIAC may request from the PCC/CC, including issues raised or recommendations made by internal audit and the adequacy of management action to address areas identified for improvement.
- Oversee the appointment and considering the adequacy of the performance of the internal audit service and its independence.
- Consider a report on the effectiveness of internal audit to support the Annual Governance Statement (AGS).

Joint Responsibilities of the PCC, CC, PCCCFO and CCCFO

- Ensure provision of an adequate and effective internal audit service.
- Prepare, in consultation with the PCC, CC, PCCCFO and CCCFO, annual audit plans that conform to the Public Sector Internal Auditing Standards, for consideration by JIAC.
- Attend or be represented at meetings of JIAC and present to each meeting a report on progress in delivering the annual plan, matters arising from completed audits, and extent to which agreed actions in response to issues raised in the audit reports have been delivered.
- Present an annual report to JIAC, including an opinion on the reliance that can be placed on the internal control, risk, and governance framework, summarising the work completed during the year in support of this opinion.
- Ensure internal auditors, having been security cleared, can:
 - Access Force and OPCC premises at reasonable times.
 - Access all assets, records, documents, correspondence, control systems and appropriate personnel, subject to appropriate security clearance.
 - Receive any information/explanation considered necessary concerning any matter under consideration.
 - Require any employee to account for cash, stores or any other police and PCC assets under their control.
 - Access records belonging to contractors, as required, by including appropriate clauses in all contracts.
 - Directly access all Chief Officers and employees, where necessary.

Responsibilities of the CC and CCCFO

- Consider/respond promptly to control weaknesses, issues and recommendations in audit reports and ensure all critical or significant agreed actions are carried out in accordance with the agreed action plan in each report.
- Ensure new significant systems for maintaining financial records or records of assets, or significant changes to existing systems, are discussed with and agreed by the PCCCFO and Internal Audit prior to implementation.

- Consider and respond promptly to control weaknesses, issues and recommendations in audit reports and ensure all critical or significant agreed actions from an audit are carried out in accordance with agreed action plans.

External Audit

The external auditor has rights of access to all documents/information necessary for audit purposes, and their basic duties are governed by a code of audit practice through the National Audit Office (NAO), which sets out the auditor's objectives to review and report upon financial aspects of the audited body's corporate governance arrangements, the audited body's financial statements, and aspects of the audited body's arrangements to secure Value for Money.

In auditing the annual accounts, the external auditor must satisfy themselves:

- Accounts are prepared in accordance with the relevant regulations.
- Compliance with the requirements of all other statutory provisions applicable to the accounts.
- Proper practices have been observed in compilation of the accounts, and statements present a true and fair view.
- The body being audited has made proper arrangements for securing economy, efficiency, and effectiveness.

Responsibilities of the Joint Independent Audit Committee (JIAC)

- Receive the external Audit Plan, the external auditor's annual management letter, relevant reports, and the report to those charged with governance and consider the adequacy of the of action being taken by the Commissioner or Chief Constable to address recommendations for improvement.
- Comment on the scope and depth of external audit work, its independence and whether it gives satisfactory value for money.
- Advise and recommend on the effectiveness of relationships between external and internal audit and other inspection agencies or relevant bodies.

Joint Responsibilities of the PCCCFO and CCCFO

- Liaise with external auditor and advise PCC and Chief Constable on their responsibilities in relation to external audit. Ensure effective liaison between external and internal audit.
- Provide Home Office with a copy of the Annual Audit Letter.
- Ensure that for the purposes of their work, external auditors are given access to which they are statutorily entitled in relation to premises, assets, records, documents, correspondence, control systems and personnel, subject to appropriate security clearance.
- Respond to draft action plans and ensure agreed recommendations are implemented in a timely manner.

Other Inspection Bodies

Force and OPCC may, from time to time, be subject to audit, inspection, or investigation by external bodies such as HMICFRS (Force) and HM Revenue and Customs, who have statutory rights of access.

Joint Responsibilities of the PCC and the CC

- Receive and respond to reports from other inspection bodies.

C4 PREVENTING FRAUD AND CORRUPTION

PCC and CC will not tolerate fraud or corruption in the administration of its responsibilities, whether from internal or external sources. PCC, CC and employees at all levels will lead by example in ensuring adherence to legal requirements, rules, procedures, and practices.

PCC and CC expect that individuals and organisations (e.g., suppliers, contractors, and service providers) whom it comes into contact will act with honesty and integrity, and without thought or actions involving fraud or corruption. Suppliers must be mindful of legislation in relation to the Bribery Act and money laundering.

Joint Responsibilities of the PCC and CC

- Approve and adopt a policy on registering of interests and receipt of hospitality and gifts.
- Maintain an effective anti-fraud, anti-corruption, and anti-money laundering policy.
- Ensure adequate and effective internal control arrangements are in place.
- Maintain a policy and register for registering of interests and receipt of hospitality and gifts including the PCC, police officers and police staff including where gifts and hospitality have been declined.
- Maintain a whistle blowing policy to provide a facility enabling employees, the public and contractors to make allegations of fraud, misuse, and corruption in confidence, and without reprimand, to an independent contact. Procedures shall ensure

allegations are investigated robustly as to their validity, that they are not malicious, and that appropriate action is taken to address any concerns identified.

- The PCC and CC shall both ensure all their employees are aware of any approved whistle blowing policy, including the Crimestoppers administered independent reporting line.
- Implement and maintain a clear internal financial control framework setting out the approved financial systems to be followed by all elected or appointed representatives and employees.

Joint Responsibilities of the PCC, CC, PCCCFO and CCCFO

- Have in place an effective Anti-Fraud and Corruption Strategy and Fraud Response Plan for approval by the PCC and CC.
- Adhere to appropriate legislation.
- Arrange for suspected incidents of fraud or corruption to be reported in line with the protocol agreed between the CC's Head of Professional Standards, PCCCFO, CCCFO and Head of Internal Audit (TIAA Limited) and for these to be unrestricted in line with the agreed Anti-Fraud and Corruption Strategy and Fraud Response Plan.

C5 ASSETS

Security

It is important that assets are safeguarded and used efficiently in service delivery, that there are arrangements for the security of assets and information required for service operations and that proper arrangements exist for their disposal. An up-to-date asset register is a prerequisite for proper fixed asset accounting and sound asset management which provides information about assets, so they are accurately recorded and classified, safeguarded against loss, used efficiently and effectively, adequately maintained, and valued in accordance with statutory and management requirements. PCC will own and fund all assets regardless of use by the PCC, Force or both bodies. The CC is responsible for direction and control of the Force and has day-to-day direction and control of these assets. CC should formally consult the PCC in planning the budget and developing the MTRS. These processes should involve a full assessment of assets required to meet operational requirements, including human resources, infrastructure, land, property, and equipment.

Responsibilities of the CC

Ensure:

- Asset registers are maintained to provide information so that they are safeguarded, used efficiently and effectively, adequately maintained, and valued in accordance with statutory and management requirements.
- Assets and records of assets are properly maintained and securely held, and contingency plans for security of assets and continuity of service in the event of disaster or system failure are in place.
- Lessees and other prospective occupiers of our land are not allowed to take possession or enter the land until a lease or agreement has been established as appropriate and approved by the PCC through a decision record.
- No asset is subject to personal use by an employee without proper authority.
- Valuable and portable items such as computers, cameras and video recorders are identified with security markings as belonging to the organisation.
- All employees are aware of their responsibilities about safeguarding assets and information, including requirements of the Data Protection Act and software copyright legislation.
- Assets no longer required are disposed of in accordance with the law and the regulations of the organisation.
- Quarterly reporting of all vehicles purchased, disposed of and hired with their values, in the previous quarter., through an appropriate governance mechanism.
- All employees are aware of their responsibilities about safeguarding security of ICT systems, including maintaining restricted access to information held on them and compliance with information and security policies.
- IT and Estates strategies are produced and presented to the PCC for consideration and endorsement. They will form part of the development of the capital programme and annual budget process.
- Fleet Management Strategy is produced and presented to the PCC at the Accountability Board for consideration (September) and final approval (March) each year, forming part of the capital programme development and annual budget process.
- Property portfolio managed in accordance with agreed Estates Asset Management Plan and within budgetary provisions.
- Assets and records of assets are properly maintained and securely held and that contingency plans for the security of assets and continuity of service in the event of disaster or system failure are in place.
- Title deeds to property are held securely.

Responsibilities of the PCC

- Approve an estates asset management plan, including disposals.
- Be adequately consulted on Estates Strategy, IT, Fleet, and other key strategies, including all property disposals.

Valuation

Joint responsibilities of the PCCCFO and CCCFO

- Ensure asset register is maintained for all fixed assets valued more than the limits shown, in accordance with agreed policies.
- Assets to be recorded when acquired and shall remain on the asset register until disposal. Assets to be valued in accordance with Code of Practice on UK Local Authority Accounting and requirements specified by the PCCCFO.

Inventories

Responsibilities of the PCC and Chief Constable

- Ensure inventories are maintained for the Force in a format approved by PCCCFO and CCCFO that record an adequate description of items with a value more than amount shown in Section G. Other items of equipment should also be recorded if deemed both desirable and portable (e.g. laptops).
- Ensure inventories are maintained for OPCC in a format approved by PCCCFO that record an adequate description of items with a value more than amount shown in Section G. Other items of equipment should be recorded if deemed both desirable and portable (e.g. laptops).
- PCC and CC must ensure disposals and write offs of all stock or inventory items are actioned in accordance with financial instructions and limits set out in Section G. Any write off above this level must be referred to PCC for approval.

Stocks and Stores of a Material Value

Responsibilities of the CCCFO

- Plan for care, custody and control of the stocks and stores of a material value.
- Ensure a stock check is undertaken at least once per year either by means of continuous or annual stocktake. Stocktake shall be undertaken and certified by authorised member of staff who is independent of stock keeping function. Procedure shall be followed, and complete stock check undertaken whenever stock keeping duties change.
- Write-off discrepancies between actual level of stock and book value of stock up to limits shown on Section G. Amounts for write off above these values must be referred to PCCCFO for approval.
- Write-off obsolete stock, up to limits shown in Section G. Amounts for write off above these values must be referred to PCCCFO for approval supported by a written report.

[Note: Uniform stores are held regionally]

Responsibilities of the PCCCFO

- Consider and approve applications for write offs more than limits set out in Section G.

Intellectual Property

Intellectual property is a generic term that includes inventions and writing. If any Intellectual Property is created by an employee during employment, then, generally, this will belong to the employer, not the employee. Various acts of Parliament cover different types of intellectual property. Certain activities undertaken within the Force, by the PCC and within the OPCC may give rise to items that could be patented, for example, software development. These items are collectively known as intellectual property.

If the Force or PCC decides to become involved in commercial exploitation of inventions, the matter should be brought to attention of the CEO and proceed only after legal advice and advice from the Head of Procurement.

Responsibilities of the CC

- Ensure employees are aware of these procedures.
- Prepare guidance on intellectual property procedures and ensure employees are aware of these procedures.
- Ensure an intellectual property policy via the Head of Procurement.

Responsibilities of the PCC

- Approve any intellectual property policy.

Asset Disposal

It would be uneconomic and inefficient for the cost of assets to outweigh their benefits. Obsolete, non-repairable or unnecessary resources should be disposed of in accordance with the law and these Financial Regulations.

Assets shall be disposed of when in the best interests of Force and PCC and at most advantageous price subject to limits set out in Section G. Where this is not the highest offer, a report must be prepared by the CCCFO for the PCC outlining reasons.

Responsibility of the CC

- Dispose assets other than land/buildings at appropriate time/most advantageous price, subject to financial limits set out in Section G. Where not the highest offer, this can only be done with approval of the PCC via a decision record, and both the CEO and OPCCCFO consulted accordingly. All asset disposals shall be recorded in the asset register or inventory as appropriate.

Responsibility of the PCC

- Approve disposal of any interests in land and buildings. In the absence of the PCC, the CEO has the power to sign all documentation in relation to effective disposal.

Responsibility of the CEO

- Dispose of land and buildings at appropriate time and most advantageous price. Where this is not highest offer, this can only be done with agreement of the PCCCFO. All asset disposals shall be recorded in asset register or inventory as appropriate.

Joint Responsibilities of the CC and CCCFO

- Dispose of surplus vehicles and items of equipment up to estimated value shown in Section G.
- Dispose of items above value in Section G by public auction or sealed bids after advertisement.
- Record all asset disposals in asset register or inventory as appropriate.

Joint Responsibilities of the PCCCFO and CCCFO

- Ensure income received from disposal of an asset is properly banked and accounted for.
- Ensure appropriate accounting entries made to remove value of disposed asset from records, include sale proceeds if appropriate.

C6 TREASURY MANAGEMENT AND BANKING ARRANGEMENTS

Treasury Management

It is important that monies held by PCC and Force are managed properly, in a way that balances risk with return, but with prime consideration given to security of capital sums involved.

PCC will create and maintain, as the cornerstone for effective treasury management:

- Treasury management policy statement, stating policies, objectives, and approach to risk management of its treasury management activities.
- Suitable Treasury Management Practices (TMPs) setting out way the organisation will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities.

Responsibilities of the PCC

- Direct responsibility for loans, investments and borrowing money as holder of the Police Fund.
- Adopt key recommendations of CIPFA's Treasury Management in the Public Services: Code of Practice.
- Approve annual Treasury Management Policy and Annual Investment Strategy.
- Receive and approve an annual report on treasury management activity and (as a minimum) a mid-term review report.

Responsibilities of the PCCCFO

- Implement and monitor treasury management policies and practices in line with CIPFA Code and other guidance.
- Prepare reports on PCC's treasury management policies, practices and activities, including, as a minimum, an annual strategy, half-yearly performance monitoring reports and an annual report, together with other performance monitoring information.
- Ensure treasury management is executed and administered in accordance with CIPFA Code and PCC's policy.
- Arrange borrowing and investments, in compliance with CIPFA Code.
- Ensure all investments and borrowings are made in name of Office of the Police and Crime Commissioner for Humberside.

Banking Arrangements

PCC is statutorily accountable to the public for management of the Police Fund. PCC is recipient of all funding relating to policing and crime reduction, including government grant and precept and other sources of income.

A consistent and secure approach to banking services is essential to achieve security of cash deposits and best possible value for money. To minimise administration and costs, PCC and CC share bank accounts.

Responsibilities of the PCCCFO

- Overall responsibility for banking arrangements.
- Authorise opening and closing of all bank accounts in the name of PCC or CC. No other employee shall open a bank account unless they are performing a statutory function in their own right.
- Ensure that bank reconciliations are undertaken on a timely and accurate basis.
- Determine signatories on all bank accounts and ensure maintenance of appropriate lists of approved signatories.

Responsibilities of the CCCFO

- Authorise the opening and closing of bank accounts, for specific purposes, as agreed with the PCCCFO.
- Undertake bank reconciliations on a timely and accurate basis for these specific bank accounts.
- Determine signatories on these specific bank accounts.

Petty Cash (Imprest)

Cash advances may be made to an individual in a department/establishment in order that relatively small incidental payments may be made quickly. Record of disbursements from the account should be maintained to control the account and so expenditure may be substantiated, accurately reflected in the accounts, and correctly reimbursed to the account holder.

Joint Responsibilities of the CC and CCCFO

- Ensure appropriate employees are provided with cash, bank imprests or pre-paid cash cards to meet minor expenditure on behalf of the Force. CCCFO shall determine reasonable petty cash limits and maintain a record of all transactions and petty cash advances made and periodically review arrangements for safe custody and control of these advances.
- Prepare detailed Financial Instructions for dealing with petty cash, agreed with PCCCFO, and issue to appropriate employees.

OPCC does not utilise petty cash.

Money Laundering

Force and OPCC are alert to possibility they may become subject of attempts to involve it in transactions involving laundering of money or crypto currency. Suspicious cash deposits in any currency more than £1,000 must be reported to the Economic Crime Unit (ECU), then on to the National Crime Agency (NCA) or a successor body if the value in any currency is more than £10,000.

Suspicious cash deposits in any currency more than £10,000 (or equivalent) should be reported by the ECU to the National Crime Agency (NCA) or a successor body. Under no circumstances should cash payments of more than £10,000 be accepted for any transaction, whether carried out in a single operation or in several operations which appear to be linked. Internal control procedures will be monitored to ensure they are reliable and robust.

Responsibilities of the PCCCFO

- Nominated Money Laundering Reporting Officer (MLRO) for the PCC and Chief Constable respectively.
- Upon receipt of a disclosure to consider, in light of all information, whether it gives rise to such knowledge or suspicion.
- Disclose relevant information to the National Crime Agency (NCA) or a successor body.
- Prepare and review the anti-money laundering policy.

Responsibilities of the CC

- Undertake appropriate checks to ensure all new suppliers and counterparties are bona fide.
- Notify the PCCCFO as soon as they receive information which may result in them knowing or having reasonable grounds for knowing or suspecting money laundering, fraud, or use of the proceeds of crime.
- Cash banking from a single source over £10,000 should be reported to PCCCFO. This does not apply to seizures and subsequent banking under the Police and Criminal Evidence Act, Proceeds of Crime Act, Misuse of Drugs Act, or other legislation.

Covert Accounts

To maintain strictest confidentiality and prevent any link to the Force, it is necessary to purchase company identities and to set up bank accounts that mirror those identities to support covert operations.

Responsibilities of the CC

- Agree detailed Force operating procedures.
- Authorise opening and closing of covert accounts.
- Delegate authorisation for covert accounts and their maintenance, including creation of a register of covert accounts, to the CCCFO initially to preserve covert identity of that account.

C7 STAFFING

An appropriate workforce management strategy should exist, in which staffing requirements and budget allocations are matched. The CC is responsible for approving the overall strategy in consultation with the PCC.

Responsibilities of the CC and CEO

- Ensure their employees and those under their direction and control are appointed, employed and dismissed in accordance with relevant statutory regulations, national agreements and personnel policies, budgets and strategies.
- Advise the PCC on budget necessary in any given year to cover estimated staffing levels.
- Adjust staffing numbers to meet approved budget provision and vary provision as necessary within policy constraints to meet changing operational needs.
- Have systems in place to record all matters affecting payments to staff, including appointments, resignations, dismissals, secondments, suspensions, transfers, and all absences from work.
- Approve policy arrangements for premature retirements on grounds of ill-health or efficiency for all staff and redundancy arrangements for police staff.

C8 ADMINISTRATION OF SEIZED AND FOUND PROPERTY (EVIDENTIAL AND NON-EVIDENTIAL)

CC is required to exercise a duty of care and safeguard evidential or non-evidential property pending decisions on its ownership, or private property of an individual e.g. a suspect in custody.

Responsibilities of the CC

- Determine procedures for the safekeeping of the private property of a person, other than a member of staff, under their guardianship or supervision. These procedures shall be made available to all appropriate employees and should ensure that there is an appropriate segregation of duties and regular inventory checks.
- Determine procedures for the safekeeping of evidential or non-evidential property. These procedures shall be made available to all appropriate employees, shall make specific reference to the need for insurance of valuable items and shall ensure that there is an adequate segregation of duties and regular inventory checks.
- Issue separate Financial Instructions for dealing with cash, including seized cash under Proceeds of Crime Act.
- Dispose of property to ensure best value is achieved and ensure transparent cross-charging.

C9 POLICE PROPERTY ACT

Police (Property) Act 1897 and Police (Property) Act 1997 is a fund where allocations are received from the sale of recovered stolen goods or found property. If owners of property are not traceable, the goods are sold at auction. Monies from sale of goods are redistributed as grants/donations to local charitable bodies supporting/complementing the Police and Crime Plan. The PCC will determine appropriate approaches for distributing monies to charitable bodies in accordance with Police (Property) Act 1897 as amended by Police (Property) Act 1997.

Responsibilities of the PCC

- Make donations to charitable bodies within Force area in accordance with the requirements of the Police (Property) Act 1897 and Police (Property) Act 1997.

Responsibilities of the CCCFO

- Prepare an annual schedule of items to demonstrate income generated and expenses incurred by the Force in the disposal of property, for presentation to the Accountability Board.

Responsibilities of the CC

- Determine procedures for safekeeping of private property of a person, other than a member of staff, under their guardianship or supervision. These procedures shall be made available to all appropriate employees.

- Determine procedures for safekeeping of evidential or non-evidential property. These procedures shall be made available to all appropriate employees and make specific reference to the need for insurance of valuable items.
- Determine items of crime property which may be retained for police purposes subject to consultation with the PCCCFO.

C10 TRUST FUNDS

Trust Funds have a formal legal status governed by a Deed of Trust. Employees and police officers acting as trustees must ensure they are conversant with the requirements of the Trust Deed and the law and comply fully with them. In respect of trust funds, these financial procedures and regulations should be viewed as best practice to be followed whenever practicable.

No employee shall open a trust fund on behalf of the CC or PCC without the specific approval of the PCCCFO and CCCFO.

Responsibilities of Trustees

- All employees acting as trustees shall ensure they have received suitable training to support their role and personal legal obligations and should satisfy themselves they are covered by appropriate insurance. All employees acting as trustees by virtue of their official position shall ensure that accounts are audited as required by law and submitted annually to the appropriate body, and the PCCFO shall be entitled to verify this has been done.

C11 PROCEEDS OF CRIME ACT (POCA)

Funds recovered under the Proceeds of Crime Act (POCA) are distributed under the Home Office's Asset Recovery Incentivisation Scheme (ARIS). The objective of ARIS is to provide agencies with incentives to use POCA powers to recover more criminal assets, with the overall aim of cutting crime and delivering justice.

Under the scheme, a proportion of the assets recovered using powers under POCA are redistributed to the agencies involved in the recovery, based on their relative contributions. The current allocation sees ARIS receipts split 50:50 between central government and operational partners.

In the spirit of the Scheme, the Government encourages agencies to use ARIS funds to increase asset recovery and, where appropriate, fund local crime fighting priorities for the benefit of the community. However, the use of ARIS allocations/payments is a matter for each agency and is left to their discretion.

Responsibilities of the Chief Constable

- Determine an appropriate expected income to form the annual financial planning process to support budget planning
- Submit to the PCC any project fund requests to ringfence further POCA monies to policing response, in line with the MTRS process and bidding process for POCA funds.

Responsibilities of the PCC

- Use POCA funds as the foundation budget for the PCC Community Safety Fund, to be distributed for specific purposes. The OPCC is working towards the launch of a POCA submission process for the Force to bid for funds. Such funds will require sign-off from Chief Officers.
- Ensure the outcomes from the PCC Community Safety Fund are communicated accordingly with the public and they can see how funds are being re-invested to drive down crime.
- Work with the CC to identify opportunities to invest in policing initiatives that will help reduce crime and those impacted by crime

C12 GIFTS, LOANS AND SPONSORSHIP

In accordance with the Police Act 1996, PCC may decide to accept gifts of money and gifts or loans of other property or services if they enable police or PCC to enhance or extend the service they would normally be expected to provide. The terms on which gifts or loans are accepted may allow commercial sponsorship of some Force and PCC activities. Gifts, loans, and sponsorship are particularly suitable for multi-agency work such as crime prevention, community relations work, and victim support schemes.

Gifts, loans, and sponsorship can be accepted from any source with genuine and well-intentioned reasons for wishing to support specific projects. The provider may expect some publicity or other acknowledgement. It is acceptable to allow a provider to display the organisation's name/logo on publicity material, if it does not dominate/detract from the purpose.

The total value of gifts, loans and sponsorship accepted, should not exceed limits set out in Section G.

Responsibilities of the PCC

- Approve approach to gifts, loans, and sponsorships.

Responsibilities of the PCCCFO

- Maintain central OPCC electronic register, of all sponsorship initiatives, loans, gifts and agreements including true market, to PCC, and review/provide a quarterly report and annual certified statement of all such initiatives and agreements

Joint Responsibilities of the CC and CEO

- Accept gifts, loans, or sponsorship within agreed guidelines.
- Refer all gifts, loans, and sponsorship above limits in Section G (£15,000) or market equivalent, or where there would be public sensitivity over acceptance of the gift, loan, or sponsorship, to the PCC for approval before acceptance.

Responsibilities of the CCCFO

- Present annual report to the PCC, within the Finance Update to the Accountability Board, listing all gifts, loans, and sponsorship above the limits in Section G.
- Maintain central force electronic register, in format agreed by PCCCFO, of all sponsorship initiatives, loans, gifts and agreements including true market value, to Force and PCC, and review/provide a quarterly report and annual certified statement of all such initiatives and agreements.
- Make available a register to PCCCFO and satisfy themselves it provides a suitable account of the extent to which such additional resources have been received.
- Bank cash from sponsorship activity in accordance with normal income procedures.

SECTION D: SYSTEMS AND PROCEDURES

D1 GENERAL

PCCCFO and CCCFO both have statutory responsibility to ensure financial systems are sound and should be notified of any proposed new developments or changes. PCC and CC share common financial systems where appropriate.

Joint Responsibilities of the PCCCFO and CCCFO

- Plan for proper administration of financial affairs, including:
 - Issue advice, guidance and procedures for officers, staff and others acting on behalf of the PCC and CC.
 - Determine the accounting systems, form of accounts and supporting financial records, and their retention.
 - Establish arrangements for the audit of the PCCs and CCs financial affairs.
 - Approve any new financial systems to be introduced.
 - Approve any changes to existing financial systems.
- Ensure, in respect of systems and processes:
 - Systems are secure, adequate internal control exist and accounting records are properly maintained and held securely and that duties are appropriately segregated to minimise the risk of error, fraud, or other malpractice.
 - Appropriate controls exist so all systems input/processing/output is genuine, complete, accurate, timely and not processed previously.
 - Complete audit trail maintained, allowing financial transactions to be traced from accounting records to original document and vice versa.
 - Systems are documented, and staff trained in operations.
- Ensure documented and tested business continuity plan that allows key system processing to resume quickly in event of interruption. Effective contingency arrangements, including back up procedures, are to be in place in the event of a failure in computer systems.
- Establish separate schemes of delegation from the PCC and CC to their own staff, identifying staff authorised to act on their behalf in respect of income collection, placing orders, making payments, and employing staff.

D2 INCOME

Income is vital and effective systems are necessary to ensure all income due is identified, collected, receipted, and banked promptly. PCC and CC will agree charging policies when applying charges under section 25 of the Police Act 1996. The purpose of charging for special services is to ensure that, whenever appropriate, those using the services pay for them.

PCC and CC should ensure arrangements are in place so expected charges are clearly identified in their budgets and costs are accurately attributed/charged. When considering budget levels, PCC and CC should ensure ongoing resource requirements are not dependant on significant number of uncertain or volatile income sources and have due regard to sustainable and future year service delivery. When specifying resource requirements, CC will identify expected income from charging. CC should adopt NPCC charging policies in respect of mutual aid and special policing services unless CC and PCC agree a different scheme of charges.

Joint Responsibilities of the CC and PCC

- Adopt NPCC national charging policies and national guidance when applying charges under Section 25 of the Police Act 1996 unless CC and PCC agree different scheme of charges and to keep scales of fees and charges under review with such reviews being carried out at least annually.

Joint Responsibilities of the CCCFO and PCCCFO

- Plan for collection of all income due, and approve procedures/systems/documentation for collection, including correct VAT.
- Agree charging policy for the supply of goods and services, including the appropriate charging of VAT, and to review regularly in line with corporate policies. All charges should be at full cost recovery and consistent with NPCC guidelines, except where regulations require otherwise or with express approval of the PCC.
- Ensure all income is paid fully and promptly into the appropriate bank account. Appropriate details should be recorded on paying-in slips to provide an audit trail and money collected/deposited reconciled monthly.
- Ensure income is not used to cash personal cheques or make other payments.
- Order and supply to appropriate employees all receipt forms, books or tickets and similar items and be satisfied as to the arrangements for their control. Official receipts or other suitable documentation shall be issued for all income received.
- Operate effective debt collection procedures.
- Initiate, in consultation with the CEO, appropriate debt recovery procedures, including legal action where necessary.
- Approve write-off of cash discrepancies and bad debts in accordance with limits set out in Section G. Authorising officers shall maintain a permanent record of amounts written off, which should be available for inspection by the PCC if required. Any write off greater than this must be referred to the PCC for approval.
- Prepare detailed Financial Instructions dealing with income, to be agreed with PCCCFO, and issue to appropriate employees.

D3 ORDERING AND PAYING FOR WORK, GOODS AND SERVICES

The PCC and CC have a statutory duty to ensure financial probity and best value.

Joint Responsibilities of the PCCCFO and CCCFO

- Ensure a joint procurement policy is in place covering the principles to be followed for purchase of goods and services and that all payments are made in accordance with this policy.
- Ensure official orders issued for all work, goods or services except for supplies of utilities, periodic payments such as rent or rates, petty cash purchases or other exceptions approved by the PCCCFO. Orders must be in a form approved by PCCCFO.
- Official orders must not be raised for personal/private purchases, nor personal/private use be made of Force/PCC contracts.
- Goods and services ordered must be appropriate and with adequate budgetary provision. Quotations or tenders must be obtained where necessary, in accordance with these regulations and contract standing orders.
- Payments are not to be made unless goods and services have been received at the correct price, quantity, and quality in accordance with any official order.
- Ensure payments made to correct person, for correct amount, on time and recorded properly, regardless of payment method.
- Ensure VAT is recovered where appropriate.
- Ensure all expenditure, including VAT, is accurately recorded against the right budget and any exceptions are corrected.
- Ensure all purchases follow the rules, regulations and procedures detailed in Section F, and any relevant organisational procedures including contract financial regulations.
- Ensure control systems in place for payment of accounts as per with Late Payments of Commercial Debts (Interest) Act 1998.
- Prepare detailed Financial Instructions dealing with ordering/payment of goods/services, and issue to appropriate employees.

Responsibilities of the CEO, Senior Staff from the OPCC and Chief Officers

- Ensure every employee declares any links or personal interests they may have with purchasers, suppliers, and contractors if they are engaged in contractual or purchasing decisions on behalf of the PCC or CC and that such persons take no part in the selection of a supplier or contract with which they are connected.

D4 PAYMENTS TO EMPLOYEES

Employee costs are the largest item of expenditure for the Force. It is important there are controls in place to ensure accurate, timely and valid payments made in accordance with individuals' conditions of employment.

Responsibilities of the CCCFO

- Ensure, in consultation with the PCCCFO, secure and reliable payment of salaries, overtime, pensions, compensation and other emoluments to existing and former employees.
- Ensure tax, superannuation, and other deductions are made correctly and paid over at the right time to the relevant body.
- Pay all valid travel and subsistence claims or financial loss allowance.
- Pay salaries, wages, pensions, and reimbursements by the most economical means.
- Ensure payroll transactions are processed only through the payroll system. Payments to individuals employed on a self-employed consultant or subcontract basis shall only be made in accordance with HM Revenue and Customs (HMRC) requirements. HMRC applies a tight definition of employee status, and in cases of doubt, advice should be sought from them.
- Ensure full records are maintained of benefits in kind and properly accounted for in any returns to HMRC.
- Prepare detailed Financial Instructions for dealing with payments to employees, to be agreed with PCCCFO, and issue to all appropriate employees.

D5 TAXATION

PCC and CC are legally required to properly account for taxation and to pay over to the relevant bodies.

Joint Responsibilities of the PCCCFO and CCCFO

- Ensure arrangements are in place for timely completion and submission of all HM Revenue and Customs (HMRC) returns regarding PAYE and that due payments are made in accordance with statutory requirements.
- Ensure arrangements are in place for timely completion and submission of VAT claims, inputs and outputs to HMRC.
- Ensure correct VAT liability is attached to all income due and all VAT receivable on purchases complies with HMRC regulations.
- Provide details to HMRC regarding construction industry tax deduction scheme.
- Ensure appropriate technical staff have access to up-to-date guidance notes and professional advice.

D6 CORPORATE CREDIT CARDS (Non-covert)

Credit cards provide an effective method for payment for designated officers who, during their official business, have an immediate requirement for expenditure which is relevant to the discharge of their duties.

Responsibilities of the CCCFO

- Provide detailed financial instructions to all cardholders.
- Authorise and maintain control over the issue and cancellation of cards.
- Maintain a list of all credit card holders.

For covert purposes, CCCFO must ensure appropriate arrangements in place for credit-cards used for covert purposes.

Responsibilities of credit card holders (including OPCC)

- Ensure purchases are in accordance with approved policies.
- Provide receipted details of all payments made by corporate credit card each month, including nil returns, to ensure all expenditure is correctly reflected in the accounts and that VAT is recovered.

D7 EX GRATIA PAYMENTS

An ex-gratia payment is made where no legal obligation has been established, e.g. to recompense an officer for damage to personal property in execution of duty or a member of public for providing assistance to a police officer in the execution of duty.

Responsibilities of the CC (as delegated in Section G)

- Make ex gratia payments, on a timely basis, to members of the public in any individual instance, for damage or loss to property or for personal injury or costs incurred as a result of police action where such a payment is likely to facilitate or is conducive or incidental to the discharge of any of the functions of the PCC and Force up to the limits set in Section G.
- Make ex gratia payments, on a timely basis, up to level shown in Section G in any individual instance, for damage/loss of property or personal injury to a police officer, police staff or member of the extended police family, in the execution of duty.
- Maintain ex gratia payment details in a register and on Force website; report to Accountability Board annually on claims settled.

SECTION E: EXTERNAL ARRANGEMENTS

E1 EXTERNAL FUNDING

All external funding is paid into the Police Fund in first instance and is therefore under the jurisdiction of the PCC. The main sources of such funding tend to be specific Government grants, additional contributions from local authorities and donations from third parties (e.g. towards capital expenditure).

Policing Protocol Order 2023 states the PCC is the recipient of all funding including government grant and precept and other sources of income relating to policing and crime reduction. All funding for the CC must come via the PCC. How funding is allocated is a matter for the PCC in consultation with the CC, or in accordance with any grant terms.

Responsibility of the PCC

- Actively pursue opportunities for additional funding in partnership with Humberside Police ensuring full consultation with the force at Chief Officer grade prior for anything specifically related to operational policing.
- Consider requests for the force to actively pursue external funding as a lead partner or in the name of PCC in a timely manner allocating a SPOC to the force to work with the OPCC.
- Respond to Decision Record requests in a timely manner, allocating an OPCC SPOC where required.

Joint Responsibilities of the CC and the PCC

- Ensure match-funding requirements and exit strategies are considered prior to entering into agreements and that future medium-term financial forecasts reflect these requirements.

Responsibilities of the CC

- Pursue actively any opportunities for additional funding where considered to be in the interests of the Force and PCC and in line with the CCs policing priorities and PCCs Police and Crime Plan.
- Ensure funds are acquired only to meet policing needs and objectives.
- Ensure key conditions of funding and any statutory requirements are complied with and that responsibilities of the accountable body are clearly understood.
- Ensure any conditions in relation to external funding are in accordance with approved policies of the PCC. If there is a conflict, this needs to be taken to the PCC for resolution.
- Ensure all grant funding for the Force comes via the PCC. Grant funding should only be considered when it clearly meets policing objectives and priorities in line with the Police and Crime Plan. Prior to applying for the grant funding, the PCC should be consulted.
- Maintain a central register of external funding, including information on expected outcomes, risks, staffing implications as per the agreed inward investment policy.
- Report annually to the PCC on external funding.

Responsibilities of the PCCCFO

- Accept, or bid for, grants of up to the limits in Section G. Any grant bids or grant acceptance above this level must be referred to the PCC or PCCCFO for approval.
- Ensure any key conditions of funding and statutory requirements are complied with and that responsibilities of the accountable body are clearly understood. Any conditions placed on the PCC in relation to external funding must be in accordance with approved policies of the PCC. If there is a conflict, this needs to be taken to the PCC for resolution.
- Ensure all grant income received by the Force is notified to the PCCCFO, all claims for funds are made by the due date and properly authorised and any audit requirements are met.
- Ensure all funding notified by external bodies is received and properly accounted for, all claims for funds are made by the due date and properly authorised and any audit requirements specified in the funding agreement are met.

Joint Responsibilities of the PCCCFO and CCCFO

- Ensure all funding notified by external bodies is received and properly accounted for, and that all claims for funds are made by the due date and any audit requirements specified in the funding agreement are met.

E2 WORKING FOR EXTERNAL BODIES

Force provides services to other bodies outside of its normal obligations, for which charges are made, e.g. training, special services. Arrangements should be in place to ensure any associated risks are minimised and that such work is not ultra vires.

If entering into an agreement, this should be in the name of the PCC, seeking PCC prior agreement to tender or bid for work. With anything over £30k, there would be an expectation for the PCC to be made aware.

Responsibilities of the CC

- Ensure proposals for assistance are costed, that no contract is subsidised by the Force or OPCC and, where possible, payment is received in advance of delivery of the service so the Force and OPCC are not put at risk from liabilities such as bad debts.
- Ensure appropriate insurance arrangements are in place.
- Ensure all contracts are properly documented.
- Ensure such contracts do not impact adversely on services provided by the PCC.

The agreement of the PCC will be required to all tender submissions.

E3 JOINT WORKING ARRANGEMENTS

Public bodies are increasingly encouraged to provide seamless service delivery through working closely with other public bodies, local authorities, agencies, and private providers. Joint working arrangements can take several different forms, each with its own Governance arrangements. These can be grouped as follows: Partnerships, Consortia, Regional Working, and Collaboration.

Partners engaged in joint working arrangements have common responsibilities:

- Act in good faith at all times and in the best interests of the partnership's aims and objectives.
- Willing to take on a role in the broader programme, appropriate to the skills/resources of the contributing organisation.
- Open about any conflicts that might arise.
- Encourage joint working and promote the sharing of information, resources, and skills.
- Keep secure any information received from partnership activities or duties of a confidential or commercially sensitive nature.
- Promote the project.

In all joint working arrangements, the following key principles must apply:

- Before entering into the agreement, a risk assessment has been prepared.
- Such agreements do not impact adversely upon the services provided by the Force and OPCC.
- Project appraisal is in place to assess the viability of the project in terms of resources, staffing and expertise.
- All arrangements are properly documented.
- Regular communication is held with other partners throughout the project to achieve successful outcomes.
- Audit and control requirements are satisfied.
- Accounting and taxation requirements, particularly VAT, are understood fully and complied with.
- Appropriate exit strategy has been produced.

Force and OPCC element of all joint working arrangements must comply with these Financial Regulations.

Partnerships

Partnership working has the potential to:

- Comply with statutory requirements.
- Deliver strategic objectives in new and better ways.
- Improve service quality and cost effectiveness.
- Ensure best use of scarce resources, and access new resources.
- Deal with issues that cut across agency/geographic boundaries and where mainstream programmes cannot address need.
- Forge new relationships.
- Find new ways to share risk.

Statutory based: Governed by statute, for example, Community Safety Partnerships (CSPs).

Strategic: Set up to deliver core policing objectives. They can either be force-wide or local.

Ad-hoc: Typically, locally based informal arrangements agreed by Divisional Commanders.

As set out in section 10 of the Police Reform and Social Responsibility Act 2011, the PCC, in exercising their functions, must have regard to relevant priorities of each responsible authority. Subject to constraints that may be placed on individual funding streams, PCCs are free to pool funding as they and their local partners see fit. PCCs can enter into any local contract for services, individually or collectively with other local partners, including non-police bodies. When the PCC acts as commissioner of services, they need to agree shared priorities and outcomes expected to be delivered through the contract or grant agreement with each provider. PCC can make crime and disorder grants in support of local priorities. Inclusion of detailed grant conditions directing local authorities how to spend funding need not be the default option. Power to make Crime and Disorder Grants with conditions is contained in section 9 of the Police Reform and Social Responsibility Act 2011. Power to contract for services is set out in paragraph 14 of Schedule 1 and paragraph 7 of Schedule 3 to the Police Reform and Social Responsibility Act 2011.

Where the PCC is the accountable body for an external partnership with its own funding and governance structure, decisions will be made by the partnership (including any delegations it has in place) but will still be subject to the PCC's Procurement Policy.

Responsibilities of the PCC

- Have regard to relevant priorities of local partners when considering and setting Police and Crime Plan and Delivery Plan.
- Make appropriate arrangements to commission services from either the Force or external providers.
- Make Crime and Disorder Grants.

Responsibilities of Chief Officers

- Follow Financial Instructions for local partnerships, ensuring appropriate arrangements for the management of partnership arrangements and related contracts and service level agreements.
- Consult, as early as possible, CCCFO and PCCCFO to ensure correct treatment of taxation and other accounting arrangements.
- Produce a Memorandum of Understanding (MOU) or collaboration agreement including Section 22, setting out appropriate Governance arrangements for the project. This document should be signed by the CEO.

All partnerships, joint working arrangements and MOUs with operational and financial implications should be approved by the relevant operational lead and CCCFO or PCCCFO as appropriate.

Responsibilities of the CEO

Keep a register of statutory and other legally formalised partnerships and collaboration arrangements.

This would include any agreement that involves financial assets and/or funding. This includes Section 22 agreements and Service Level Agreements involving a financial element.

Regional Working and Collaboration

Humberside Police's contribution towards working with other Forces in the Yorkshire and Humber and with other forces in the North East Region is contained in the annual budget and medium-term financial strategies.

The PCC holds the CC to account for collaboration locally via the Accountability Board, and both parties attend regional performance meetings for collaboration purposes several times a year.

Joint Responsibilities of the PCC and the CC

- Approve Force participation in Regional Working.

Joint Responsibilities of the PCCCFO and the CCCFO

- Monitor financial contributions to/from regional partners to ensure in accordance with agreed procedures.

Collaboration and National Working

Under sections 22A to 22C of the Police Act 1996 as inserted by section 89 of the Police Reform and Social Responsibility Act 2011, CCs and PCCs have the legal power and duty to enter into collaboration agreements to improve the efficiency or effectiveness of one or more police force or PCCs. Any collaboration which relates to the functions of a police force must first be agreed by the PCC and with the PCC and CC of the force concerned.

The PCCs shall jointly hold their Chief Constables to account for any collaboration in which their force is involved and must consider doing so in cooperation with the other PCCs concerned. Any such proposal must be discussed with the PCCCFO and CCCFO in the first instance, to ensure it delivers value for money.

SECTION F: CONTRACT STANDING ORDERS

- F1** The Force and PCC work to the current Contract Standing Orders as set out in the Procurement Policy at Appendix 4.

SECTION G: DELEGATED LIMITS

References to Sections refer to the relevant part of these regulations where a delegated limit is to apply.

B1 Financial Planning

The budget estimates shall identify all proposed individual major revenue projects. A major revenue project shall be defined as one in excess of the estimated value shown: £250,000.

B2 Budgetary Control

Major revenue projects need not be referred back to the PCC for further approval unless, when negotiating contract details, amendments to the nature of the scheme are sought or the cost of the scheme exceeds the limits shown: Cost of project varies from approved estimate by £250,000.

Virements

The levels of authorisation for virements are:

Virement to be approved

B2 Revenue Budget

Virement defined as a movement of budget between Commands, defined as follows:

DCC Portfolio	ACC Local Policing	ACC Crime and CJU	ACO
Governance	Local Policing (Response, NPT and Investigations)	Specialist Crime (intel, AO, DEU, TTCG)	Estates
Performance	Partnerships (non PVP)	PVP/Vulnerability	Finance
Demand	Special Constabulary	CT/ROCU/Forensic Science/Airport/Ports	Information Services
PSD	Prevention and Community Cohesion	CJU	Digital Innovation
Legal Services	Crime Reduction	Custody	Fleet
Culture and Standards	Mental Health		Sustainability
Cyber			FCR
CDB			People Services (inc. L&D)
Corporate Comms			Strategic People Board
Corporate Services			Health and Safety
Operation Balance			

An individual virement limit of £250K.

CC to consult with and agree any proposed virements with the CCCFO.

All virements actioned to be reported through the monthly Management Accounts and the Accountability Board through the Finance Update Report for transparency – virements should form part of the financial monitoring.

B2 Carry Forwards (Requests at the end of the financial year)

Requests can be made for carry forwards from the previous year's CC's underspend up to total aggregate limit of £500K.

Projected outcomes are to be laid out clearly for each requested Carry Forward.

Carry Forward requests must meet one or more of the following criteria:

Revenue costs associated with the delivery of a capital scheme that has been rephased into the following financial year.

Funding of temporary revenue costs e.g. project related, and time bound.

B3 Capital Programme

A virement is defined as movement between approved capital schemes.

An individual virement limit of £250K.

All virements actioned to be reported through the monthly Management Accounts and to the Accountability Board via the Finance Update Report for transparency.

B4 PCC Initiatives

From time-to-time the PCC will wish to focus resources in a particular area. If this is agreed with release of additional funding from reserves, then clear objectives and outcomes should be defined at initiation for the Force to deliver against and initiatives should be time-. The PCC recognises the operational independence of the CC and accordingly there is requirement for agreement from the CC

C1 Risk Management

Principal Lawyers (employed within the Collaboration) and the Practice Manager can authorise the settlement of civil claims and the payment of other sides costs (third party costs), and the instruction of Counsel/third parties to assist the Force, up to £15,000. The Head of Legal Services can authorise the settlement of civil claims, up to £25,000 and the payment of other sides costs (third-party costs) up to £50,000. They can also approve the instruction of Counsel/third parties to assist the Force, up to £25,000. The Deputy Chief Constable can authorise the settlement of civil claims, including all employment claims and disputes, up to £50,000. Anything over these amounts must be approved by the PCC via a Decision Record to the CEO who will provide clarity of approval.

C5 Assets

Valuation

The Chief Constable shall maintain an asset register for all fixed assets with a value more than the limits shown below:

Land and Buildings	-	All values
Vehicles	-	All values
Computers	-	All values
Plant and Equipment	-	£10,000

Stock

CC and CEO shall maintain inventories that record adequate description of portable and desirable items such as computers, monitors, printers, mobile phones and photographic equipment above the value shown: £500.

Discrepancies between the actual level of stock and the book value of stock may be written off by the CCCFO up to level shown below. Amounts for write off above this value must be referred to the PCCCFO for approval.

Individual items £25,000

Obsolete stock, or equipment and materials surplus to requirements may be written off by CCCFO up to level shown below. Amounts for write off above this value must be referred to PCCCFO for approval.

Individual items £25,000

Vehicles

CCCFO following consultation with CC may dispose of surplus vehicles and items of equipment up to estimated value shown below. Disposals above this value are to be reported to the PCC for prior approval.

Equipment £25,000

Vehicles £25,000

Items above the estimated value shown below shall be disposed of by public auction or sealed bids after advertisement.

Equipment £15,000

D2 Income

Individual amounts may be written off by the CCCFO or PCCCFO up to the level shown below. Amounts for write off above this value must be referred to the PCCCFO for approval.

£25,000

All cases where write off action results from theft or fraud shall be referred to PCCCFO and CCCFO for approval up to a maximum of £10,000 and to PCC for approval of amounts more than that sum.

D3 Incurring Expenditure, Ordering and Paying for Work, Goods and Services

Quotations shall be obtained, or tenders invited from suppliers or contractors in accordance with the requirements set out in Standing Orders Relating to Contracts. Subject to approved delegation limits set out in Appendix 2.

D8 Ex Gratia Payments

The CC may make ex gratia payments (as per delegated powers set out in Section G) in conjunction with the Head of Legal Services, Principal Lawyers or the Practice Manager as appropriate, to members of the public or police staff up to the level shown below in any individual instance, for damage or loss to property or for personal injury or costs incurred as a result of police action where such a payment is likely to facilitate or is conducive or incidental to the discharge of any of the functions of the Force. Any amounts greater than those specified must be referred to the PCC/PCCCFO and will require approval via a Decision Record. The circumstances of the proposed payment must not have the effect of circumventing other pay and allowances, policies, rates and rules..

Ex gratia payments sit with Legal Services and are authorised on the basis of the below authority levels at *** below.

E1 External Funding

Income and expenditure budgets to be created and all to be included in the Monthly Management Accounts for information.

E2 External Funding

CC will report to the PCC where Force has identified and pursued external funding in excess of the amount: £30,000.

CCCFO following consultation with CC may enter into arrangements under which PCC receives sponsorship up to level shown: £15,000 (sponsorship arrangements above this value are to be reported to the PCCCFO for prior approval)

Gifts and hospitality: Individual £25, Annual Force Limit of £25,000.

Gifts and hospitality above the annual limit are to be reported to the PCCCFO.

SECTION H: GUIDANCE NOTES ON BREACH OF STANDING ORDERS OR FINANCIAL REGULATIONS

1. These guidance notes are supplemental to the PCC and CC's Anti-Fraud and Corruption Strategy and Fraud Response Plan and should be read in conjunction with those documents (see Section I below).
2. PCCCFO and the CCCFO both have responsibilities under section 114 of the Local Government Finance Act 1998 to make a report if it appears to either that any person holding any office or employee or member of any collaborative body on which the PCC or the Force is represented:
 - (a) Has made or is about to make a decision which involved or would involve the PCC or the CC incurring expenditure which is unlawful.
 - (b) Has taken or is about to take a course of action which, if pursued to its conclusion, would be unlawful and likely to cause a loss or deficiency on the part of the PCC or the CC.
 - (c) Is about to enter an item on account, the entry of which is unlawful.
3. It is also the duty of the CEO and Monitoring Officer to prepare a report for the PCC with respect to any proposal, decision or mission by any person holding any office or employment which may contravene any enactment, rule of law or code of practice or any maladministration or injustice as defined. It is the Monitoring Officer's duty so far as is practicable to consult with the PCCCFO and the CCCFO.
4. A copy of such a report shall be sent to the external auditor.

5. Provide for effective action to deal with any fraud and corruption and to assist the PCCCFO and CCCFO in the performance of their duties to ensure the financial affairs of the Force and OPCC are properly conducted, the following procedures will be adhered to in the circumstances of any suspected or actual breach of financial regulations or standing orders.

SECTION I: ANTI FRAUD AND CORRUPTION STRATEGY

The Force and PCC work to the current Anti-Fraud and Corruption Strategy as set out at Appendix 3.

DELEGATIONS TO THE CHIEF EXECUTIVE

Key Functional, Management and Leadership Responsibilities

- To ensure provision of appropriate advice to PCC.
- To lead continued development and delivery of OPCC activities and operations.
- To provide clear and visible leadership to staff of OPCC including overall responsibility for their ongoing development and training, and work directly to the PCC in relation to personal objectives and development.
- To ensure OPCC performs its duties and responsibilities for equalities and diversity according to relevant legislation, and to promote commitment to equality and diversity in all OPCC does.
- In conjunction with PCCCFO, to ensure propriety in conduct of PCC's business including making proper arrangements for tendering procedures and letting of contracts.
- To carry out duties of Chief Executive appointed under Police Reform & Social Responsibility Act 2011 so as to enable and assist OPCC to fulfil all its functions effectively and efficiently.
- To carry out statutory duties and responsibilities of Head of the Paid Service and Monitoring Officer. And can sign all documentation as per PCC thresholds with the exception of any set out in statute.

Strategy and Resource Planning

- To think strategically and guide OPCC developing clear/effective long-term vision/strategy, with appropriate policies.
- To lead strategic development of OPCC in areas of strategic accounting, information management, management of strategic risk, human resource and learning and development strategies, ensuring OPCC is compliant with current employment legislation.
- To be strategic lead in respect of partnership working.
- In conjunction with PCCCFO, to oversee financial planning, budgetary, resourcing and asset management aspects of OPCC.
- To drive implementation of the OPCC corporate strategies, and of its day-to-day business, ensuring that effective governance arrangements are in place to enable the OPCC to monitor, review and improve its own performance.
- Support OPCC in scrutinising Force performance and supporting continuous improvement in OPCC and in Force.
- To prepare OPCC for inspection by relevant audit bodies.
- In appropriate consultation with PCC develop short, medium, and long-term planning process for future of OPCC, including annual budget for the OPCC and PCC.

Commissioning and Service Delivery

- To ensure effective and efficient engagement with both internal and external partners and stakeholders in relation to commissioning and service delivery at local, regional, and national level.
- To be accountable for performance of OPCC in all aspects of commissioning.
- To ensure effective engagement with CC and all relevant Force personnel in planning and managing OPCC business.
- To ensure OPCC contributes to national consideration of issues concerning policing and reducing crime. Represent OPCC at high level meetings with Home Office, HMICFRS, APCC, LGA and other outside bodies at regional and national level.

Engagement and Information

- To ensure effective strategic needs assessments are undertaken which demonstrate the understanding of communities served, enabling effective budget alignment and prioritisation, through a number of principle routes including the annual Police and Crime Plan survey.
- To distil and disseminate relevant information and advice to OPCC enabling it to challenge where appropriate Force's strategic and financial performance.
- To support OPCC in raising its profile and communicating its values, strategies, achievements, and views.
- To represent and promote interests of OPCC by developing and maintaining effective strategic partnerships with relevant public and private sector/voluntary organisations in the local community and at national and regional associations.
- To develop and implement effective two-way community engagement with all sections of the community.

Scrutiny and Performance

- Contribute to the efficient and effective delivery of the Police and Crime Plan, together with any associated delivery plans.
- Develop and maintain a constructive working relationship with Police and Crime Panel for the area.
- Ensure the effective and efficient operation of non-financial internal and external audit functions and any other aspects of internal control or external inspection.
- To oversee and ensure effective and efficient management of complaints.

SUMMARY OF PCC/FORCE APPROVAL LEVELS AND OTHER FINANCIAL LIMITS

DESCRIPTION	LIMIT	COMMENTS
PCC/Force Approved Limits		
B1: Projects		
Major Revenue projects to be identified separately	Above £250,000	Ensures significant revenue projects are separately identified and monitored accordingly
Referral of Major project variances to the PCC	Cost of Project varies from approved estimate in excess of £250,000	Highlights significant overspends to PCC
B2: Virements		
Movements between Commands subject to approved level	£250,000	Virements up to limit approved by CC and CCCFO, reported through Management Accounts and to the Accountability Board through the Finance Update paper, above this approved by PCCCFO or PCC
B2: Carry Forwards		
Requests can be made up to the amount of the CC underspend	Maximum for all carry forwards £500,000	Revenue Costs associated with a capital scheme or funding of temporary revenue costs, subject to approval by PCC via a Decision Record
B3: Capital Programme		
Movement between Capital Schemes	£250,000	Above this limit to be approved by PCCCFO or PCC
B4: PCC Initiatives		
Request from PCC	Up to level agreed by PCC	Funding from reserves must have clear objectives and outcomes and be timebound, to be approved by PCC
C1: Risk Management		
Civil claims	Up to £15,000 Up to £25,000 Up to £50,000 Up to £50,000 Over £50,000	Approval of settlement of Civil claims up to this amount by Principal Lawyers (within the Collaboration) or the Practice Manager, and other sides costs Approval of settlement of Civil Claims, by Head of Legal Services Approval of settlement of other sides costs (third party costs) by Head of Legal Services Approval of settlement of Civil claims by the Deputy Chief Constable Claims to be approved by the PCC through a Decision Record via the CEO
Compromise Agreements and Employment Claims/Disputes	£50,000	All Agreements, Employment Claims/Disputes, , excluding legal costs, to be approved by the Deputy Chief Constable. Any associated costs will also need approval from Deputy Chief Constable. Also strain costs in excess of £50,000 to be brought to the PCC through a Decision Record via the CEO
C5: Assets		
Valuation – Asset Register	Land & Buildings (All values), Vehicles (All values), Computers (All Values), Plant and Equipment (£10,000 and above)	Asset Register to be maintained for these assets by the Force Any assets disposed of over £25,000 must be approved by the PCC
Land and Building disposal	None	All disposals of Land and Buildings to be approved by PCC
Stock	£500	Inventories required for items with a value above the limit
Stock valuation write off	£25,000	CC/CCCFO up to this level and above this to PCCCFO or PCC
Obsolete Stock write off	£25,000	CC/CCCFO up to this level and above this to PCCCFO or PCC
Vehicles		
Disposal value (Equipment and Vehicles)	£25,000	CC/CCCFO up to this level and above this to PCCCFO or PCC
Equipment disposal	£15,000	Items above this must be disposed of by sealed bids or public auction
Leases		
All leases including property	All	Annual value above this level to be countersigned by CEO
D2: Income		

Debt write-off	£25,000	CC/CCCFO up to this level and above this to PCCCFO, all cases involving the write off as a result of fraud/theft of over £10,000 reported to PCCCFO or PCC
D8: Ex Gratia Payments		
Amount up to	Up to £15,000	Principal Lawyers or Practice Manager to approve
	Up to £25,000	Head of Legal Services to approve
	Up to £50,000	Deputy Chief Constable to approve
	Over £50,000	To be approved by PCCCFO or PCC by Decision Record
E1: External Funding		
Identified and pursued funding	£30,000	Above limit reported to CEO or PCCCFO to PCC for approval via Decision Record
Sponsorship	£15,000	Above limit reported to CEO or PCCCFO to PCC for approval via Decision Record
Gifts and hospitality	£25,000	Above limit reported to CEO or PCCCFO to PCC for approval via Decision Record
OPCC Approved Expenditure Limits		
Assurance and Statutory Duties Team	£0-£25,000	Statutory Operations Manager/Compliance Manager/Contracts and Commissioning Manager
	£25,000-£50,000	Head of Assurance and Statutory Duties
Policy and Partnerships Team	£0-£25,000	Commissioning and Partnerships Manager/Funding Manager/Data and Analysis Manager/Public Health Business Manager
	£25,000-£50,000	Head of Policy and Partnerships
	£25,000-£50,000	Deputy Chief Financial Officer
	£50,000-£100,000	Chief Executive/Chief Financial Officer
	£100,000 +	Chief Executive/Chief Financial Officer in consultation with PCC as per Contract Standing Orders
Chief Constable Approved Expenditure Limits		
	Up to £500	Inspector/Police Staff Equivalent
	Up to £1,000	Chief Inspector/Police Staff Equivalent
	Up to £5,000	Superintendent/Police Staff Equivalent
	Up to £10,000	Chief Superintendent/Police Staff Equivalent
	Up to £15,000	Principal Lawyers/Practice Manager (settlement of claims and how much compensation is to be paid, counsel fees to represent the Force, settlement of other sides costs actual invoices to be paid as well as compensation to be paid)
	Up to £25,000	Head of Legal (settlement of claims and how much compensation is to be paid, counsel fees to represent the Force, settlement of other sides costs, actual invoices to be paid as well as compensation to be paid)
	Up to £50,000	Estates Premises, Facilities and Commissioning Manager, Estates Building Manager, Estates Programme Manager
	Up to £100,000	Head of Finance and Business (S151 Officer), Deputy Head of Finance and Business Services, Head of Joint Estate Services, Head of Fleet Management, Head of Procurement
	Between £100-500k	Chief Officers – in line with Contract Standing Orders
Conflict of Interest		
Conflict of Interest e.g. where the approver can use significant influence, or a Directorship is held in an area of collaboration	These limits apply unless a conflict of interest has been identified	Approval should be made by equal or more senior approvers

ANTI FRAUD AND CORRUPTION STRATEGY

PCC and CC have in place clear networks of systems and procedures to assist it in the fight against fraud and corruption. It is determined that these arrangements will keep pace with any future developments in both preventative and detection techniques regarding fraudulent or corrupt activity that may affect its operation. To this end, a continuous overview of such arrangements, in particular, by the PCCCFO and CCCFO, through the Head of Audit and External Auditor and in Force via the Finance Unit and Professional Standards.

The CIPFA Code of Practice on Managing the Risk of Fraud and Corruption sets out the principles that define the governance and operational arrangements necessary for an effective counter fraud response. In administering its responsibilities in relation to fraud and corruption, whether it is attempted on the OPCC and/or the Force or from within, the PCC and CC are committed to an effective Anti-Fraud and Corruption Strategy designed to encourage prevention, promote detection, and identify a clear pathway for investigation.

The expectations regarding propriety and accountability are that the PCC, the CC, and staff at all levels will lead by example in ensuring adherence to rules, and that all procedures and practices are above reproach. The PCC and CC also demand that individuals and organisations that they come into contact with will act towards them with integrity and without thought or actions involving fraud or corruption.

This strategy is based on a series of comprehensive and inter-related procedures designed to frustrate any attempted fraudulent or corrupt act. These cover: (i) culture, (ii) prevention, (iii) detection and investigation, and (iv) training.

The PCC and CC are also aware of the high degree of external scrutiny by a variety of bodies including His Majesty's Inspector of Constabulary and Fire and Rescue Services (HMICFRS), Internal and External Audit, HM Revenue and Customs, the National Audit Office, and the general public.

CULTURE

The PCC and CC are determined that the culture and tone of these organisations are ones of honesty and opposition to fraud and corruption. There is an expectation and requirement that all individuals and organisations associated in whatever way with the Force and OPCC will act with integrity, and that the PCC, CC and staff at all levels will lead by example in these matters.

The PCC, CC and their staff are important in the stance on fraud and corruption, and they are positively encouraged to raise any concerns that they may have on these issues where they are associated with the activities of the Force and the OPCC. Concerns may be about something that: (i) is unlawful, (ii) is against the PCC's Standing Orders, Financial Regulations or policies, (iii) falls below established standards or practices, (iv) results in waste or loss to the PCC, or (iv) amounts to improper conduct.

Staff can do this in the knowledge concerns will be treated in confidence, properly investigated and without fear of reprisal and victimisation. If necessary, a route other than their normal line manager may be used to raise such issues. Examples of such routes:

- Chief Constable's Direct Line (01482 578204).
- CCCFO (Force Chief Finance Officer) (07867 279486).
- PCCCFO (via OPCC - 01482 220787).
- Head of Internal Audit (TIAA Limited 07766 553339).
- Bad Apple Messenger on the Force Intranet.
- PCC (01482 220787) or pcc@humberside.pnn.police.uk
- Head of Professional Standards (01482 578345).
- Public Concern at Work – Independent charity offering free advice on fraud/malpractice (020 7404 6609).
- Anti-Corruption and Abuse National Reporting Line (0800 085 0000).

The Public Interest Disclosure Act 1988 protects employees, who report suspected fraud or corruption activities, from any reprisals as long as they meet the rules set out in the Act. In simple terms the rules for making a protected disclosure are:

- Information disclosed is made in good faith.
- Person making the disclosure must believe it to be substantially true.
- Person making the disclosure must not act maliciously or make false allegations.
- Person making the allegation must not be seeking any personal gain.

[The designated officer required under the Act to receive disclosures for financial and money laundering matters is the PCCCFO].

Members of public are also encouraged to report concerns through any of the above avenues. Allegations/concerns can be made anonymously, however such cases can be more difficult to investigate. Likelihood of action will depend on: (i) seriousness of issues raised, (ii) credibility of the concern, or (iii) likelihood of confirming the allegation from attributable sources.

Senior management are responsible for following up allegations of fraud and corruption received by:

- Dealing promptly with the matter.
- Recording all evidence received.
- Ensuring that evidence is sound and adequately supported.
- Ensuring security of all evidence collected.
- Notifying the PCCCFO, and for CCCFO and implementing disciplinary procedures at all times.

The PCC and CC can be expected to deal swiftly and thoroughly with any member of staff who attempts to defraud the Force or the OPCC or who are corrupt. PCC and CC should be considered as robust in dealing with financial malpractice.

PREVENTION

The PCC and CC recognise that a key preventative measure in the fight against fraud and corruption is to take effective steps at the recruitment stage to establish, as far as possible, the previous record of potential staff in terms of their propriety and integrity. Staff recruitment is therefore required to be in accordance with procedures laid down by the CEO and CC and in particular to obtain written references regarding known honesty and integrity of potential staff before employment offers are made.

All employees are expected to follow any Code of Conduct related to their personal professional qualifications and also to abide by the published Rules of Conduct. This code and the role that appropriate staff are expected to play in the Corporate Governance Framework and systems of internal control will be featured in staff induction procedures.

The PCC (and DPCC where in place) are required to adhere to the Code of Conduct relating to the declarations of interests. Staff are also required to declare pecuniary interests. PCC, CC, and all staff are required to declare in a public register any offers of gifts or hospitality which are in any way related to the performance of their duties.

Significant emphasis has been placed on the thorough documentation of financial systems, and every effort is made to continually review and develop these systems in line with best practice to ensure efficient and effective internal controls. The adequacy and appropriateness of the Force and OPCC's financial systems is independently monitored by both Internal Audit and External Audit. Senior management place great weight on being responsive to audit recommendations.

Joint Independent Audit Committee (JIAC) provides an independent and objective view of internal control by receiving and considering audit plans, reports and management letters and reports as appropriate to the PCC.

As part of the prevention approach, the PCC and CC will participate in National Fraud Initiative. The National Audit Office and External Audit also assist in prevention with the issue of warning bulletins and outcomes from surveys on fraud and corruption.

DETECTION AND INVESTIGATION

The array of preventative systems, particularly internal control systems in the Force/OPCC, are designed to provide indicators of any fraudulent activity, although generally they should be sufficient in themselves to deter fraud. It is often the alertness of staff and public to such indicators that enables detection to occur and appropriate action to take place when there is evidence that fraud or corruption may be in progress.

Despite the best efforts of financial managers and auditors, many frauds are discovered by chance or 'tip off', and arrangements are in place to enable such information to be properly dealt with. Depending on the nature and anticipated extent of allegations, the Internal Audit will normally work closely with management and other agencies such as the police to ensure that all allegations and evidence is properly investigated and reported upon.

Disciplinary Procedures will be used where the outcome of the Audit Investigation indicates improper behaviours. The PCC and CC will normally ask the police to prepare a case for CPS regarding the prosecution of offenders where financial impropriety is discovered.

TRAINING

The PCC and CC recognise the continuing success of its Anti-Fraud and Corruption Strategy and its general credibility will depend largely on the effectiveness of programmed training and responsiveness of staff throughout the organisation. To facilitate this, the PCC and CC support the concept of induction and training particularly for staff involved in internal control systems to ensure that their responsibilities and duties in this respect are regularly highlighted and reinforced.

The possibility of disciplinary action against staff who ignore such training and guidance is clear.

FRAUD RESPONSE PLAN

All instances of fraud and corruption will be investigated in accordance with this plan. Fraud and corruption may be reported through a range of channels including direct to a line manager, by another manager, through the CC's Direct Line, with "Bad Apple" or by means of external reports. The means of reporting fraud will be publicised within the Force and OPCC and made known to partners and those individuals and organisations that we come into contact with.

Arrangements for detection and investigation are set out in the Anti-Fraud and Corruption Strategy (above). A protocol has been agreed to ensure that loss and potential fraud is fully investigated and dealt with correctly.

The protocol requires Professional Standards Branch to liaise with the Head of Audit, after the matter has been investigated. This will enable the Head of Audit to identify any weaknesses in internal control that allowed the irregularity to occur and to ensure that corrective action is taken to minimise the risk of any reoccurrence within the Force or OPCC. Issues considered will be reported to Professional Standards.

Disciplinary procedures are likely to be invoked where the outcome of any investigation indicates misconduct. Proven cases of gross misconduct may result in dismissal of the employee. Misconduct includes fraud committed by a member of staff against the organisation.

Where financial impropriety is discovered the presumption of the PCC and Chief Constable is that these arrangements will be made where appropriate for the prosecution of offenders by the CPS.

In instances where the misconduct takes another form such as misuse of systems and equipment that does not result in financial loss, the outcomes will be monitored by the PCC and Chief Constable through the processes in place to oversee Human Resources issues.

PCC and CC will seek to ensure they learn lessons from any mistakes made that allowed any instances of fraud or corruptions to be perpetrated or to have gone unnoticed. This will be achieved by ensuring system weaknesses or other contributory factors are identified and addressed, normally be achieved through an Internal Audit investigation, report, and action plan to ensure audit recommendations are implemented.

National Audit Office and the External Auditor also have powers to investigate fraud and corruption independently and the PCC and Chief Constable will make use of these services in appropriate cases.

PCCCFO and CCCFO will determine if a matter needs to be brought to the attention of the CEO, PCC, and CC.

In the event that the PCC or CC is involved, the matter will be brought to the attention of the Monitoring Officer.

PCCCFO, CCCFO and Head of Audit will maintain a link with the National Audit Office, CIPFA and other agencies to keep them apprised of developments in serious cases.



PROCUREMENT POLICY

**If you require further guidance / information relating to this document,
please contact the Head of Procurement**

CONTENTS

- 1. Overview**
 - Aim
 - Objectives
 - Compliance
- 2. Equality and Inclusion**
- 3. Competitive Procurement**
- 4. Procurement Processes and Procedure**
- 5. Contract Value**
- 6. Tenders**
- 7. External Bodies**
- 8. Evaluation of Tenders**
- 9. Frameworks**
- 10. Application of Procurement Policy**
- 11. Single Tender Action**
- 12. Extension and Variations of Contracts**
- 13. Procurement Methodology and Delegated Authority for Signing of Contracts**
- 14. Conflicts of Interest**
- 15. Financial and Contractual Delegation**
- 16. Contract Management**
- 17. Social Value**
- 18. Modern Slavery**
- 19. Appendix 1: Referenced Documents**
- 20. Appendix 2: Glossary Terms**
- 21. Appendix 3: Declaration of Impartiality**

1. OVERVIEW

1.1 The Procurement Team ('Team') supports police procurement activity for Humberside Police (HP) and Office of the Police and Crime Commissioner (OPCC). The Team is responsible for managing end-to-end procurement process, ensuring the Force achieves best value in a compliant and efficient manner. The Team are employees of Humberside Police.

1.2 The Force and OPCC fully recognises its responsibilities in relation to rights of individuals to equality of opportunity and corporate social responsibility. Any implications will be fully considered when undertaking any sourcing activity.

Aim and Objectives

Aim

1.3 The aim of this policy is to provide a clear framework for how goods and services are procured by the Force and the OPCC, meeting all statutory requirements and ensuring best value.

Objectives

These are:

- Support the Humberside Police Plan on a Page and the Police and Crime Plan
- Provide fairness in awarding public contracts whilst maintaining the highest standards of propriety, integrity and impartiality
- Ensure compliance with all applicable legislation
- Safeguard the financial and legal interests of Humberside Police and the OPCC
- Provide best value through robust procurement processes
- Ensuring transparency in our decision-making and awarding of contracts
- Ensure social value is maximised from all procurement activity
- Proactively encourage the supply chain to be aware of risks of and tackle modern day slavery

Compliance

1.4 All orders and contracts for works, goods or services made by or on behalf of the Police and Crime Commissioner (PCC) and Chief Constable (CC) shall be made in accordance with this policy, provided this is in line with financial regulations and the CC's and/or PCC's financial instructions.

1.5 All expenditure shall comply with statutory requirements including, but not limited to, UK legislation, and relevant government guidance.

1.6 The PCC and CC require all procurement activity to be undertaken in an open, transparent, fair and consistent manner, ensuring the highest standards of probity and accountability. All procurement activity undertaken will operate under robust principles and procedures to ensure best value. The latest policies, procedures and processes will be published on the Humberside Police Procurement Intranet and Internet pages. Activity that takes place from this policy will be monitored by Humberside Police via the Procurement Board and OPCC will seek assurance at the Accountability Board on a six-month basis.

1.7 Every officer and staff member in the OPCC and Force shall comply with this policy.

1.8 Any dispute regarding the interpretation of this policy will be referred to the Head of Procurement and relevant s151 officers for Humberside Police and OPCC in the first instance.

Code of Ethics

1.9 The Code of Ethics has been embedded in both organisations, combining the seven principles of public life with others espoused in policing through two further principles of fairness and respect.

National Guidance

1.10 Any National Guidance which has been adopted by HP and OPCC will be reflected in this Policy.

2. EQUALITY AND INCLUSION

- 2.1 Humberside Police and the OPCC have a legal responsibility under the Equality Act 2010, and a commitment, to ensure they do not discriminate either directly or indirectly in any of their functions and services nor in their treatment of staff in relation to race, sex, disability, sexual orientation, age, pregnancy and maternity, religion and belief, gender reassignment or marriage and civil partnership. They also have a duty to make reasonable adjustments for disabled applicants, employees and service users.

3. COMPETITIVE PROCUREMENT

- 3.1 All officers and staff members for the Force and OPCC should use the standard legal terms and conditions of contract, which are held by the Procurement Team for all Contracts, unless exceptional or other circumstances prevail where it is not beneficial or appropriate to do so.
- 3.2 All Contracts shall be in writing. If appropriate, legal advice should be sought from Legal Services via the Procurement Team in relation to Contract.
- 3.3 The form of Contract shall be in line with legislation firstly, then the National Police Chiefs Council procurement portfolio guidance and other best practice. This includes NEC, JCT and other standard 'off the shelf' forms of contract used for construction purposes.
- 3.4 A contract can be defined as an agreement or set of promises enforceable by law, made between two or more people to do, or to refrain from doing something.
- 3.5 Legal advice must be sought from Legal Services via the Procurement Team, where a high level of risk (including high or low level of monetary amount) and/or high level of reputational risk is presented to the Force or OPCC as part of any procurement exercise.
- 3.6 Force Legal Services will advise on the appropriate use of performance guarantee bonds or the provision of liquidated damages where appropriate, for OPCC and Force contracts.
- 3.7 Where a procurement is deemed novel, contentious, or repercussive it should be notified to the appropriate Chief Officer or Chief Executive by the budget holder via Chief Officers Group (COG) or the PCC Leadership to ensure authority to proceed to full procurement. Novel transactions are those that are new to Humberside Police/OPCC or outside of typical operations. Contentious transactions are those that are likely to spark debate or criticism from the public, media, or Parliament. Repercussive transactions are those that could have wider financial implications or set a precedent for other bodies.
- 3.8 In Force, the Divisional/Departmental Head has delegated authority, subject to 3.6 above and budget approval to give authority to proceed to full procurement, provided this is in line with financial regulations, the Code of Corporate Governance and this policy. OPCC staff must also comply with financial regulations, the Code of Corporate Governance and local policies and procedures, with delegated authority via the CEO and PCCCFO.

4. PROCUREMENT PROCESSES AND PROCEDURES

- 4.1 This policy is jointly owned by the PCC and CC for Humberside and every Officer in the Force and OPCC shall comply with these Standing Orders.
- 4.2 The Assistant Chief Officer (ACO) via Force Chief Financial Officer (CCCFO), Head of Procurement, and OPCC CEO and OPCC Chief Financial Officer (PCCCFO) will have responsibility to ensure appropriate Procurement Processes and Procedures are in place covering matters including but not limited to:
- Procedures to be applied in respect of the whole tendering process i.e., initial tender, specifications and standards, and evaluation and appointment of contractors and consultants.
 - Processes regarding the use of sub-contractors.
 - Processes regarding variations to contract.
 - Processes to be undertaken in relation to declarations of interest in a Contract.
 - Procedures to be followed in relation to collaborative Contracts.
 - Adoption of Frameworks.

- Procedures to be followed in applying for a Single Tender Action (STA), including: (i) the formal procedure to be adopted to evidence alternative provision is not available, and (ii) the formal justification of emergency provision.
- Achievement of value for money, and the minimisation of risks to Force and PCC.

4.3 The Procurement Processes and Procedures will set out arrangements for the recording and retention of information in relation to procurement activity.

4.4 The Procurement Processes and Procedures will also detail the arrangements for reporting procurement activity to meet the requirement of the Force and PCC together with addressing the need to publish information in accordance with government requirements.

4.5 Chief Finance Officers from the Force and PCC who are responsible for financial matters will ensure appropriate financial instructions or procedures are provided for use by staff within their respective organisations.

4.6 Criteria for the award of Contracts shall be recorded in advance of the invitation and strictly observed by the officer or staff member evaluating the bids.

5. CONTRACT VALUE

5.1 All Contracts must be procured in the prescribed method set out in 13.5 and 13.6.

5.2 The estimated contract value is the aggregated cost for the Force and/or OPCC that is reasonably anticipated over the lifetime of the provision. If the lifetime is unknown, the aggregate cost should be based on 48 months.

5.3 Requirements of a Contract must not be disaggregated by either the Force or OPCC to avoid a competitive process under any circumstances.

5.4 All Contracts must be awarded based on most advantageous tender and provide overall best value, across quality, price and social value.

6. TENDERS

6.1 Electronic Tendering

The PCC and Force support the use of electronic means for the invitation and receipt of tenders through the selected e-tendering system in line with the system requirements.

6.2 Tender custody and opening if non-electronic means are utilised

Procurement will advise on a case-by-case basis.

6.3 Tender Submission

Tenders need to be received by a specified date and time, and this should be clearly set out in the tender documents that are issued to tenderers. Unless there are exceptional circumstances outside of the control of the bidder (i.e. Widespread power outage) late tenders will not be accepted. If in doubt about whether to accept a late tender consult the Head of Procurement for all HP matters and the CEO for anything related to the OPCC.

6.4 Selection of Successful Contractor

Every Contract shall be awarded to the contractor submitting the most advantageous tender or quote based on pre-determined evaluation criteria.

7. COLLABORATIONS

7.1. Where Humberside Police or the OPCC are the lead on behalf of the region or the tender includes other Police Forces, tenders will be invited and will comply with this Procurement Policy.

8. EVALUATION OF TENDERS

- 8.1 Humberside Police evaluation models shall generally be weighted such that the overall percentage score allocated to cost is ordinarily not less than 50%. In exceptional circumstances the Head of Procurement or their deputy has the discretion to agree a different cost/quality/social value ratio in consultation with the Procurement Customer where an appropriate rationale to support this is provided.
- 8.2 The OPCC evaluation models shall generally be weighted to ensure that quality of service delivery is optimal and cost may be secondary to this. Each case will be considered and best value sought whilst maintaining high levels of quality for victims. The CEO or delegate will review each tender evaluation criteria rationale accordingly.
- 8.3 The evaluation criteria will include cost and qualitative elements and will include social value where applicable in accordance with the Public Services (Social Value) Act 2012 and The Procurement Act 2023. The evaluation process shall be objective, systematic, thorough, and fair.

9. FRAMEWORKS

- 9.1 Frameworks are a lawful method of procuring services and can either be set up internally or by external commercial partners including other Public Sector buying organisations.
- 9.2 Frameworks are to be used where they provide the most advantageous tender for the Force and OPCC. The Procurement Team will consider the benefits available in comparison to other procurement routes available, and frameworks will be assessed on a project specific basis. Evaluation will consist of pricing comparison and framework rulesets.
- 9.3 All Frameworks, which are entered into, must be done so in accordance with the terms of the Framework without any material changes, including any requirement to undertake a mini competition amongst the suppliers on the Framework.

10. APPLICATION OF PROCUREMENT POLICY

- 10.1 The procurement and award of a Contract shall comply with this Procurement Policy unless:

- (i) a Single tender Action (STA) applies (see clause 11)
- (ii) a variation applies (see clause 12)

11. SINGLE TENDER ACTION

Single Tender Action (STA)

- 11.1 STA should only be used in very exceptional circumstances. The CC and CEO or their delegated authorities will consider requests for exceptions to normal procedures under the following circumstances:

- (a) Prototypes and Development:

- (i) testing the suitability of the goods or services,
- (ii) researching the viability of producing or supplying the goods or services at scale and developing them for that purpose, or
- (iii) other research, experiment, study, or development.

- (b) Single Supplier:

- (i) concerns the creation or acquisition of a unique work of art or artistic performance.
- (ii) due to a particular supplier having intellectual property rights or other exclusive rights, only that supplier can supply the goods, services or works required, and there are no reasonable alternatives to those goods, services or works.
- (iii) due to an absence of competition for technical reasons, only a particular supplier can supply the goods, services or works required, and there are no reasonable alternatives to those goods, services or works.
- (iv) how to maintain national policy interests.

(c) Additional or Repeat Goods / Services / Works:

Concerns the supply of goods, services or works by the existing supplier which are intended as an extension to, or partial replacement of, existing goods, services or works in circumstances where:

- (i) a change in supplier would result in the contracting authority receiving goods, services or works that are different from, or incompatible with, the existing goods, services or works, and
- (ii) the difference or incompatibility would result in disproportionate technical difficulties in operation or maintenance.
- (iii) where a short-term (up to one year) extension would be required and it would not be feasible for another supplier to deliver.

(d) Extreme and Unavoidable Urgency:

Where the goods, services or works to be supplied under the public contract are strictly necessary for reasons of extreme and unavoidable urgency, and as a result the public contract cannot be awarded based on a competitive tendering procedure. Poor planning, not re-contracting in time and external funding constraints do not provide rationale for using this criteria.

(e) Secrecy:

The Contract has been classified as secret by a Chief Officer making the use of a particular contractor essential or a limited competition to a select list of contractors and the avoidance of advertising requirements in the public domain.

- 11.2 Any STA up to the PCC's Delegated Authority Threshold (as outlined in 13.6) shall be authorised by the ACO. It is the responsibility of the ACO to satisfy themselves that the grounds in which the exception has been sought is justified and that all associated spend must be aggregated with the original Contract value or future Contract Value for the purposes of authorisation.
- 11.3 Any STA over the PCC's Delegated Authority Threshold (as outlined in 13.6) shall be requested via the Head of Procurement with the appropriate consent of the ACO, and then the OPCC via decision record where required. All associated spend must be aggregated with the original Contract Value and/or future Contract Value for the purposes of authorisation.
- 11.4 All Force STA's will be monitored by the Procurement Board and Accountability Board. Any STA for Humberside Police up to £100k shall be authorised by the ACO. Any STA over £100k shall be requested by the Head of Procurement with the appropriate consent of the ACO for submission to the OPCC Chief Executive. Any STA for the OPCC shall be submitted to the OPCC CEO.

12. EXTENSIONS AND VARIATIONS OF CONTRACTS

Goods and Services Contracts

- 12.1 A formal review must be conducted in conjunction with the Procurement Team prior to the extension of any contract.
- 12.2 The review must consider the ongoing merits, or otherwise, of goods or service provision and be formally recorded. This can include:
 - Minutes of a meeting where a contract extension is discussed and approved; or
 - Series of email exchanges in which the pertinent factors are considered and debated. Appropriate evidence must be retained on the contract file for audit purposes supported by a decision record.
- 12.3 Where an extension to a contract is beyond the extension period allowed in the contract, the exceptions to normal procedures process must be followed.
- 12.4 All extensions and variations to contract should be formally recorded through the completion and signing of a Contract Change Notice.
- 12.5 All variations to contracts are to be managed by the Procurement Team in full consultation with the Customer.

13. PROCUREMENT METHODOLOGY AND DELEGATED AUTHORITY FOR SIGNING OF CONTRACTS

- 13.1 All Contracts must be procured in accordance with the procurement methodology set out in the table at clause 13.5.
- 13.2 The appropriate authority levels are dependent on the estimated value of the procurement as set out in clause 13.5.
- 13.3 The delegated authority for signing of contracts as set out in clause 13.6 shall also apply to variations to contract, i.e., any additional costs resulting from the variation must be aggregated with the original Contract Value for the purposes of authorisation.
- 13.4 The table opposite shows the delegated Authority Levels set by the PCC. In the Force, the CC can determine their own delegated authority thresholds if different to the PCC's levels. These will be detailed in financial instructions. For ease, the CC's and PCC's current delegations are shown opposite.

Force Delegated Authority Thresholds:

Estimated Value £	Quotation / Tender Requirements	Levels of Delegated Authority and Contract Signature Thresholds
< £30,000	Procurement Team may use any reasonable means to select the supplier, three quotations shall be sought (this may include from catalogues or price lists). Procurement procedure and outcome must be recorded and retained locally.	Purchase orders and contracts to be approved locally by Officers with relevant authority in accordance with financial regulations and local policies and procedures/ financial instructions.
£30k – £100k	At least three formal written quotations or references to three supplier catalogues shall be sought. At least one quotation should be sought, where possible, from a local SME. A Quotation Notification Document (QND) must be completed by the requester and shared with Procurement Team.	Purchase orders, requisitions and contracts to be approved locally by Officers with relevant authority in accordance with financial instructions, financial regulations, consents and delegations.
> £100k	All procurement to be managed by the Procurement Team in full consultation with the Customer. All procurement activity will be subject to a competitive process in accordance with the Procurement Act 2023 and other relevant UK statutory provisions.	On conclusion of the procurement process, any Contracts will be signed in accordance with the delegated authority table set out below. If the procurement value exceeds £500k, a decision record will be completed by the Humberside Police Procurement Team for review and signature by the OPCC.

13.5 PCC Delegated Authority Thresholds:

Estimated Value £	Quotation / Tender Requirements	Levels of Delegated Authority and Contract Signature Thresholds
£0k – £10k	OPCC may use any reasonable means to select the supplier preferably demonstrating some means of best value. Decision record required for all procurement over £500.	Purchase orders and contracts to be approved locally by staff with relevant authority in accordance with financial regulations and local policies and procedures/ financial instructions, regulations, consents and delegations.
£10k - £30k	OPCC will ensure that minimum of three quotes are sought for works to demonstrate best value ideally advertising opportunities for suppliers to make themselves known to be contacted to quote. Decision record always required.	Purchase orders and contracts to be approved locally by staff with relevant authority in accordance with financial regulations and local policies and procedures/ financial instructions, regulations, consents and delegations.
£30k – £100k	At least three formal written quotations or references to three supplier catalogues shall be sought. At least one quotation should be sought, where possible, from a local SME. A Quotation Notification Document (QND) must be completed by the requester and shared with the Procurement Team.	Purchase orders, requisitions and contracts to be approved locally by Officers with relevant authority in accordance with financial instructions, financial regulations, consents and delegations.

> £100k	Procurement to be managed as required by the Procurement Team in full consultation with the Customer. All procurement activity will be subject to a competitive process in accordance with the Procurement Act 2023 and other relevant UK statutory provisions. All activity must be supported by a decision record.	On conclusion of the procurement process, any Contracts will be signed in accordance with the delegated authority table set out below. If the procurement value exceeds £500k, a decision record will be completed by the Humberside Police Procurement Team for review and signature by the OPCC.
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13.6 Delegated Authority for Signature of Contracts (PCC and CC):

Role	Total value (£ excluding VAT)
PCC or CEO of the OPCC (both Force and OPCC procurements) following review by ACO and/or CFO and decision record to the OPCC	Over £500,000
Head of Humberside Police Procurement for Humberside Police, CEO for OPCC	£250,001 to £500,000
Procurement Manager of the Humberside Police Procurement Team for Humberside Police and CEO for OPCC	Up to £250,000
OPCC Heads of Service or OPCC Deputy CFO	Up to £100k

13.7 The officer with delegated authority to authorise orders or Contracts committing the expenditure does so on behalf of the PCC in accordance with 13.5 or 13.6 above accordingly.

13.8 Whilst mandatory involvement of the Procurement Team is required for contracts above delegated levels, the Procurement Team and Legal Services will provide advice and guidance on all procurement matters for Contracts below these thresholds.

14. CONFLICTS OF INTEREST

14.1 All officers from the Force and OPCC must formally declare and record any relationships with existing or potential contractors to ensure impartiality prior to the obtaining of quotations or the awarding of Contracts, in accordance with relevant codes of conduct of their respective organisation.

14.2 To ensure that all persons involved in the Procurement Process are aware of, and adhere to, the principles of impartiality and professional standards formalised in the declarations set out when dealing with competing commercial undertakings the attached form at Appendix 3 should be completed.

15. FINANCIAL AND CONTRACTUAL DELEGATION

15.1 Chief Officers and the OPCC Chief Executive responsible for finance matters in the Force or PCC will be responsible for determining signatories in accordance with the Code of Corporate Governance and the delegated authority table set out at 13.5 and 13.6, they may also instruct the Procurement Team to proceed on their behalf if appropriate.

15.2 Authorised signatories will ensure that the procurement is compliant with all financial instructions and will ensure that sufficient resources are available within their organisation's revenue budget or capital programme.

16a. FORCE CONTRACT MANAGEMENT

16.1 The contract management process will enable the Force to ensure that their suppliers meet the service levels required.

16.2 Contract management will be considered from the outset of the sourcing process and continue through the life of the contract through to the resourcing process.

- 16.3 Prior to contract award, the Procurement Team will work with those officers involved in the sourcing process to ensure that appropriate contractual terms and KPIs are considered from the outset.
- 16.4 Following the award of contract, the relationship between the supplier and the Force will be managed by the relevant category manager, who will act as the contract manager.
- 16.5 The contract manager will:
- Manage all aspects of the relationship between the Force and the supplier
 - Act as a single point of contact
 - Ensure service levels are adhered to through the life of the contract
 - Manage the development of the supplier
 - Monitor and review the performance of the supplier

16b. OPCC CONTRACT MANAGEMENT

- 16.6 The contract management process will enable the PCC to ensure that their suppliers meet the service levels required.
- 16.7 Contract management will be considered from the outset of the sourcing process and continue through the life of the contract through to the resourcing process.
- 16.8 Prior to contract award, the OPCC with advice from the Procurement Team will ensure that appropriate contractual terms and KPIs are considered from the outset.
- 16.9 Following the award of contract, the relationship between the supplier and the OPCC will be managed by the appropriate OPCC staff member to act as single point of contact.
- 16.10 The contract manager will:
- Manage all aspects of the relationship between the OPCC and the supplier
 - Act as a single point of contact
 - Ensure service levels are adhered to through the life of the contract
 - Manage the development of the supplier
 - Monitor and review the performance of the supplier
- 16.11 The governance process involves the following:
- Force Chief Officer Group/OPCC Accountability Board for overall monitoring and review
 - Force Procurement Board – review/challenge (OPCC CFO attends)

17. SOCIAL VALUE

- 17.1 The Force and OPCC seek to make a positive contribution towards social inclusion, securing improvements to the environment and minimising environmental impact through its procurement activity. Evaluation criteria involving social considerations will be used as part of the tender evaluation process where appropriate.
- 17.2 Successful suppliers are required to develop a sustainability action plan using the NETpositive Supplier engagement Tool. This is a free tool for our suppliers and we will use the action plans developed to inform our contract management discussions. To access the tool simply go to: <http://police.net-positive.org/> and follow the instructions to create a new log-in.
- 17.3 The Social Value Act 2012 (the Act) requires public authorities to consider economic, social and environmental benefits in connection with public services contracts above the current threshold identified in the Public Contracts Regulations 2024. This should be undertaken before the procurement process commences.
- 17.4 The Act states that the authority must consider:
- How what is proposed to be procured might improve the economic, social and environmental well-being of the relevant area
 - How, in conducting the process of procurement, it might act with a view to securing that improvement.

18. MODERN SLAVERY

- 18.1 The Modern Slavery Statement can be found at Appendix 5 of the Code of Corporate Governance.
- 18.2 The Modern Slavery Statement is updated annually and details the progress that Humberside Police and the Police and Crime Commissioner have made in delivering commitments regarding modern slavery and human trafficking, initially established in 2020.
- 18.3 The Force and OPCC are dedicated to tackling these crimes, bringing offenders to justice, and safeguarding those at risk, while simultaneously demonstrating leadership and robust action within its complex supply chains. Both organisations remain committed to transparently reporting on its progress, partnering with suppliers to address modern slavery, and raising public awareness to encourage the reporting of suspected criminal activity, all while acknowledging the ongoing work required in this area.

19. APPENDIX 1: REFERENCED DOCUMENTS

Equality Impact Analysis

Legal References:

Procurement Act 2023

Local Government Transparency Code 2015

Social Value Act 2012

Public Contracts Regulations 2024

Modern Slavery Act

Data Protection Act 2018 / UK General Data Protection Regulations (UK GDPR)

Anti-Fraud and Corruption Policy

Gifts and Hospitality Policy

Professional Standards Equality and Inclusion Policy

Information Security Policy

Pre-Procurement Policy Delivery Guidance

Contract Register

Modern Slavery Statement

20. APPENDIX 2: GLOSSARY OF TERMS

PCC	The Police and Crime Commissioner for Humberside.
Chief Executive	The Chief Executive of the Office of the Police and Crime Commissioner for Humberside.
Chief Constable	The Chief Constable of Humberside Police.
Chief Officers	The Chief Executive, Chief Finance Officer and Head of Governance of the Office of the Police and Crime Commissioner for Humberside, Assistant Chief Officer for Resources or Chief Finance Officer of Humberside Police.
Contract	An agreement for the purchase of goods, services and or works including on a concession basis.
Contract Value	The estimated total of the money payments to be made and the value of materials or other benefits to be retrieved or enjoyed by the contractor for the whole period of the contract, including any potential extensions; it is exclusive of VAT.
Framework	A contract set up by a public sector organisation for some or any public sector organisations to use. The Agreement sets out terms and conditions under which specific purchases can be made throughout the term of the Agreement. The Agreement will typically have been awarded under the UK Public Contract Regulations 2024, related statutes and amendments.
Force	Means Humberside Police Force.
Head of Procurement	The Officer responsible for the Humberside Police Procurement Team.
PCR 24	UK Public Contract Regulations 2024.
Procurement Customer	Means representatives of the OPCC or the Force.
Humberside Police Procurement / Humberside Police Procurement Team	Means all procurement officers who work exclusively for the Humberside Police procurement team.
Humberside Police Procurement Policies and Procedures	Means all relevant procurement policies and procedures held by the Humberside Police Procurement Team and updated from time to time.
STA	Single Tender Action with the details set out in clause 11.
Contract Variation	An agreement used to amend or vary the terms of an existing contract by mutual consent of all parties to the original agreement. Variations to contract should be formally recorded through the completion and signing of a Contract Change Notice.

21. APPENDIX 3: DECLARATION OF IMPARTIALITY

DECLARATION OF IMPARTIALITY

Contract Ref: ('Contract')

PURPOSE

To ensure that all persons involved in the Procurement Process are aware of, and adhere to, the principles of impartiality and professional standards formalised in the declarations set out below when dealing with competing commercial undertakings.

All persons must sign the declaration below in order to be permitted to take part in the Procurement Process. This is to protect not only the integrity of the Procurement Process but also to ensure that the individuals taking part in the Procurement Process are certain of the professional standards expected and are able to comply with them.

DEFINITIONS:

'Force'	means the police force undertaking the Procurement Process, including the Chief Constable and/or Police and Crime Commissioner for Humberside Police.
'Procurement Lead'	means xx
'Procurement Process'	means the Open Tender / Above Threshold process to be completed with the intention of awarding a contract.
'Supplier(s)'	means any existing, past or potential supplier who has expressed interest in and/or who is participating in the Procurement Process.
'Sensitive Information'	means any information owned or controlled by the Force relevant to the Procurement Process that has not been previously lawfully disclosed in the public domain.

DECLARATION

I, the undersigned, hereby confirm that I have agreed to participate in the Procurement Process for the contract referred to above and declare the following:

1. I have not and will not give any Sensitive Information whatsoever about the Force, the Supplier(s), the Procurement Process or the associated evaluation procedures to any Supplier at any time leading up to, during or after the Procurement Process.
2. I will treat all expressions of interest, information, proposals or tenders received from Suppliers as Sensitive Information to ensure that it can be evaluated in a fair and unbiased manner and that the Force is able to evidence that it has been evaluated in that manner.
3. I do not have a prior or existing relationship, personal or professional, with or in connection with any Supplier.
4. I do not have any personal or financial interest, current or historic, in any Supplier excepting, for the avoidance of doubt, any shares I may hold in a Supplier who has a public shareholding.
5. I have not and will not engage with any Supplier(s) in any manner whatsoever outside of the remit of the Procurement Process.
6. If I am approached by any Supplier or their representative(s) during the Procurement Process, I will immediately disclose full details of such approach to my line manager and the Procurement Lead.
7. I will not keep or store any information of any nature in regard to the Procurement Process on any personal computers or devices and I will keep any handwritten notes in regard to the Procurement Process securely at all times and disclose any loss of such handwritten notes immediately to the Procurement Lead.

8. I will agree with the Procurement Lead all activity conducted, including but not limited to, phone calls, meetings, e-mail exchanges in connection with the Procurement Process prior to any such activity being undertaken.
9. I will notify the Procurement Team immediately of any changes in circumstances relating to this declaration.

SIGNATURE (You should choose only one of the options below)

☐	I hereby make all of the declarations as set out above
☐	I hereby make all of the declarations as set out above except for as disclosed below:

Signed _____ Print _____

Position _____ Date _____

The authorisation is required from a Strategic Category Manager or the Head of Procurement when a disclosure of information has been made.

Comments – Please detail here what has been agreed.

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Signed _____ Strategic Category Manager / Head of Procurement
Date _____



MODERN SLAVERY STATEMENT

Foreword

This modern slavery update report highlights the progress Humberside Police and Humberside Police and Crime Commissioner (PCC) have made in delivering against the stated commitments and intended actions communicated in our first voluntary Modern Slavery Statement. These were made in October 2020, renewed in 2021 in accordance with Section 54(1) of the Modern Slavery Act 2015, with a commitment to review progress biannually.

In terms of modern slavery and human trafficking, the force is responsible for tackling the crimes, bringing offenders to justice, and safeguarding those at risk. We also recognise that collectively we have large and complicated supply chains. We have non-pay expenditure of over £70 million and work with over 1300 suppliers, with 196 of whom we spend over £30,000 annually. It is here that we need to build on good practice, show clear leadership, and demonstrate robust action.

We are committed to working in partnership with our suppliers to support and challenge them on their response to modern slavery, and we will ensure our progress is open and transparent, reporting where we have been successful and where we still have opportunities to improve.

We are also committed to raising awareness of Modern Slavery within our supply chains and beyond. We raise awareness through our partnership working and generate campaigns to share with the public to advocate their reporting of suspected criminal activity or intent.

We are sharing our progress on this critical issue whilst acknowledging that there remains more to do.

A handwritten signature in black ink, appearing to read 'Chris Todd'.

Chris Todd
Chief Constable

A handwritten signature in black ink, appearing to read 'Jonathan Evison'.

Jonathan Evison
Police and Crime Commissioner

Introduction

Since the launch of our voluntary Modern Slavery Statement, tackling the crime of modern slavery has been a priority for the force and the OPCC. Although the force and PCC purchases a range of goods, works and services individually, across a variety of categories, we believe it is important to work in close collaboration with other forces to ensure a collective learning experience. We are reporting our progress and learning as it creates an opportunity to share resources, tactics, and best practice.

To deliver against the commitments and targets outlined in our statement we have focused on three main areas:

- 1. Procurement process
- 2. Staff recruitment, development, and support
- 3. Supplier engagement and development

We will explain our progress on each of these as part of this report.

Procurement Process	
Embedding modern slavery considerations within our procurement systems and processes is critical when taking a long-term perspective on the problem. Our procurement teams will carry out a review of current practices to ensure our processes are suitably robust.	
Action	Evidence of progress includes
Assess supplier awareness of modern slavery and whether they have made a public commitment to addressing the problem.	This is completed by the customer and highlights high, medium, or low risk.
Monitor supplier plans for evidence of supplier development within their supply chains (recognised as our Tier 2 and 3 suppliers).	An initial risk assessment is carried out at the start of the procurement process, following the completion of the customer considerations and due diligence documents. An action plan is developed in partnership with the procurement team and the internal customer, and more detailed questions are asked of Tier 1 suppliers within high-risk and medium risk categories.
Support suppliers to develop plans for disclosing modern slavery if issues appear in their supply chain.	Following the development of the action plan on medium and high risks associated with modern slavery, consultation with stakeholders will be carried out and any requirements built into specifications. Suppliers are asked to complete a social value action plan, which contains specific actions related to modern slavery. The data from these plans is reviewed to understand the progress the suppliers are making.
Report on the progress of our suppliers in responding to modern slavery.	Modern slavery has been added as an item on contract management agendas and is raised as a specific discussion topic. By using the data from the social value action plan we can identify gaps in progress and target any further engagement required through contract management.

Staff recruitment, development and support

We will ensure our own staff and employees across the whole organisation are aware of modern slavery and are able to spot where abuses are taking place. We will ensure:

Action

Our staff receive training on modern slavery considerations and how to spot the signs of abuse.

Evidence of progress includes

Modern slavery considerations are identified Whilst the many members of staff across the force have received training on modern slavery this will be an on-going process. Humberside Police is working on Operation Wilberforce, which is rolling out training across the force and within the region.

Suppliers in high-risk categories are asked to share their plans for engaging their staff on modern slavery.

A free Social Value Action Planning Tool is being rolled out across high-risk suppliers. Included with the tool are a number of staff engagement and training actions for suppliers together with free resources. Progress on these actions is monitored and engagement opportunities identified.

All our staff and volunteers, irrespective of their role, will continue to be vetted to nationally recognised standards, ensuring the risk of modern slavery within the workforce is low.

All staff and volunteers undertake vetting – NPPV1, NPPV2, NPPV3 or SC vetting regardless of role. This is a force requirement. This also includes the majority of contracts where staff are coming onto police premises or have access to police information.

Our work on modern slavery is extended and embedded across the whole breadth of policing.

Across the force there is an active programme of training and support for departments and individuals. This is an ongoing process.

National Referral Mechanism statistics

The National Referral Mechanism (NRM) is a framework for identifying and referring potential victims of modern slavery and ensuring they receive the appropriate support.

In 2024, the UK’s National Referral Mechanism (NRM) recorded its highest number of referrals since the system began, with 19,125 potential victims of modern slavery identified a 13% increase from 2023. Nearly one-third of these referrals involved children (31%), and the most common forms of exploitation were labour exploitation (32%) and criminal exploitation. UK nationals accounted for the largest proportion of referrals (23%), followed by Albanian and Vietnamese nationals. Alongside NRM referrals, 5,598 adults were reported under the Duty to Notify process after declining formal referral, also the highest on record. These figures highlight the growing scale and complexity of modern slavery in the UK and reinforce the need for robust local action to identify and support victims

The following table presents data on potential victims of modern slavery identified within the Humberside Police area. These figures reflect referrals made through the National Referral Mechanism (NRM) and cases recorded under the Duty to Notify process. They provide insight into the scale and nature of exploitation locally, including trends in adult and child victim profiles, types of exploitation, and year-on-year changes. This information is intended to support transparency and inform targeted actions by local authorities, law enforcement, and partner agencies in tackling modern slavery across the Humber region.

National Referral Mechanism and Duty to Notify Statistics 2024: by Exploitation Type by Humberside Police as the first responder	
Exploitation Type	Number of 2024 Referrals
Criminal	48
Labour	2
Labour & Criminal	8
Labour, Domestic & Criminal	1
Sexual	1
Sexual & Labour	1
Sexual, Labour & Criminal	1
Not Specified or Unknown	8

National Referral Mechanism Statistics 2024: by Police Force responsible for investigation (Humberside Police)			
Police Force	Adult (18 or over)	Child (17 or under)	Not Specified
Humberside Police	107	134	0

National Referral Mechanism Statistics 2024: Duty to Notify Report by First Responder (Humberside Police)

Police Force	Adult (18 or over)
Humberside Police	107

First responder organisations

A 'first responder organisation' is, in England and Wales, an authority that is authorised to refer a potential victim of modern slavery into the National Referral Mechanism. The current statutory and non-statutory first responder organisations are:

- Police forces
- Certain parts of the Home Office:
 - UK Visas and Immigration
 - Border Force
 - Immigration Enforcement
- National Crime Agency
- local authorities
- Gangmasters and Labour Abuse Authority (GLAA)
- Salvation Army
- Migrant Help
- Medaille Trust
- Kalayaan
- Barnardo's
- Unseen
- BAWSO
- New Pathways
- Refugee Council

First responder organisations have the following responsibilities. These responsibilities are invested in the organisation, and it is for the organisation to decide how it will discharge these responsibilities:

- identify potential victims of modern slavery and recognise the indicators of modern slavery
- gather information to understand what has happened to them
- refer victims into the NRM via the online process (in England and Wales this includes notifying the Home Office if an adult victim doesn't consent to being referred - DtN)
- provide a point of contact for the competent authority to assist with the Reasonable and Conclusive Grounds decisions and to request a reconsideration where a first responder believes it is appropriate to do so

A first responder is an individual working at a first responder organisation that is involved in discharging one of the duties of the organisation listed above.

Our work locally

In Humberside, our partnership approach has ensured the appointment of a Modern Slavery Co-ordinator position for the Humber Modern Slavery Partnership (HMSP). The post is based at the Wilberforce Institute and funded by the PCC for Humberside via the Community Safety Partnerships. The HMSP is a strategic partnership of front-line organisations, working with Humberside Police and other key partners, across the Humber area; dedicated to tackling all forms of modern slavery and human trafficking by disrupting identified organised crime, prosecuting perpetrators, and supporting victims in or out of the National Referral Mechanism (NRM).

The Modern Slavery Human Trafficking Team (Operation Wilberforce) is located within the Protecting Vulnerable People Unit within Specialist Command overseen by ACC (Crime). This dedicated team provide specialist training, support and guidance to colleagues to help them understand this complex issue in more detail. They also take the lead in investigating and responding to any allegations of modern-day slavery and human trafficking by actively targeting criminals and organised crime groups operating in this crime area. The team retains ownership for the investigation and disruption of identified individuals, OCG's and criminal networks as well as providing support to investigations across the North bank and South bank crime teams.

The team supports the National Referral Mechanism to signpost victims for further support and undertake proactive activities to gather intelligence and safeguard potential victims. The team build relationships across charities, local authorities, education, health, local communities and local businesses to create a proactive forum to raise awareness across our communities to gather intelligence and work together to protect the most vulnerable within society.

The Humber Modern Slavery Partnership has led the way on defining training and development within the region. A model has been created with partners, which has significantly raised awareness of modern slavery as well as our own commitments and activities across the region.

In October 2024 the HMSP held a Modern Slavery Conference at Melton Police base attracting a wide range of partners to be briefed on the latest developments within the network. In conjunction the PCC worked with HMSP and the CSPs to fund a refreshed awareness campaign that was launched at the conference and continues to be in operation.