

**Joint Report of the Chief Constable and Chief Executive
to the Chair and Members
of the Audit & Internal Control Panel
26th November 2009**

**Executive Officer: Joe McCarthy Chief Executive
Ann Hall Assistant Chief Officer
(Finance & Procurement)**

**Presented by : Paul Kirkham
Status: For Decision**

Annual Governance Statement

1 Purpose

- 1.1 Authorities, including Police Authorities, are required to prepare an Annual Governance Statement. Though the statement is published within the Annual Statement of Accounts, it should be considered and agreed as a separate document as it is about all corporate controls and not confined to financial issues. Guidance from CIPFA envisages that the statement is reviewed by a Member group during the year (rather than just at year end) as an integral and indeed critical component of the review process.
- 1.2 The Audit and Internal Control panel has been tasked with this role in the light of its other remits.
- 1.3 The purpose of this report is firstly to update the panel on progress against significant governance issues, and the action points for improvement, identified in the 2008/2009 Statement (approved by the Police Authority Executive on the 4th June 2009).
- 1.4 Secondly it sets out a broad timetable to produce a near final draft of the Statement for consideration by the Panel on the 25th March 2010. The final statement will be prepared for the year ending 31st March 2010, and up to the date of approval of the annual accounts, and formal approval sought then.

2 Recommendations

That Members

- 2.1 Note the current progress against the significant governance issues and action points for 2009/2010 identified in the 2008/2009 Annual Governance Statement.
- 2.2 Agree the proposed timetable as outlined in Table 2 for review and production of the 2009/2010 Statement.
- 2.3 Agree to the proposal to establish a programme of semi-structured interviews of officers to further the assurance work of the Panel.
- 2.4 Agree that the first matter to be explored in the programme established at recommendation 2.3. relates to the governance issues identified in the AGS 2008/2009.

3 Reasons

- 3.1 A copy of the 2008/2009 Statement approved on 4th June 2009 is contained at Appendix A.

4 Significant internal control and action points for 2009/2010 arising from the 2008/2009 Statement - progress

- 4.1 Force organisational governance has been the subject of change in part in response to the challenge of integration of business and financial planning. Further work is needed to embed the principles, concepts and processes of corporate governance, flowing from the Code of Corporate Governance updated in June 2008, through training and communication to the Force, stakeholders and contractors.

Under the umbrella of the Force Organisational Governance Project substantial progress was made in resolving or mitigating many of the control weaknesses previously reported. However, it was recognised that the management arrangements for corporate governance were neither consolidated nor streamlined. Consequently, the Force restructured and consolidated the leadership of governance activities, namely corporate planning, ownership of the governance framework risk management and service continuity into the rebadged Corporate Planning & Governance Service Unit in May 2009. The Unit is headed by a Service Unit Manager with experience of developing and managing systems of organisational governance including business planning, risk management and performance management at a corporate level. Two of the key objectives of the Service Unit are to:

- Implement a corporate planning process that will identify the policing priorities and translate those broad strategic objectives into practical and tangible plans that will incrementally deliver Putting People First.

- Implement a corporate governance framework that ensures strategic priorities drive all significant activity and that our people, policies and systems are operating effectively and are focused on key service risks.

Draft governance proposals were considered by the Force Executive and Service Development Group in September 2008 and have been the subject of further discussion and refining, culminating in a more simplified set of arrangements which were agreed in July 2009. The arrangements covered the following sections of the developing Force Corporate Governance Framework:

Corporate Governance Framework

Introduction

Section 1 Decision Making Framework

- 1.1. Delegation of Authority
- 1.2. Corporate Planning Cycle
- 1.3. Strategy Development

Section 2 Control Framework

- 2.1. Contract Standing Orders
- 2.3 Policy and Procedure
- 2.4 Scanning & Liaison

Further Sections will be uploaded and go live before the end of the year as follows:

Section 1 Decision Making Framework

- 1.4. Corporate Meeting Framework

Section 2 Control Framework

- 2.2 Standing Financial Instructions
- 2.5 Service Unit Performance Reviews
- 2.6 Corporate Programme Management
- 2.7 Corporate Action Plan Management
- 2.8 Capital Projects

Section 3 Prevention Framework

- 3.1. Service Continuity
- 3.2. Corporate Risk Management
- 3.3. Health and Safety
- 3.4. Information Security

4.1.3 Commencement of the formal implementation of the Force's Corporate Governance Framework was announced by Administrator message on 6th October and this is being supported by a micro site administered by Corporate Planning & Governance.

4.1.4 Now that this Force Framework is being rolled out arrangements need to be put in place to provide appropriate training on the Code of Corporate Governance to key staff, stakeholders and contractors.

4.2 The Force has made progress in developing risk management and to plan for major business disruption via business continuity planning. It is acknowledged that a considerable amount of progress remains to be made.

The risk management & service continuity functions are now consolidated into the Corporate Planning and Governance Service Unit as reported above.

4.2.1 Progress is being made within the Force relating to development of service continuity plans, and this work is being guided by an implementation programme covering the next few years. It is planned to complete the baseline assessment of all service units by the end of this calendar year. In turn this is cascading into the population of risk registers and revised mechanisms – risk register software – to support monitoring and review.

4.2.2 Elsewhere on the agenda for today's panel meeting there is a report on the CPA risk register. It also includes narrative relating to the Joint Risk Management Group that has been set up. Approval of the suggested remit of that group will assist with consolidation of the steady progress made to date and will support further work.

4.3 Significant progress has been made to integrate business and financial planning during this last year. However further developmental work needs to be undertaken, and the mechanisms need to run through further cycles before the arrangements can be judged to be fully embedded.

4.3.1 Building on the work undertaken last year there has been a further series of planning and development days within the Authority and the Force. This is exemplified below in Table 1

4.3.2 A continuous forward looking, cyclical process involving wider consultation, the policing plan and financial planning, with a 3-4 year planning horizon.

Objectives -

Continued focus on the frontline

Maintain the number of Police Officers and PCSOs

Embed Neighbourhood Policing

Strengthen Protective Services

Enhance effectiveness of officers/staff

Continue to drive performance improvements.

Maintain financial and operational resilience

Maintain Financial Stability and effective Financial Management over the plan period.

Key areas for further improvement

- Wider consultation on budget options taking account of outcomes from the cycle of consultations about policing priorities.
- Building on the closer integration of business and financial planning.

Table 1

Period	Police Authority	Force
April	Ongoing cycle (commenced in October of previous year and finishing October this year) of Public consultation about policing priorities. Revenue and Capital Monitoring.	
May	Environmental scanning taking account of local and national issues. Review and update strategic objectives. Identify key issues and opportunities (continuous process). Review of Statement of Accounts for previous financial year to assess implications for current and future years' budgets. Annual Governance Statement (AGS) identifies any significant improvements required to business and financial planning arrangements (see key areas for improvement above)	
June	Review of Revenue and Capital Outturn to inform current and future years' budgets.	
July	Review of Long Term Financial Plan Revenue and Capital Monitoring – current year	Planning Day which informed the review of the Long Term Financial Plan and draft Policing Plan.
August	Planning Day 14 th August Including Scenario Planning e.g. implications of various Council Tax levels.	
September	Revenue and Capital Monitoring – current year	
October	Commence <u>new</u> cycle of public consultation.	Planning Day including Scenario Planning discussed at CPA in August.
November	Report on outcomes from the <u>completed</u> cycle of Public Consultation about	

Period	Police Authority	Force
	<p>policing priorities, and which feed into Policing Plan for next financial year.</p> <p>Revenue and Capital Monitoring – current year</p>	
December	<p>Review implications of National Finance Settlement.</p> <p>Update LTFP</p> <p>Policing Plan and Financial Implications briefing 15th December</p> <p>Agree draft budget for Consultation</p> <p>Commence budget consultation with key stakeholders.</p>	<p>Planning Day reviewing key issues for the Force including requests to the CPA for changes in the budget, and proposed reductions / savings.</p>
January	<p>Complete budget consultation, collate and report on results.</p> <p>Revenue and Capital Monitoring – current year</p>	
February	<p>Determine for the next financial year the:-</p> <p><i>Revenue Budget</i></p> <p><i>Capital Budget and</i></p> <p><i>Council Tax</i></p> <p>Agree the LTFP</p>	
March	<p>Agree Policing Plan including performance targets for next financial year.</p> <p>Revenue and Capital Monitoring – current year</p>	

4.3.3 In November 2009, the Chief Constable initiated a review and refresh of the Force's delivery strategies for front line 'business' critical areas including citizen focus, neighbourhood policing, crime reduction, antisocial behaviour, drugs and alcohol and protective services. The refreshed strategies will tell a clear and coherent story in respect of the Force's stated intention and direction in a particular business critical area that explains the rationale for individual activities and how they fit together in an interconnected system. They will form the bridge between the corporate objectives and day to day operations.

5 The 2009/2010 Annual Governance Statement

5.1 Proposed Timetable

Table 2

1.	Review 2008/2009 AGS and begin to ascertain progress against the significant governance issues.	1 st November 2009
2.	Submit proposed timetable to Audit & Internal Control Panel	26 th November 2009
3.	Re-engage the PURE & AGS Group	2 nd December 2009
4.	PURE & AGS Group collate and review evidence.	December 2009 to March 2010
5.	Initial Draft of 2009/2010 AGS to Audit & Internal Control panel (paper to be ready by 6 th January 2009)	20 th January 2010
6.	Confidential meetings of Panel to conduct semi-structured interviews	January to March 2010
7.	Near Final Draft of 2009/2010 AGS to Audit & Internal Control panel (paper to be ready by 9 th March 2010)	25 th March 2010
8.	Final Draft of 2009/2010 AGS to Audit & Internal Control panel (paper to be ready w/c 10 th May 2010)	3 rd June 2010
9.	Version recommended by Audit & Internal Control Panel, approved by Police Authority Executive and signed by the Chief Executive, Chief Constable and Chair of the Authority.	10 th June 2010

5.2 Members will recall that the Panel undertook a self assessment last year supported by the Audit Commission and your officers. Implementation of the action plan arising from the self assessment provided a good base on which to build and develop the work of the Panel.

5.3 It is suggested that now is the appropriate time for the Panel to move forward on its assurance function. For example within the AGS process the Panel determines "Sources of Assurance" (see Report of 28th May 2009 at Appendix B), i.e. providers of information it needs to assist in reaching its conclusions. It is proposed that the Panel meets confidentially and conducts semi-structured

interviews with officers to facilitate discussion which would not otherwise be possible in a public forum.

- 5.4 Though there would be an initial primary emphasis on those significant internal control issues identified in the AGS the overall approach could be extended to other areas such as the Internal Audit programme. In undertaking this work the Panel will need to remain mindful of the resource implications.
- 5.5 Item 6 in Table 2 provides for an AGS issue to be explored during the first quarter of 2010. The suggestion for the Panels consideration is "Governance" as referenced at para 4.2 above.
- 5.6 It is further suggested that programme of interviews, on the basis of no more than one issue per quarter, be agreed with the Force and the Authority.

6 Risks

- 6.1 Publication and approval of the Annual Governance Statement is a mandatory requirement. Failure to achieve this would undermine the Authority's progress in promoting corporate governance and driving up performance.
- 6.2 The Authority could also expose itself to risk to its reputation if the External Auditor concluded that proper practices were not being followed in preparing the AGS, and commented on this in a public report.
- 6.3 The arrangements set out in this report mitigate these risks.

7 Conclusions

- 7.1 The purpose of the Annual Governance Statement process is to provide a continuous review of the effectiveness of an organisation's governance arrangements including internal control and risk management systems. This is intended to give assurance on their effectiveness or otherwise leading to an action plan to address identified weaknesses.

Sean Price
Chief Constable

Joe McCarthy
Chief Executive

Background Papers

Accounts and Audit Regulations 2003

Accounts and Audit (Amendment) (England) Regulations 2006 – SI564/2006

CIPFA/SOLACE Framework Delivering Good Governance in Local Government

CIPFA/APA/ACPO
Delivering Good Governance in Local Government

Appendix A



Annual Governance Statement

Position as at 31st March 2009 including plans for the financial year 2009/2010

1. SCOPE OF RESPONSIBILITIES

- 1.1 Cleveland Police Authority is responsible for ensuring its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Authority also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility, the Authority is also responsible for putting in place proper arrangements for the governance of its affairs and facilitating the exercise of its functions, which includes ensuring a sound system of internal control is maintained through the year and that arrangements are in place for the management of risk.
- 1.3 At its meeting on 11th December 2007, the Authority approved and adopted a revised Code of Corporate Governance, and which is compliant with CIPFA/SOLACE principles of good governance, and guidance. It has been the subject of regular review and updating since then. A copy of the current Code is on our [website](#) or can be obtained from Cleveland Police Authority, Police Headquarters, Ladgate Lane Middlesbrough, TS8 9EH.
- 1.4 This statement explains how the Authority has complied with the code and also meets the requirements of regulation 4(2) of the Accounts and Audit regulations 2003 as amended by the Accounts and Audit (Amendment) (England) regulations 2006 in relation to the publication of a statement on internal control.

2. THE PURPOSE OF THE GOVERNANCE FRAMEWORK

- 2.1 The governance framework comprises the systems and processes, and culture and values by which the Authority is directed and controlled and its activities through which it accounts to and engages with the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services, including achieving value for money.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable and foreseeable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them effectively, efficiently and economically.
- 2.3 An approved governance framework has been in place at the Authority for the year ended 31st March 2009 and up to the date of approval of the statement of accounts on 4th June 2009.

3 THE GOVERNANCE FRAMEWORK

3.1 Although the Chief Constable is responsible for operational policing matters, the direction and control of police personnel, and for putting in place proper arrangements for the governance of the Force, the Authority is required to hold him or her to account for the exercise of those functions and those of the persons under his/her direction and control.

3.2 It therefore follows that the Authority must satisfy itself that the Force has appropriate mechanisms in place for the maintenance of good governance, and that these operate in practice.

The Authority

3.3 The authority now has a well established process to review its Code of Governance at least annually, and to ensure its panel structure meets its needs. Material changes to the Code were agreed at the meeting on 5th June 2008. Also during 2008 the structure was changed to add two new panels: Strategic Air Support Panel; and Strategic Procurement & Major Projects Panel.

3.4 The Audit & Internal Control Panel has the remit to act as the Authority's Audit Committee. Force performance is scrutinised by the Strategic Policing and Performance panel, whilst responsibility for overseeing financial management, efficiency and effectiveness rests with the Policy & Resources (Corporate Development) panel. All panels report to the Police Authority Executive on a six weekly cycle. The frequency of meetings has changed to promote more timely decision making and this has been assisted by an annual timetable for reporting to panels.

3.5 The Code of Corporate Governance is accessible through the authority's website. It meets the principles of the CIPFA/SOLACE Framework: Delivering Good Governance in Local Government. The next major review is to be considered at the authority's June meeting.

3.6 A further appraisal of member training needs was completed in year, and this has informed the programme of training undertaken in 2008/2009. Training has encompassed: Annual Governance Statement; Proceeds of Crime Act; Child Sex Offenders pilot project; Finance including integration of business and financial planning; Audit; Contract Standing Orders; Performance Management and Comprehensive Area Assessment.

The Force

3.7 Within the Force, the Chief Constable has assigned to members of his Force Executive specific areas of responsibility, including key elements of the internal control environment. Executive officers attend those panels whose remits cover their areas of responsibility to present reports and answer questions on behalf of the Chief Constable. The Chief Constable particularly attends the Policy & Resources Panel, and Police Authority Executive meetings.

3.8 The work of the Force Executive is supported by Service Units.

3.9 This support structure is designed to manage service delivery whilst ensuring that effective governance is applied throughout the Force. Corporate Planning and Performance Unit has direct responsibility for business planning, policy co-ordination, change and corporate performance management. Whilst the Operational Performance Team has a more day to day focus on improving Force performance including operations audit, inspection and review. The Strategic Development Group oversees development of operational and business policies. This is chaired by the Chief Constable. It follows the Chief Constable's operational vision of Putting People First, and is guided by the local and national Policing Plan, applicable legislation and best practise. All of these have key roles in corporate governance.

3.10 The Force Performance Management Framework is now well established with monthly performance reviews with service unit managers by the Executive lead officers.

- 3.11 The Chief Constable has tasked the Deputy Chief Constable to lead the Project Board which co-ordinates the efforts of the Force to ensure a sound system of governance and to co-ordinate an appropriate response to the significant governance issues listed at Section 5 of the Statement.

4. **REVIEW OF EFFECTIVENESS**

- 4.1 The Authority has responsibility for conducting, at least annually, a review of the effectiveness of the governance framework, including:

- the system of internal audit
- the system of internal control

- 4.2 These reviews have been completed by the work of the PURE & Annual Governance Statement Group (PURE & AGS group), internal auditors, Panels and also managers within the Authority and Force who have the responsibility for the development and maintenance of the governance environment. In addition comments made by the external auditors and other review agencies and inspectorates have informed this review. Brief comments on their roles are as follows:-

- The PURE & AGS group

This is a multidisciplinary team comprised of representatives from the Police Authority and the Force, and internal audit. Its role is to conduct the review of governance arrangements including systems of internal control, in accordance with CIPFA guidance. This is achieved by gathering evidence and for example, surveying managers about compliance with the control framework. The outcome of its work is reported to management and to the Audit & Internal Control Panel. One outcome is the drafting of the Annual Governance Statement, including identification of areas for improvement, for management and Member scrutiny.

- Internal Audit:

The responsibility for maintaining and reviewing the system of internal control rests with the Authority. In practice however the Authority takes assurance from the work of Internal Audit (it has procured its Internal Audit function from Bentley-Jennison). In fulfilling this responsibility:

- Internal Audit operates to CIPFA's Code of Internal Audit Practice 2006 and the Accounting Practices Board Guidance for Internal Auditors. The Authority received a self assessment from internal audit on 28th May 2009 in relation to compliance against the 2006 CIPFA Code. It is satisfied that Internal Audit operates to the standards set out in the Code and can take assurance from their opinion.
- The Code requires the Head of Internal Audit to include in the annual internal audit report an opinion on the internal control environment; providing any details of weaknesses that qualify this opinion and bringing to the attention of the Authority any issues particularly relevant to the preparation of this Annual Governance Statement. The Audit & Internal Control Panel formally received the Internal Audit Annual Report for 2008/2009 on 28th May 2009 and endorsed the Head of Internal Audit's assurance on internal control.
- Internal Audit reports to the Chief Executive and the Audit & Internal Control Panel. The Chair and Vice Chair meet privately with the Head of Internal Audit. In addition, prior to each meeting of the Panel all of its Members have a collective opportunity to meet with the Head of Internal Audit.

- Internal audit work is planned using a risk-based approach that aims to ensure that the Treasurer's responsibilities under Sec 151 and 144 are fulfilled and that an effective internal audit service is provided to the Authority.
- External Audit – the Audit Commission in its annual audit letter reports on:
 - The Authority's accounts; and
 - Whether the Authority has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources.

External audit express an opinion on the adequacy of internal audit work. After each meeting of the Panel all of its Members have a collective opportunity to meet with the Audit Manager.

- Audit and Internal Control Panel

This panel acts as the Audit Committee for the Authority. During 2008-2009 the Panel has met formally on six occasions to conduct its business. Business includes, but is not limited to consideration and scrutiny of: proposed changes to internal control arrangements such as new Contract Standing Orders; exemptions from tendering; the Annual Governance Statement; and the Annual accounts. It also receives all internal audit reports, and those from the external auditors related to its remit. Implementation of recommendations from these reports is reported to the panel.

During the year the panel has agreed two significant policies namely: the Whistle-blowing Policy and the Counter Fraud & Corruption Policy. Both of these were informed by specialist advisory work commissioned from the authority's internal auditors. Together with the Fraud Response plan they represent a re-emphasis and strengthening of the authority's approach to managing the risk of fraud.

With the assistance of the Audit Commission the panel concluded a process of self assessment in November 2008. Designed to identify and remedy any significant shortfalls against best practice, this proved to be a very helpful process in developing the panel's core knowledge and was exceptionally well attended by the panel membership. Progress against the approved action plan was reported to the panel's March 2009 meeting.

- Strategic Policing and Performance Panel

The Panel's remit includes monitoring and scrutinising the Force's performance; in reducing crime and increasing offences brought to justice; against the operational objectives set in the Annual Policing Plan; and against the components of the Assessment of Policing & Community Safety.

- Complaints Panel

To ensure the Authority fulfils its role to secure an effective and efficient police service in respect of complaints against police (CAP).

- Standards Committee

The Standards Committee is a requirement of the Local Government Act 2000. This Committee deals with statutory issues such as hearing cases referred by the Standards Board. The Standards Committee has an Independent Chair and Vice Chair who are not regular members of the Police Authority but classed as co-opted members for this purpose.

4.3 Assurance is drawn from a number of other sources. For example HMIC, Health & Safety Inspectorate, external insurers, partners and organisations such as the courts. The Audit & Internal Control Panel reviewed the sources of assurance in March 2009 as part of the AGS process. This review takes place annually.

- 4.4 We have been advised on the implications of the result of the review of the effectiveness of the governance framework by the Audit & Internal Control Panel and a plan to address weaknesses and ensure continuous improvement of the system is in place.

5. SIGNIFICANT GOVERNANCE ISSUES

- 5.1 The Force has established a Project Board to monitor and drive programmes of work, assisted by the Police Authority, which will help develop and enhance existing arrangements for corporate governance. In the last two years sufficient progress has been made on the significant issues identified for us to conclude that they no longer need to be classified as significant.

- 5.2 However there are still issues which require continued focus:

- Force organisational governance has been the subject of change in part in response to the challenge of integration of business and financial planning. Further work is needed to embed the principles, concepts and processes of corporate governance, flowing from the Code of Corporate Governance updated in June 2008, through training and communication to the Force, stakeholders and contractors.
- The Force has made progress in developing risk management and to plan for major business disruption via business continuity planning. It is acknowledged that a considerable amount of progress remains to be made.
- Significant progress has been made to integrate business and financial planning during this last year. However further developmental work needs to be undertaken, and the mechanisms need to run through further cycles before the arrangements can be judged to be fully embedded.

- 5.3 We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed this 4th June 2009 by

Cllr Dave McLuckie
Chair of Cleveland Police Authority

Joe McCarthy
Chief Executive of
Cleveland Police Authority

Sean Price QPM
Chief Constable of
Cleveland Police

On behalf of the Members and officers of
Cleveland Police Authority and Cleveland Police.

Appendix B

**Joint Report of the Chief Executive and Chief Constable
To the Chair and Members of the
Audit and Internal Control Panel
28th May 2009**

Executive and Presenting Officer:

**Joe McCarthy Chief Executive
Ann Hall ACO (F&C)**

Report Author: Paul Kirkham

Status: For Agreement

**The Annual Governance Statement 2008-2009
Sources of Assurance**

1. Purpose of this Report

- 1.1 This report is intended for the Audit and Internal Control Panel to review and comment on the Sources of Assurance as part of the process of establishing the assurance framework in support of the Annual Governance Statement

2. Recommendations

Members are asked to

- 2.1 Agree the final version of the Sources of Assurance.

3. Reasons

- 3.1 At its meeting on 11th December 2007 the Police Authority Executive received and agreed a report in relation to the requirements to produce an Annual Governance Statement. Members were advised that the mechanism to be used was to be the same group that prepared the Statement of Internal control (SIC). As with the SIC work the methodology used has been to follow the CIPFA "Rough Guide" in this case - "The Annual Governance Statement – meeting the requirements of the Account and Audit Regulations 2003 – Incorporating Account and Audit (Amendment)(England) Regulations 2006.

- 3.2 Elsewhere on this agenda there are other reports arising from various elements of the advice in the Rough Guide.

- 3.3 As part of the framework for preparing the Annual Governance Statement the PURE & Governance Work Group has identified through its work, the Sources of Assurance which underpin the provision of assurance on the adequacy and effectiveness of controls over key risks.

- 3.4 Members reviewed the list of sources at your meeting on 26th March 2009. Since then your officers have considered the list afresh. Changes to the list are shown in italics. These sources of assurance link directly to another report elsewhere on the agenda relating to key controls and the extent to which positive assurances, or otherwise, have been obtained.

4. Sources of Assurance

Corporate

Statutory Officers
Chief Executive / Clerk
Chief Constable
Monitoring Officer

Section 151 Officer
Code of Corporate Governance
Panels of the Authority
~~Audit and Internal Control Panel~~
Solicitor to the Chief Constable

Management

Deputy and Assistant Chief Constables
ACO (Finance & Commissioning)
Head of Corporate Planning and Performance
Head of Legal Services
Head of People and Organisational Development
Head of IT
Professional Standards Unit
Fire and Safety Unit
Strategic Performance Group
Strategic Development Group
Resource Management Group
Manager Secretariat
Service Unit Managers
Operational Performance Team (OPT)

Audit and Inspection

Internal Audit
Audit Commission
Her Majesty's Inspector of Constabulary
Health and Safety Inspectorate

Other Sources of Assurance

Force Organisational Governance Framework
Corporate Performance Management Framework
Management Performance Reviews
Project Management Principles and Framework
Risk Management Framework
Reports to Force Executive, Police Authority, and Panels
Home Office
Police Crime and Standards Directorate
Employment Tribunals
External Insurers
Courts
Regularly reviewed complaints statistics
Good Governance Standards e.g. CIPFA/SOLACE
GONE
Local Strategic Partnerships (LSP)
Crime & Disorder Reduction Partnerships (CDRP)
National Intelligence Model
Crime Recording Standards
Incident Recording Standards

5 Implications

5.1 Finance

There are no specific monetary implications within the report. Activity relating to making improvements is being met from existing budgets.

5.2 Sustainability

There are no staffing implications.

- 5.3 Diversity and Equal Opportunities
There are no diversity or equal opportunity implications in this report.
- 5.4 Risk
This report is focused on organisational health and governance issues which if not addressed represent risks to the reputations of the Police Authority and the Force.
- 6 Conclusions
- 6.1 This report represents the progression of advice in the CIPFA – Rough Guide to the AGS.

Joe McCarthy
Chief Executive

Sean Price
Chief Constable