

**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