

**Joint Report of the Treasurer and Chief Constable
To the Chair and Members of the
Audit and Internal Control Panel
3rd June 2010**

Executive and Presenting Officer:

**Paul Kirkham Treasurer
Ann Hall ACO (F&C)**

Report Author: Paul Kirkham

Status: For Agreement

**The Annual Governance Statement 2009-2010
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 –

- 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 28th May 2009. Since then your officers have considered the list afresh. Any 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
Force Corporate Governance Framework.
Panels of the Authority
Solicitor to the Chief Constable

Management

Deputy and Assistant Chief Constables
ACO (Finance & Commissioning)
Head of Corporate Planning and *Governance*
Head of Legal Services
Head of People and *Diversity*
Head of ICT
Professional Standards Department
Risk, Resilience and Safety Unit
Strategic Performance Group
Strategic Development Group
Resource Management Group
Manager Secretariat
Service Unit Managers
Operational Performance Team (OPT)
Project Boards

Audit and Inspection

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

Other Sources of Assurance

Corporate Performance Management Framework
Management of 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.

Paul Kirkham
Treasurer

Sean Price
Chief Constable