

STAFFORDSHIRE POLICE AUTHORITY

ANNUAL GOVERNANCE STATEMENT 2009

1. Context

The Police Authority approved its plan and budget for 2009/10 in February 2009. The governance arrangements to manage these are laid out in this document. Following consultation this has been reviewed and updated from the previous Annual Governance Statement and amendments are highlighted in italics for members' information.

2. Scope of Responsibilities

The Staffordshire Police Authority, (referred to as the Authority in the remainder of this statement), is responsible for ensuring that its business is conducted in accordance with the law and proper standards, that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively. The Authority also has a duty of care under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the Authority is also responsible for ensuring that there is a sound system of internal control which facilitates the effective exercise of the Authority's functions and which includes arrangements for the management of risk.

The Authority has approved and adopted a Code of Corporate Governance, which is consistent with the principles of the CIPFA / SOLACE Framework: Delivering Good Governance in Local Government. A copy of this is on our website at www2.staffordshire.gov.uk/policeauthority or can be obtained from Don McBain at the Chief Executive's Office, Staffordshire Police Authority, Police HQ, Cannock Road, Stafford, ST17 0QG.

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 2006 in relation to the publication of a statement of internal control.

3. The Purpose of the Governance Framework

The governance framework comprises the systems, processes, culture and values by which the Authority is directed and controlled, and the 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.

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide a reasonable, and not an 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 efficiently, effectively and economically. Risks are recognised in the Authority's and Force's risk registers which have been substantially developed during 2008/09.

The governance framework has been in place at Staffordshire Police Authority for the year ended 31st March, 2009 and up to the date of approval of the Annual Report and Statement of Accounts.

4. **The Governance Framework**

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 to account for the exercise of his functions and those of the persons under his direction and control. 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 key elements of the systems and procedures that comprise the governance arrangements within Staffordshire Police are detailed in the following section.

Identifying and communicating the Authority's vision of its purpose and intended outcomes for citizens and service users.

The Police Authority approves the policing objectives, which are incorporated in the Policing Staffordshire Strategy and Plan.

- The full Authority considers the strategic direction, plans and progress of the Authority, with lead members for a variety of key areas who lead the strategy review groups.
- A range of member Committees regularly reviews specific policy areas including the Performance, Audit and Citizen Focus Committee, the Human Resources Committee, the Professional Standards Committee, the Custody Visitors Committee, the Liaison and Consultation Committee and the Standards Committee.
- Regular facilitated workshops and development seminars for members are arranged to identify and discuss issues which may affect the Authority. These issues are often raised by lead members.
- The Authority and the Force undertake extensive and statistically significant consultation processes with over 30,000 people to inform policy and decision making. A Safer Staffordshire newspaper detailing policing issues, priorities, performance and finances and contact names and details is issued to each household in the County and bespoke neighbourhood newsletters are distributed in NPU and NMA areas.
- Consultation is also undertaken with partners (eg. through Local Area Agreements and Crime and Disorder Reduction Partnerships).
- Regular reports are made to the Authority and the Performance, Audit and Citizen Focus Committee of compliance with current initiatives and external requirements.
- The Authority's policies in relation to policing objectives are directed and delivered by the Chief Constable and, in turn, the force's Chief Officer Management Meetings (COMM).

Reviewing the Authority's vision and strategy and its implications for governance arrangements

- The Authority's Editorial Group reviews and develops annually the vision and strategy elements of the Policing Plan. The Policing Plan is presented by the Force and submits recommendations to the full Authority.
- The full Authority reviews its governance structure, including lead member roles, on an annual basis, to reflect development in the Policing Staffordshire Strategy and Plan.
- The Authority's Corporate and Business Plan is reviewed annually and an action plan approved to reflect the Authority's key priorities and its fit with the Governance Structure.
- Individual Committees etc, as required, submit recommendations to the full Authority on their terms of reference and delegation to reflect changes and developments in the scope of their responsibilities and work.

Setting objectives and targets and their monitoring arrangements

- Key forward-looking performance indicators are established following full and wide consultation.
- The Authority is required to produce an Annual Plan setting out the priorities of the Authority for the year ahead, and also a Strategy on arrangements for the policing of Staffordshire for a three-year period. These are formulated in conjunction with the Force and partners in the community. These priorities are used to direct and manage activity.
- Broader learning and the sharing of best practice has been further enhanced by the establishment of an Officer Corporate Governance Group with representatives from the Authority Officers, the Force, the County Council and Internal Audit.
- Key performance indicators are set within the Plan to support the Authority's priorities. Local targets for performance are negotiated with Basic Command Units to achieve these targets.
- Further development of the approach to performance in support of Trust and Confidence Strategy.
 - 10 key indicators for force – establishing very clearly what success looks like. including the new overarching national target
 - The Force, Executive and Authority monitor all other indicators for vulnerabilities and successes.
- A comprehensive performance monitoring framework is in place to provide timely and accurate information against these indicators.
- Established lines of accountability are in place for meeting objectives and assigning responsibility.
- There is a robust system in place to ensure accountability for performance against targets. Performance figures are routinely presented and discussed at Police Authority meetings, COMM, Force Operational Performance Meetings and divisional performance monitoring forums, with lead Police Authority members holding to account in their specialist areas.
- Real time performance management and demand management figures are available to Management to enable informed decision making.
- The Authority is required to produce an annual budget which is aligned with the Plan and objectives.

- The Authority receives regular reports on the progress against these priorities and targets, financial management and emerging issues. All key targets are subject to close scrutiny and monitoring by the full Authority.
- Each part of the organisation is required to produce a plan with supporting actions showing how it contributes to the delivery of the Authority's priorities.

Measuring the quality of services for users, to ensure that they are delivered in accordance with the Authority's objectives and represent best use of resources

- Understanding Needs and Delivering Services key driver of Force Trust and Confidence Strategy
- Key indicators and targets set for satisfaction levels, understanding the things that matter and dealing with the things that matter
- Force surveys conducted for victims of anti social behaviour, burglary, vehicle crime assaults and road traffic collision
- Daily feedback to operational staff from force surveys to drive improvements in service delivery
- Local witness care survey implemented January 2008 to complement national WAVE survey
- Local satisfaction surveys conducted at BCU level for all types of crime and anti social behaviour
- Citizen Contact Records, Citizen Panel and Feeling the Difference survey being conducted to understand local priorities and perceptions of service delivery
- Mystery Customer initiative introduced January 2008
- Staff Perception Survey questions linked to the Trust and Confidence Strategy
- Corporate Services conducting local research to identify key drivers of satisfaction and confidence.
- The Force is inspected by Her Majesty's Inspectorate of Constabulary (HMIC) and all resulting reports and action plans are reported to and monitored by the Performance, Audit and Citizen Focus Committee.
- The force is also accountable to and inspected by other bodies (for example: the Office of Surveillance Commission, the Children's Board, the Independent Police Complaints Commission)

Risk Management Processes

This is undertaken through:

- Individual risk registers are developed and reviewed for both the Authority and Force with actions to reduce risks monitored.
- Regular reports by internal audit, which include independent opinion on the adequacy and effectiveness of the organisation's system of internal control, together with recommendations for improvement, which are taken to the Performance, Audit and Citizen Focus Committee for consideration.
- The post of Chief Executive to the Authority and delegation to that post of Monitoring Officer responsibilities.
- The Treasurer's responsibility for the legality and propriety of financial transactions.
- Financial and Contract Standing Orders are in place.

- There are professionally qualified finance staff in key roles throughout the organisation.
- HR procedures, supporting terms and conditions of employment for staff and covering all aspects of good employment.
- Improved insurance programme and improved accident claims statistics.
- Improvements in Business Continuity Planning.
- Further development of corporate risk profiles.
- Facilitated by the Risk Management Unit supported by a variety of other risks monitored throughout the Force (e.g. MOPI, professional standards, operational strategic risk register etc.) who now regularly meet to coordinate approaches.
- Management of operational risks through established processes, including the National Intelligence Model.
- Establishment of the H.Q. and Divisional Health and Safety Sub Committees to complement the SPA Forcewide Health and Safety Committee.
- The Risk Management Strategy, which is firmly based on good practice as set out by the National Forum for Risk Management in the Public Sector (ALARM).
- The Force's Professional Standards Department which is responsible for investigating all complaints against the police and internal conduct issues.
- The Authority and the force have whistle blowing policies and procedures and the force has a confidential phone line.
- The force has an anti-corruption unit within the Professional Standards Department. The staff in the unit are highly trained and skilled in covert work, sensitive policing issues and RIPA policies.

Defining and documenting the roles and responsibilities of the Authority and Force and the senior members and officers within each, setting out clear delegation arrangements and protocols for effective communication, and arrangements for challenging and scrutinising Force activity

- There is a scheme of delegation in place delegating powers to the Chief Constable, the Chief Executive and the Treasurer which was reviewed, updated and approved in 2008, and which is subject to ongoing review, as necessary.
- There is a clear Committee and reporting structure with lead members liaising with the Force. Force activities are scrutinised through the Authority and its committees
- All officers and police, and police authority, staff have post profiles defining their roles
- All officers and members have performance development reviews and objectives
- There is an approved protocol for the statutory obligations associated with the roles of the Chief Constable, the Chief Executive and the Treasurer and there is also a protocol on Member/ Officer relations.

Developing, communicating and embedding codes of conduct, defining the standards of behaviour for members, officers and staff

- Value Statement in new Trust and Confidence Strategy
- Visibility and leadership of Executive Team.
- 5 Executive Divisional Visits & briefings
- All members, officers and staff are issued with the relevant Code of Conduct

- All new members receive induction training which includes the importance of ethical behaviour and adherence to the Members Code of Conduct, to which all are signed up.
- Standards of behaviour are monitored through the Professional Standards Committee and the Standards Committee (which has an independent chair). This includes scrutiny of : complaints against the police; levels of instances of “stop and search” and “stop and account”; occasions where police officers have been justifiably excused under Exemptions from Speeding Regulations, for safety camera activations when attending incidents and letters of appreciation.
- All members also sign up to the Authority's anti-discrimination code of conduct
- As referred to above, the Authority has adopted a Protocol on Member/Officer relations to establish a prudential framework for the interface between their respective roles
- There are formalised complaints and grievance procedures. In addition to the Authority's own complaints procedure, Members of the Authority are subject to a Code of Conduct adopted by the Authority in line with that recommended by the Secretary of State and the Standards Board for England, supported by more detailed provisions in the Authority's procedural standing orders.

Reviewing and updating standing orders, standing financial instructions, a scheme of delegation, contract/ procurement regulations, and supporting procedure notes/ manuals, which clearly define how decisions are taken and the processes and controls required to manage risks. Ensuring compliance with relevant laws and regulations, internal policies and procedures, and expenditure that is lawful

- Procedural Standing Orders, Financial Regulations and Contract Standing Orders (with appropriate guidance therein and within-force provisions) were updated and approved by the Police Authority last year
- There is a scheme of delegation which was reviewed and updated last year, and is further reviewed, as necessary.
- Financial instructions and procedure notes are in place but will be reviewed in line with the development of policy revisions
- Internal and external audit examine and report on compliance by the Authority and the force with applicable regulations.
- Professionally qualified finance teams undertake budgetary monitoring and control.
- A Police Authority Corporate Governance Framework has been developed pulling together the principal documentation processes and regulatory monitoring impacting on good and effective corporate governance.

Audit Committee

- The Authority's Performance, Audit and Citizen Focus Committee undertakes all of the requirements of an audit committee, as identified in CIPFA's Audit Committee – Practical Guidance for Local Authorities

Whistle blowing and for receiving and investigating complaints from the public and handling citizen and other redress.

- The Authority's Performance, Audit and Citizen Focus Committee undertakes all of the requirements of an audit committee, as identified in CIPFA's Audit Committee – Practical Guidance for Local Authorities.
- The Professional Standards Committee monitors the application and outcomes of the Force's whistle blowing policy and practice.
- The Force's Professional Standards Department oversees all complaints and Local Resolutions from the public ensuring compliance with The Police Reform Act 2002.
- The Authority and the Force have effective, ongoing dialogue and communications with the IPCC, including a biannual meeting with the Regional Commissioner for the area.
- The Force has an Anti Corruption Unit that investigates information / intelligence received about members of staff - which is overseen by monthly meetings with the DCC
- The Force has a Confidential Phone line on which individuals can leave anonymous information - this number is regularly publicised around the Force.
- The Force also publicises the newly introduced IPCC confidential hotline which any members of staff can access if they prefer.
- The Authority has in place procedures for receiving and investigating complaints made to it about decisions made by or on behalf of the Authority and by its officers; and for receiving and investigating complaints made to it about the conduct of ACPO rank officers under the relevant Conduct Regulations. The outcomes of complaints made about the conduct of ACPO rank officers are reported to the Professional Standards Committee.

Determining the conditions of employment and remuneration of officers and staff

- There are national pay scales for both police officers, police staff and Authority staff.
- Staffordshire Police operates an approved job evaluation scheme.
- Regular strategic and local consultation is undertaken with staff associations.

Identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training

- Development needs of officers and staff are identified through performance development reviews and actions to resolve these needs are responded to in that process
- Authority members are subject to annual performance development reviews which produce bespoke personal development and training plans.
- Members regularly hold development days
- The Force runs an accredited Leadership Development scheme in association with Staffordshire University.

Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation

- The Authority has a well established system of Community Consultation Committees (PACs) – each led and driven by a named member of the Authority.
- The lead member for each PAC has responsibility for ensuring ongoing engagement with relevant communities and partners at the neighbourhood policing level and providing feedback to inform the development of the Authority's policies and priorities.

- Each of the 9 Crime and Disorder Reduction Partnerships (CDRPs) has a nominated Authority member, and members report back regularly to the full Authority.
- The Chair of the Authority serves on the Local Area Agreement (LAA) Strategic Board for Staffordshire and the Authority is also represented on the LAA Safer and Stronger Communities Steering Group.
- Biannually the Authority, with the force, issue to each household the Safer Staffordshire Newsletter – with the ability to comment and contact local officers and staff, and bespoke neighbourhood newsletters are produced and distributed in each NPU/ NMA area throughout the year.
- All Authority members are appointed as relevant BCU link members to ensure effective ongoing liaison with the BCU Commander and other relevant officers and staff and feedback on issues arising from PACs and other contact with communities.
- The Force website has been relaunched in a fundamentally outward facing form and the Authority is currently reviewing and renewing its website for launch during 2009.

Clear Channels of Communication

- Review and development of existing networks - e.g., Neighbourhood Watch and other 'Watch' networks - to rejuvenate these as channels of communication
- Actions in our Diversity Action Plan to identify and develop local networks within diverse communities to assist in communicating with diverse groups
- New, dedicated telephone numbers and support for specific communities/stakeholders - e.g., dedicated telephone number for business community
- Ongoing promotion of details of local police officers and how to contact them. 'E-card' initiative facilitating a range of staff - including front line staff, Area Control Rooms and Customer Satisfaction interviewers - in forwarding local officer details, and how to contact them, to citizens and stakeholders
- Development of a partnership hub to help direct callers for service to the appropriate agencies via just one phone call
- User friendly websites.

Accountability

- Action owners identified in details of local PACs and equivalent meetings
- Responsibilities and accountabilities identified in local 'Problem Solving' records
- Developing citizen focus internet page setting out who is responsible and accountable for local policing
- Details on how to make a complaint against the police on Staffordshire Police internet site

Encouraging Open Consultation

- Police/Police Authority attendance and support for local meetings - e.g., residents meetings, street meetings, etc.
- Open Police Authority Consultation (PAC) meetings with funding provision for promotion and advertising in the local area
- Growing use of 'Blogs' and other internet sites to support open 'dialogue' with citizens' and stakeholders
- Regular briefing notes to local media about open consultation events

- Inclusion of questionnaires in 'Safer Staffs' newspaper giving an opportunity to participate to every household in the Force area and feedback and accessibility through neighbourhood newsletters.
- New meetings calendar and supporting database showing when and where meetings will be held and any related issues or actions
- Development of new local engagement plans designed to ensure consultation arrangements and opportunities that are as comprehensive and extensive as possible

Incorporating good governance arrangements in respect of partnerships and other group working as identified by the Audit Commission's report on the governance of partnerships, and reflecting these in the Authority's overall governance arrangements

- A partnerships register has been established in order for the Authority to fully understand its partnership commitments
- The Financial Regulations cover the regulation of partnerships and to ensure that the purpose of such partnerships is evaluated, and any risks assessed, before the Authority or the force agrees to take part.
- The Authority receives regular updates on Force collaboration arrangements with regional and other partners and on the benefits achieved as a result.

5. Review of Effectiveness

- 5.1 The Authority has responsibility for conducting, at least annually, a review of the effectiveness of the governance framework, including:
- The review of internal audit
 - The review of operation of internal control
- 5.2 These reviews have been completed and brought through the Performance, Audit and Citizen Focus Committee. These reviews were informed by the work of managers within the Authority and the Force who have the responsibility for the development and maintenance of the Code of Corporate Governance, the Annual Governance Statement and internal auditors.
- 5.3 The governance framework has been developed, maintained and reviewed by the Corporate Governance Group which includes members of the Police Authority and the Force, representatives from Internal Audit and external input. This Group reports to the Performance, Audit and Citizen Focus Committee.
- 5.4 We have also been advised on the implications of the result of the review of effectiveness of the governance framework by the audit reports against the framework and no significant governance issues have arisen.

6. Significant Governance Issues

- 6.1 We will continue over the coming year to monitor and review our governance arrangements.

Signed:

David Pearsall
Acting Chair of Staffordshire Police Authority

Adrian Lee
Acting Chief Constable of
Staffordshire Police Force

Alan Wallis
Chief Executive of Staffordshire Police Authority

Date: 15 June 2009

On behalf of the members of Staffordshire Police Authority and Police Force.