STAFFORDSHIRE POLICE AUTHORITY

ANNUAL GOVERNANCE STATEMENT – 2011/12

1.   Scope of Responsibilities

1.1. 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.

1.2. 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.

1.3. 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 www.staffordshirepoliceauthority.org.uk or can be obtained from Paul Brindley, Treasurer to the Authority, Staffordshire Police Authority, Police HQ, Weston Road, Stafford ST18 0YY.

2.   The Purpose of the Governance Framework

2.1 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 2011 in relation to the publication of a statement of internal control/Annual Governance Statement.

2.2 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.

3.   The Governance Framework

3.1 The governance framework has been in place at Staffordshire Police Authority for the year ended 31 March, 2012 and up to the date of approval of the Annual Report and Statement of Accounts.

3.2 <u>Identifying and communicating the Authority's vision of its purpose and intended outcomes for citizens and service users.</u>

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 Audit Committee, the Performance and Resources Committee, the Human Resources Committee, the Professional Standards Committee, the Volunteers 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 in a variety of ways, to inform policy and decision making. A Council Tax leaflet is issued to each household in the Force-area and contains a section on policing priorities, performance, finances and local contact names. Bespoke neighbourhood newsletters are also distributed.
- Consultation is also undertaken with partners (eg. through Community Safety Partnerships).
- Regular reports are made to the Authority and the Audit Committee of compliance with current initiatives and external requirements.
- The Authority's policies in relation to policing objectives are informed and delivered by the Chief Constable and, in turn, the force's Chief Officer Management Meetings (COMM).

3.3 <u>Reviewing the Authority's vision and strategy and its implications for governance arrangements</u>

- The Authority's Joint Planning Panel 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.
- Authority members are able to attend all meetings of Committees should they so wish. Members can take part in discussions but are not able to vote.
- The Authority's 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.

3.4 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 is further enhanced by the establishment of an Officer Corporate Governance Group with representatives from the Authority Officers, the Force, and Internal Audit.
- Key performance indicators are set within the Plan to support the Authority's priorities. Local targets for performance are negotiated with Local Policing Units to achieve these targets.
- Robust approach to performance in support of the Communities First Strategy.
  - Key indicators for force – establishing very clearly what success looks like.
  - 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, Quarterly Performance Reviews and routine operational/departmental performance monitoring forums.
- A change board has been established to co-ordinate and approve significant changes.
- In April 2010 a Strategic Resource Panel was set up in Force to closely monitor Police Officer, PCSO and Police Staff numbers against budget and approves all changes to the establishment and directs the completion of the establishment plan. During 2011 this transitioned to an establishment panel implementing the agreed plans. All staffing decisions are made by this panel who meet regularly with any significant changes decided at the change board.
- 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 annual budget follows the Medium Term Financial Plan and recognises the longer term budgetary implications of decision –making.
- 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 Authority.

3.5 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

- Delivering a quality service is a key driver of the Communities First Strategy
- Key indicators and targets set for satisfaction levels and dealing with the things that matter
- The Performance and Resources Committee monitor satisfaction rates at quarterly meetings, whilst the Joint Engagement and Consultation Panel monitors in more details citizens' views and how they impact on the planning process
- 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
- Citizen Contact Records, Citizens' Panel and Feeling the Difference survey being conducted to understand local priorities and perceptions of service delivery
- Staff Perception Survey questions linked to the Communities First 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 and Resources Committee.
- The force is also accountable to and inspected by other bodies (for example: the Office of Surveillance Commission, the Children's Board and the Independent Police Complaints Commission).

3.6 Risk Management Processes

This is undertaken through:

- Strategic Risk Management Group chaired by the DCC
- Individual risk registers are developed and reviewed for both the Authority and Force with actions to reduce risks monitored.
- Improved force escalation process implemented in December 2010
- 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 Audit 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 supported by qualified HR staff.
- Further development of corporate risk profiles.
- Management of operational risks through established processes, including the National Intelligence Model.

- Establishment of the HQ and Divisional Health and Safety Sub Committees to complement the SPA Force wide 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 Police Authority monitors the handling of complaints by the Force, including a thorough dip-sampling of complaint files on a quarterly basis.
- The Authority and the force have whistle blowing policies and procedures and the force has a confidential phone line.
- The Authority is responsible for handling complaints made against the Force Executive.
- 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.

3.7 <u>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</u>

- There is a scheme of delegation in place delegating powers to the Chief Constable, the Chief Executive and the Treasurer which was last reviewed, updated and approved in 2008, and which is currently under review following the Force restructure.
- 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
- 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.

3.8 <u>Developing, communicating and embedding codes of conduct, defining the standards of behaviour for members, officers and staff</u>

- Value Statement in Communities First Strategy
- Visibility and leadership of Executive Team.
- 5 Executive Visibility Visits & briefings on key issues, values and behaviours.
- 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 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.

3.9 <u>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</u>

- 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 in 2008/09. These will be updated during 2012/13 for the introduction of the Police & Crime Commissioner.
- There is a scheme of delegation which is currently under review following the Force restructure.
- 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.

3.10 <u>Audit Committee</u>

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

3.11 <u>Whistle blowing and for receiving and investigating complaints from the public and handling citizen and other redress.</u>

- 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.

3.12 <u>Determining the conditions of employment and remuneration of officers and staff</u>

- There are national pay scales for police officers, police staff and Authority staff
- .During 2011/12 the Winsor Review made recommendations for future pay and conditions. Those approved will be implemented over the next year.
- Staffordshire Police operates an approved job evaluation scheme.
- A new pay model has been introduced for Police Staff during 2011/12 to meet the new age discrimination criteria.
- ˙ Regular strategic and local consultation is undertaken with staff associations.

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

- During 2011/12 the Force has moved from PDR's for every person to a scheme identifying targeted Continuous Professional Development issues or action plans.
- Members regularly hold development days
- The Force runs an accredited Leadership Development scheme in association with Staffordshire University and have developed a wider leadership scheme of core competencies for all supervisors through a series of one day events.

3.14 <u>Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation</u>

- 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 Community Safety Partnerships (CSPs) has a nominated Authority member, and members report back regularly to the full Authority.
- The Authority, with the force, issue bespoke neighbourhood newsletters which are distributed throughout the year.
- All Authority members are appointed as relevant LPT link members to ensure effective ongoing liaison with the LPT Commander and other relevant officers and staff and feedback on issues arising from PACs and other contact with communities.
- The Force website is now a fundamentally outward facing format and the Authority has reviewed its website, following its launch in July 2009.
- Meet all 10 local authorities on an annual basis to discuss emerging priorities for the coming year as well as the draft budget.

3.15 <u>Clear Channels of Communication</u>

- 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.

3.16 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 both the Staffordshire Police and Staffordshire Police Authority websites.

3.17 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 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
- 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
- Budget consultation sessions were carried out with the County Council and local District Council's.
- Citizen Focus Toolkit captures community intelligence to help shape local decision making.

3.18 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 collaboration arrangements with regional and other partners and on the benefits achieved as a result.
- The Police Authority has established a Joint Committee with the West Midlands Police Authority to provide governance to the collaboration initiatives between both forces.
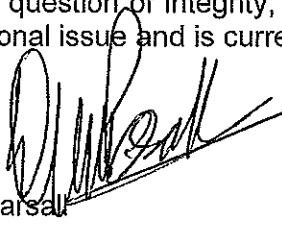
Review of Effectiveness

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

- The review of internal audit
- The review of operation of internal control
- The review of the Police Authority's governance structure through its 'Fit for Purpose' review undertaken between September 2009 and January 2010, supplemented by a further 'stocktake' in February 2011.

4.2 These reviews have been completed and brought through the Authority. 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.

4.3 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 Audit Committee.

4.4 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.

5 Significant Governance Issues

5.1 The Authority is currently planning for the implications arising out of the Police Reform and Social Responsibility Act and the change from governance by a Police Authority to an elected Police and Crime Commissioner from November 2012. A detailed transition workplan is overseen by a Police Governance Transition Board, which meets monthly and includes representation from the Authority, the Force and Staffordshire County Council.

5.2 The Authority is planning for a continued reduction in funding in recognition of the wider financial climate and policy on reductions in public expenditure.

5.3 The question of integrity, standards and the police relationship with the press is a national issue and is currently being reviewed as part of the Leveson Inquiry.

Signed:

David Pearsall
Chair of Staffordshire
Police Authority

Michael Cunningham
Chief Constable of
Staffordshire Police Force

Damon Taylor
Chief Executive of Staffordshire Police Authority
On behalf of the members of Staffordshire Police Authority and Police Force