

1. ORGANISATIONAL PURPOSE		
Objectives	Standard	
<p>Being clear about the Authority’s purpose and its intended outcomes for citizens and service users</p> <p>NB. Evidence in relation to this standard is likely to have been provided in connection with the Authority’s Annual Governance Statement and PURE submission.</p>	1.1	<p>The Authority agrees and regularly reviews a statement of the Authority’s vision and values</p> <p>A. A statement of the Authority’s vision and values</p> <p>B. Members and Authority staff can demonstrate their understanding of the vision and values.</p> <p>C. The Authority can describe how it is involved in ensuring alignment between the Authority and Force visions and values for the benefit of policing in its area.</p> <p>D. Arrangements are in place to review the Authority’s vision and its implications for the Authority’s governance arrangements</p> <p>E. The Authority actively seeks and uses feedback from communities to assess appropriateness of policing style within its area.</p>
	1.2	<p>The Authority undertakes environmental scanning to identify local and national expectations</p> <p>A. The Authority can demonstrate that it gathers information on future changes affecting strategy from external sources and partners to ensure that plans anticipate development and meet community needs.</p> <p>B. Members can demonstrate their contribution to the identification of local and national expectations.</p> <p>C. The Authority works effectively with the Force to benefit from the Force’s environmental scanning activities.</p>

2. DEFINED FUNCTIONS AND ROLES		
Objectives	Standard	
Being clear about the statutory functions	2.1	The Authority can demonstrate that it understands its role and

<p>of the Authority</p> <p>Being clear about the responsibilities of members, police authority staff and officers and staff under the direction and control of the Chief Constable</p> <p>Making sure that users receive a high quality service Making sure that taxpayers receive value for money</p> <p>Use good quality information to make rigorous and transparent decisions</p>		<p>statutory functions</p> <p>A. Statement of the statutory functions for the Authority.</p> <p>B. Members and Police Authority Staff understand their role and statutory functions and can demonstrate how this understanding is used to deliver intended outcomes.</p> <p>C. Authority Members can demonstrate their understanding of the role and statutory functions of the Chief Constable and that they make use of this understanding in the delivery of their governance function.</p>
	2.2	<p>The Authority and Chief Constable work together with due regard to their respective statutory roles and responsibilities for the benefit of the communities they both serve.</p> <p>A. The Authority can demonstrate the extent to which it devolves its functions to the Chief Constable through its ‘Scheme of Delegations’.</p> <p>B. Authority Members can demonstrate that they are working with the Chief Constable to provide policing that meets the needs of their communities.</p> <p>C. The Authority can demonstrate that it works with the HMIC and the Chief Constable in the development and review of the Chief Constable’s personal objectives to ensure that the requirements of the agreed policing plans are met.</p>
	2.3	<p>The Authority makes the Chief Constable and Chief Executive responsible and accountable for their respective delivery of operational management.</p> <p>A. The Authority can demonstrate the extent to which it devolves its functions to the Chief Executive and Police Authority Staff through its ‘Scheme of Delegations’.</p> <p>B. The Authority can demonstrate that it works its own Chief Executive in the development and review of personal objectives to ensure that the requirements of the agreed policing plans are</p>

		<p>met. (Appraisal of the Chief Executive). ???</p> <p>C. The Authority can demonstrate that it is clear about the responsibilities of the statutory Police Authority Staff and makes use of this in the delivery of its governance functions.</p>
	2.4	<p>The Authority at can demonstrate that there is a process in place to work with the Chief Constable to develop strategic and other plans to deliver policing that meets community needs, taking account of available resources.</p> <p>A. The Authority can demonstrate how it adds value to policing strategies.</p> <p>B. The Authority ensures that consideration is given to co-operation with other Forces and that proposals for collaborative working are included in plans.</p> <p>C. There is a process in place to ensure that plans reflect the needs of key stakeholders and communities.</p> <p>D. The Authority has a clear policy on when and how it consults and involves staff and their representatives in decision making, policies and procedures.</p>
	2.5	<p>The Authority can demonstrate that it holds the Chief Constable to account for the delivery of efficient, effective and improving policing services to its communities</p> <p>The Authority ensures that the force:</p> <ul style="list-style-type: none"> – continues to perform at a high standard, maintaining or improving performance in all areas; – continues to modernise, thereby becoming progressively more efficient and effective; – is fully engaged with, reflective of, and responsive to the communities it serves; and has the capacity and capability to protect the public <p>The Authority can demonstrate its effectiveness in to dealing with legislative changes including the RRA, Health and Safety, DDA,</p>

	<p>etc.</p> <p>In holding the Chief Constable to account, the Authority can demonstrate:</p> <p>A. <u>Planning</u> – The Authority can demonstrate that it monitors the delivery of the strategic plans and ensures that the Chief Constable takes appropriate steps to meet the objectives contained within the plans.</p> <p>B. <u>Finance / Use of Resources</u>- Include Audit and budget monitoring - evidenced through PURE. The Authority ensures that the Force has the capacity, capability and budget to deliver strategic and short term objectives. The Authority manages its financial resources, land and assets, through effective leadership and management of the budget processes and capital strategy, including monitoring of financial delegations to the Chief Constable, Treasurer and Chief Executive. The Authority ensures effective risk management system are in place and operate within the force</p> <p>C. <u>Community Engagement</u> – See Section 5 (Engaging Stakeholder & Making Accountability Real).</p> <p>D. <u>Performance Management</u> – The Authority provides an effective, independent performance management framework through scrutiny of all aspects of force performance including those delivered through joint working with other forces and/or partners. The Authority works with and takes account of external inspectorates as part of its scrutiny processes. The Authority makes use of suitable comparators within the public and private sectors.</p> <p>E. <u>Leadership & Management</u> – The Authority appoints chief officers using an open and skills based process, taking consideration of operational and professional skills. The Authority ensures that plans and strategies are</p>
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	<p>implemented to support the development of future leaders for the service.</p> <p>The Authority has a process in place for dealing with Chief Officer statutory bonuses.</p> <p>F. <u>Human Resources & Workforce</u> - The Authority monitors costed HR and training plans</p> <p>The Authority monitors the delivery of Health and Safety plans and policies.</p> <p>The Authority monitors Force compliance with relevant employment legislation and other employer liabilities.</p> <p>G. <u>Complaints & Professional Standards</u> See Also 3.3 - The Authority oversees the Force professional standards and ensures that learning is used to improve the professional standards operating within the Force.</p> <p>The Authority oversees the handling of quality of service complaints and ensures that learning is used to improve services to communities.</p> <p>The Authority works with and learns from the IPCC to improve its effectiveness.</p> <p>The Authority deals with complaints against chief officers of the Force and investigates promptly and thoroughly, complaints relating to the Authority.</p> <p>The Authority actively oversees the Force's professional standards process and demonstrates understanding of its ethical framework and its role in local governance</p> <p>H. <u>Equalities, Human Rights and Diversity</u> - The Authority ensures that there are appropriate policies and process in place within the Force which promote equality and diversity issues and meets human rights requirements.</p> <p>The Authority monitors equalities, human rights and diversity processes to ensure that all are treated with respect.</p> <p>To ensure that the Authority and Force deliver the race and diversity agenda for the benefit of the communities in their area</p>
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	2.6	<p>The Authority ensures that policing is appropriately delivered in partnership with others.</p> <p>A. The Authority can demonstrate that Members understand their role and responsibilities on any partnership body on which they represent the Authority.</p> <p>B. The Authority can demonstrate that it adds value to the partnerships and strategies with which it is involved.</p> <p>C. The Authority works with the Force to align, where possible, the policing outcomes with those of its partners.</p> <p>D. The Authority works with members of the partnership to try to ensure that there is clear governance and accountability for its performance and financial administration.</p> <p>E. Using its performance management framework, the Authority monitors the partnership working of the Force.</p> <p>F. The Authority can demonstrate it meets its statutory responsibilities within those partnership arrangements where it is a 'Responsible Authority'.</p>
	2.7	<p>The Authority ensures that partnership working is underpinned by a common vision of their work that is understood by all parties</p> <p>A. The Authority can demonstrate that there is clarity of purpose, role and objectives, clear governance and accountability for performance and financial administration within partnership working.</p> <p>B. The Authority has linked its policing strategy and plan and other key documents with those of the Local Strategic Partnership and Local Area Agreement Board (England) / Local Strategic Partnership or Local Service Boards (Wales).</p> <p>C. The Authority with its partners can demonstrate that it provides leadership across the community, ensures effective partnership</p>

		working and actively influences and feeds in to other stakeholder's strategies and plans.
	2.8	<p>The Authority understands how the quality of all policing services is measured and that information is available to them to review service quality.</p> <p>A. The Authority can demonstrate that it regularly reviews and measures the quality of the policing service for users.</p> <p>B. The Authority can demonstrate that it uses information gathered regarding service quality to determine decisions about service planning and improvement.</p> <p>C. The Authority ensures that it is provided with professional advice and information, that is:</p> <ul style="list-style-type: none"> • where necessary, independent from the Force • directly relevant to the decisions it has to take; • timely, objective; and gives clear explanations of technical issues and their implications
	2.9	<p>The Authority understands how value for money is to be determined and that information is available to them to review value for money</p> <p>A. The Authority ensures that it has the information it needs to review value for money effectively, including information about similar organisations, for comparison.</p> <p>B. The Authority can demonstrate that it gathers information regarding value for money which it uses to determine the work of the Authority.</p> <p>C. The Authority has an Audit Strategy implemented through a risk based Audit Plan which encompasses value for money.</p> <p>D. The Authority ensures that the Force has in place processes to consistently consider and review value for money.</p> <p>E. The Authority drives efficiency targets and monitors force progress in achieving and delivering against these.</p>

		<p>The Authority has in place an effective system to manage risks:</p> <p>A. The Authority approves and monitors a Force risk management strategy which identifies corporate, operational and financial risks, assesses risks for likelihood and impact, identifies mitigating controls and allocates responsibilities</p> <p>B. The Authority reports publicly on the effectiveness of its risk management system</p> <p>C. The Authority assesses the risks inherent in the strategic decisions it takes.</p> <p>D. The Authority has a reporting structure which addresses risk issues in all functions of the force, utilising the risk assessments incorporated within the Force risk register</p> <p>E. The Authority has a risk based approach to focus its scrutiny and monitoring work.</p>
	2.10	<p>The Authority has effective procedures and processes in place to deliver all other statutory functions not included elsewhere in this framework (See Statutory List).</p> <p>A. The Authority can demonstrate that it has in place an effective custody visiting scheme and the outputs from this scheme are used to improve policing services.</p> <p>B. The Authority can demonstrate that it promotes equality and diversity including through the use of its Equalities Schemes.</p> <p>C. In respect of its duties as an organisation in its own right, the Authority can demonstrate that it has processes in place to meet its responsibilities under:</p> <ul style="list-style-type: none"> – FOI / Data Protection – Health and Safety – Relevant employment legislation – Risk Management – See PURE KLoE

3. PROMOTING AND DEMONSTRATING VALUES	
Objectives	Standard
<p>Putting organisational values into place</p> <p>Individuals, whether members or officers, behaving in ways to uphold and exemplify effective governance</p>	<p>3.1 The Authority develops, actively promotes and maintains high standards of conduct, and ensures that its work is underpinned by ethical values and a climate of openness, support and respect</p> <p>A. The Authority has a process in place to agree its values</p> <p>B. The Authority can demonstrate in understands the links between ethics, transparency, local governance and public confidence, and has considered this in determining its values</p> <p>C. The Authority can demonstrate how its ethical values underpin the style of the authority and force</p> <p>D. The Authority can demonstrate transparent relationships between Members and authority staff</p> <p>E. The Authority has a confidential reporting mechanism which is widely known and understood and which has the confidence of members and staff</p>
	<p>3.2 The Authority ensures that standards of conduct and personal behaviour expected of members and authority staff are defined, communicated and monitored.</p> <p>A. The Authority has defined individual roles and responsibilities for members and authority staff, who can demonstrate a clear understanding of their own role and that of the Monitoring Officer</p> <p>B. The Authority monitors and reports on its Code of Conduct, and can demonstrate its expectations about standards and values are understood by members and authority staff</p> <p>C. The Authority has registers and guidance for key procedures e.g. for declaring interests, claiming expenses/hospitality, members' attendance, which are well designed, up to date, easy to understand/operate and are followed.</p> <p>D. The Authority has an effective Standards Committee, which</p>

		investigates complaints promptly and thoroughly and exercises an appropriate disciplinary function.
	3.3	<p>The Authority ensures that the Force sets high standards of ethical behaviour and that complaints against the Force are dealt with effectively. See also 2.5</p> <p>A. The Authority actively oversees the Force's professional standards for both officers and police staff and can demonstrate understanding of its ethical framework and its role in local governance.</p> <p>B. The Authority can demonstrate it monitors complaints against the Force and ensures learning is used (including that from IPCC) to improve the professional standards operating within the Force.</p> <p>C. The Authority oversees the handling of quality of service complaints and ensures that learning is used to improve services to communities.</p> <p>D. The Authority deals with complaints against chief officers of the Force promptly and thoroughly.</p>

4. CAPACITY AND CAPABILITY OF THE AUTHORITY AND ITS EXECUTIVE TEAM		
Objectives	Standard	
<p>Ensuring that members and the executive team have the necessary skills, knowledge and experience</p> <p>Developing the capability of members and the executive team and evaluating their performance both individually and as a group</p> <p>Striking a balance between continuity and</p>	4.1	<p>The Authority can demonstrate that it plans for how it will deliver its own role and functions. See also Section 1.1</p> <p>A. The Authority has its own strategic and annual plans which identify priorities</p> <p>B. The Authority has the capacity to manage the Authority's business and interface between members and the force,</p> <p>C. The Authority has the capacity to support members in their role and functions</p> <p>D. The Authority has the capacity to effectively engage in partnership working</p>

renewal		<p>E. The Authority has race and diversity expertise to ensure that both the force and Authority deliver the race and diversity agenda for the benefit of the community</p> <p>F. The police authority regularly reviews its performance and reflects necessary improvements in its plans</p> <p>G. The Authority has access to appropriate policy and research capacity to consider and contribute to policies developed by the force and the authority</p>
	4.2	<p>The Authority can demonstrate that it plans and makes appropriate allocation and use of funding to deliver its role and functions. See also Section2 (2.1)</p> <p>A. The Authority has appropriate financial resources and strategies for the work of the Authority balancing the needs of policing delivery with the governance and accountability needs of the Authority and communities</p> <p>B. The Authority monitors its own budget</p>
	4.3	<p>The Authority can demonstrate that it provides and/or has access to the range of capabilities necessary to fulfil its role and functions.</p> <p>A. The Police Authority appoints Members and officers using an open and skills based recruitment process with the aim of ensuring an appropriate balance between continuity and renewal.</p> <p>B. The Authority trains and develops members and its executive team to deliver its role and functions</p> <p>C. The Authority has agreed and documented defined roles and responsibilities for Members, both individually and within other structures.</p> <p>D. New Members and staff receive a thorough induction that is tailored to their role in the Police Authority.</p> <p>E. Where appropriate, member skills /expertise are reflected in</p>

		<p>portfolio/lead roles and their contributions are maximised through training, support and portfolio assignments.</p> <p>F. The Authority has a performance review mechanism to ensure that individual Members and Officers are held to account for their contribution, which includes an assessment of any training or development needs.</p> <p>G. Where necessary, the Authority has arrangements with individuals or external organisations to provide necessary capabilities and expertise.</p>
	4.4	<p>The Authority can demonstrate that it effectively communicates: internally within the Authority and with the force. See Also 2.4</p> <p>A. The Authority has a communications strategy which includes key messages</p> <p>B. The Authority has a network with key media and agreed processes for engagement with the media</p> <p>C. The Authority has an identity and brand separate to the force and recognised as such by communities and stakeholders</p> <p>D. The Authority delivers its accountability function to the community through the effective provision of information about its role and function and the delivery of that role and those functions.</p>
	4.5	<p>The Authority can demonstrate that it has operational policies, procedures and processes to deliver its role and functions and that these are regularly reviewed</p> <p>A. The Authority has documented processes and procedures which are understood by members, staff and where necessary, the force.</p> <p>B. The Authority collects and utilises management information about the delivery of its role and functions</p> <p>C. A risk register for the Authority which is regularly reviewed,</p>

		evaluated, updated and reports and to the Authority on its risk management system.
	4.6	<p>The Authority can demonstrate that it has the physical resources to deliver its role and functions and that these are regularly reviewed.</p> <p>A. The Authority has identified its information technology needs and planned for their delivery</p> <p>B. The Authority provides accommodation to meets the needs of members and its staff</p>

5. ENGAGING STAKEHOLDERS AND MAKING ACCOUNTABILITY REAL		
Objectives	Standard	
<p>Formal and informal accountability relationships understood</p> <p>Active and planned approach to dialogue and accountability to the public</p> <p>Engaging effectively with institutional stakeholders</p> <p>Being clear about the relationship between the Authority and the public</p>	5.1	<p>The Authority understands to whom they are accountable and for what they are accountable and this is made known to the communities they serve. See also 2.5</p> <p>A. The Authority can demonstrate how it adds value to local policing by implementing its statutory functions in relation to accountability and engagement (see Section 2.5).</p> <p>B. The Authority can demonstrate it understands the make-up of its various local communities, stakeholders and partners, and how best to engage them.</p> <p>C. The Authority promotes awareness about its role and function to the public and stakeholders, and ensures they have access to relevant information about policing and about how they can express their views</p> <p>D. Authority communications strategies are linked to community engagement strategies, and distinguish between the role of the Authority and the Force</p>
	5.2	The Authority ensures arrangements are in place to enable effective engagement with all sections of the community

		<p>A. A variety of methods are in place to engage the public and there is targeted action to engage hard to reach groups and client groups under-represented in response to consultation.</p> <p>B. The Authority can demonstrate how the community's influence is reflected in Authority and Force decision-making, strategies and activities</p> <p>C. The Authority conducts a thorough assessment of consultation results and is active in feeding back results and impact to communities, setting out how these views have made a difference</p>
	5.3	<p>The Authority ensures arrangements are in place to enable effective engagement with partners, stakeholders, other organisations and bodies</p> <p>A. The Authority can demonstrate how it collaborates with partner organisations (including CDRPs, /CSPs, LSPs, Children's Trusts) to the added benefit of the communities and decision-making process</p> <p>B. The Authority can show it actively implements its responsibilities under the Crime & Disorder Act 1998</p> <p>C. The Authority has established its role and relationship with Local Strategic Partnerships and can demonstrate how it contributes to the development of Local Area Agreements.</p> <p>D. The Authority is active in raising its profile with key players, and can demonstrate how it is working to engage institutional stakeholders, the business community, voluntary sector and other partners, and how their views are reflected.</p> <p>NB: The Authority links/involvement with Rights to Action (Wales)</p>
	5.5	<p>The Authority ensures that relevant information is published to inform the public.</p> <p>A. The Authority publishes all statutory information required of them, including policing objectives and plans, reports and</p>

		<p>annual accounts in a form which is accessible to the public.</p> <p>B. It publishes additional information as required and can demonstrate how this contributes to policing or the social capital of the area.</p> <p>C. The Authority ensures that the Chief Officer regularly publishes appropriate information on the Force's work and achievements for the benefit of communities and stakeholders.</p> <p>D. The Authority ensures that Audit and Inspection reports are published in an accessible and timely manner.</p>
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