



Peter McCall

Office of the Police and Crime Commissioner Report

REQUEST FOR POLICE & CRIME COMMISSIONER DECISION - (N°018/ 2017)

TITLE: Effectiveness of Governance Arrangements for OPCC 2016/17

Executive Summary: (Précis not more than 100 words)

The Commissioner to receive a report from the Chief Executive and Chief Finance Officer regarding the arrangements for governance and accompanied by the Commissioner's Annual Governance Statement for 2016/17.

Recommendation:

The Commissioner is asked to:

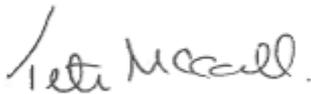
- i. Where applicable, consider the recommendations of the Joint Audit and Standards Committee, determining any actions and/or amendments to the Code of Corporate Governance 2017/18 and Annual Governance Statement 2016/17 ii. Approve for signature, where applicable with amendments, the Annual Governance Statement for 2016/17 and to the date of this meeting, which will then accompany the Statement of Accounts for 2016/17

Police & Crime Commissioner

I confirm that I have considered whether or not I have any personal or prejudicial in this matter and take the proposed decision in compliance with the Code of Conduct for Cumbria Police & Crime Commissioner. Any such interests are recorded below.

I hereby approve/~~do not approve~~ the recommendation(s) above

Police & Crime Commissioner / ~~Chief Executive~~ (delete as appropriate)



Signature:

Date: 10 May 2017

PART 1 – NON CONFIDENTIAL FACTS AND ADVICE TO THE PCC

1. Introduction & Background

Each local government body operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. The 2015 Accounts and Audit Regulations place a requirement on those bodies to conduct a review of the effectiveness of the system of internal control and prepare an Annual Governance Statement (AGS). The Commissioner is required to consider the findings of that review, approve the AGS and publish (which must include publication on the Commissioner’s website) the Statements alongside the Statement of Accounts.

2. Issues for Consideration

The Commissioner is the body charged with governance and must satisfy himself that the arrangements for governance are robust and properly reflected within the Annual Governance Statement. The entirety of those arrangements include the arrangements for Internal Audit. A separate report reviewing the effectiveness of the arrangements for Audit is set out elsewhere on the agenda. The report is supported by the Annual Report of the Joint Audit and Standards Committee and includes an assessment of the effectiveness of the internal audit function. That report concludes that the arrangements for audit are effective. The annual governance statement and the arrangements for compiling the statement are subject to annual audit. The auditor has concluded that the arrangements for the AGS provide reasonable assurance.

The auditor’s report is included within this agenda.

3. Implications (List and include views of all those consulted, whether they agree or disagree and why)

- 3.1. Financial: n/a
- 3.2. Legal: The review of governance and the publication of an Annual Governance Statement meet the legal requirements of the Accounts and Audit Regulations 2015.
- 3.3. Risk: The Annual Governance Statement documents the arrangements for managing risk
- 3.4. HR / Equality: n/a
- 3.5. I.T.: n/a
- 3.6. Procurement: n/a
- 3.7. Victims: n/a

4. Backgrounds / supporting papers

(List any relevant business case, EIA, PID, Media Strategy and append to this form; list persons consulted during the preparation of the report)

Report on the Effectiveness of Governance Arrangements 2016/17 Annual
Governance Statement 2016/17

Public Access to Information

Information in this form is subject to the Freedom of Information Act 2000 (FOIA) and other legislation. Part 1 of this form will be made available on the PCC website within 3 working days of approval. Any facts/advice/recommendations that should not be made automatically available on request should not be included in Part 1 but instead on the separate Part 2 form. Deferment is only applicable where release before that date would not compromise the implementation of the decision being approved.

Is the publication of this form to be deferred? NO

If yes, for what reason:

Until what date (if known):

Is there a **Part 2** form - NO

(If Yes, please ensure Part 2 form is completed prior to submission)

ORIGINATING OFFICER DECLARATION:

I confirm that this report has been considered by the Chief Officer Group and that relevant financial, legal and equalities advice has been taken into account in the preparation of this report.

Signed: Michelle Bellis **Date: 10th May 2017**

OFFICER APPROVAL

Chief Executive / Deputy Chief Executive (delete as appropriate)

I have been consulted about the proposal and confirm that financial, legal and equalities advice has been taken into account in the preparation of this report. I am satisfied that this is an appropriate request to be submitted to the Police and Crime Commissioner / Chief Executive (delete as appropriate).

Signature: Ruth Hunter **Date: 10 May 2017**

Media Strategy
The decision taken by the Police & Crime Commissioner may require a press announcement or media strategy.

Will a press release be required following the decision being considered? NO

If yes, has a media strategy been formulated? YES / NO Is the media strategy attached? YES / NO What is the proposed date of the press release:



Effectiveness of Governance Arrangements 2016/17

Report of the Chief Executive and Chief Finance Officer

1. Introduction and background

1.1 Each local government body operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. The 2015 Accounts and Audit Regulations place a requirement on those bodies to conduct a review of the effectiveness of the system of internal control and prepare an Annual Governance Statement (AGS). The Commissioner is required to consider the findings of that review, approve the AGS and publish (which must include publication on the Commissioner's website) the Statements alongside the Statement of Accounts. The AGS is prepared in accordance with The CIPFA/SOLACE Good Governance framework that defines 'proper practices' for discharging accountability for the proper conduct of public business through the publication of an Annual Governance Statement that makes those practices open and explicit.

1.2 The Police and Crime Commissioner approves a Code of Corporate Governance, 'The Code', setting out his corporate governance framework. The Code is subject to review and updated annually alongside the process to review the arrangements for governance and prepare an Annual Governance Statement. The 2016/17 Code was subject to review by the Joint Audit and Standards Committee prior to approval by the Commissioner. It is the compliance with this Code by the Commissioner, together with an assessment of its effectiveness, which is reflected in the 2016/17 Annual Governance Statement.

2. Governance Framework & Effectiveness

2.1 The Annual Governance Statement for the Police and Crime Commissioner has been prepared by the Commissioner's statutory and senior officers and in accordance with the CIPFA delivering good governance in local government guidance note for Police 2016. The guidance supports the application of the CIPFA/SOLACE Good Governance Framework to Policing, recognising the specific structure and governance responsibilities arising from the 2011 Police Reform and Social Responsibility Act. The review of the arrangements for governance and their effectiveness support the production of the Statement. The review provides assurance on governance arrangements and the controls in place to achieve the organisation's strategic objectives.

2.2 The approach to the production of the statement has been to use the CIPFA guidance, and particularly the guidance section on core governance principles. Those core principles and the arrangements that support them are set out in the 2016/17 Code of Corporate Governance approved by the Commissioner following review by the Joint Audit and Standards Committee in May 2016. The development of the Annual Government Statement is an integral part of the review, setting out how the Code has been complied with over the course of the year. Where the review has identified areas where developments are planned or improvements can be made, the AGS sets out an action plan to deliver those changes. The statement also highlights areas where further assurance is gained, such as the work of internal audit and the reports of the external auditors. The Commissioner's Annual Governance Statement setting out the review of governance arrangements for 2016/17 and to the date of this meeting, is presented to the Joint Audit and Standards Committee for review and will be subject to review by internal audit, prior to being received by the Commissioner for endorsement and publication alongside the Statement of Accounts.

2.3 During the process for the development and publication of the 2014/15 AGS Joint Audit and Standards Committee members made a recommendation that consideration was given the length and structure of the AGS to improve its accessibility. The external auditors commented that in their view the current structure was helpful in documenting activity and setting out the wider approach to continuous improvement through the action plan. This matter has been further considered by the Commissioner's Chief Finance Officer and it was decided that work would be undertaken to simplify the structure. This means that the structure would be less closely aligned to the CIPFA framework and this has been agreed as acceptable by the external auditors. Further to this, officers contributing to the statement would be asked to consider the volume of their narrative and the Chief Finance Officer has committed to producing a summary AGS. Due to time pressures it has not been possible to prepare the summary AGS in advance of the meeting but it is intended that this will be made available to the Joint Audit and Standards Committee prior to approval of the statement of accounts in July.

2.4 Whilst the above review of arrangements has been specific to the production of the Annual Governance Statement, this is supported by wider reviews of the arrangements for governance that take place during the financial year. This includes cyclical review and updates to core elements of the governance framework. During 2016/17 this has included

a review and update of the financial regulations and financial rules and a minor amendments to the procurement regulations in respect of the treatment of late tenders. In addition, the Public Sector Internal Audit Standards and guidance from CIPFA in respect of Audit Committees forms the basis of further reviews of the overall arrangements for audit, with action plans being put in place where potential for improvement and development have been identified. This is supplemented by specific assessments on compliance by the Chief Finance Office and Head of Internal Audit with the requirements of the CIPFA statement for these roles. The governance review is also supported by an annually developed comprehensive audit plan from internal and external audit and an opinion from the Head of Internal Audit on the arrangements for internal control and risk. These requirements, whilst challenging, has enabled an approach that has sought to ensure all arrangements take account of best practice, codes and guidance.

3. The Effectiveness of Internal Audit

3.1 A separate report reviewing the effectiveness of the arrangements for Audit is set out elsewhere on the agenda and includes a review of the effectiveness of the internal audit function and the effectiveness of the Joint Audit and Standards Committee. The report demonstrates the effectiveness of the arrangements for Audit against independent and objective criteria as a contribution to good governance. In doing so it concludes the process of providing the necessary assurances that the governance arrangements set out in the Code of Corporate Governance are working as intended and are effective.

4. The Code of Corporate Governance 2017/18

4.1 On an annual basis a Code of Corporate Governance is reviewed and updated, setting out the framework for governance within the OPCC. For 2017-18 the Code of Corporate Governance conforms to the updated Framework for Good Governance published by CIPFA which is applicable from April 2016. The CIPFA good governance framework is the best practice standard for Public Sector governance. The updated governance framework is based on seven principles, as set out in the proposed Code and has a much broader focus than previous iterations on delivering value for money, including outcomes and demonstrating effective performance, often working in partnership to achieve this.

5. Recommendations

5.1 Members of the Joint Audit and Standards Committee are asked to:

- (i) Review the Code of Corporate Governance 2017/18
- (ii) Review the Annual Governance Statement 2016/17
- (iii) Make any recommendations with regard to the Code, Statement and arrangements for governance for consideration by the Commissioner prior to publication alongside the financial statements

5.2 The Commissioner is asked to:

- (i) Where applicable, consider the recommendations of the Joint Audit and Standards Committee, determining any actions and/or amendments to the Code of Corporate Governance 2017/18 and Annual Governance Statement 2016/17
- (ii) Approve for signature, where applicable with amendments, the Annual Governance Statement for 2016/17 and to the date of this meeting, which will then accompany the Statement of Accounts for 2016/17

Stuart Edwards

Ruth Hunter

Chief Executive

Chief Finance Officer/Deputy Chief Executive

Human Rights Implications: None Identified

Race Equality / Diversity Implications: None Identified

Personnel Implications: None Identified

Financial Implications: None Identified

Risk Management Implications: The Governance Statement and the underpinning reviews, including the Effectiveness of Internal Audit are designed and intended to provide assurance on and compliance with high standards of corporate governance, including effective control and mitigation of the risk environment in which the Commissioner discharges his respective responsibilities.

Contact points for additional information

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Police and Crime Commissioner for Cumbria
Annual Governance Statement 2016/17

The Police and Crime Commissioner for Cumbria
Annual Governance Statement 2016-17

INTRODUCTION AND SCOPE OF RESPONSIBILITIES

The Police and Crime Commissioner for Cumbria (the Commissioner) is responsible for ensuring business is carried out in accordance with the law and proper standards, that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.

To meet this overall responsibility, the Commissioner has put in place proper arrangements for overseeing what we do. This is what we mean by governance. These arrangements are intended to make sure that we do the right things, in the right way and are fair, open, honest and accountable.

Our arrangements for governance are set out within a Code of Corporate Governance ('The Code'). The Code explains the way the Commissioner governs and the frameworks that are in place to support the overall arrangements for fulfilling his functions. The Code of Corporate Governance is published alongside the Annual Governance Statement on the Commissioner's website at www.cumbria-pcc.gov.uk

This Annual Governance Statement (AGS) describes how the Commissioner has followed The Code. It also meets the requirements of regulation 6(1) and 10(1) of the Accounts and Audit Regulations 2015.

The regulations say that we must prepare and publish an Annual Governance Statement (AGS) to accompany the Commissioner's statement of accounts.

THE AIM OF THE GOVERNANCE FRAMEWORK

The governance framework consists of the systems, processes, culture and values by which the Commissioner is directed and controlled and the activities through which the Commissioner is involved with and leads the community. The framework enables the Commissioner to monitor the achievement of our aims and objectives and to consider whether those aims have led to the delivery of appropriate efficient and effective police, community safety and victim services. The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. The Commissioner is responsible for reviewing, at least annually, the effectiveness of his governance framework including the system of internal control.

REVIEW OF EFFECTIVENESS

The key systems and processes that comprise the Commissioner's governance arrangements for 2016-17 have been guided by the seven core principles of Corporate Governance from the CIPFA/Solace Governance Framework applicable to the 2016-17 financial year. This is the standard against which all local government bodies, including police, should assess themselves.

The Commissioner has responsibility for conducting, at least annually, a review of the effectiveness of his governance framework including the system of internal control. The review of effectiveness is informed by the work of Chief Officers and senior

managers who have responsibility for the development and maintenance of the governance environment. The review process comprises:

Seven Core Principles of Governance

- *Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law*
- *Principle B: Ensuring openness and comprehensive stakeholder engagement*
- *Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits*
- *Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes*
- *Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it*
- *Principle F: Managing risks and performance through robust internal control and strong public financial management*
- *Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability*

- A cyclical detailed review of the key documents within the Commissioner's governance framework.
- A review of the governance arrangements in place to support each core principle, culminating in an updated Code of Corporate governance.
- A review of what has happened during the past year to evidence how the governance framework has been complied with.
- A review of the effectiveness of the arrangements for Internal Audit. The review is supported by consideration of the opinion of the Chief Internal Auditor, as set out in her annual report.
- A review of the effectiveness of the Joint Audit and Standards Committee against CIPFA guidance on Audit Committees for Police.

As part of the review process, the Annual Governance Statement (AGS) is prepared. Whilst no significant governance issues have arisen as part of the review for 2016-17, the AGS includes a plan that identifies areas for development and improvement. The AGS remains under review and subject to update during the audit of the financial statements. The following paragraphs set out the Governance Framework and how the Commissioner has complied with each of the seven governance principles within the Code of Corporate Governance. A wide range of staff have contributed narrative for each section of this statement. This

provides a lengthier document but one which values the input from members of our team and provides the reader with greater insight into the governance activity that has been carried out over the past year.

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

REVIEW OF REQUIREMENTS AND ARRANGEMENTS

Ethics and Integrity

The Commissioner has in place arrangements for anti-fraud and corruption. The arrangements in place during 2016-17 have been subject to internal review by the Deputy Monitoring Officer, with the outcome of that review reported to the Joint Audit and Standards Committee in May 2016. The review has concluded that arrangements are effective. Whilst fraud risk remains low within the OPCC office, matters of integrity have been re-enforced in support of the aim of ensuring a high degree of awareness amongst staff in respect of appropriate conduct and behaviours. The Deputy Monitoring Officer has issued a monthly reminder to staff in respect of recording gifts and hospitality and/or supplier contact. Completed registers have been published on the Commissioner's website on a monthly basis and the Deputy Monitoring Officer has undertaken dip sampling between the registers and contracting activity.

During 2016-17, the financial regulations and financial rules were reviewed and updated. That process included aligning the format and presentation of the documents to aid their accessibility.

In 2016-17 The OPCC Grant Regulations were reviewed to align with the development of a new Police and Crime Plan. The process included aligning the format and content of the document

to reflect the changes in available funds and the strategic direction of the Police and Crime Plan. To facilitate this process and to ensure the Grant Regulations were reviewed in a thorough and systematic approach, staff from the Office of Police and Crime Commissioner and the Constabulary's Legal Services and Procurement Department worked collaboratively in aligning the Grant Regulations to reflect changes in legislation and strategic direction. A copy of the proposed draft Grant Regulations were submitted to the OPCC Executive Team and Joint Audit Standards Committee for consultation.

The Grant Regulations aim to ensure that grant awards are made in a fair, transparent and consistent manner, ensuring the highest standards of probity and accountability. They also ensure that the processes that underpin the decision making are robust and that the terms and conditions applied to grant agreements are appropriate to the amount of the grant award and the purpose of which it has been made.

Our procedures aim to safeguard public money, support decisions that direct funding towards activity and interventions that will have the greatest impact on reducing crime and reoffending and deliver the best possible outcomes for victims. The Grant Regulations operate alongside the Joint Procurement Regulations and OPCC Commissioning Strategy.

In support of the requirements for audit of the financial statements, the Commissioner has submitted to the External Auditor the 2016-17 fraud risk assessment. Management assurance is further

supported through the completion by the Commissioner and all staff of a declaration of related party transactions.

In respect of the arrangements for standards, ethics and integrity, the Chief Executive is able to confirm that since the inception of the Office of the Police and Crime Commissioner, no complaints have been received from any member of staff or secondee in relation to the Commissioner. Neither has any complaint been made by the Commissioner about any member of staff. In respect of the period from 1st April 2016 to the date of issuing this statement, no issues have been raised with the Joint Audit and Standards Committee in respect of the operation of the Commissioner's Codes of Conduct/Protocols and the Committee has not received any appeals in relation to these matters. The Ethics and Integrity Panel continue to provide independent oversight for the OPCC and Constabulary in relation to standards, ethics and integrity.

As part of the arrangements for complaints, the Commissioner also receives letters directly from members of the public. In 2016 he received 34 complaints, 30 of which were passed to the Constabulary to respond to as they were regarding matters beyond his jurisdiction. Of the remaining complaints, in each case it was determined that the issues raised were not personal conduct matters.

During the same period the Commissioner received 318 letters of dissatisfaction raised by members of the public regarding the Constabulary and policing issues. These issues were raised with the Constabulary and monitored by OPCC staff to ensure a timely and appropriate solution was

found. Complaints made against the Police and Crime Commissioner are dealt with by the Police and Crime Panel. During 2016-17 the Panel received two complaints regarding the previous Commissioner (Mr Rhodes) which were dealt with by way of a letter of explanation. Letters of compliment were also received from members of the public for the assistance provided by the Police and Crime Commissioner and members of staff.

During 2016-17 the Ethics and Integrity Panel have carried out dip sample processes and thematic inspections for a number of different areas of business. For the OPCC these included the reviewing of complaints received and their handling in line with statutory legislation and guidance. In addition 'Quality of Service and Policing Issues' (QSPI) which were raised by members of the public were also reviewed. The Panel subsequently confirmed their assurance that they were dealt with appropriately. On a six monthly basis the OPCC analyse information relating to the QSPIs to identify any trends or patterns, how the OPCC has facilitated an outcome and any organisational learning for itself or the Constabulary. This is subsequently discussed with the Constabulary and reported to the Commissioner and the Ethics and Integrity Panel.

These include public complaints, police misconduct and staff misconduct cases all of which were found to support high standards of ethics and integrity. Following each session any actions identified were scheduled and monitored to ensure their completion. The Panel gained assurance that improvements previously proposed adopted by the Constabulary and OPCC were continuing to be used and developed further where necessary. These sessions also enabled the Police and Crime

Commissioner to fulfil his statutory duty to have oversight of the Constabulary's complaints and misconduct processes.

Three thematic inspections were carried out during the year. These being in relation to the Constabulary's Performance Discretion Framework, the use of Stop and Stop/Search and the policing of the 2016 Kendal Calling Festival. These inspections enabled the Panel to take an independent review of the identified areas of work and gain assurance of the ethical standards used. They achieved this by carrying out dip sample sessions on all three areas of work and speaking with Constabulary lead officers and Chief Officers.

The findings of the Panel's work, including recommendations, have been reported on a quarterly basis to the Commissioner's Public Accountability Conference to improve transparency and support public scrutiny. The Joint Audit and Standards Committee received the 2016-17 annual report of the Ethics & Integrity Panel in May 2017 to support assurances in respect of arrangements for standards and ethical governance.

Respecting the rule of law

Officers within the OPCC receive updates on changes in legislation through their professional bodies, APACCE, PACTS, the APCC and from the government **Principle B: Ensuring openness and comprehensive stakeholder engagement** (Home Office, Ministry of Justice, GOV.uk) and other sources. Best practice advice is similarly available. Local networks, such as the Cumbria Monitoring Officers' Group is another source of updates and peer support.

During the course of 2016/17 the OPCC has jointly funded a Legal Advisor post in the Constabulary's Legal Services Department that will directly support the OPCC. This post provides legal input on various legal documents (licenses, leases, collaboration agreements, etc.). The post holder also supports the procurement and grant aiding functions within the OPCC. The post holder will be fully engaged in the review of OPCC governance being undertaken during 2017.

During the year a formal review has been undertaken of the role of the Commissioner's Chief Finance Officer and the Head of Internal Audit (HIA) against the respective CIPFA statements. The selfassessment were subject to further review by the Joint Audit and Standards Committee. The outcome from the process has concluded that the Chief Finance Officer and HIA are fully compliant with the CIPFA role. The role of the Joint Audit and Standards Committee has also been reviewed during 2016-17 against the CIPFA guidance for Police Audit Committees. The overall conclusions from the assessment is that the committee is highly effective in its operation, evidencing substantial support, influence and persuasion in carrying out its functions.

REVIEW OF REQUIREMENTS AND
ARRANGEMENTS

Openness

The Commissioner operates in accordance with the Elected Local Policing Bodies (Specified Information) Orders of 2011, 2012, 2013 and the guidance provided by the Information Commissioner. This is demonstrated, documented and communicated through an information publication scheme that ensures the openness of all key information to the public.

To support openness a range of information has been made available through the Commissioner's website over the course of the year. This has included agenda and reports for the Public Accountability Conferences and the Joint Audit and Standards Committee, guidance and application packs for the Commissioner's three funds, Freedom of Information disclosure logs, financial information and strategies. In April and May 2016 a section of the website provided information relevant to potential candidates for the Police and Crime Commissioner elections to be held in May 2016.

To promote openness and transparency, all Public Accountability Conferences have been advertised to allow members of the press and public to attend with agendas and papers published on the Commissioner's website and the local media informed.

The Commissioner makes decisions in line with his decision making policy which adheres to the Good Governance Standard for Public Services and the Good Administrative Practice 2. During the 2016-17 financial year the Commissioner made 32 decisions that have all been recorded and published on the

Commissioner's website. The range of decisions made included finance and budget, estate, policies, police and crime plan, annual report, policing services and commissioning. All methods of communication such as media, social media and newsletters are used to further inform the public of key decisions.

Unfortunately, on 18 January 2017 the OPCC website became unavailable due to technical issues experienced by the provider. The provider was unable to restore the website, but on 24 January was able to provide a link to an archived version of the website; on the same day a holding page was established using the functionality of the Constabulary website on which new items could be placed – both the holding page and archived site could be accessed through a Google search for the Commissioner/OPCC. The contract with the provider expired at the end of March and on 31 March a new website provided by a new supplier went live. Clearly there was a period of one week when the OPCC was unable – via the website - to fulfil its obligations under the Elected Local Policing Bodies (Specified Information) Orders of 2011, 2012, 2013. While not seeking to minimise this matter it should be viewed in the context that Google Analytics has shown that the number of people accessing information, other than during periods of recruitment or high profile media

events, is not high and during the first three months of 2017 there were no requests made to the OPCC by telephone, e-mail or post seeking information that might otherwise have been available via the website. It is also the only time since the introduction of Police and Crime

Commissioners that access to the website has not been available.

Engaging Comprehensively with Institutional Stakeholders

The Commissioner chairs the Safer Cumbria Direction Group which is both the county-wide Community Safety Partnership and Criminal Justice Board for Cumbria. As such it is composed of all the authorities and agencies involved in criminal justice in Cumbria, such as the County Council, District Council, Constabulary, CPS, Courts Service, probation bodies, the Prison Service, Local Safeguarding Children Board and others. It provides a valuable opportunity for stakeholders to discuss issues and consider jointly strategic priorities.

The Commissioner is also a member of the Cumbria Leaders' Board, which is the forum for the Leaders of all the public authorities (County and District Councils, Cumbria Association of Parish Councils) Health, the Local Enterprise Partnership and the Third Sector within Cumbria. It is the vehicle for discussion and consultation with this group of stakeholders.

During 2016-17 the Head of Partnerships and Commissioning has taken forward a range of partnership working initiatives to deliver the Commissioning Strategy and ensure arrangements are in place for victims support services in line with the Commissioner's responsibilities. This work is supported by the Victims' Advocate who has responsibility for the overall arrangements for victims.

The Commissioner, through his Victim's Advocate, created a Victim's Consultation Group, who operate

in a 'focus group' style to look in depth at certain policy issues at the time of policy formation. This year the group provided secondary scrutiny for cases subject to audit at the Out of Court Scrutiny panel meetings.

During 2016-17 partnership and commissioning Funding was provided to support a range of sexual and domestic violence services and in excess of £100k of funding was awarded to community groups through the Commissioner's community fund. The Commissioner's funds and the process for allocation of grants within them has been developed to encourage and support the delivery of projects and services addressing issues identified in the Police and Crime Plan.

In line with the Commissioner's grant regulations, a funding or grant agreement is in place with all partners that have been supported through the commissioned services budget. Each agreement clearly defines the purpose of the funding and sets out information and monitoring requirements to ensure funding is targeted on the agreed activities that support the priorities and outcomes within the Police and Crime Plan

The approach taken to develop the new Police and Crime Plan, published in November 2016, was endorsed by the Police and Crime Panel. In addition to consultation with stakeholders and the public to ascertain their views three key documents contributed to the development of the plan – Victims Needs Assessment, Young person's feedback via the 'Risky Business project' and a Sexual Violence Needs Assessment. The Police and Crime Plan states how the Commissioner will

work in partnership to deliver the Police and Crime Plan where he advocates a 'we not they' approach.

The new Plan was reviewed and approved by the Police and Crime Panel and Constabulary prior to publication in accordance with statutory requirements.

Engaging Stakeholders Effectively including Citizens and Service Users

The Policing Protocol Order highlights the accountability of the Police and Crime Commissioner to local people. This responsibility is delivered through the OPCC to ensure a wide range of engagement approaches so that the Commissioner actively listens, considers and effectively uses the views of the people of Cumbria and is accountable.

The Commissioner is directly involved in many of the engagement activities and is aware of the issues being raised by members of the public. The OPCC on a regular basis formally reports to the Commissioner identifying trends and linking to the development of the Police and Crime Plan and decision making.

During 2016-17, one of the key messages that has been promoted is the Commissioner's ethos of 'we, not they', to emphasise that communities, stakeholders and partners need to all work together to help deliver the Police and Crime Plan, and keep Cumbria safe. In terms of delivering this message, and to increase the profile of the new Commissioner, a wide range of activities were carried out, including:

- Public surgeries/drop-ins were held through May, June and July, in Barrow, Carlisle, Workington, Penrith and Kendal. Then during November and December they were held in Millom, Silloth, Wigton, Longtown Auction Mart, Kirkby Lonsdale, and J36 Auction Mart.
- The Commissioner carried out numerous speaking engagements including: Castle Sowerby Parish Council, Brough Parish Council, Rotary Club Carlisle, Lakes Parish Councils and Workington foodbank. Other venues include Mothers Union Maryport, Solway Community Technical College and Newton Rigg.
- The Commissioner also attended the Westmorland Show, Cumbria Pride, the Skelton Show and Wigton Carnival, Preston Military Show.
- He has met with a diverse range of community groups including Carlisle Youth Zone, Mencap, Cumbria Youth Alliance, AWAZ and Lesbian, Gay, Bisexual and Transgender (LGBT) groups.
- The Commissioner also undertook various media engagements to promote awareness and spread key messages. For instance in May he attended The Bridgeway Sexual Assault Referral Centre to help promote the county-wide Sexual Assault Support Services. He also attended an event at the LGBT HQ in Carlisle, to help promote International Day Against Homophobia.

- He attended The Well in Barrow, to see first-hand the work that is going on there which has been partly funded by the OPCC. The funding has enabled The Well Communities Project to recruit, train and develop a network of 10 peer-led recovery champions who will work with ex-offenders, veterans and others seeking recovery from drug and alcohol dependency. The champions will support and motivate people taking part in the Project to take control of their recovery, encourage individuals to train and gain new skills.
- He has met other community groups that have been funded by the OPCC, to help local people tackle some of the priorities in the Police and Crime Plan such as antisocial behaviour and projects aimed at crime prevention, and tackling crime and disorder. These include Wigton Amateur Boxing Club, Kie Skate Park, and Carlisle Youth Zone, where the OPCC funded a mentoring programme. The aim of the mentoring programme is to keep youngsters out of trouble, and Carlisle Youth Zone had developed a holistic preventative approach, targeted at those young people who are experiencing difficulties in their life, and who needed a positive role model. The programme, in its second year, is proving very successful, with many youngsters already benefitting from the experience.
- In October, the Commissioner took part in Advocates Against Abuse training, which he commissioned using Home Office Funding. The training aims to create a network of people that are able to offer support to victims of domestic abuse.
- The Commissioner also funded a survey through Outreach, to assess what barriers there are that stops those from the LGBT community reporting sexual assault.
- The Commissioner also part funds and makes use of Cumbria Community Messaging, which is managed by the Cumbria Neighbourhood Watch Association (CNWA), and offers people and communities across Cumbria the means to receive information from agencies in the county tailored to their particular preferences for content, priority and means of communication. It is a web based system and registration is quick, simple and completely free;
- The OPCC has a website which generally received about 1500 hits per month;
- We also maintain a social media presence, using Twitter and Facebook;
- A bi-monthly newsletter is also widely distributed, and provides a round-up of recent activity and announcements on forthcoming dates, consultations etc.

Conference meets in public with meetings regularly attended by various representatives of the media and members of the public. There is a facility for members of the public to ask questions of the Commissioner, which has been used by one person in the course of the year, at the 6th September 2016

meeting. The media attend regularly with good coverage across the local media.

The Commissioner carried out a wide range of public engagement events over the year to provide as many opportunities as possible for the public to engage with him, through a diverse range of communication and engagement methods.

Public consultation is one of the many methods of engagement that has been used this year. The Commissioner launched a public consultation on 20 June 2016, which ran until 12 August 2016, to establish what the public considered their policing priorities. This was to help shape the Police and Crime Plan for 2016-2020.

The consultation involved an on-line and paper survey, as well as a number of surgeries and roadshows across the county. In addition to the surgeries mentioned above, there were also roadshows in Whitehaven and Barrow, where the Commissioner and his staff encouraged people to share their views on policing priorities. He also hosted an on-line meeting, to offer an alternative way of engagement. The consultation received wide media and social media coverage.

The survey asked people to select from a list what they believed the top five policing priorities for Cumbria should be.

A total of 524 people completed the survey and the top five priorities were identified as:

- Ensuring the police tackle crime and anti-social behaviour;
- Providing a visible police presence;

- Tackling grooming and child sexual exploitation; ■ Tackling domestic abuse;
- Improving services for people with mental health conditions and reduce the demand of crisis situations on the police.

This information, together with the feedback from other stakeholders and partners, the Chief Constable and the Police and Crime Panel, has been used to shape the Police and Crime Plan. The Plan was launched in November 2016. This is a good example of 'You said, we did'.

The Commissioner also carried out a 'light touch' consultation around the setting of the policing precept for 2017-2018 budget. The Commissioner, via social media, broadcast media and printed media, invited members of the public to get in touch to express their views on the proposal to set the precept at 1.91%. The Commissioner also consulted the Chief Constable and the Police and Crime Panel. The feedback from all areas was support for the increase, so that enabled the Commissioner to set the budget with a high degree of confidence that this represented the views of the public.

In terms of how public engagement feedback has been used to influence strategic decisions going forward, there are a number of areas where this can be seen:

The Police and Crime Plan – was developed through the consultation as described above;

The Policing Budget - Previous and on-going consultation informed the decision on the level of police precept;

Quality of Service Issues – through the public raising issues, the Commissioner is able to raise concerns with the Chief Constable and monitor improvements, for instance complaints about the level of 101 call handling;

Good consultation – the range and diversity of communication and consultation methods has enabled us to demonstrate engagement across the demographics spectrum.

Going forward, there will be a focus on increased engagement with:

- agricultural/rural sector;
- business community; ■ Youth community.

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits

REVIEW OF REQUIREMENTS AND ARRANGEMENTS

Defining Outcomes

The Police Reform and Social Responsibility Act (PR&SRA) requires the Commissioner to produce a Police and Crime Plan setting the vision and strategic direction for policing, crime reduction and community safety. A new Police and Crime Plan was launched in November 2016, following the appointment of a new Police and Crime Commissioner for Cumbria.

The Police and Crime Plan 2017/2020 contains the police and crime objectives which all contribute toward achieving the PCC's overall aim 'to make Cumbria an even safer place'. Each objective is supported by actions that the Constabulary and/or

The Commissioner receives correspondence from members of the public on a variety of issues including complaints or dissatisfaction. These are dealt with in accordance with statutory legislation and agreed policy and procedures. Where issues are identified they are raised with the Constabulary and where necessary steps are taken to ensure changes to services are made. During 2016-17 work has been undertaken to identify trends in complaints and these have been reported to the Commissioner. The trends are used to give feedback to the Constabulary to help to improve the standard of service received and influence future commissioning for areas which require additional support.

partners will undertake to contribute to successful outcomes. These objectives and actions are underpinned by performance measures used to assess how well the objectives are being achieved. The performance measures are set out in the PCC's Performance Management Framework. The Accountability Framework, HMIC Inspections and Value for Money Reports support the Commissioner in holding the Chief Constable to account around the performance, efficiency and effectiveness of the force.

The priorities within the plan are to:

1 Your Priorities For Cumbria

- Get Feedback from members of the public across the county to understand what they think the Police's priorities should be;

- Support and enable community groups to prevent and tackle crime and disorder in their area;

2 A Visible and Effective Police Presence

- Look at how we provide visible uniformed policing in our communities Make sure the Police are engaged in our local communities to understand local issues;
- Make sure the Police understand and are tackling the types of crimes which are affecting people today;
- Collaborate with other forces and agencies in specialist areas;
- Make improvements in the areas which recent inspections of the Police found could be done better;
- Make sure the Police are ready to deal with threats which develop in or affect a wider area than Cumbria, including civil emergencies/natural disasters, terrorism, cyber-attacks, organised crime and public order.

3 Tackle Crime and Anti-Social Behaviour

- Tackle domestic abuse early on to stop people suffering;
- Address hate crime and make it clear it will not be tolerated; Address crime which affects people in rural parts of the county; Be proactive in tackling anti-social behaviour;
- Make it easy and effective to report crime and anti-social behaviour; Tackle alcohol and substance misuse, including new psychoactive

substances; Focus on serious and organised crime;

- Target speeding and dangerous driving;
- Protect the vulnerable and elderly from crime eg cyber and online

4 Ensure Offenders Face A Consequence For Their Crime

- Manage offenders in the community after release from prison or a court sentence
- Give victims the chance to meet with or write to the person who committed the crime so they can explain the impact it has had (restorative justice)
- Make sure the Police give victims the opportunity to say how an offender should make amends for lower level crime (Community Remedy)

5 Always Put Victims First

- Support and give funds, where possible, to organisations offering help and support services to victims of crime, including enhanced services for more serious crimes and vulnerable victims;
- Listen to and stand up for the rights of victims;
- Make sure that agencies who work with victims of crime meet national standards (the national Code of Practice for Victims of Crime)
- Make it quicker and easier to get people who are having a mental health crisis to be taken to a place of safety and a suitable service so they get help quickly and police officers do not have to spend as much time doing this.

6 Focus our Police on Online and Sexual Crime

- Help members of the public to be aware of the risk of online crimes and keep themselves safe online;
- Prevent grooming, child sexual exploitation and sexual abuse;
- Make sure the Police have up-to-date information on crimes committed using a computer or computer network and that they are able to deal with this;
- Support services for victims of sexual crime, including child sexual exploitation and encourage more people to come forward.

7 Spend your Money Wisely

- Fight hard to protect the budget for policing Cumbria
- Stand up for Cumbria having its own police force
- Represent what Cumbria needs with national Government
- Make sure the Police are working as efficiently as possible;
- Look at how we can work with the Fire Service to make services better

8 Supporting Young People

- Set up a Youth Commission to get young people's feedback and engage them in helping to prevent and fight crime
- Improve how the Police interact with young people

- Support activities which provide positive opportunities for young people or which prevent young people from turning to a life of crime

Key performance indicators were set with the Chief Constable at the start of the financial year in support of the objectives within the new Police and Crime Plan. This is supported by a comprehensive Accountability Framework. The Accountability Framework, HMIC Inspections and Value for Money Reports support the Commissioner in holding the Chief Constable to account for performance of the force in relation to the effective and efficient way the force administers policing in Cumbria.

The Chief Constable is held to account for delivery of the objectives through the PCCs Public Accountability Conference, meetings are held bimonthly and open to the public. A reporting Schedule is maintained and agreed with the Constabulary. The PCC monitors performance in a number of areas of policing including public protection (domestic abuse, sexual violence and child sexual exploitation), uniformed policing, offending and serious crime, rural crime, equality and diversity, finance, and ethics.

The PCC regularly reviews progress against his police and crime objectives. Where grants have been awarded, the awards will have been made against the timescales and milestones for delivery and included agreed success criteria or performance measures. The Partnerships and Commissioning Team have developed contract and grant management mechanisms for mitigating risks around non-delivery of service and for evaluating the progress against agreed milestones.

A Commissioning Strategy and framework combining procurement, partnership working and contract management; which describes our commissioning vision and objectives is currently under review. The document seeks to define how commissioning will support the challenges in Cumbria associated with empowering local communities and victims of crime; using innovation and shared working arrangements to tackle and prevent crime at its source and applying resources intelligently to secure effectiveness, efficiency and value for money. The strategy is intended to be applied equally across the duties and responsibilities held by the Police and Crime Commissioner and wider partners.

The document defines commissioning and outlines the vision, values and principles that will underpin the commissioning of services by Cumbria Police and Crime Commissioner. The strategy looks at the drivers for change at a national and local level and describes the information used to support change and how it will be delivered at a local level.

Sustainable economic, social and environmental benefits

The Head of Partnerships and Commissioning ensures that the services commissioned are consistent with the PCC's objectives as set out in the Police and Crime Plan 2016-2020. For the financial year 2016/17, the PCC committed over £1.5m to projects and initiatives aimed at reducing offending and re-offending and supporting victims of crime. A significant proportion of that funding has been committed to supporting the reduction in domestic abuse and sexual violence, including a perpetrator programme 'Turning the Spotlight' aimed at

changing behaviours of perpetrators whilst supporting the family in a holistic approach.

A joint Social Value Policy is in development between the Office of Police and Crime Commissioner and Constabulary Procurement Department. The document sets out the journey and aims to demonstrate how Cumbria will implement the Public Services (Social Value) Act 2012, how Cumbria will deliver social value through its commissioning and procurement activities, and set out Cumbria's priorities in relation to social value. The policy will require Cumbria and our suppliers to take responsibility for what is commissioned and procured, and to ethically and legally support us in delivering our social value priorities.

The policy will support existing organisational priorities, such as those included in the police and crime plan.

A comprehensive medium term financial strategy covering 2016-2020 was approved as part of the 2016-17 budget process. The strategy incorporated key objectives guiding the delivery of financial governance arrangements. It was supported by the financial services business plan setting out performance measures and targets for the 2016-17 financial year.

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes.

REVIEW OF REQUIREMENTS AND ARRANGEMENTS

Planning & Determining Interventions

During the course of 2016/17 the Commissioner's Public Accountability Conference received Constabulary assurance covering a range of areas of performance including Her Majesty's Inspectorate of Constabulary (HMIC) performance measures to assess police effectiveness, efficiency and legitimacy (PEEL). The PEEL assessments for 2016 were assessed as 'good' for legitimacy and efficiency and effectiveness. The reports enable the Commissioner to hold the Chief Constable to account. They help inform revisions to existing priorities and the setting of new priorities to meet emerging trends and better support the delivery of outcomes.

Cumbria 'Out of Court Disposal Scrutiny Panel' was established in 2013 and is chaired by the Office of Police and Crime Commissioner. The intention of the panel is to provide transparency and accountability and to increase the public's understanding, confidence and trust in how the Constabulary uses OoCDs, with particular focus on the delivery of appropriate and proportionate justice. The purpose of the Scrutiny Panel is to independently review a selection of anonymised cases that have been resolved by use of an out of court disposal. The scrutiny panel has no referral or appeals capability and is not intended to re-judge cases. It will assess the relevant process, interactions and decisions to identify any areas for

development and continuous organisational learning.

Out of Court Disposals allow the police to deal quickly and proportionately with low level, often first time, offending which can be appropriately resolved without a prosecution at court. Delivered ethically, effectively to the right people and in the right circumstances they provide swift and meaningful justice for victims, hold offenders accountable for their actions and reduce reoffending. The aim of the panel is to determine whether the method of disposal is considered appropriate, based on a review of the information/evidence available to the decision maker at the time.

During the last year, the Commissioner has continued to build on partnership working to address priorities in the Police and Crime Plan, in addition to supporting and funding local agencies and groups to help tackle some of the priority areas.

These activities have included:

- Continuing the role of Chair of the Safer Cumbria Partnership Delivery Group, to tackle crime and disorder bringing together public services such as councils, health, probation and voluntary groups.
- Working with partners on an action plan to tackle hate crime.
- Working with leaders and chairs of the county's key public and voluntary sector agencies as a member of the Cumbria Leaders' Board

- Working to help address alcohol, drug and mental health issues, often contributing factors in crime, through working jointly with Health and wider partners.
- Providing funding for Cumbria's three Community Safety Partnerships to tackle local issues in relation to crime and disorder, focusing on alcohol and drugs abuse, domestic violence, local crime prevention, and antisocial behaviour. Supporting community groups to reduce crime and tackle antisocial behaviour through a Police and Crime Property Fund, Community Fund and Innovation Fund.

During the year crime levels, public satisfaction and police performance have been regularly monitored and publically challenged through the Commissioner's Public Accountability Conference, regular performance review meetings and alongside audits and visits to departments.

The new Commissioner approved his first budget on February 22nd 2017 alongside a funding agreement that provided a £111m net revenue budget to the Chief Constable. The budget included funding to direct resources towards areas experiencing pressures and to respond the changing demands. This included funding for additional investigators in response to the growth in historic cases. Resources have also supported the continuity of temporary funding for quality case management. This funding aims to improve outcomes for victims, increasing the capabilities to

identify suspects and strengthen arrangements for criminal justice.

The most significant factor influencing financial strategy and planning is the government's review of police formula funding. The outcome of that review has the potential to make a stepped change to the Home Office Police Grant. Announcements are expected early in the new financial year. The 2017/18 budget process has updated financial forecasts on the basis of the current Police Grant settlement. Financial resources are broadly consistent with previous years and this has supported continued stability in the number of Police Officers and Police and Community Support Officers.

During 2016-17, to prepare for funding announcements and the likely need for review of financial and operational resource allocations, a number of strategic sessions have been held jointly between the Commissioner and Chief Constable and their respective senior teams. This has focused attention on the current and likely future levels of incident demand and reviews of community policing, command and control and crime command. This work is being supported by commissioned work with independent academic colleagues. This aims to build a stronger understanding of the resource implications of demand within neighbourhood policing teams and roads policing. The evidence and data collected through this work will be used to support representations on formula funding and future financial planning. It aims to ensure forward decision making is robust and that the impact of changes to funding on services and outcomes are fully understood.

Optimising Achievement of Intended Outcomes

The medium term financial strategy, incorporating financial modelling, operational plans and capital strategies will be updated in 2017-18 following expected announcements on the formula funding settlement for Cumbria.

The current strategy covering the years 2016-2020 sets out financial plans for revenue on a four year basis and 10 year capital plans. Whilst longer term funding is uncertain, the expenditure projections provide estimates of future costs and have supported the Commissioner in determining the balance of resources to allocate to policing verses community safety interventions, victim support services and wider criminal justice initiatives. The strategy has responded to the need for a balanced budget through a combination of detailed change programme plans within the Constabulary and reductions in the Commissioned Services Budget. The later decision has been influenced by work to benchmark commissioning services expenditure between statistically neighbouring authorities.

All objectives within the medium term strategy governing financial management and administration were achieved during 2016-17. The strategy was supported by the finance service business plan that sets out performance measures and targets for the financial year. During 2016-17 the substantial majority of targets were met. The most significant exception was in respect of capital budget monitoring targets. This was due to significant slippage on the capital program that has arisen following in year operational decisions to change the programming of capital schemes.

The Victims Advocate conducted a victim's needs assessment in 2016/17. Recommendations identified provided a clear focus of activity for the PCC and partners' work in key areas of the Police and Crime Plan: support for victims, domestic abuse, sexual violence, child sexual exploitation, cybercrime and youth justice. Working with a wide range of partners, the report identified areas for improvement in services and developed an evidence base to support future commissioning activity. The resulting action plans have identified clear responsibilities for making improvements in identified areas and governance processes have been put in place through partnership groups alongside the OPCC, to ensure their delivery. They have already resulted, amongst other areas, to improvements in services for domestic abuse victims through changes in the service commissioned during 2015 and to the firm commitment of partners to the delivery of a holistic service to victims of sexual violence, which will have a significant impact on reducing the harm caused by such crimes.

The Victims Needs Assessment outlined progress since the previous reports, identified gaps in victims' service provision and emerging themes and provided an evidence base for future commissioning. Following on from the recommendation of the review and in line with his commitment to keeping victims safe and at the heart of the Criminal Justice system, Cumbria's Police and Crime Commissioner has;

- Funded Independent Domestic and Sexual Violence Advisors in hospitals

- Established a Victim Care Unit in Cumbria to ensure a more efficient and effective referral service for victims in Cumbria.
- Provided funding for Cumbria Restorative Services Hub allowing victims to engage in Restorative Justice Practices.
- Funded 'Chelsea's Choice' a production for children raising awareness of Child Sexual Exploitation
- Funding the countywide Independent Domestic Violence Advisor service in partnership with the County Council.
- Funded dementia projects aimed at reducing risk and supporting sufferers and families whilst reducing demand on police resources.
- Established two Vulnerable Localities Index in Ormsgill in Barrow and Mirehouse in Workington aimed at preventing young people becoming engaged in crime and anti-social behaviour.
- Commissioning Victim Support to provide emotional, practical, advocacy and signposting services.
- Funded a support service for victims and witnesses attending Coroner's Courts.
- Continued to develop and fund the Bridgeway Sexual Assault Support Services which includes forensic examination and other health services, emotional support and counselling will be available in Cumbria for all victims of sexual assault, whether reported or not.
- Introduced county-wide Perpetrator Programmes "Turning the Spotlight" in respect of domestic abuse in adolescent relationships, where domestic abuse is occurring between children and their parents and with a holistic approach working with whole families.
- Introduced a county-wide Perpetrator Programme addressing Hate Crime.
- Funded 'I Feel the Hate' Hate Crime production for children, raising awareness of the issues and impact of such crimes in respect of all strands of diversity.
- The Cumbria Together website www.CumbriaTogether.com has been developed with the purpose of providing an Information Portal bringing services and information about what is available for those affected by crime together irrespective of whether the crime has been reported or not to statutory agencies.
- Commissioned a service 'Keep Safe' to develop county wide target hardening services across Cumbria for victims of crime and anti-social behaviour.
- Funded "Brake" specialist support for bereaved families of victims killed as a result of Road Traffic Accidents.
- The Commissioner's Innovation, Community and Property Funds also continue to provide financial support for numerous projects working with victims across Cumbria. [Community Fund](#), [Innovation Fund](#) and

Property Fund

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

REVIEW OF REQUIREMENTS AND ARRANGEMENTS

Developing the entity's capacity

The key functions and roles of the Commissioner and the Chief Constable are set out in the Police Reform and Social Responsibility Act 2011 (PRSRA). The PRASA also sets out the function and roles of statutory officers, namely the Monitoring Officer (Chief Executive) and the Chief Finance Officer (CFO). The monitoring officer has specific legal, financial and governance duties in addition to a statutory responsibility for the lawfulness of decision making. The functions and roles set out in legislation and guidance are codified in the Commissioner's scheme of delegation.

During 2016-17 the Commissioner has reviewed the arrangements for the structure of the office. The Joint Audit and Standards Committee received a report in March 2017 benchmarking costs. That report confirmed that the structure and total running costs of the OPCC remain competitive compared to statistical neighbours.

Following the structure review and from April 2017, the Commissioner and Chief Constable have determined to put in place an arrangement for a shared Chief Finance Officer. This recognises the level of duplication within these roles and will reduce costs in the context of increasing budget pressures. To ensure the effectiveness of that role

in supporting both entities a number of governance arrangements have been put in place. These aim to ensure independent support to both

entities where needed and cover arrangements to manage conflicts of interest should they arise:

- The structure includes a Joint CFO and a Joint Deputy CFO, both required to be a member of the Chartered Institute of Public Finance and Accountancy (CIPFA).
- Reasonable reliance is placed on the post holders' compliance with the CIPFA Standard of Professional Practice on Ethics
- Job Roles for the Joint CFO are based on the CIPFA statement on the role of the Chief Finance Officer of the Police and Crime Commissioner and the Chief Finance Officer of the Chief Constable.
- The role of the Joint CFO is reviewed annually against the CIPFA statement with an opinion on compliance. The review and opinion will be subject to the professional advice of the Joint Audit and Standards Committee.
- The Joint CFO and Joint Deputy CFO will engage in the Police and Crime Commissioners Treasurers Society (PACCT's) mentoring scheme.
- A formal agreement is being put in place through a strategic partner policing body for external advice to the Police and Crime Commissioner or the Chief Constable where there are conflicts of interest that either entity determine should be managed externally.

The leadership structure will remain under review during 2017-18 as a result of the planned retirement of the Chief Executive and wider responsibilities around blue light collaboration.

Procurement regulations were subject to fundamental review and update during 2015-16 with some further minor amendments in 2016-17 in respect of late tender procedures. Relevant staff have received copies of the updated regulations which were further supported by a revised procurement strategy approved in February 2017. The strategy includes a detailed action plan that continues to drive forward improvements in procurement activity and processes to deliver best value from the supply chain. Estates procurement has seen some significant successes in driving down costs whilst delivering high quality buildings with the overall service and building costs benchmarking very competitively.

Developing the entity's leadership

The Chief Executive receives support through the Association of Police and Crime Commissioner Chief Executives (APACCE). To provide peer support, APACCE members have developed a directory setting out the specialist subject matter areas of each member. At their regular meetings APACCE have also provided a forum to deliberate on key issues for the development and enhancement of the role of Police and Crime Commissioners. Advice and support is also available through the regional (North West and North Wales) Chief Executives Group, which meets on a quarterly basis. There are also quarterly regional meetings of Police and Crime Commissioners and Chief Executives. In addition, the North West Joint Oversight Committee of Police and Crime Commissioners continues to meet

regularly to take forward collaboration between forces and OPCCs in the region.

The Chief Finance Officer continues to receive support from the Police and Crime Commissioner's Treasurer's Society (PaCCTS) and the associated technical information service. During 2016-17 this has included analysis of the Police Grant Settlement, the Chancellors budgets, and a number of financial surveys and reports to support benchmarking and comparisons on budget assumptions and reserves. Officers within the finance team have attended annual technical update and development events run by CIPFA and the Deputy CFO has attended a number of national events in preparation for blue light collaboration.

During 2016-17 members of the Audit and Standards Committee have undertaken a full programme of development activity. This has included a day overseeing operational policing activity, a session contributing to the new Police and Crime Plan and seminars on treasury management and the medium term financial forecasts.

The Joint Audit and Standards Committee has conducted a formal review of its effectiveness against the new CIPFA guidance for Audit Committees. Against the self-assessment checklist the Committee achieves a consistent grade of 4 or 5 (against a maximum of 5) across all areas. For those functions not included within the checklist, incorporating the wider functions of the Committee, there is evidence to demonstrate compliance with CIPFA guidance and elements constituting best practice. The review confirmed that the Committee has during 2016-17 implemented areas identified for development

from the 2015-16 review. Further areas for development are identified for 2017-18 to provide for continuous improvement. The full report of the Committee can be found on the Commissioner's website at:

<http://www.cumbria-pcc.gov.uk/governancetransparency/audit-committee.aspx>

There have been a number of changes of personnel on each of the Custody Visiting Panels during this year, some of these due to volunteers having completed nine years on the scheme. The Scheme Administrator has run a number of recruitment campaigns to attract new candidates for appointment. Induction training courses have been run for newly-appointed visitors in Barrow, Carlisle and Kendal throughout 2016-17. Membership of the four panels at the end of 2016-17 stood at Barrow 10; Kendal 9; North Cumbria 12 and West Cumbria 11.

In the period 1 February 2016 to 31 January 2017 they made 213 visits, spoke to 266 detainees and observed a further 73 detainees. No serious issues were raised during any of the visits. Data relating to the visits is provided to ICVA on a quarterly basis who subsequently provide the information to the Home Office, ensuring that the Commissioner is complying with his statutory duty.

In 2016 the OPCC became a member of the Independent Custody Visitors Association (ICVA). ICVA is a Home Office and PCC funded organisation set up to promote and support the effective

provision of custody visiting nationally. They work closely with government and criminal justice organisations providing advice to OPCC's on best practice for independent custody visiting schemes and bespoke training.

Cumbria's Scheme Administrator attended the ICVA Scheme Administrator's conference on 31 October 2016. The conference saw guest speakers talk about the Appropriate Adult Service, the Children's Concordat, the safeguarding of vulnerable people in custody; along with guest speaker Dame Anne Owers from the Independent Police Complaints Commission. It also provided an opportunity to speak with colleagues from other schemes, discussing common themes and issues, enabling the development of a national support mechanism. As part of the membership package individual ICVs are also eligible to attend the National Custody Visiting Scheme conference which was held on Saturday 11 March 2017. Four representatives from the scheme attended and heard from a variety of speakers, some of whom had themselves spent time in custody suites and talked about their experiences. Other seminar topics included the Liaison and Diversion scheme, vulnerable people in custody and a representative from the St Giles Trust who help to re-habilitate offenders.

The Cumbria ICV Annual Conference was held on Saturday 8th April 2017 with 30 Custody Visitors attending. The Commissioner opened the conference and held a question and answer session along with the Deputy Chief Constable. Among the topics this year was: Changes within Custody; Constabulary Dogs and the Animal Welfare Scheme; and Mental Health Awareness. The delegates undertook a number of workshop exercises focusing

on developing good practice in Custody Visiting and a series of scenario discussions aimed at improving practice in the Cumbria ICV scheme.

In addition to the Cumbria Conference, a number of ICV's attended the Regional Conference held on 15 October 2016. The event covered a range of issues including Police Interview Skills, Alcohol and Substance Misuse; a Quiz on PACE; Arrest and Restraint Techniques and discussion workshops.

The Animal Welfare Scheme, which looks at the welfare of police dogs, is composed of eight volunteers drawn from the ICV scheme who have been appointed to undertake this role. The Civil Nuclear Constabulary also utilise the eight volunteers from the Animal Welfare Scheme to carry out a similar function for them. This arrangement works well to the mutual benefit of both Cumbria Constabulary and the Civil Nuclear Constabulary.

During 2016-17 the Ethics and Integrity Panel has continued to develop and enhanced its role. This has included undertaking "thematic inspections" of specific areas of activity such as Stop and Search and contributing to reviews of ways of working within the Constabulary, such as the changes introduced within the Constabulary's Communication Centre. This work has led to recommendations being made to the Constabulary with a view to the enhancement and/or improvement of the service. Stop and Search was reviewed again in August 2016 to assess the progress and development of the Constabulary. They found that over 96% of forms were correctly completed compared with previous findings. The Panel also reviewed the Constabulary's ethical

decision making regarding the Kendal Calling Festival and the organisers wish to have a procedure whereby those attending the event could have drugs tested. Having considered all information they felt that the Constabulary had made a reasoned decision and the benefits being borne out with no drugs related deaths occurring at the 2016 event.

In undertaking these new activities the focus of the Panel has been on the ethical implications of the proposals or the way in which the activity is undertaken.

Developing the capability of individuals within the entity

The OPCC has its own set of HR Policies for key policy areas. The policies were reviewed in January 2016 with a further comprehensive review in 2018. Additional HR support is provided by a professional HR third party as and when is required.

During 2016-17 a Corporate Development Day was held for all staff within the COPCC as part of the development of the COPCC's Business Plan. A Development Day was also held for all staff as part of the process for reviewing the Commissioner's risk management processes and procedures, together with a separate session for the Executive Team on strategic risk. All of these sessions were facilitated by a CIPFA accredited trainer.

All staff within the office participate having undertaken a personal development review process to ensure they have the skills to be effective in their roles. Staff also have regular one-to-one sessions with their line manager. Specific training has been provided for staff in the areas of advanced

Microsoft Word, Excel, Freedom of Information, media management, project management, equality and diversity, risk management, coaching and fire safety.

The OPCC is constantly evolving and it is planned that there will be a further review of job descriptions during the next 12 months to ensure that they are fit for purpose.

Finance staff with treasury management responsibilities have held regular briefing meetings with Arlingclose, the Commissioner's external treasury management advisors. This facilitates a high level of awareness within the team of the current economic climate and regulatory changes, both of which impact on the risks and opportunities for counter-party investment. Arlingclose also delivered a seminar for members of the Joint Audit and Standards Committee prior to their scrutiny of the Treasury Management Strategy. Further specialist advice has been received from the Commissioner's Insurance brokers in respect of the annual renewals on insurance.

Principle F: Managing risks and performance through robust internal control and strong public financial management

REVIEW OF REQUIREMENTS AND ARRANGEMENTS

Managing risk

During 2016-17 arrangements for risk management have continued to build upon the work carried out in the previous year to develop arrangements for managing the Commissioner's risk. During the year the Commissioner's Risk Management Strategy was reviewed and updated to reflect the current risk environment. The updated strategy was supported by the Joint Audit and Standards Committee and would going forward be reviewed on a three year basis.

Risk has become embedded within the everyday work of the OPCC, staff continually assess risks within their roles and when preparing reports or decisions a specific area to highlight associated risks is included. Both strategic and operational risks are reviewed on a quarterly basis and appropriate updates made.

During the year, the Commissioner has received and scrutinised a quarterly report presented by the Chief Constable in respect of the Constabulary's management of strategic risks to enable the Commissioner to have oversight and scrutiny of the risks facing the Constabulary.

The Commissioner's arrangements for Risk Management include procedures for Business Continuity. Following a review of the arrangements in 2015-16 the Business Continuity Plan continues to be reviewed to ensure that it is

fit for purpose, with updates and testing occurring throughout the year.

Arrangements for Risk Management have been further assured through the delivery of the 2016-17 Internal Audit Plan. The Plan was developed on a risk based approach and substantially increased the number of days of audit work during the year from 232 to 269 (including 15 days carried forward). This is as a consequence of widening the areas of audit coverage in line with the public sector audit standard.

Managing Performance

The Public Accountability Conferences facilitate arrangements for the scrutiny of quarterly performance updates and thematic reports around priority areas of policing including, domestic abuse, child sexual exploitation, sexual offences, rural crime, anti-social behaviour and reducing reoffending. This is supported by regular one to one meetings between the Chief Constable and Commissioner.

The PCC and Chief Constable carry out a large number of internal inspections each year. These are undertaken by either the Constabulary itself or through the joint programme of linked audits undertaken by internal and external auditors. There are also a number of external inspections undertaken of the Constabulary, by Her Majesty's Inspectorate of Constabulary (HMIC). Reports from external inspections are considered by the PCC. Where actions are required and as appropriate the necessary improvements are monitored by the PCC through the Public Accountability Conference and progress against action plans. All HMIC inspections

of the Constabulary are available on the PCCs website. The robust and effective arrangements ensure that policing services are delivered in accordance with the PCCs objectives.

The Police and Crime Panel have met five times during 2016-17. All meetings are held in public, providing an open and transparent process for scrutinising the decisions and work of the Commissioner. The work programme of the Panel during 2016-17 placed a significant focus on the commissioning elements of the Police and Crime Plan and the implications for Cumbria of the Home Office Police Formula Funding Consultation.

During the course of the year the Commissioner has engaged with the Police and Crime Panel as part of the review processes for the Police and Crime Plan.

The Panel has developed jointly with the Commissioner a programme to support engagement and accountability in respect of priority areas from within the Plan. During 2016-17 the panel focused accountability on the two thematic areas, these being: 'Victims: Ensure victims of crime have access to support and redress'; Domestic Abuse, Sexual Violence and Hate Crime: reduce harm by targeting domestic abuse and sexual violence, reduce harm caused by hate crime. The Panel has received regular reports on the work, activity and outcomes in respect of these themes and has provided scrutiny and support in respect of the on-going delivery of these priorities.

On January 23rd 2017 the Panel considered the matter of the Commissioner's proposed precept.

As part of this process the Panel held a seminar to undertake detailed scrutiny of revenue and capital budget plans, plans for savings proposals and the Commissioner and Constabulary's performance in delivering efficient and effective policing during 2016-17. The Panel decision was that they support the proposed police precept without qualification or comment.

Robust Internal Control

During 2016-17 a number of areas of the corporate governance framework have been subject to cyclical review and update. This process is supported by the professional advice of the Joint Audit and Standards Committee. The Committee has conducted five public meetings during 2016-17 and undertaken a significant amount of work to scrutinise and make recommendations in respect of the Commissioner's arrangements for governance risk management and internal control. This has included scrutiny of the Financial Regulations and Financial Rules, Grant Regulations, the Code of Corporate Governance, Risk Management Strategy, the Internal Audit Charter, Treasury Management Strategy, Statement of Accounts and Annual Governance Statement.

Internal controls have also been reviewed through the annual process of management assurances and the annual internal audit plan. Of the 20 audits conducted through the plan, 70% have received either reasonable or substantial assurance. The Audit Plan provides the basis for the Chief Internal Auditor's overall opinion on the control environment. The internal audit annual report for 2016-17 concludes that the Commissioner's frameworks for governance, risk and internal control are reasonable and that audit testing has confirmed

that controls are generally working effectively in practice. During 2016-17 the Joint Audit and Standards committee have received quarterly reports monitoring the implementation of all audit recommendations.

Managing Data

The OPCC operates within the parameters of legislation governing the protection of data, ensuring that all data is appropriately stored and shared where necessary. Data is held in accordance with the COPCC Retention Schedule, removed or destroyed appropriately and is not held for longer than necessary. Access to information is restricted to appropriate staff.

In 2016-17 the Commissioner received 38 requests from members of the public for information under the Freedom of Information Act. Of those received the OPCC held information relating to 18 of the requests with the remaining 20 being transferred to the Constabulary to deal with. Each request was dealt with within the 20 working day timescale. No Subject Access Requests were received seeking personal data under the Data Protection Act. A number of staff within the OPCC are trained to deal with requests for information. Physical data within the OPCC is held securely with appropriate office and cabinet security provided.

To ensure openness and transparency the OPCC publishes its procedures for dealing with Freedom of Information Requests enabling it to meet its statutory obligations under the Act. It also publishes the requests it has received and responses provided on a monthly basis on the Commissioner's website.

During 2016-17 reports to the Ethics and Integrity Panel were provided regarding the OPCC's compliance with the Freedom of Information Act and the Data Protection Act. Through this independent scrutiny the Commissioner can gain assurance of compliance. The Panel also considers information relating to the Constabulary's compliance with both Acts.

In May 2018 the General Data Protection Regulations will replace the Data Protection Act 1998. The OPCC will be carrying out work to ensure that it is prepared and compliant with its data processing when the new regulations come into force.

Strong Public Financial Management

At the Executive Board meeting of 24th February 2016, Mr Rhodes, the former Commissioner, set the 2016-17 annual budget and precept in the context of a medium term financial strategy 2016-2020. In line with his duty to maintain the police force the Commissioner agreed a net budget of £111m for the Chief Constable for the 2016-17 financial year and a funding arrangement that codifies the terms for that funding including arrangements for financial management. The budget included £2.5m funding for 2016-17 within a commissioned services budget for victims, community safety and crime reduction. These budgets operate in partnership with the District and County Councils, Community Safety Partnerships and wider community and voluntary Sector groups.

During 2016-17 Mr McCall, the newly elected Commissioner, received a suite of financial reports in line with the arrangements for financial management. This has included revenue and capital

budget monitoring and treasury management activities reporting. Reports for 2016-17 have adopted a new format to assist with their public accessibility and are published on the Commissioner's website.

The Commissioner has also approved a revised and updated set of financial regulations and rules as part of the cyclical review processes for financial management. The new documents have been reformatted and aligned to assist users in navigating and understanding their content. The outcome of all audits of financial arrangements during 2016-17 was an opinion that provided either reasonable or substantial assurance.

Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

REVIEW OF REQUIREMENTS AND ARRANGEMENTS

Implementing good practice in transparency

During 2016-17 the Commissioner has prepared for publication a first annual report of his term of office. The annual report, entitled "Making Cumbria an Even Safer Place", includes information on how the Commissioner has responded to issues raised during community engagement activity and how engagement has informed future priorities.

Throughout the year the Commissioner has published financial monitoring information that reports progress in respect of the capital and revenue budgets and treasury management activities for 2016-17. Monitoring reports have been developed to present a revised, shorter and more succinct format that aims to increase the

During 2016-17 budget resources and the impact of formula funding remained the Commissioner's single strategic risk. A number of mitigation measures have been put in place including work to financially model the impact of funding losses and membership of the National Rural Crime Network (NRCN). Through the NRCN, studies have been commissioned to demonstrate the costs of delivering rural policing services. The medium term financial strategy sets out the full range of financial risks and how they are managed.

transparency and accessibility of financial information. Further to this, the reported financial statements published in May 2016 introduced the statutory Chief Finance Officers' Narrative Report. The Narrative report incorporates a more accessible summary of the statements and financial and performance information alongside a business review.

The media is used as a very traditional way to communicate to the people of Cumbria. More and more communication including the OPCC is being driven towards social media and this is important when wanting to engage with young people. The website is also key for people to gain information. The Commissioner in March 17 launched a new website following some technical issues with the previous website. Despite the technical issues for eight weeks through the transition stage to the new website the OPCC was always able to maintain a

web presence with news items and full contact details.

The new website is designed to provide a much better interactive experience for visitors and easier access to information.

Implementing good practices in reporting

The Commissioner's activities, performance and achievements will be published in an annual report. The Commissioner's first annual report covers the period from 12 May 2016 to 31st March 2017. The Annual Report will be presented to the Police and Crime Panel at their meeting on 18 July 2017 and published soon after that. The Annual Report can be found on the Commissioner's website at www.cumbria-pcc.gov.uk. It will highlight the commissioner's key achievements during his first year, including:

- Published the Police and Crime Plan, 2016 – 2020, following a public consultation;
- Agreed and set the policing budget for 2017-2018;
- Launched the Cumbria Youth Commission;
- Funded numerous community projects ;
- Launched a new, refreshed website, to increase accessibility and improve the user experience;

In April 2016 a new Code of Corporate Governance was adopted in line with the 2016 CIPFA Good Governance Framework for Local Government. The Code was revised and updated during the year to reflect developments and changes to arrangements following the election of Mr McCall as the Police and Crime Commissioner for Cumbria.

The internal audit plan for 2016-17 included an audit of the Code to provide assurance that CIPFA good governance framework had been met within the revised internal arrangements. That audit provided reasonable assurance and made one recommendation that has been fully adopted. Review of the arrangements for internal audit have confirmed that the service meets the requirements of the Public Sector Internal Audit Standards (PSIAS) during 2016-17. The Internal Audit Plan also includes an audit of this annual governance statement.

On 23rd May 2016 the Commissioner approved the 2015-16 unaudited financial statements. The audited financial statements were published on 28th July 2016, resulting in the early achievement of the future financial reporting requirements. This benchmarked as one of the earliest OPCC offices to publish both the audited and unaudited financial statements. It was noted in the External Auditor's Audit Findings report that the accounts were prepared in advance of the statutory reporting timetable and to a good standard. The finance team's work on financial reporting and accessibility has been included in a nomination to the 2017 Public Finance Innovation Awards. The team were shortlisted in February 2017 for the award category of Finance Team of the Year. The awards will be announced in April 2017.

Assurance and effective accountability

The external auditor's opinion for the 2015-16 financial year was that the Statements provided a true and fair view of the financial position and that they have been properly prepared in accordance with the Code of Practice on Local Authority

Accounting. The auditors further confirmed in their Annual Audit Letter that that the Commissioner had proper arrangements in place for securing economy, efficiency and effectiveness in the use of resources.

Implementation of recommendations arising from the internal audit plan, external audit reports and HMIC actions relevant to governance have been monitored during the year through the Joint Audit and Standards Committee. At the March 2017 meeting the Committee were monitoring 5 actions carried forward from audit and inspection reports during the year. All other actions and recommendations were fully implemented with only one action recorded as being beyond its target date.

The Ethics and Integrity Panel monitors and reports on some specific areas of activity, such as complaint handling and ethical issues. The Panel has carried out a series of thematic inspections into specific areas of Constabulary activity. These being the Performance Discretion Framework, the use of Stop and Search Powers and the Kendal Calling Festival.

The Panel were able to look objectively at these areas, provide valuable independent scrutiny and feedback to the Constabulary on their findings; and provide assurance to the Commissioner.

APPENDICES TO THE ANNUAL GOVERNANCE STATEMENT

- Appendix A: 2017-18 Development And Improvement Plan
- Appendix B: 2016-17 Development And Improvement Plan Update

FURTHER INFORMATION

Further information on the arrangements for Governance can be found on the Commissioner's website under the tab headed Governance and Transparency.

We welcome your views on the Commissioner's Annual Governance Statement. You can do this by using the contact information below:

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*Peter McCall
Police and Crime Commissioner for Cumbria

*Stuart Edwards
Chief Executive

*Roger Marshall
Chief Finance Officer

*Signatures are removed for the purposes of Publication on the website

APPENDIX A OFFICE OF THE POLICE AND CRIME COMMISSIONER 2016/17 DEVELOPMENT AND IMPROVEMENT PLAN

Ref	Action	Responsibility	Detail	Deadline
CP1	Focusing on the purpose of the PCC and the Force, and on outcomes for the community, and creating and implementing a vision for the local area.			
CP1/1	Achieve publication of the audited financial statements by end July 2016.	Chief Finance Officer	Completed - The audited statement of accounts for 2015/16 were signed and published on 28 July 2016.	31-Jul-16
CP1/2	During 2016-17 The Head of Partnerships and Commissioning will be tasked with developing and implementing a Quality framework to support collaborative and partnership working in delivering improvements in services to victims and develop compliance with the Victims' Code of Practice.	Head of Partnerships and Commissioning	Partially completed - The Victim's Quality Framework has been developed and is in the initial pilot stage phase to establish partnership baselines.	31-Mar-17
CP1/3	Arrangements for scrutiny of Constabulary performance will be reviewed to ensure that robust arrangements are in place following the Police and Crime Commissioner Elections. Achieved, first Public Accountability Conference held 6 th July 2016.	Head of Partnerships and Commissioning	Completed - Arrangements for scrutiny of the constabulary performance have been reviewed. The first Public Accountability Conference held 6 th July 2016	31-Jul-16
CP2	Leaders, officers and partners working together to achieve a common purpose with a clearly defined functions and roles.			
CP2/1	Develop and introduce a new Code of Corporate Governance in response to the introduction of a new CIPFA Good Governance Framework and Guidance for Police expected in 2016-17.	Chief Executive/Chief Finance Officer	Completed - The new Code of Corporate Governance was reviewed by members at the March JASC meeting and signed by the outgoing Commissioner to be effective from April 2016. This was further revised during 2016-17 to provide for the new Commissioner's arrangements.	30-Jun-16
CP2/2	The Commissioner is working with health and local government partners to improve services for victims with mental health issues. Supported by the PCC, the Office of the Police and Crime Commissioner has secured funding from the Home Office Innovation Fund for the development of a multi-agency assessment and crisis centre.	Head of Partnerships and Commissioning	On-going - Phase one of the project, a 24/7 triage service, launched in October 2016 giving the Police and other blue light services access to a 24/7 support when dealing with mental health issues. Phase two, the assessment centre, is on track to open in April 2017.	31-Mar-18
CP2/3	Building on the work of the OPCC and partners during 2015-16 to embed Victim led Restorative Services, the OPCC will work with partners to increase the use of quality Restorative Justice through the ongoing development of a multi-agency approach.	Head of Partnerships and Commissioning	Completed - Following a successful EU procurement process Remedi have been appointed to embed RJ in Cumbria. The new service has been launched and will be monitored against outcomes identified in the contract.	31-Mar-17
CP2/4	During 2016-17 the OPCC will work to support the newly elected PCC to develop and implement a new Police and Crime Plan	Head of Partnerships and Commissioning	Completed - The Police and Crime plan is being finalised and was launched in late November/December	31-Dec-16
CP3	Promoting values for the PCC and demonstrating the values of good governance through upholding high standards of conduct and behaviour.			

CP3/1	During 2016-17 the scope and remit of the Ethics and Integrity Panel will be reviewed to maximise its on-going impact in improving arrangements for Ethics and Integrity.	Chief Executive	On-going - The OPCC Chief Executive and the Deputy Chief Constable have discussed the remit of the Panel with a view to it adopting a more pro-active role. This approach has been endorsed by both the Police and Crime Commissioner and the Chief Constable. This approach has been discussed with the Panel who are supportive of a move towards a more pro-active, in-depth scrutiny role. The Panel work plan for 2017 is now being developed to reflect this with two of the four meeting days set aside for in-depth scrutiny of specific areas of activity.	30-Mar-17
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APPENDIX A OFFICE OF THE POLICE AND CRIME COMMISSIONER 2016/17 DEVELOPMENT AND IMPROVEMENT PLAN

Ref	Action	Responsibility	Detail	Deadline
CP4	Taking informed and transparent decisions which are subject to effective scrutiny and managing risks.			
CP4/1	To ensure the continued effectiveness of the Joint Audit and Standards Committee as a scrutiny body, the programme of training/development activity for 2016-17 will include the design and delivery of a session on the incoming Commissioner's Police and Crime Plan.	Head of Partnerships & Commissioning/ Chief Finance Officer	Completed - Following the September meeting of JASC members received an update on the Commissioner's Police and Crime Plan prior to finalisation.	30-Sep-16
CP5	Developing the capacity and capability of the PCC, officers of the PCC and the Force to be effective.			
CP5/1	Arrangements for induction of new Joint Audit and Standards Committee members will be developed and formalised. This will include an operational development day with the Constabulary to which all members of JASC will be invited.	Chief Finance Officer	Completed - The annual work programme for JASC now includes a schedule of development sessions. In addition, a Constabulary induction day for members was provided on 18 October 2016.	30-Sep-16
CP5/2	Undertake a review of the arrangements for Independent Custody Visiting within Cumbria, fully engaging with the Independent Custody Visitors as part of that review.	Chief Executive	Completed - The review was launched at the Cumbria Independent Custody Visiting Conference in April, which was followed by an initial discussion with ICV Panel Chairs and Vice-Chairs to discuss the scope of the review. The review was discussed at the June round of Panel meetings. A survey was developed and shared with Chairs and ViceChairs before circulation to all Custody Visitors. The survey results have been shared with all Custody Visitors at the October round of meetings. Proposals have now been developed taking account of the outcome of the survey and discussed with Panel Chairs and Vice-Chairs.	30-Mar-17
CP6	Engaging with local people and other stakeholders to ensure robust public accountability.			

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CP6/1	Develop a new Office of Public Engagement strategy to ensure it embraces the new Commissioner's vision for engaging with local people and stakeholders.	Head of Communications and Business Services	Completed - A range of engagement events have taken place in the Commissioner's first six months. The strategy has been updated to reflect feedback from the public and Commissioner about engagement events and was formally approved by the Commissioner	30-Sep-16
CP6/2	Following the Police and Crime Commissioner elections in May 2016 wider engagement activity will take place with a range of partners/stakeholders as part of the ongoing process to develop and implement the new Police and Crime Plan and Partnership Strategy.	Head of Partnerships and Commissioning	Completed - The new Police and Crime Plan incorporating how the PCC will work with partners was launched in November/December.	31-Dec-16
CP6/4	Following the Police and Crime Commissioner Elections in May 2016 and subsequent work to develop the new Police and Crime Plan the commissioner's commissioning strategy will be reviewed to ensure that commissioning intentions reflect manifesto priorities.	Head of Partnerships and Commissioning	Partially completed - Following work to develop The new Police and Crime Plan work has been progressed to review the Commissioner's commissioning strategy. Scheduled completion is now July 2017.	31-Dec-16

APPENDIX B OFFICE OF THE POLICE AND CRIME COMMISSIONER 2017-18 DEVELOPMENT AND IMPROVEMENT PLAN

Ref	Action	Lead Officer	Implementation by
Core Principle A: Focusing on behaving with integrity, demonstrating strong commitment to ethoical values and			
CPA/1	Continue to develop the scope and remit of the Ethics and Integrity Panel will be reviewed to maximise its on-going impact in improving arrangements for Ethics and Integrity.	Chief Executive	30-Mar-18
CPA/2	In January 2017 the Police and Crime Bill received Royal Assent and was enacted into law. The Act provides Commissioners with an explicit responsibility for the performance of the complaints system locally, responsibility for appeals currently heard internally by police forces and the ability to take on further functions in relation to public complaints. The OPCC will be working to develop a process to deal with appeal files utilising guidance to be produced by the Home Office and the Independent Police Complaints Commission. The implementation of the appeals process will take place in June 2018	Governance Manager	30-Jun-18
Core Principle B: Focusing on ensuring openness and comprehensive stakeholder engagement.			
CPB/1	During 2017-18 the OPCC will seek to establish an annual programme of work with the Police and Crime panel	Head of Partnerships and Commissioning	30-Sep-17
CPB/2	During 2017-18 the Head of Partnerships and Commissioning will seek to commission a provider to establish and embed a Cumbria Youth Commission	Head of Partnerships and Commissioning	30-Sep-17
Core Principle C: Focusing on defining outcomes in terms of sustainable, economic, social and environmental benefits			
CPC/1	The Commissioner is working with health and local government partners to improve services for victims with mental health issues. Supported by the PCC, the Office of the Police and Crime Commissioner has secured funding from the Home Office Innovation Fund for the development of a multi-agency assessment and crisis centre. (March 2018)	Head of Partnerships and Commissioning	31-Mar-18
CPC/2	During 2017-18 the OPCC will monitor delivery against the objectives laid out in the Police and Crime plan and refresh the underpinning delivery plan on an annual basis	Head of Partnerships and Commissioning	31-Mar-18
Core Principle D: Focusing on determining the interventions necessary to optimise the achievement of intended			
CPD/1	During 2017-18 The Head of Partnerships and Commissioning will continue to take forward work to develop and implement a Quality framework to support collaborative and partnership working in delivering improvements in services to victims and develop compliance with the Victims' Code of Practice.	Head of Partnerships and Commissioning	31-Dec-17
CPD/2	Develop a joint Social Value Policy with the constabulary	Head of Partnerships and Commissioning	30-Sep-17

Core Principle F: Focusing on managing risks and performance through internal control and strong public financial			
CPF/1	During 2017-18 the Head of Partnerships and Commissioning will undertake a review of the systems and processes that underpin open grant arrangements	Head of Partnerships and Commissioning	31-Dec-17



Cumbria Office of the Police and Crime
Commissioner Code of Corporate Governance
2017/18

Foreword



Welcome and thank you for taking the time to read the Police and Crime Commissioner for Cumbria's Code of Corporate Governance. I am pleased to introduce this Code, which sets out the Commissioner's commitment to continue to uphold the highest possible standards of good governance. This document clearly demonstrates his drive to ensure that this is in place. Good governance is about how the Commissioner will ensure that he is doing the right things, in the right way, for the communities he serves, in a timely, inclusive, open, honest and accountable way.

The Code provides clarity about how the Commissioner and Chief Constable will govern their organisations both jointly and separately, in accordance with their statutory responsibilities. It will do this by highlighting the key enablers for ensuring good governance. The Code sets out how the organisations will govern, using the seven good governance principles as the structure for setting out the statutory framework and local arrangements.

Robust governance enables the Commissioner to pursue his vision effectively as well as underpinning that vision with mechanisms for control and management of risk.

A handwritten signature in black ink, appearing to read 'St Edwards'.

Stuart Edwards

Chief Executive and Monitoring Officer

Office of the Police and Crime Commissioner

Introduction

The Police Reform and Social Responsibility Act 2011 (PR&SRA) established Police and Crime Commissioners as elected officials with statutory functions and responsibilities for Policing and Crime within their area. Those responsibilities include: setting the strategic direction and objectives for policing and crime and disorder reduction in their area; maintaining the police force; and holding the Chief Constable to account. Police and Crime Commissioners also have wider responsibility for community safety, enhancing criminal justice and supporting victims.

The statutory and regulatory framework setting out the responsibilities, powers and duties of Police and Crime Commissioners is continually developing. The PR&SRA is supported by the Policing Protocol Order 2011, the Home Office Strategic Policing Requirement 2015 and the Home Office Financial Management Code of Practice 2013. The Anti-Social Behaviour, Crime and Policing Act 2014 has developed and conferred further powers in respect of the wider responsibilities of Police and Crime Commissioners. These powers have been extended through the Policing and Crime Act 2017.

The Police and Crime Commissioner for Cumbria (the Commissioner) is responsible for ensuring that business is conducted in accordance with this statutory and regulatory framework and in accordance with proper standards. This includes ensuring that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. In fulfilling this overall responsibility, the Commissioner is responsible for putting in place proper arrangements for governance, including risk management and the arrangements for ensuring the delivery of the functions and duties of his office.

In doing this, the Commissioner approves and adopts annually this Code of Corporate Governance, 'The Code'. The Code gives clarity to the way the Commissioner governs and sets out the frameworks that are in place to support the overall arrangements for the Cumbria Office of the Police and Crime Commissioner (COPCC). The Code is based on the core principles of governance set out within the CIPFA/SOLACE Delivering Good Governance in Local Government Framework 2016. The Code is appended with a schematic that sets out diagrammatically all the key elements of the governance framework.

On an annual basis the Commissioner will produce an Annual Governance Statement (AGS). The AGS reviews the effectiveness of the arrangements for governance and sets out how this Code of Corporate Governance has been complied with.

The Code of Corporate Governance

This code of corporate governance sets out how the Police and Crime Commissioner will govern. It is based on the seven good governance core principles highlighted by the CIPFA/SOLACE Delivering Good Governance in Local Government Framework 2016, and supported by the Nolan Principles of Public Life. This Code uses those principles of governance as the structure for setting out the statutory framework and local arrangements that are in place to achieve them.

- Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

The seven good governance principles are:

- Principle B: Ensuring openness and comprehensive stakeholder engagement
- Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits
- Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes
- Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it
- Principle F: Managing risks and performance through robust internal control and strong public financial management
- Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

NOLAN PRINCIPLES OF PUBLIC LIFE

SELFLESSNESS: Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

INTEGRITY: Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

OBJECTIVITY: In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

ACCOUNTABILITY: Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

OPENNESS: Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands it.

HONESTY: Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

LEADERSHIP: Holders of public office should promote and support these principles by leadership and example.

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Police and Crime Commissioners are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

Ethics and Integrity

The arrangements for governance within the Office of the Police and Crime Commissioner are based on a culture of ethics, integrity and acting in the public interest. This is demonstrated and communicated through a number of policies and codes that set out the standards of conduct and personal behaviour expected in the Commissioner's office.

Specifically:

Business Code of Conduct: Staff shall:

Maintain the highest possible standards of probity in all commercial relationships;

Reject business practice which might reasonably be deemed improper and never use authority for personal gain;

Enhance the proficiency and stature of the organisation by acquiring and maintaining technical knowledge and the highest standards of behaviour;

Ensure the highest possible standards of professional competence, including technical and commercial knowledge;

Optimise the use of resources to provide the maximum benefit to the organisation.

INTEGRITY: Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

- A Code of Conduct commits to the Nolan Principles of Public Life. The Code sets out commitments with regard to how people will be treated, the use of resources, disclosure and conflicts of interest, disclosure of information and transparency.
- A Code of Ethics developed by the Association of Police and Crime Commissioners (APCC) has also been adopted by the Commissioner. It sets out how the Commissioner

has agreed to abide by the seven standards of conduct recognised as the Nolan Principles. This Ethical Framework allows transparency in all areas of work of the Police and Crime Commissioner. These principles encompass the Commissioner's work locally and whilst representing Cumbria in national forums. The principles are listed in the Code of Ethics with examples of how these are achieved.

- The Commissioner's arrangements for antifraud and corruption make clear the duty everyone has with regard to their own conduct and those of others. The arrangements incorporate an antifraud and corruption policy and plan covering the culture expected within the organisation and provide contact information for confidential reporting (whistleblowing).

- Anti-fraud and corruption procedures cover arrangements for integrity in respect of gifts and hospitality, completion of a register of interests, supplier contact and declarations of related party transactions. These ensure staff avoid being engaged in any activity where an actual or perceived conflict may exist and that there is transparency in respect of any personal or business relationships. Staff are reminded on a monthly basis of the need to make declarations.

- The Office of Cumbria Police & Crime Commissioner is responsible for investigating complaints about the Chief Constable, any appointed Deputy Commissioner, the Office of Cumbria Police & Crime Commissioner's own staff and Independent Custody Visitors. A formal process exists for dealing with complaints. The arrangements are clearly set out, including the role of the Police and Crime Panel, on the 'contact us' section within the Commissioner's website. The protocol for managing complaints is set out in the

Commissioner's complaints Policy and reinforces the commitment to upholding the highest ethical standards.

- Complaints against the Police & Crime Commissioner are referred by the Commissioner's Monitoring Officer to Cumbria County Council's Monitoring Officer who investigates the complaints and then seeks to either resolve them locally with the complainant, refers them to the Police and Crime Panel or the Independent Police Complaints Commission.

- The Commissioner's Procurement Regulations incorporate a Business Code of Conduct, reinforcing the integrity requirements within the anti-fraud and corruption policy in the context of procurement activity.

- Financial Regulations make arrangements for the proper administration of financial affairs. They also seek to reinforce the standards of conduct in public life, particularly the need for openness, accountability and integrity.

- Grant regulations are based on a framework that provides minimum standards and terms and conditions for the grant award process that seek to ensure grants are awarded within the public interest.

- The Commissioner and all staff are required to sign up to an anti-discrimination Code that sets out values and standards with regard to the prevention of any kind of discrimination.

All policies and codes are reviewed on a cyclical basis to ensure they are operating effectively. Independent external assurance is provided

through the work of an Ethics and Integrity Panel and Joint Audit and Standards Committee. The purpose of the Panel is to promote and influence professional ethics in all aspects of policing and within both organisations. It provides scrutiny and review in respect of the arrangements for codes of conduct, integrity and complaints. It also provides assurance to the public that any issues or concerns are highlighted and monitored. The Joint Audit and Standards Committee has responsibility for standards matters covering hearings and determining appeals in relation to the Commissioner's personnel policies and decisions of the Chief Executive. The Committee also provides scrutiny and review in respect of the Commissioner's arrangements for anti-fraud and corruption and financial, procurement and grant regulations. Agendas and papers are available to the public on the Commissioner's website to aid transparency.

The leadership values for the organisation have been developed by our staff to support good governance and advocate high standards of integrity and ethical behaviour. They are set out in our Corporate Plan. All staff within the OPCC have been appointed following open and transparent appointment processes. Following appointment staff commit to the various codes of conduct and ethical standards that are in place for the OPCC. All staff also undertake a structured induction process arranged by the Governance Manager.

Respecting the Rule of Law

The Chief Executive is the Commissioner's Monitoring Officer with responsibility for ensuring that the Commissioner and staff of the Office of the Police and Crime Commissioner do not contravene any rule of law or engage in any activity that *Our Values*

We are a single team with a culture of trust and confidence

We develop the capacity and capability of our office to be effective and recognise high performance

We have empowered staff who are high performing, professional and have high levels of satisfaction in their roles

We embrace and deliver change, achieve national recognition for what we do and are exemplars of best practice

We hold ourselves to account for what we deliver, measuring our outcomes, customer satisfaction and value for money, striving for continuous improvement

We promote our values and demonstrate the values of good governance through upholding high standards of conduct and behaviour

constitutes maladministration or injustice. The responsibilities of the Chief Executive are codified within legislation, within the Commissioner's scheme of delegation and within the documents comprising the Commissioner's wider governance framework. The Chief Executive is responsible to the Commissioner for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with. The Chief Executive is supported by an internal legal team and will instruct external legal advisers where there are significant legal complexities or legal risk. The office structure provides for a post of a deputy Monitoring Officer to ensure continuity in the delivery of this role in the absence of the Chief Executive.

Principle B: Ensuring openness and comprehensive stakeholder engagement

Police and Crime Commissioners and their Offices are run for the public good, they therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

Openness

The Commissioner operates in accordance with the Elected Local Policing Bodies (Specified Information) Orders 2011, 2012 & 2013 and the guidance provided by the Information Commissioner. This is demonstrated, documented and communicated through an information publication scheme that ensures the openness of all key information to the public and wider stakeholders. This includes information in respect of the Commissioner, his staff, income and expenditure, property, decisions, policies and the independent custody visiting scheme. The Commissioner's Monitoring Officer has overall responsibility for ensuring compliance with the Orders and Scheme.

To ensure transparency of decision making, all decisions are recorded and published on the Commissioner's website for public scrutiny. The Police and Crime Panel may call in any decisions for further public scrutiny.

The Commissioner adopts rigorous standards in his decision-making and all decisions are taken solely in the public interest. This is achieved by adherence to a decision making policy that sets out the parameters and the application of a set of principles that guide decision making. The approach within the policy adheres to the Good Governance

Standard for Public Services and the Good

Administrative Practice

2.

Decision Making Policy: Principles of Decision Making

Decision-making will be well informed

The decision-making process will be open and transparent

To have 'due regard' within the decision making process

Be rigorous and transparent about how the decisions are taken

All decisions of significant public interest will be recorded and published.

The PCC will uphold the highest standards of integrity and honesty when taking decisions, as set out in the Nolan Principles.

Reports for decision are based on a template that ensures the consequences of any recommendations are clearly explained and that there is clear reasoning and evidence for decisions. This includes relevant financial, legal, human resources, equality, procurement, IT and risk management advice.

Engaging Comprehensively with Institutional Stakeholders

The Police and Crime Plan recognises the importance of stakeholder engagement and collaborative working in developing and delivering priorities for the future direction of policing, crime reduction, and supporting victims. The process for development of the Plan includes consultation with the Police and Crime Panel, wider partners and the Constabulary. Consultation processes support the development of objectives and outcomes prior to the formal approval and publication of the Plan on the Commissioner's website.

The Plan recognises that in preventing crime and supporting victims a commitment to collaborative working is needed from a range of organisations involved in policing, community safety and criminal justice. The Plan commits to utilising the existing partnership structures across the County to do this wherever possible. This enables the Commissioner and partners to build commitment to shared priorities and to exercise oversight of the delivery of shared outcomes.

As part of these arrangements the Commissioner has signed up to the Cumbria Compact, an agreement and set of principles that govern effective relationships between public and third sector organisations.

The purpose, objectives and intended outcomes from partnership and collaborative working will be set out in a Partnership Strategy. Grant agreements govern the funding arrangements with partners and the third sector and set out the purpose, objectives and shared outcomes which that funding is planned to deliver.

Joint boards, collaborative procurement and third sector partnerships are central to the Commissioning Strategy that seeks to efficiently and effectively deliver the Police and Crime Plan. The underlying Commissioning Plan uses commissioning approaches and a grant framework that enable partners to determine interventions that will be appropriate and effective in delivering outcomes.

Engaging Stakeholders Effectively including Citizens and Service Users

A Public Engagement Strategy sets out how the Commissioner will make arrangements for obtaining the views of the community on policing and for obtaining the views of victims of crime. The strategy aims to ensure clear channels of communication are in place with all sections of the community and other stakeholders. As part of the Public Engagement Strategy the Commissioner undertakes formal consultation with the public, partners and other stakeholders in respect of the Police and Crime Plan and the budget.

The OPCC is instrumental in giving the people of Cumbria the ability to communicate with the Commissioner and plays a key role in ensuring public opinion can influence the Commissioner's decision making. The Office ensures a wide range of engagement approaches so that the Commissioner actively listens, considers and effectively uses the views of the people of Cumbria. The office plays a critical role in ensuring that two-way communication with communities take place and that the Commissioner is publically available to speak to communities and individuals.



The OPCC has responsibility for keeping people informed, ensuring that activities and decisions are transparent and that effective, transparent and accessible arrangements are in place for providing feedback. A wide range of communication tools are used to achieve open and transparent communication with communities.

This includes the statutory requirement of producing and publishing an Annual Report setting out what has been achieved in a 12 month period.

The OPCC also supports the Commissioner around public affairs, if necessary highlighting the impacts on policing and people in Cumbria.

A complaints process and quality of service procedure provides clarity over the arrangements to respond to the breadth of concerns raised by local people. If trends are identified these are used to improve customer service from the Constabulary and influence the decisions of the Police and Crime Commissioner.



Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits

The long-term nature and impact of many of the Police and Crime Commissioners' responsibilities mean that they should define and plan outcomes and that these should be sustainable. Decisions should contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available

The Commissioner's Police and Crime Plan can be found on our website at www.cumbria-pcc.gov.uk

Defining Outcomes

The Police Reform and Social Responsibility Act (PRSR) 2011 and the Policing Protocol Order set out the purpose of the Police and Crime Commissioner, conferring statutory duties and responsibilities. These include the requirement to issue a Police and Crime Plan. The Plan sets out the vision and strategic direction for policing and reducing crime for the local area. It outlines police and crime objectives, priorities and outcomes for policing and victims that the Commissioner will focus on in carrying out his purpose. The Police and Crime Plan sets out a Pan-Cumbrian vision.

Key performance indicators are set to support the objectives within the Police and Crime Plan. This is supported by a comprehensive performance management framework. The performance framework and HMIC inspection and value for money reports support the Commissioner in holding the Chief Constable to account for the performance of the force and its efficiency and effectiveness. User Satisfaction Performance

measures are included in the Performance Management Framework.

The Police and Crime Plan is developed alongside a Medium Term Financial Strategy that ensures funding is aligned to the resources needed to deliver priorities and outcomes. The forecast supports the Commissioner in setting a robust budget and in his purpose of maintaining the force for the Cumbria police area.

A Commissioning Strategy and framework supports the delivery of the Commissioner's wider duties and responsibilities and the objectives and outcomes within the Police and Crime Plan. The strategy sets out how the Commissioner will work with partners, including community and voluntary sector groups, to deliver activity and interventions that will support victims, improve community safety, reduce crime and enhance criminal justice. The strategy is underpinned by a commissioned services budget and programme. The budget funds the Office of Victims Services, supported by a Victims Advocate,

to commission and promote effective support services that will help victims to cope and recover.

Sustainable economic, social and environmental benefits

A process is in place to support policy and strategy development. Oversight of the central policy record, including compliance with procedure and equality impact assessments, is managed by the Executive Team. This ensures that the sustainability of policies and strategies and the wider benefits and interrelationships across the business are fully understood.

When developing strategies, policies or business plans the Office of the Police and Crime Commissioner will seek to impact assess such documents prior to their development. The outcomes of these assessments will inform development work and be taken into consideration when policies and strategies are approved. In this way, our policies and strategies provide a framework to support decision making.

The process for making decisions, particularly those that involve expenditure, includes an assessment of the longer term impact of proposals to ensure sustainability. Decisions on human resource planning, the most significant factor influencing the delivery of sustainable economic, social and environmental benefits, take account of the longer term financial outlook alongside projections of future turnover. This enables workforce planning and recruitment in a way that supports the economic management of training and supervision requirements and maximizes the benefits to the business.

All decision reports include a section which allows the author to identify any equality issues. These will be taken into account by the Commissioner when considering the decision.

To manage risk and ensure transparency of interests in decision making, the Commissioner and officers are required to make declarations where there are or may be perceived to be conflicts of interest. The role of the Monitoring Officer and the Commissioner's Oath of Office further supports decisions being made in the wider interest of the people of Cumbria, rather than representing any particular political interests.

The Police and Crime Plan and the policy and strategy documents that support it are developed to cover a four year rolling timeframe and take into account feedback from public consultation and engagement.

All of these documents and the outcomes from consultation are published and are publicly available on the Commissioner's website. Information is published in a variety of mediums. The OPCC website has the functionality to assist in the access to information held. The COPCC would look to assist with translation of information or send information to a third party who can assist them. The COPCC website has the ability to translate into the main languages.



Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes.

Police and Crime Commissioners achieve their intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice and Commissioners have to make sure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.

Determining Interventions

The Commissioner sets the strategic direction for Policing and wider interventions within the Police and Crime Plan. The Plan is reviewed annually to ensure decision making on activity and outcomes remains robust. The Commissioner's decision making policy adopts a set of principles to ensure all decision making is well informed, that options are rigorously considered and information is provided on potential risks.

The Constabulary is the primary provider of policing services and the recipient of the substantial proportion of funding from the Commissioner to deliver the Police and Crime Plan. Achieving best value through the delivery of an effective policing strategy is a condition of the arrangements for funding between the Commissioner and the Constabulary. Decisions are made annually on the level of resources and how they should be directed as part of the Commissioner's budget setting process.

The performance, outcomes and costs of the Constabulary are monitored through a framework that includes external comparators (HMIC Value for Money Profiles), Police Effectiveness, Efficiency and Legitimacy (PEEL) inspection reports and an annual Value for Money Conclusion from the External Auditors. Recommendations from PEEL inspections are used to review decisions in year on resources and determine whether intervention are needed to respond to inspection findings.

Grant and Procurement Regulations set out a framework for commissioning and procurement activity that supports the achievement of best value and practical interventions to support Police and Crime Plan outcomes within wider commissioned services. An annual report to the Joint Audit & Standards Committee reviews value for money in respect of the costs of the Commissioner's Office, providing external oversight of staffing and wider financial resources committed to fulfilling the legal and regulatory requirements of the Office.

To deliver a robust and balanced medium term financial plan and annual budget supported by an in-year reporting framework that monitors its delivery.

To ensure arrangements for funding between the Commissioner and Constabulary deliver value for money and support the priorities of the Police and Crime Plan

To ensure capital expenditure plans are robustly scrutinised, fully funded for a minimum of four years and are supported by capital strategies that meet the needs of the business

To maintain a risk assessed level of reserves to meet unplanned expenditure and to provide revenue budget smoothing for intermittent costs.

To ensure treasury management activities provide for the security of the Commissioner's funds whilst

Planning Interventions

A Commissioning Strategy and joint Procurement Regulations set out how services will be planned, procured and delivered. The Safer Cumbria Partnership provides a flexible and supportive mechanism through which services can be developed and delivered with shared risk. Grant and contract management arrangements are in place to monitor and review service quality.

The Medium Term Financial Strategy sets out the financial plans for revenue and capital expenditure. An annual funding arrangement for the Chief Constable codifies the amounts and conditions of funding based on a financial proposal from the Constabulary. It sets out how the budget will be monitored including financial information and reporting requirements. Financial reporting provides a control to assess the extent to which

planning assumptions for the budget have been matched by actual activity and expenditure in year. Further controls over the management of income and expenditure are detailed in the Commissioner's financial regulations. Key Performance Indicators for finance are agreed as part of the arrangements for the funding agreement and incorporated within the Finance Services Business Plan. Wider financial targets, for example prudential indicators, are set as part of the budget process, and monitored on a quarterly basis to ensure they are being met.

The Medium Term Financial Strategy sets out revenue forecasts of income and expenditure and the key financial assumptions and policies on which the forecasts are based. This supports a strategic approach to operational planning, savings requirements and decision making in support of the objectives within the Police and Crime Plan. It also ensures that the financial liabilities, risks and the level of provision and reserves within the budget are fully understood. The budget includes a 10 year capital programme aligned to plans for ICT, the estate and fleet, ensuring resources are balanced in the medium and longer term to meet the requirements of the business.

Financial, operational and commissioning plans are developed taking into account the feedback from the public and wider stakeholders. The Engagement Strategy sets out how the Commissioner will engage with a wide range of people and partners encompassing and including diversity within the County. The Commissioner in his role of consulting with the public uses the guiding principles of we asked, you said, we did as many engagement activities personally involve the Commissioner. To formally support the role of two-way engagement a six monthly paper is presented to the Commissioner

outlining trends from the various forms of engagement and this information is used as an integral part in the process of any key decisions. Further communication tools are used to ensure target audiences are kept up to date of developments and key decisions for the Commissioner.

Optimising Achievement of Intended Outcomes

The Medium Term Financial Forecast integrates the budget and funding arrangements for the Constabulary with the Commissioner's directly managed budgets. The totality of estimated funding forms the basis for considerations regarding the trade-off between resources for commissioning and resources for policing to optimise outcomes within the Police and Crime Plan. Strategic priorities within Plan support decision making on the respective policing and commissioning strategies. This determines for example, the number of police officers, the balance between people resources verses equipment and the balance between supporting victim's verses crime prevention activity.

The budget process is based on a proposal from the Constabulary. It takes a zero based approach, working closely with the business to forecast operational requirements over 4 years for revenue expenditure and 10 years for capital expenditure. This includes a series of 'star chambers' providing Chief Officers with the forum through which budget holders can be challenged. Through the budget process targets and plans are developed for savings and consideration is given to growth bids to resource new and changing requirements.

The Medium Term Financial Strategy includes information on national financial settlements for policing and what is known about settlements in future years. It also sets out the key financial risks that could impact on funding and expenditure nationally and locally. Sensitivity analysis provides information on the potential impact of changes to assumptions. Collectively this supports decisions on resources, services, performance and outcomes and ensures the business has a robust understanding of risks to the affordability of future plans. The Strategy incorporates information on plans for savings and the impact of funding changes for the number of police officers, PCSO's and police staff. This supports an on-going dialogue and monitoring between the Commissioner and Constabulary in respect of the necessary business change and its impact on outcomes and performance.

Through our Commissioning Strategy we engage and consult with the wider community on support and service provision gaps, this ensures that commissioning objectives and outcomes align with the needs of the local community as well as creating an opportunity for providers to innovate. Commissioning to local based providers ensures the economic, social and environmental well-being of the wider Community. Awarding of Contracts or Grant Agreements are based on the social outcomes and measures which meet local priorities and needs as opposed to financial gains and benefits.

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

Police and Crime Commissioners need appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. Commissioners must ensure that they have both the capacity to fulfil their mandate and to make certain that there are policies in place to guarantee that management has the operational capacity for the entity as a whole. Both the individuals involved and the environment in which Commissioners operate will change over time, and there will be a continuous need to develop its capacity as well as the skills and experience of the leadership and individual staff members. Leadership is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of their communities

Developing the entity's capacity

Legislation provides that the Commissioner must appoint a Chief Executive and a Chief Finance Officer (statutory officers). The Chief Executive is the Commissioner's Head of Staff with responsibility for overall management of the Commissioner's office. The Chief Finance Officer (CFO) operates on a shared basis acting as CFO for both the Commissioner and the Chief Constable. Both the Chief Executive and Chief Finance Officer have statutory responsibilities with regards to determining the requirements in respect of staffing resources.

The Chief Executive is a member of the Association of Police and Crime Chief Executives (APACCE) and operates within the APACCE statement on the role of the Chief Executive and Monitoring Officers for Police and Crime Commissioners. The Chief Executive's job profile is based on the APACCE

model to ensure the right skills, experience and qualifications for the role.

The role and functions of the Chief Finance Officer to support the Commissioner's mandate is set out within the Home Office Financial Management Code of Practice and by the Chartered Institute of Public Finance and Accountancy (CIPFA), the CIPFA statement. The job profile for this role is based on the CIPFA Statement. Compliance with the statement is self-assessed on an annual basis and reviewed by the Joint Audit and Standards Committee. Professional body subscriptions ensure the Chief Finance Officer has access to up to date Codes of Practice, guidance and professional standards

The structure and arrangements for staffing ensures the Chief Executive has management of overall staffing as Head of Paid Service with responsibility for effective succession planning and resilience on matters of business within a small team.

A framework for the development and review of the corporate plan and underlying business plans

ensures action plans and performance targets are delivered to support continuous improvement. The Commissioner's Office is reviewed annually with a report on Value for Money presented to the Joint Audit and Standards Committee. The report benchmarks staffing resources, capacity and costs within the HMIC most similar group of policing areas.

The costs of the Commissioner's Office and the Constabulary are benchmarked annually through HMIC value for money profiles with reports presented for scrutiny to the Joint Audit and Standards Committee. Comparisons to most similar group policing areas are used to inform the budget savings programme and reduce costs.

Procurement regulations are developed jointly with the Constabulary and supported by a procurement strategy. The regulations incorporate procurement policy and procedures that aim to support the understanding and skills of all staff engaged in the procurement process. The procurement strategy sets out how the function will develop to deliver best value from procurement activity. The procurement regulations are supported by a set of grant regulations governing commissioning activity through a grant based process.

Developing the entity's leadership

The key functions and roles of the Commissioner, the Chief Executive/Monitoring Office and Chief Finance Officer are set out in the Police Reform and

Key functions and role of the Commissioner

Sets strategic direction & objectives of the force, issues the Police and Crime Plan (the Plan) & an annual report

Holds the Chief Constable to account for the exercise of his/her functions and force performance; Monitors complaints.

Receives all funding, decides the budget & precept; allocates funding to maintain an efficient and effective police force

Provides the link between the police and communities; publishes information on Commissioner and force performance

Responsible for the delivery of community safety, crime reduction, the enhancement of criminal justice and victim support

Social Responsibility Act 2011 (PRSRA) and the Policing Protocol Order 2011 (PPO). These functions and roles define the responsibilities for leadership and are codified in the Commissioner's Scheme of Delegation and wider documents within the Corporate Governance Framework.

The Chief Executive is the Commissioner's lead advisor. Key responsibilities include working with the Commissioner to enable delivery against his vision, strategy and identified priorities and facilitating the accurate and appropriate scrutiny of the Constabulary's activities. The Chief Executive is also the Commissioner's statutory Monitoring Officer, providing support to ensure the Commissioner's functions are carried out and has specific legal, financial and governance duties in addition to those which derive from statutory responsibilities. The Chief Executive operates in accordance with professional standards and the legislative and fiduciary responsibilities of the statutory office.

The Chief Finance Officer is the lead financial advisor to the Commissioner and has statutory responsibility to ensure that the financial affairs of the Commissioner are properly administered. The CFO provides all financial advice, provides a

statutory report on the robustness of the budget and ensures systems of internal financial control are effective.

The Commissioner's Scheme of Delegation is part of a wider governance framework that further details specific decision making and wider responsibilities of key officers in relation to areas of governance and ensure all staff have a shared understanding of the roles, responsibilities and decision making authority within the Commissioner's Office. All governance documents are regularly reviewed and updated as roles develop to respond to changing legislation, regulations and other new requirements.

A member/officer protocol further sets out the roles of political office holders (the Commissioner/Deputy Commissioner) and nonpolitical office holders (staff employees) to provide clarification on respective responsibilities and expectations around how relationships are anticipated to work. This is supported by arrangements for the declaration of interests to ensure the Commissioner, members and staff are free from relationships that would materially interfere with decisions making and their roles.

Members of the Joint Audit and Standards Committee are recruited for their specific skills and experience to fulfil the role of the Committee. Role profiles include a person specification that requires applicants to demonstrate a sound understanding and relevant professional experience. The Committee has clear terms of reference and membership that is consistent with the requirements of the Home Office Financial

Management Code of Practice, and CIPFA guidance. Development sessions, access to relevant publications and CIPFA/Grant Thornton external

workshops support members continued development.

The Cumbria ICV Scheme comprises of four panels of volunteer Custody Visitors. Every new volunteer is required to undertake a half-day basic induction course, followed by an accompanied night observation visit; thereafter, new visitors are trained "on the job" by attending visits in the company of a more experienced colleague for the first six months. On-going ICV training is provided at the regular panel meetings and annual local and regional conferences.

In 2016 the OPCC became a member of the Independent Custody Visitors Association (ICVA). ICVA is a Home Office funded organisation set up to promote and support the effective provision of custody visiting nationally. ICVA works closely with government and criminal justice organisations providing advice on best practice for independent custody visiting schemes nationally; training; and publicity to Police and Crime Commissioner and custody visitors.

The Police and Crime Commissioner subscribes as a member of the Association of Police and Crime Commissioners (APCC). The APCC delivers daily written briefings received by the Commissioner and office staff, covering press and parliamentary reporting on those areas within the Commissioner's responsibilities to ensure the Office is kept updated on current developments.

The APCC and APACCE deliver national events to ensure Commissioners and their Chief Executives remain informed and have the opportunity to discuss significant issues and develop collective approaches. There are also bi-monthly regional

meetings of Chief Executives and quarterly regional meetings of Commissioners and Chief Executives. The Chief Executive/Monitoring Officer leads for the Commissioner on ensuring that appropriate policies and procedures are adopted and followed to ensure the COPCC complies with relevant statutes and regulations and has the capacity to deliver across these requirements.

The CFO subscribes to the Police and Crime Commissioners' Treasurers' Society (PaCCTS), supporting continuous development and ensuring the CFO maintains a breadth of understanding on policing finance. Further capacity and expertise is commissioned to support specialist services for treasury management, taxation and insurance brokerage.

Arrangements for staff appraisal provide the opportunity to discuss and review individual performance and training and development needs.

Developing the capability of individuals within the entity

The Commissioner has adopted a number of joint personnel policies with the Constabulary in addition to operating within a suite of COPCC specific policies that provide a framework for all issues related to employee management, terms and conditions. This includes policies on how staff and staff associations will be engaged in any change processes. There is a general principle for on-going consultation and engagement during any areas of business change, creating an environment where staff can perform well and where ideas and suggestions are welcomed.

Personnel policies aim to promote a motivated and competent workforce whilst supporting the health and well-being of staff. They include arrangements for work-life balance through a scheme of flexible working and facilitate access to wider benefits e.g. special leave at times of specific personal need.

Business is carried out supported by policies and procedures that support the full range of human resource management responsibilities and all policies are subject to cyclical review in accordance with the Commissioner's policy framework. This supports continuous improvement, ensuring updated guidance is available for staff on how to carry out their roles and the wider responsibilities they should take into account.

All officers have clearly defined role descriptions and reporting lines based on the roles and the functions for which they are accountable, to ensure service delivery responsibilities are clear and can be monitored. Individual capabilities, performance and development requirements are assessed annually through a review process to agree the support, training and development staff need to carry out their duties and responsibilities.

Professional staff undertake continued professional development in line with the requirements of their professional bodies. The budget setting process provides for training and development budgets to support mandatory and discretionary training and development requirements.

Principle F: Managing risks and performance through robust internal control and strong public financial management

Police and Crime Commissioners need to ensure that the entities and governance structures that they oversee have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management, business continuity and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. They consist of an ongoing process designed to identify and address significant risks involved in achieving outcomes. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and

accountability.

Managing risk

The Commissioner's Risk Management Strategy sets out the overall arrangements for managing risk including the arrangements for holding to account the Chief Constable in respect of those risks that fall within his functions. The Strategy establishes how risk is embedded throughout the various elements of corporate governance of the COPCC, whether operating solely or jointly with the Constabulary. The Strategy incorporates a clear framework of objectives, designates roles and responsibilities for risk management and provides a mechanism for evaluating and scoring risks, and supporting decision making in respect of mitigating action.

The strategy and risk registers are regularly reviewed to ensure a clear alignment between risk management activity and the organisation's objectives. Reporting formats ensure arrangements are dynamic and support the early identification of strategic and operational risks. Identified risks are logged on a risk register with clear ownership and are reviewed cyclically based

on a score that denotes the severity and impact of the risk should it occur. Every project run by the COPCC has a separate risk register. All decision and report forms include a section for the author to complete in which to identify any risks or potential risks. To ensure effective ownership and monitoring of risks, the Office of the Police and Crime Commissioner provides risk management training to all staff.

The arrangements for risk management are subject to on-going monitoring and review to ensure their continued effectiveness. This comprises review by internal audit and review by the Joint Audit and Standards Committee. The strategic risk register is presented to the Committee at each quarterly meeting. The Committee also receives the Risk Management Strategy and a report from the Chief Executive annually reporting on the effectiveness of arrangements for managing risk.

Managing performance

A Public Accountability Conference facilitates the arrangements for monitoring service delivery and holding the Chief Constable to account. This is supported by regular one to one briefings between

the Commissioner and Chief Constable and an office level Collaborative Board. Senior Officers within the OPCC attend strategic Constabulary meetings to provide challenge and oversight of the arrangements that support decision making, delivery of key areas of business and the allocation of resources.

The Police and Crime Panel is the statutory body that provides the public accountability checks and balances in relation to the performance of the Commissioner and scrutiny of any decision made. The Panel receives cyclical information and reports on service delivery plans and progress towards outcomes. The Panel is consulted on the development of the Police and Crime Plan and budget, with a power of veto over the Commissioner's precept. The panel receives an Annual Report setting out what has been achieved in respect of delivery of the Police and Crime Plan objectives, and a financial outturn report comparing actual expenditure against the budget and including summary financial statements.

Robust internal control

The Commissioner is responsible for reviewing the effectiveness of his governance framework including the system of internal control. This work is informed by the work of Chief Officers and Senior Managers who undertake an overarching review of key controls and governance arrangements in support of the key principles in this Code.

Police and Crime Panel Functions

The functions of the Police and Crime Panel include reviewing the draft police and crime plan, public scrutiny of the annual report and the power of veto over the level of the Commissioner's proposed precept

Senior Managers with responsibility for financial systems provide annual management assurances using a CIPFA internal control framework as part of this process. This is further supported by an annual fraud risk assessment completed by the Chief Finance Officer and reviewed by the external auditors. Arrangements for anti-fraud and corruption are subject to cyclical internal audit review. The auditor's conclusion is that these internal controls provide Substantial assurance.

An independent internal audit service is commissioned through shared service arrangements with the county and district councils. Internal audit develops and delivers a risk based annual audit plan of work that reviews internal controls. This supports an annual opinion from the Chief Internal Auditor on the overall adequacy and effectiveness of the framework of governance, risk management and control.

An independent Joint Audit and Standards Committee assures cyclical internal reviews of key governance documents (e.g. financial regulations, arrangements for anti-fraud and corruption and the risk management strategy) at its November meeting and receives annual reports reviewing the effectiveness of arrangements for risk, governance and internal control in May and July. The Joint Audit and Standards Committee receive a copy of all internal and external audit reports, can table reports for discussion and monitor the implementation of audit recommendations. The Committee undertakes an annual self-assessment to ensure on-going compliance with the CIPFA framework for Police Audit Committees.

Managing Data

The Office of the Police and Crime Commissioner operates within the parameters of legislation, such as the Data Protection Act. It ensures that all data, including personal data, is appropriately stored and shared where necessary. Data is held in accordance with the COPCC Retention Schedule, removed or destroyed appropriately and access to information is restricted where appropriate to relevant members of staff. Data will not be held for longer than is necessary. Appropriate security measures are taken for both electronic and physical data. All staff are aware of their responsibilities when handling and storing both electronic and physical data.

Strong public financial management

Arrangements for financial management support for the Commissioner in achieving outcomes and delivering strong operational and financial performance by ensuring that resources are used in accordance with approved plans for service delivery and investment. The arrangements for financial management are codified within a suite of financial governance documents and comply with the relevant CIPFA Codes of Practice and guidance. Financial management controls ensure expenditure is only committed in accordance with the approved budget and the purpose for which approvals have been given. Financial monitoring supports the early identification of variances between actual expenditure and income, supporting timely decision making on remedial action.

A funding arrangement between the Commissioner and Constabulary sets out the consents and

arrangements for financial management between the Commissioner and Chief Constable. This ensures funding within the Constabulary is directed toward the achievement of the Policing Strategy and priority outcomes within the Police and Crime Plan.

Financial regulations set out the role and responsibilities of Chief Officers and senior staff for financial management and governance. They include financial management standards to be adhered to by all staff across the organisation and the wider framework of controls including the arrangements for the statement of accounts.

Financial risks and mitigations are set out within the Medium Term Financial Strategy and are managed within the Commissioner's overall framework for managing risk. The Commissioner's Chief Finance Officer takes ownership of all financial risks and reports to the Joint Audit and Standards Committee on the management of strategic financial risks. Arrangements for financial management are cyclically reviewed by the internal auditors for assurance and form part of the arrangements reviewed by the external auditors in forming their conclusions on the financial statements and value for money.

Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

Implementing good practice in transparency

The Commissioner's annual report is the primary communication through which the public can access and understand the performance and activities of the Commissioner and his Office. Design work for the report is commissioned from external media and communication professionals which alongside the written style aims to support transparency and public accessibility of the report.

All public documents are published on the COPCC website and are available in accessible formats. Further options can be offered on request. The intention is to ensure that all documents are written in such a way as to make them accessible to readers that may not have a detailed knowledge of the subject matter, though with some complex issues this is not always possible. The publication of key documents, such as the Police and Crime Plan, is supported by a media release to raise awareness of the document and its purpose.

Arrangements for financial reporting aim to ensure the accessibility of financial information for readers and users of financial reports. On complex matters of communication, for example consultation on budget, precept and services,

professional support has been procured to ensure a robust public understanding of complex issues.

Implementing good practices in reporting

The Office publishes an annual report, scrutinised by the Police and Crime Panel, to communicate the Commissioner's activities, achievements and performance and that of the Chief Constable and the force. The annual report presents the performance outcomes achieved against an agreed framework of targets and measures.

The Commissioner is subject to the Accounts and Audit (England) Regulations 2015 and prepares a set of accounts in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting. Compliance with the Code of Practice ensures the comparability of financial information within the statements with other similar entities and their publication in accordance with statutory timeframes. The financial statements include a comprehensive income and expenditure statement, which is aligned to in year financial reporting and monitoring. A narrative statement by the Chief Finance Officer sets out the overall financial and business performance for the year within an accessible summary statement. The financial statements include the external auditors report

setting out the overall opinion and conclusions on value for money.

The Commissioner's overall arrangements for governance are reviewed annually against this Code of Corporate Governance with a report made on how it has been complied with. This 'Annual Governance Statement (AGS)' is subject to internal audit and review by the Joint Audit and Standards Committee. The AGS includes an action plan setting out the work that will be undertaken over the following year to support continuous improvement in line with the principles of this Code and the CIPFA good governance framework.

The Commissioner and the Joint Audit and Standards Committee receive annually a report reviewing the governance arrangements for internal audit against the requirements of the Public Sector Internal Audit Standard (PSIAS).

Assurance and effective accountability

Grant Thornton UK LLP are the external auditors appointed to both the Police and Crime Commissioner for Cumbria and the Chief Constable for Cumbria Constabulary, to report key matters arising from audits of the Commissioner and Chief Constable's financial statements. The external auditors also reach a formal conclusion on whether the Commissioner and Chief and Constable have put in place proper arrangements to secure economy, efficiency and effectiveness in the use of resources. The audit findings report is published in the financial statements and presented to the Commissioner and Joint Audit and Standards Committee for review. The Joint Audit and Standards Committee monitors the implementation of recommendations arising

from the audit and have the expertise to challenge the external audit approach, supporting assurance of its effectiveness.

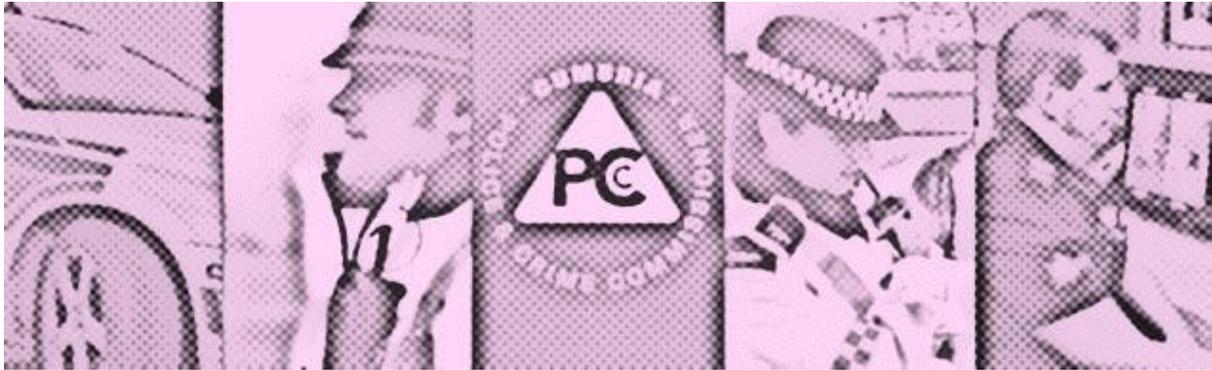
Further accountability is provided through the arrangements for internal audit. Internal audit is delivered through a shared service and in accordance with an Internal Audit Charter that ensures compliance with the PSIAS. An annual review of the effectiveness of the internal audit service, including the arrangements for the Joint Audit and Standards Committee, is undertaken annually by the Commissioner's Chief Finance Officer against CIPFA best practice standards. The report is presented to the Executive Board and published on the Commissioner's website to support assurances on internal control.

The arrangements for accountability further incorporate challenge, reviews and inspections from HMIC. Whilst these are primarily aimed at Constabulary performance, elements of specific reviews include jointly delivered activities and specifically commissioned reports that cover governance across both organisations. Recommendations are reported to and monitored by the Commissioner and Joint Audit and Standards Committee.

The Ethics and Integrity Panel also monitors and reports on some specific areas of activity, such as complaint handling and ethical issues. The Panel has carried out a series of thematic inspections into specific areas of Constabulary activity. These being the Performance Discretion Framework, the use of Stop and Search Powers and the Kendal Calling Festival. The Panel were able to look objectively at these areas and provide valuable independent

scrutiny and feedback to the Constabulary on their findings.

The arrangements in this document set out our framework for governance in accordance with CIPFA's Good Governance Principles and guidance. Annex A to this Code sets out our governance schematic, summarising the



arrangements we have in place internally and sources of external guidance and support. Further information on the arrangements for Governance can be found on the Commissioner's website under the tab headed Governance and Transparency.

We welcome your views on the Commissioner's Code of Corporate Governance. You can do this by using the contact information below:

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